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**RALPH SHAPEY AND THE SEARCH FOR A NEW CONCEPT OF MUSICAL
CONTINUITY, 1939-66**

by

BARRY WIENER

VOLUME I

A dissertation submitted to the Graduate Faculty in Music in partial fulfillment of the requirements for the degree of Doctor of Philosophy, The City University of New York

2014

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This manuscript has been read and accepted for the
Graduate Faculty in Music in satisfaction of the
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ABSTRACT**RALPH SHAPEY AND THE SEARCH FOR A NEW CONCEPT OF
MUSICAL CONTINUITY, 1939-66**

by

Barry Wiener

Adviser: Sylvia R. Kahan

This dissertation creates a narrative for the stylistic development of the American composer, Ralph Shapey (1921-2002), during the first half of his career. Shapey's music represents a fusion of Schoenbergian metamorphic process and Varésian stasis, methods for the creation of musical continuity that are usually considered incompatible. I show how Shapey formulated his compositional techniques, influenced by his teacher, Stefan Wolpe (1902-72), and his friend, Edgard Varèse (1883-1965).

Shapey's interest in the music of Schoenberg was mediated through the prism of Wolpe's musical ideas. Wolpe used unordered pitch-class sets to present the aggregate in his music, and avoided Schoenberg's neo-classic and neo-baroque forms in favor of more fluid continuity procedures. Shapey developed an interest in the use of block forms through his study of the music of Béla Bartók, Olivier Messiaen and Edgard Varèse. He began to employ techniques derived from Varèse's music during the mid-1950s, including the use of static constructions and the exploitation of a wide musical space. At the same time, he continued to use the procedures of pitch organization that he had learned from Wolpe. During the early 1960s, Shapey synthesized the opposing musical tendencies represented by Wolpe's dynamic narrative processes and Varèse's use of stasis, developing continuity strategies similar to Stravinsky's use of varied repetition, as discussed by Gretchen Horlacher in *Building Blocks: Repetition and Continuity in*

the Music of Stravinsky (2011). The study of Shapey's music demonstrates that the music of the Second Viennese School was only one of several major influences on young composers in Europe and America in the years after World War II. It also serves as an illustration of Joseph N. Straus's thesis that "serialism" is a term that has been construed in widely different ways by American composers.

Chapter 1 outlines Wolpe's compositional pedagogy, and shows how Shapey applied his teacher's concepts in his student works. Chapter 2 explores Shapey's vacillation during the early 1950s between traditional methods of motivic development and the creation of sound blocks. Chapter 3 addresses Shapey's abandonment of the concept of metamorphic process in favor of stasis during the years 1954-58. Chapter 4 covers Shapey's systematization of his new compositional techniques in the years 1959-61, and his discussion of his ideas in interviews and program notes. Chapters 5 and 6 examine Shapey's synthesis of metamorphic process and stasis during the early 1960s. Chapter 7 presents a detailed analysis of movement IV of Shapey's *Incantations* for Soprano and Ten Instruments (1961), illustrating Shapey's use of the technique of varied repetition as a continuity device. The dissertation concludes with a comparison of Shapey's compositional pedagogy and that of Stefan Wolpe, showing similarities in their discussion of pitch, rhythm, musical space and counterpoint.

PREFACE

I began my research into the music and career of Ralph Shapey in 2005, at the suggestion of his pupil, Ursula Mamlok. After I had studied Mamlok's music for several years, I realized that my lack of detailed knowledge of the New York musical avant-garde of the early 1960s made it difficult for me to trace the origins of her style and compositional techniques. In the summer of 2005, I made the first of several trips to Chicago to examine the Shapey Papers, held by the Special Collections Research Center, University of Chicago Library. The one hundred and eighty-four boxes of the Shapey Papers encompass materials from his entire career, including all of his sketches and manuscripts, his collection of scores (including annotated conducting scores) and recordings, his correspondence, and documents related to his teaching career and his personal life. The Shapey materials at the Special Collections Research Center also include a second, separate collection, the records of the Contemporary Chamber Players of the University of Chicago (known as the CCP). The forty-seven boxes of the records of the CCP include correspondence between Shapey and many other composers, as well as recordings of most of the concerts presented by the ensemble at the University between December 1966 and 1996. My research on Shapey's music and career led both to my co-editorship of the Ralph Shapey special issue of *Contemporary Music Review*, *Contemporary Music Review* 27, nos. 4/5 (August/October 2008), and to the present, extended study of Shapey's development as a composer.

A project of this scope could not have been undertaken without the extensive assistance of many people. I first wish to thank my dissertation adviser, Sylvia Kahan, and the members of my dissertation committee for shepherding me through the final stages of the dissertation process. I also wish to acknowledge Joseph N. Straus, who worked with me at the

inception of this project.

I would like to thank Theodore Presser Co., particularly Judith Ilika, Director of Performance Promotion, for the loan of scores and recordings. Thanks also to the staff of the library of The Graduate Center of the City University of New York for obtaining many scores by both Ralph Shapey and Stefan Wolpe through Interlibrary Loan. I am grateful to the Special Collections Research Center, University of Chicago Library, for permission to reproduce documents and score excerpts from the Shapey Papers and from the records of the University of Chicago Contemporary Chamber Players.

I wish to thank those musicians who graciously agreed to be interviewed in conjunction with this project: Henry Weinberg, William Allaudin Mathieu, Susan Kagan, Chou Wen-chung and Peter Westergaard. Thanks also to Stanley Drucker for speaking to me about *Challenge: The Family of Man*. I am grateful to Austin Clarkson for his detailed responses to my wide-ranging queries, and for providing me with several important recent publications about Stefan Wolpe. In October 2007, Austin accompanied me on a trip to Stony Brook University to examine the Dr. Isaac Nemiroff Collection, held by the University Archives, Stony Brook University Libraries, which includes many important documents about Wolpe's pedagogy. Austin kindly explicated Wolpe's terminology and his graphic symbolism about musical time and space, permitting me to create a portrait of Wolpe as an influential teacher. Many thanks to Kristen J. Nyitray and F. Jason Torre of the University Archives, Stony Brook University Libraries, for providing me with copies of the Nemiroff documents. Andrew Rudin gave me information about Shapey's work at the University of Pennsylvania in a Facebook exchange. Similarly, Vera Klement graciously answered my questions in an email exchange. I owe special thanks to Carol K. Baron, who provided me with a copy of the marathon interview that she conducted with Shapey in July 1975

about his relationship with Wolpe, and permitted me to edit the text of the almost two-hundred-page transcription of the interview. In addition, Carol's donation of the Wolpe/Baron Archive to the Performing Arts Research Collections, New York Public Library, in December 2008, made available additional documents related to Wolpe's pedagogy. Thanks to the New York Public Library for permission to reproduce those documents.

Thanks to Olivia Mattis for providing me with information concerning the relationship of Shapey with Edgard Varèse, and for giving permission to Oral History American Music, Yale University, to make her interview of Shapey available to me. Thanks to OHAM for providing me with the Mattis interview and an additional interview of Shapey by Deborah Strauss.

Thanks also to Arlene Yu, Specialist, Archive of the Recorded Moving Image, Jerome Robbins Dance Division, The New York Public Library for the Performing Arts, who helped me to identify the recording of music by Shapey employed by choreographer Pearl Lang for her dance piece, *Dichotomy (Broken Dialogues)* (1962).

I am very grateful to the staff of the Special Collections Research Center of the University of Chicago Library for their extensive assistance at all stages of this project. I would like to acknowledge the assistance of the following members of the staff of the Special Collections Research Center: Daniel Meyer, Associate Director and University Archivist; Eileen Ielmini, Head Processing Archivist; Julia Gardner, Reference/Instruction Librarian; David Pavelich, Reference/Instruction Librarian; Christine Colburn, Reader Services Manager; Barbara Gilbert, Reading Room Coordinator; Allyson Stark, Administrative & Reader Services Assistant; and Judith Dartt, Digital Specialist.

Sections of chapter 3 previously appeared in "Ralph Shapey and the Search for a New Concept of Musical Continuity, 1954-1958," published in *Contemporary Music Review* 27, nos.

4/5 (August-October 2008): 451-76. I am grateful to Taylor & Francis for permission to reprint this material.

In addition, I would like to thank the following individuals, institutions and publishers for permission to reproduce music and documents in this study: Elsa Charlston Shapey, for excerpts from Ralph Shapey's *A Dream Within a Dream* for Soprano and Piano, Piano Sonata No. 1, *Fantasy* for Orchestra, Symphony No. 1 and *Five* for Violin and Piano; Catherine Nemiroff, for excerpts from the Isaac Nemiroff Papers, housed at Stony Brook University Library; Ursula Mamlok, for excerpts from the Ursula Mamlok Papers; The New York Public Library, for excerpts from lesson notes of Milton M. Kraus and the transcript of Carol K. Baron's interview with Ralph Shapey, both part of the Wolpe/Baron Archive, Performing Arts Research Collections, New York Public Library; Oral History American Music, Yale University, for excerpts from the transcript of Vivian Perlis's interview with Ralph Shapey; Taylor & Francis, for Fig. 3 in Andrew Mead's article, "How to Be, What to Do: Character and Action in Ralph Shapey's String Quartet No. 6," *Contemporary Music Review* 27, nos. 4/5 (2008): 489-509; *Perspectives of New Music*, for "G's Antecedents (and Some Consequences)," Ex. 4 in Christopher Hasty, "Broken Sequences: Fragmentation, Abundance, Beauty," *Perspectives of New Music* 40, no. 2 (Summer 2002): 155-73; the New York Philharmonic, for a 1956 publicity photo of Dimitri Mitropoulos and Ralph Shapey; Carl Fischer, LLC on behalf of Theodore Presser Company and/or Merion Music Inc., for excerpts from Stefan Wolpe's *Four Studies on Basic Rows*, from thirty-eight works by Ralph Shapey, and from Shapey's pamphlet, *A Basic Course in Music Composition*; Peermusic Classical, for excerpts from Stefan Wolpe's *Battle Piece* for Piano, Quartet for Trumpet, Tenor Saxophone, Percussion and Piano, and *Enactments* for Three Pianos; PFAU-Verlag, for music examples from Stefan Wolpe, *Das Ganze*

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INTRODUCTION

At present a new situation seems to be taking shape in the field of musical composition. Many young and a few older composers are being driven by what appears to be an imperious need to find a new principle of musical structure. . . . Today—as befits an art whose formative dimension is time—the technique of continuity and contrast, of qualities and types of motion, of the formation and development of a musical idea or event, and in general the various kinds of cause and effect patterns that can be suggested in musical flow, occupy the attention of composers more than harmony or other matters, all of which now become simply details in a larger kind of concern.

Elliott Carter (1958)¹

Ralph Shapey (1921-2002) was one of the leading figures in American music for almost half a century, as a composer, as a conductor of contemporary music, and as a teacher. Shapey was a prolific composer, with a catalogue of over 170 works. He was considered one of the finest American conductors of new music in the 1950s and 1960s.² Shapey's music represents a synthesis of two seemingly incompatible schools of compositional thought: the music of the Second Viennese School, characterized by systematic pitch manipulation and by neoclassical and neo-baroque forms, and the music of Edgard Varèse, who emphasized the parameters of timbre and musical space (both pitch space and physical space) within structures noticeable for their use of a "minimum of ordinary dialectic."³ Shapey's deep interest in the music of Schoenberg was mediated through the prism of the musical ideas of his teacher, Stefan Wolpe, who rejected serialism and employed unordered pitch-class sets to present the aggregate in his music.⁴

¹ Elliott Carter, "A Further Step (1958)," in *Elliott Carter: Collected Essays and Lectures, 1937-1995*, ed. by Jonathan W. Bernard (Rochester, NY: University of Rochester Press, 1997), 5-11, especially 5.

² Shapey was labeled the "Toscanini of the coherent far-out" by Martin Bernheimer. See Martin Bernheimer, "Shapey Conducts Evening Concert," *Los Angeles Times*, 8 March 1967: E13.

³ Stefan Wolpe, "On New (And Not-so-New) Music in America," trans. and introduced by Austin Clarkson. *Journal of Music Theory* 28, no. 1 (Spring 1984): 1-45, especially 24.

⁴ Austin Clarkson, "'The Fantasy Can Be Critically Examined': Composition and Theory in the Thought of Stefan Wolpe," in *Music Theory and the Exploration of the Past*, ed. David Bernstein

Wolpe's compositional ideas evolved noticeably under the impact of the music of his friend Varèse during the 1940s and early 1950s.⁵ Wolpe never embraced Varèse's strategy of building musical structures by contrasting pitch stasis and activity, however. His encounter with the music of Varèse led to a more dramatic use of musical space and to the use of more fragmented textures in works like *Enactments* (1953) and *Symphony No. 1* (1956). The introduction of new musical concepts into his compositional vocabulary reinforced the central tenet of his musical thinking: the dramatic and dynamic unfolding of directed motion.

Shapey responded quite differently to the stimulus of Varèse's music. In the late 1950s, he was deeply influenced by Varèse's abandonment of traditional narrative strategies of compositional development, and wrote a series of works in which he tried to assimilate Varèse's ideas. He was fascinated by Varèse's use of stasis and of extreme registral and timbral contrasts. In his own works of this period, Shapey employed registral and timbral contrasts more dramatic than those used by Varèse, and tried to recreate some of the effects produced by Varèse's use of electronic sound in *Déserts* (1954). At the same time, he continued to utilize the procedures of pitch organization that he had learned from Wolpe. In the music that he wrote in the early 1960s, Shapey attempted to synthesize the opposing musical tendencies represented by Wolpe's dynamic narrative processes and Varèse's use of stasis. Shapey's interest in Varèse's music was not confined to the study of his scores. During this period, he frequently conducted Varèse's

and Christopher Hatch (Chicago: University of Chicago Press, 1993), 505-24; Robert Morris, "Some Processes in Stefan Wolpe's Piece In Three Parts," in *On the Music of Stefan Wolpe: Essays and Recollections*, ed. Austin Clarkson (Hillsdale, NY: Pendragon Press, 2003), 263-78; Elliott Antokoletz, *Twentieth Century Music* (Englewood Cliffs, New Jersey: Prentice Hall, 1992), 411-5.

⁵ Austin Clarkson, "Form and Antiform: Stefan Wolpe and the Busoni Legacy," in *Busoni: Facetten eines kosmopolitischen Komponisten*, ed. Albrecht Riethmüller and Hyesu Shin (Stuttgart: Franz Steiner, 2004), 257-74.

music, repeatedly performing *Octandre*, *Intégrales* and *Déserts*.⁶

Shapey's music of the 1950s and 1960s illustrates the impact of Varèse on the post-World War II generation of composers. Many American and European composers of Shapey's generation attempted a comparable synthesis of ideas derived from Schoenberg and Varèse.⁷ The study of Shapey's music, as well as that of his like-minded contemporaries, demonstrates that the music of the Second Viennese School was only one of several major influences on young composers in Europe and America in the years after World War II.

This dissertation is the first to discuss Shapey's compositional development during the first quarter-century of his career. In six chapters and an epilogue, I survey Shapey's early studies with Wolpe, the evolution of his musical ideas, and his efforts to establish his professional reputation, which culminated in his appointment to the faculty of the University of Chicago in 1964. The first chapter deals with Shapey's two periods of study with Wolpe, which were separated by a three-year interruption for military service during World War II. It outlines Wolpe's compositional pedagogy, and explains how Shapey applied his teacher's concepts in his student pieces. Chapter 2 explores Shapey's vacillation during the early 1950s between traditional methods of motivic development and the creation of sound blocks, as well as his attempts to assimilate the influence of Bartók's music. Shapey also worked assiduously to advance his career. His efforts culminated in his 1953-54 trip to Great Britain, France, Germany and Italy, sponsored by the Frank Huntington Beebe Fund.

⁶ "My own opinion – which you already know – that your performance of my music has never even been approached before. Even non-musicians felt the difference. Thank you again for your intimate understanding of the heart of my music and for your precise, detailed, and exuberant execution." Edgard Varèse, letter to Shapey, 4 April 1965. Shapey Papers, Box 4.

⁷ Austin Clarkson, "The Varèse Effect: New York City in the 1950s and 60s," in *Edgard Varèse: Composer, Sound Sculptor, Visionary*, ed. Felix Meyer and Heidi Zimmermann (Woodbridge, Suffolk, UK: The Boydell Press, 2006), 371-81; Raymond Fearn, *Bruno Maderna* (Chur, Switzerland: Harwood Academic Publishers, 1990).

Chapter 3 addresses a major turning point in Shapey's career, his decision, inspired by the music of Varèse, to abandon metamorphic processes of development in favor of static constructions. Shapey realized his new ideas about musical structure in works for large orchestra, emulating Varèse's *Déserts* (1954). He also began to express his new philosophy of composition in private notes.

Chapter 4 examines the ramifications of Shapey's change of musical direction. During the years, 1959-61, Shapey's music became a didactic exposition of his compositional ideas, which he began to discuss in interviews and program notes. Shapey developed the concept of "graven images" that shift in space to create changing relationships. He employed this concept in a series of pieces, most notably, *Evocation I* for Violin, with Percussion and Piano (1959), the first of his works to be recorded.

Chapters 5 and 6 discuss Shapey's synthesis of Wolpe's dynamic narrative processes and Varèse's use of stasis during the early 1960s. Chapter 5 also examines Shapey's notes and handouts for his early 1960s Yale lecture on rhythm, which summarize Messiaen's rhythmic concepts and document Shapey's interest in Messiaen's ideas. The final section of the chapter compares several of Shapey's works from the 1950s and 1960s, showing gestural continuities as Shapey's rhythms became progressively more fluid over the period of a decade. Chapter 6 covers the founding of the Contemporary Chamber Players of the University of Chicago and Shapey's rise to national fame. It also describes how Shapey revisited some of his most characteristic compositional ideas, reframing them in works of larger scope than the pieces he had composed in the previous half-decade. With the *Partita* for Violin Solo (1965), Shapey, in a sense, came full circle, completing a musical journey that had begun with *Etchings* for Solo Violin (1945).

Chapter 7 presents a detailed analysis of movement IV of Shapey's *Incantations* for Soprano and Ten Instruments (1961), illustrating Shapey's use of varied repetition as a continuity device. The dissertation concludes with a comparison of Shapey's compositional pedagogy and that of Stefan Wolpe, showing similarities in their discussion of pitch, rhythm, musical space and counterpoint.

Shapey and the Busoni Legacy

Stefan Wolpe, his friend, Edgard Varèse, and the conductor, Dimitri Mitropoulos, were the three musicians most important to Shapey at the outset of his career. All three men had been members of the circle of the eminent pianist and composer, Ferruccio Busoni (1866-1924), during the early 1920s, either as students or protégés.

Busoni was a revered figure among avant-gardists for his pamphlet, *Sketch of a New Aesthetic of Music*, in which he discussed electronic music and microtones.⁸ He also created a catalogue of 113 modal scales, later expanded to 145.⁹ Wolpe, Varèse and Mitropoulos were not the only members of the post-World War I Busoni circle who lived in New York during the 1940s and 50s. Several other associates of the master lived in New York, including composer Kurt Weill (1900-50), composer-pianist Eduard Steuermann (1892-1964), composer and

⁸ Ferruccio Busoni, *Sketch of a New Aesthetic of Music*, trans. Theodore Baker (New York: G. Schirmer, Inc., 1911). Republished in *Three Classics in the Aesthetic of Music* (New York: Dover Publications, Inc., 1962), 73-102. For a discussion of the *New Aesthetic*, see Anthony Beaumont, *Busoni the Composer* (Bloomington, IN: Indiana University Press, 1985), 89-98.

⁹ Robert M. Mason, "Enumeration of Synthetic Musical Scales by Matrix Algebra and a Catalogue of Busoni Scales," *Journal of Music Theory* 14, no. 1 (Spring 1970): 92-126; Ferruccio Busoni, *Sketch of a New Aesthetic of Music*, in *Three Classics in the Aesthetic of Music*, 92-3; Beaumont, 91.

Columbia professor Otto Luening (1900-96) and violinist Joseph Szigeti (1892-1973).¹⁰ There were many professional interrelationships among these artists. To name just a few: Edgard Varèse lectured at Columbia University in 1948. Mitropoulos performed Busoni's Violin Concerto with Szigeti and the New York Philharmonic in 1941.¹¹ He also gave a concert performance of Busoni's opera, *Arlecchino* (1914-16), with the Philharmonic in 1951,¹² the same year in which he conducted the world premiere of Suite No. 1 from Wolpe's ballet score, *The Man from Midian* (1942), with the Philharmonic.¹³ Steuermann and Mitropoulos participated together in several concerts of the New York section of the International Society of Contemporary Music (hereafter, ISCM) during the 1940s.¹⁴

Wolpe taught his students to admire Schoenberg's music, but to preserve a critical distance with regard to Schoenberg's compositional techniques, as Busoni had urged. Wolpe abandoned the major-minor dichotomy and employed a variety of scale constructions, recalling Busoni's catalogue of 113 scales.¹⁵ Both Wolpe and Varèse emulated Busoni's artistic independence from dominant compositional trends, and were treated as outliers in the musical

¹⁰ Austin Clarkson, "Wolpe, Varèse and the Busoni Effect," *Contemporary Music Review* 27, nos. 2/3 (April-June 2008): 361-81, especially 364.

¹¹ New York Philharmonic, Dimitri Mitropoulos, cond., 28 December 1941. See Noel Straus, "Carnegie Program Devoted to Busoni: Philharmonic, Under Dimitri Mitropoulos, Marks the 75th Anniversary of Birth," *The New York Times*, 29 December 1941: 21.

¹² New York Philharmonic, Dimitri Mitropoulos, cond., 11, 12 and 14 October 1951.

¹³ New York Philharmonic, Dimitri Mitropoulos, cond., 1 and 2 November 1951.

¹⁴ Mitropoulos conducted works by Krenek and Piston, together with Stravinsky's *L'Histoire du soldat*, on 18 and 19 May 1946, at concerts presented by the International Society of Contemporary Music (hereafter, ISCM) in New York. He conducted Berg's Chamber Concerto and repeated Stravinsky's *L'Histoire du soldat* at an ISCM concert on 21 May 1948. On 23 November 1949, he conducted Schoenberg's *Serenade*, op. 24, and *Ode to Napoleon*, op. 41, at an ISCM concert.

¹⁵ Mason, "Enumeration of Synthetic Musical Scales by Matrix Algebra and a Catalogue of Busoni Scales."

community until the conclusion of their careers.¹⁶ Shapey similarly considered himself to be an artistically isolated figure, uncomfortable with academic serialists like Milton Babbitt, neoclassicists like Aaron Copland and composers of aleatory music like John Cage.

Shapey as Man and Artist

For the biographer, there do not seem to be any strong correlations between major events in Shapey's private life and his stylistic evolution. Shapey's vivid artistic inner life took place in a sphere isolated from his personal relationships. According to his second wife, abstract expressionist artist Vera Klement, "Shapey was an artist who neither asked for nor accepted advice, input, suggestions, critiques or any other discussion of his work. He worked alone."¹⁷

Shapey's music was unaffected by the disintegration of his first marriage during the mid-1950s. Similarly, he wrote the *Partita for Violin Solo* (1965) immediately after the death of both his mother and his friend, Edgard Varèse, within a two-week period in the autumn of 1965. His mention of his mother's death in a letter to his former pupil, Ursula Mamlok, is almost flippant.¹⁸ Conversely, Shapey was deeply affected by professional setbacks in 1954 and 1956. His development as a composer can be perceived as a progression from "crisis" to "crisis," sparked by his emotional responses to his professional struggles. All of these crises produced shifts of artistic direction. Consequently, I have focused on Shapey's inner world and his public career in this study. I have deliberately limited my discussion of Shapey's private life, except in instances

¹⁶ Clarkson, "Wolpe, Varèse and the Busoni Effect," 364.

¹⁷ Vera Klement, email to Barry Wiener, 19 July 2006.

¹⁸ "What more can I say, other than I've [been] so very busy that I refused to write to anyone, even my mother, who I buried last Sunday." Ralph Shapey, letter to Ursula Mamlok, 25 October 1965, Ursula Mamlok Papers. By permission of Ursula Mamlok.

for which this information can clarify the chronology of Shapey's career and/or illuminate understanding of his music.

Theoretical Models/Concepts

Shapey's development as a composer can be viewed as a series of conflicts between the concept of an "emancipated" discourse that combines and/or contrasts thematic and textural continuities and discontinuities¹⁹ and conventional academic solutions to the problem of the logical development of musical ideas. Shapey tried to symbolize the contrast between academic concepts of musical structure and freer, more intuitive approaches to the organization of musical ideas in the two movements of *Rituals* for Orchestra (1959). Shapey employed his own version of serialism in the first movement. In the second movement, the saxophone and piano soloists participate in a controlled improvisation. Shapey articulated his ideas in a commentary on the work, relating its musical structures to the religious and social structures of society. While the serial procedures of the first movement represent society's pressure on the individual to conform to social norms, the controlled improvisation of the second movement symbolizes the individual's desire to express his/her personality without restrictions. Shapey's piece thus links his musical choices to protests against the social conformism of American life during the 1950s.

The question of continuity in twentieth-century music has received sustained attention from music theorists in recent years. Jonathan Bernard has discussed Varèse's use of stasis within ordered progressions.²⁰ He has also outlined the intellectual background of Elliott Carter's

¹⁹ Elliott Carter, "A Further Step (1958)," 10. Carter writes about "the search for emancipated discourse."

²⁰ Jonathan W. Bernard, *The Music of Edgard Varèse*, 134-92, especially 183: "The feeling of going onward and outward, on 'a journey into space,' is always present."

concepts of musical time and continuity.²¹ Many scholars have studied Stravinsky's continuity strategies, most recently Gretchen Horlacher, who has shown how Stravinsky subtly intertwines stasis and development.²² Christopher Hasty, Martin Brody and Dora Hanninen have examined Stefan Wolpe's "special continuity,"²³ a subject that Austin Clarkson has explicated in many essays.²⁴ Jonathan Kramer and Jonathan Cross have both surveyed approaches to continuity by twentieth-century composers, with an emphasis on the music of Stravinsky.²⁵

Ralph Shapey's use of stasis has aspects in common with techniques employed by both Varèse and Stravinsky. He gradually formulated his ideas about musical time and motion over the decade between 1950 and 1960. He articulated these concepts most eloquently during the early 1960s, as he was developing his mature style. In his descriptions of his music, Shapey repeatedly spoke of "images existing as a totality from their inception," "permutations occurring only within each self-contained unit," and "imposed discipline by ritualistic reiteration."²⁶

²¹ Jonathan W. Bernard, "Elliott Carter and the Modern Meaning of Time," *The Musical Quarterly* 79, no. 4 (Winter 1995): 644-82.

²² Gretchen G. Horlacher, *Building Blocks: Repetition and Continuity in the Music of Stravinsky* (New York: Oxford University Press, 2011).

²³ Dora A. Hanninen, "Understanding Stefan Wolpe's Musical Forms," *Perspectives of New Music* 40, no. 2 (Summer 2002): 8-66; Christopher Hasty, "Broken Sequences: Fragmentation, Abundance, Beauty," *Perspectives of New Music* 40, no. 2 (Summer 2002): 155-73; Martin Brody, "Wolpe's Inner Beauty (A Response to Christopher Hasty with Three Entries for a Wolpe Lexicon)," *Perspectives of New Music* 40, no. 2 (Summer 2002): 174-82.

²⁴ Austin Clarkson, "'The Fantasy Can Be Critically Examined': Composition and Theory in the Thought of Stefan Wolpe," in *Music Theory and the Exploration of the Past*, ed. David W. Bernstein and Christopher Hatch (Chicago: University of Chicago Press, 1993), 505-24; Clarkson, "Essays in Actionism: Wolpe's Pieces for Three Pianists," *Perspectives of New Music* 40, no. 2 (Summer 2002): 115-33; Clarkson, preface to Stefan Wolpe, *Symphony No. 1 for Large Orchestra* (New York: Peermusic Classical, 2005), iii-viii.

²⁵ Jonathan D. Kramer, *The Time of Music: New Meanings, New Temporalities, New Listening Strategies* (New York: Schirmer Books, 1988); Jonathan Cross, *The Stravinsky Legacy* (Cambridge, UK: Cambridge University Press, 1998).

²⁶ "Remarks by the Composers," program note, concert at The New School for Social Research, New York, 13 May 1962. See chapter 4.

Shapey employs a variety of musical constructions that writers on other twentieth century composers have identified as examples of stasis. In his early works, Shapey sometimes interpolates repetitive figures within an otherwise traditional musical narrative. In his later works, he often repeats brief, clearly characterized ideas within changing configurations, analogous to celestial bodies orbiting within a solar system. Some of these ideas are fixed and unvarying, while others mutate continuously, reflecting conventional developmental procedures. Since the term, “stasis,” has been used to describe a wide variety of musical phenomena by music theorists, I would like to survey some definitions of the term by scholars who have tried to elucidate its meaning.

In his study of the music of Varèse, Jonathan Bernard tries to differentiate different degrees of the suspension of temporal motion in music. At one extreme is simple repetition, which Bernard labels “frozen music.”²⁷ He points out, however, that “[i]n practice, pitch stasis is hardly ever 100 percent pure.”²⁸ Bernard also discusses “partial stasis”²⁹ and “developing stasis”³⁰ in the music of Varèse. He gives, as examples of “partial stasis,” passages “in which some but not all *pitch* elements are held in stasis; they demonstrate, however, that stasis under such conditions is subject to essentially the same constraints and is controlled by the same sort of rhythmic/durational principles that we have seen in more purely static situations.”³¹ In contrast, “developing stasis” lies at the opposite end of the spectrum from “frozen music.” It “would seem at first glance to be a contradiction in terms. But the classification is useful, for it includes situations in which elements introduced initially give rise to others . . . while at least part of the

²⁷ Bernard, *The Music of Edgard Varèse*, 134.

²⁸ Ibid., 140.

²⁹ Ibid., 152.

³⁰ Ibid., 154.

³¹ Ibid., 152.

initial content remains in place throughout.”³²

Jonathan Cross has critiqued Adorno’s discussion of Stravinsky’s use of repetition within a similar context: “There is a problem . . . with Adorno’s (and [Ernst] Bloch’s) understanding of repetition in Stravinsky. Adorno seems to suggest that Stravinsky’s repetitions are absolutely ‘primitive’ and unchanging, whereas there is nearly always a subtle change of context (which amounts to more than the mere ‘impression of progress’).”³³

Jonathan Kramer couches the question of stasis and musical motion in more global terms: “Can stasis in music really be perceived? . . . I am really concerned not with absolute stasis but with stasis relative to context, with sections that appear static because their degree of internal activity is considerably less than the degree of contrast between them.”³⁴

In section III of Shapey’s *Ontogeny* for Orchestra (mm. 52-93, not shown), music that develops through an ordered process can be perceived as “static” relative to the preceding and succeeding episodes, furnishing an illustration for Jonathan Kramer’s suggestion that stasis and motion are often matters determined by the listener’s perception. The conclusion of movement II of Shapey’s Oboe Quartet (1952) can also be perceived as “static” in this sense, due to the use of ostinati in three of the four voices. The pervasiveness of ostinati within the texture sets the passage apart from the preceding measures (see Ex. I.1).

³² Ibid., 154.

³³ Cross, 232.

³⁴ Kramer, 210.

Example I.1 Sound block, in Ralph Shapey, Oboe Quartet (1952), II, mm. 91-6 (cf. Ex. 2.44). © 1954 Theodore Presser Co. Used by permission.

The musical score for Example I.1 consists of two systems of staves. The first system (mm. 91-93) includes staves for Oboe, Violin, Viola, and Cello. The Oboe part begins at measure 91 with a forte (*f*) dynamic, playing a series of sustained notes. The Violin part begins at measure 92 with a fortissimo (*ff*) dynamic, playing a series of sustained notes. The Viola and Cello parts also begin at measure 92 with a forte (*f*) dynamic, playing sustained notes. The second system (mm. 94-96) continues the sound block, with all instruments maintaining their respective dynamics. The score ends at measure 96 with a 'senza sordini' (without mutes) instruction.

Shapey occasionally creates what Bernard would describe as a state of “frozen music” in his compositions. In his works of the early 1950s, Shapey often uses this technique for brief passages that are designed to interrupt the musical narrative, such as mm. 22-5 of the *Sonate* for Cello and Piano (1953-54) (see Ex. I.2).

Example I.2 Sound block, in Ralph Shapey, *Sonate* for Cello and Piano (1953-54), II, mm. 22-5 (cf. Ex. 2.59). © 1954 Theodore Presser Co. Used by permission.

poco a poco cresc.

The musical score is written for piano and cello. It consists of two systems of four measures each. The first system starts with a treble clef and a bass clef, both in 6/8 time. The piano part (treble clef) has a melody of eighth notes, while the cello part (bass clef) has a steady eighth-note accompaniment. The second system continues the pattern, with the piano part featuring some chords and the cello part maintaining the accompaniment. Dynamics range from *f* (forte) to *ff* (fortissimo). The tempo/mood is marked *poco a poco cresc.* (poco a poco crescendo).

In his works of the 1960s, Shapey subtly alters the ordering of repetitive patterns in a manner related to the technique of varied repetition employed by Stravinsky in such compositions as *The Rite of Spring* (1913), *Symphony of Psalms* (1930) and *Symphony in Three Movements* (1945).³⁵ At the same time, he also employs metamorphic processes in his manipulation of motives. Shapey's combination of repetition and development is central to his mature musical language. Ramon Satyendra has pointed to Shapey's music as notable for its reconciliation of "block form, as found in the music of Stravinsky, with moment-to-moment coherence, as found in the music of Schoenberg."³⁶ Paradoxically, Shapey continued to define

³⁵ See the analysis of the last movement of Shapey's *Incantations* for Soprano and Ten Instruments (1961) in chapter 7. Gretchen G. Horlacher discusses Stravinsky's continuity procedures in *Building Blocks: Repetition and Continuity in the Music of Stravinsky*.

³⁶ Ramon Satyendra, "Montage and Block Form in Ralph Shapey's *Seven* for Two Pianos,"

his practice in terms related to his earlier music when he began to employ techniques closer to those of Stravinsky. For the purpose of this study, I define “stasis” in terms of the manner in which Shapey first used it: as insistent repetition that precludes narrative motion.

CHAPTER 1: BEGINNINGS, 1939-49

Studies with Wolpe (I): Apprenticeship, 1939-42

Ralph Shapey: [Wolpe] had a lot of students . . . But the fact is, he really was not a good teacher. In the early days, when he first came to America, he tried. When I first knew him. Because he had to make a new life for himself, so he sort of tried.¹

Elliott Carter: For when he [Wolpe] came here, he was put in the position of having to rationalize his method in order to teach to a certain extent. The same with Schoenberg. They both became rather systematic, partially perhaps to protect themselves from students.²

Ralph Shapey: I've always said Wolpe's my father in music and Schoenberg's my grandfather . . . I say Schoenberg's my grandfather, because many times I will use a row but not in a pedantic way.

Carol K. Baron: And that was true of Wolpe, too.

Shapey: And true of Wolpe . . . it's a free kind of twelve-tone music, if you will.³

Stefan Wolpe and his wife, the Romanian pianist Irma Schoenberg Wolpe, left Jerusalem in November 1938 and arrived in America in December 1938. In the fall of 1939, the Wolpes began to teach part-time at the Queen Street Settlement Music School in Philadelphia. Among his first students was the 18-year-old Ralph Shapey. Shapey was a promising young violinist, a student of Emanuel Zetlin,⁴ and an aspiring conductor. As a teenager, Shapey played the violin in

¹ Carol K. Baron, interview with Ralph Shapey, Chicago, 5-9 July 1975, transcribed by Barry Wiener; ed. Barry Wiener and Carol K. Baron (2009), 63. Wolpe/Baron Archive, Performing Arts Research Collections, New York Public Library.

² Austin Clarkson, interview with Elliott Carter, New York City, 10 December 1982, accessed 15 January 2012, <http://www.wolpe.org/page10/page10.html>.

³ Carol K. Baron, interview with Ralph Shapey, transcript, 147-8. Wolpe/Baron Archive.

⁴ A student of Carl Flesch, Zetlin taught at the Queen Street Settlement Music School from 1928-47. He was associate concertmaster of the Metropolitan Opera from 1944-47, when he became Professor of Violin at the University of Washington, Seattle. See Albert Mell, "Emanuel Zetlin, a Profile," *Journal of the Violin Society of America* 3, no. 3 (Summer 1977): 96-99. One of Shapey's earliest violin teachers was Boris Schwarz, later a distinguished musicologist. See *The Ophicleide* 1, no. 2, (January 1950), 1. *The Ophicleide* was the newsletter of the Contemporary Music School that Wolpe directed in New York from 1948-52. Thanks to Austin Clarkson for providing me with excerpts from this issue of *The Ophicleide*.

the National Youth Administration Symphony Orchestra of Philadelphia, otherwise known as the Philadelphia Youth Orchestra. In addition, he first became “youth conductor,” and later, assistant conductor, of the orchestra.⁵ Shapey conducted Beethoven’s Eighth Symphony and Tchaikovsky’s Fifth Symphony with the NYA Orchestra.⁶

Table 1.1 Ralph Shapey: Chronology, 1939-49

Composition studies with Stefan Wolpe in Philadelphia	Fall 1939–Spring 1942
Assistant conductor, Philadelphia N.Y.A. Orchestra	1940
Sonata in One Movement, violin and piano	Spring 1940
<i>A Dream within a Dream</i> , soprano and piano	1941
Conducts Robin Hood Dell Orchestra	5 August 1942
Military service	July 1942–May 1945
Duo, Op. 20, violin and viola	May 1945
Studies at Juilliard	Summer 1945
<i>Etchings</i> , violin solo	July 1945
Member, Busch Little Symphony	Fall 1945–Winter 1946
Composition studies with Wolpe in New York	Spring 1946–1948
Piano Sonata No. 1; String Quartet No. 1	1946
Prelude, piano (“for Schlo”)	December 1946
Piano Quintet; Violin Concerto fragment	1947
<i>Fog I-III</i> , soprano and piano; String Quartet No. 2	1948
<i>Three Essays on Thomas Wolfe</i> , piano solo	1948–49
Faculty, Contemporary Music School, New York	1948–50

⁵ Shapey was “appointed assistant conductor to Louis Vyner of [the] Philadelphia N.Y.A. Orchestra” in 1940. Ralph Shapey, Guggenheim Fellowship application for 1951, acknowledged 14 October 1950. Accomplishments No. 4, 1. By permission of the John Simon Guggenheim Memorial Foundation.

⁶ When Shapey recounted these events many years later, he could not remember which Tchaikovsky symphony he had conducted, but suggested that it was the Fourth. The generally laudatory concert review in *The Philadelphia Evening Bulletin* (Tuesday, 9 April 1940) specifies that Shapey conducted Tchaikovsky’s *Fifth Symphony* along with Borodin’s *Polovetsian Dances*, Mussorgsky’s *A Night on Bare Mountain* and Rimsky-Korsakov’s *Dance of the Buffoons* from the opera, *The Snow Maiden*. See Ralph Shapey, “Remembrances of My Life in Music,” 5-7, 9. Ralph Shapey Papers, Box 136; J. L. B., “NYA Orchestra,” *The Philadelphia Evening Bulletin*, 9 April 1940: 23; W. S., “NYA Orchestra,” *Philadelphia Evening Public Ledger*, 9 April 1940. Both reviews described Shapey as “talented” and “energetic.”

Shapey's primary focus in his early studies was the violin. Many years later, he described his studies with Emanuel Zetlin:

A lesson with Zetlin was, well, like a recital. You came in, you had to perform a recital, practically. You started off with a Bach solo sonata. I'll just give you an example of what I had to do for Zetlin. Alright. You came in, and you started off with a Bach solo sonata. That's the first thing. Then you probably rip off a concerto. The Sibelius or the Brahms, or something of that sort. . . . Then, after that, you do one of the Wienawski etudes, or something. All from memory, by the way. . . . Finally, you're exhausted; and then he would say, "Would you mind playing the . . . G minor scale in tenths?"⁷

When he met Wolpe, Shapey had little experience as a composer. His earliest preserved composition is a short, tonal work, entitled *Inspiration*, written in 1939, presumably before he began his studies with Wolpe.

When Stefan Wolpe began to teach in America, he was writing in an eclectic style that included tonal, modal and atonal elements. His most important work of this period is the Sonata for Oboe and Piano (1937-38, 1941), which reflects his musical experiences during his stay in Palestine from 1934-38.⁸ In the Sonata, Wolpe elegantly integrated techniques derived from Schoenberg and Bartók with ideas derived from his exploration of the sounds and structures of

⁷ Carol K. Baron, interview with Ralph Shapey, transcript, 90. Wolpe/Baron Archive.

⁸ Wolpe studied Arabic music with the Iraqi-Jewish oud player and composer, Ezra Aharon, and attended lectures by the ethnomusicologist, Robert Lachmann. According to Heidi Zimmermann, Wolpe "profited from [Lachmann]'s introduction to *maqams*." Jehoash Hirshberg has suggested that Wolpe imitated the sound of the oud, Aharon's instrument, in his compositions. See Zimmermann, "Folk Song versus High Modernism: Stefan Wolpe's Song of Songs Settings in the Context of the 'New Palestine'," *Contemporary Music Review* 27, nos. 2/3 (April-June 2008): 271-88, especially 282-3; Jehoash Hirshberg, "A Modernist Composer in an Immigrant Community," in *On the Music of Stefan Wolpe: Essays and Recollections*, ed. Austin Clarkson (Hillsdale, NY: Pendragon Press, 2003), 75-94, especially 84; Stefan Wolpe, "'Die Lieder dieser Völker sind keine Museumsstücke': Vier Vorträge zum Musikleben in Palästina 1938/39" [The Songs of These People Are Not Museum Pieces: Four Lectures about Musical Life in Palestine 1938/39], ed. and introduced by Heidi Zimmermann, in *Stefan Wolpe I, Musik-Konzepte neue Folge*, Heft 150 (July 2010): 19-52.

Arabic music. While writing the piece, Wolpe specifically invoked Bartók's use of techniques derived from folk music as his compositional model.⁹

As a student of Webern, Wolpe educated his students about atonal and serial music.¹⁰ His teaching made it possible for the young Shapey to grasp the significance of Schoenberg's Violin Concerto, which received its premiere in 1940 by violinist Louis Krasner and the Philadelphia Orchestra, conducted by Leopold Stokowski. The performance of Schoenberg's Concerto was a formative event in Shapey's life. In a 1965 interview with Easley Blackwood, Shapey tried to convey the impact of this occasion on his development as a musician:

Blackwood: Were you familiar with other music of this sort at that time?

Shapey: I did not know too much about it. My first experience with Schoenberg, or all I can remember, is that my hair stood on end . . . I was enthralled, and I was completely taken by the magnificence of it—that music for the first time could speak on the level that I heard in my mind. That secret mind of a composer . . . I did not at that time know the whole organization behind it . . . I personally feel they [the intellectualisms] are irrelevant. I was attracted immediately on an emotional level.¹¹

When Shapey recalled his early studies with Wolpe in later years, he emphasized that he thought of himself at the time as a violinist and conductor. He considered his composition studies to be a useful exercise that would make him a better all-around musician.¹² This attitude may account for the paucity of sources in the Shapey Papers concerning Shapey's early studies with

⁹ Stefan Wolpe, "Über gewisse Eigenschaften in Volkslied, ihre Ideologie und die Rolle des Künstlers: Geschrieben für die Litterarische Zeitschrift von Noach Stern in Tel Aviv" (1937-38?) [About Some Properties in Folk Song, Its Ideology and the Role of the Artist: Written for the Literary Magazine of Noah Stern in Tel Aviv]. See Zimmermann, 283.

¹⁰ "However, I guess in essence, with Wolpe, I became more knowledgeable of 12-tone music; although I refused to be bound by pedantic usage." Ralph Shapey, letter to David Ewen, 27 May 1980. Shapey Papers, Box 2.

¹¹ Easley Blackwood and Ralph Shapey, "A Dialog on Modern Music," *Panorama—Chicago Daily News*, 25 September 1965: 4.

¹² "My composition studies with Wolpe were up to that moment for me, to be a 'better conductor, I must know something about composing.' In other words, it was more or less a side issue." Shapey, "Remembrances of My Life in Music," 8.

Wolpe. Several of Wolpe's lectures from the early 1940s have been preserved, however.¹³ Wolpe concludes his 1940 lecture, "Die Modulation als Prozess" [hereafter "Modulation as Process"], with a discussion of non-tertian chordal structures. He provides examples of the systematic use of intervals to build chords, beginning with seconds and concluding with sevenths (see Ex. 1.1).¹⁴

Example 1.1 Chords based on the systematic use of intervals, in Stefan Wolpe, "Modulation as Process," Ex. 17. Note that Wolpe limits the example to the white keys of the piano, without distinguishing between major, minor, diminished and augmented intervals. I have corrected pitches in mm. 4, 5 and 6 of the example that I believe to be misprints. In m. 4, D6 has been changed to F6, and A6 has been changed to C7. In m. 5, G6 has been changed to E6. In m. 6, A7 has been changed to F7. Stefan Wolpe, *Das Ganze überdenken*, ed. Thomas Phleps (Saarbrücken: PFAU-Verlag, 2002), 56. © 2002 by Paul Sacher Stiftung, Basel, und PFAU-Verlag, Saarbrücken. Alle Rechte vorbehalten. By permission of the Stefan Wolpe Society, Inc.

¹³ Stefan Wolpe, "Zur Organisation des musikalischen Materials [On the Organization of Musical Material] (Philadelphia 1940)," in Wolpe, *Das Ganze ist überall: Vorträge über Musik 1940-1962*, ed. Thomas Phleps (Saarbrücken: PFAU-Verlag, 2011), 13-22; Stefan Wolpe, "Die Modulation als Prozess (Philadelphia 1940)," in Wolpe, *Das Ganze überdenken: Vorträge über Musik 1935-1962*, ed. Thomas Phleps (Saarbrücken: PFAU-Verlag, 2002), 42-57; Austin Clarkson, "Ralph Shapey's Apprenticeship with Stefan Wolpe," *Contemporary Music Review* 27, nos. 4/5 (August-October 2008): 389-405, especially 404, note 2. See also Stefan Wolpe, "What is Jewish Music?" (1940), with an introduction by Austin Clarkson, *Contemporary Music Review* 27, nos. 2/3 (April-June 2008): 179-92.

¹⁴ Wolpe, "Modulation as Process," 55-7. Although the lecture was presented in English at the Settlement Music School in Philadelphia on 4 April 1940, only the original German text is extant.

Wolpe had written several works in the 1930s in which he used intervals systematically, most notably the *Passacaglia*, fourth of the *Four Studies on Basic Rows*, op. 23 (1935-36) (see Ex. 1.2).¹⁵

Example 1.2 Series of expanding pitch intervals from 1-11, in Stefan Wolpe, *Four Studies on Basic Rows* for Piano, op. 23 (1935-36), IV: *Passacaglia*, mm. 1-8. © 1974 Merion Music. Used by permission.

The musical score is for the first 11 measures of the *Passacaglia*. It is written for piano in 3/4 time, with a tempo marking of *Sostenuto* (♩ = 69). The score is divided into two systems. The first system contains measures 1 through 6, and the second system contains measures 5 through 11. Above the first system, measures 1 through 6 are bracketed and numbered 1 through 6. Above the second system, measures 5 through 11 are bracketed and numbered 5 through 11. The notation includes piano (p), piano-piano (pp), and mezzo-forte (mf) dynamics, as well as articulation like *legato* and *ma dolce*. The key signature has one flat (B-flat).

In “Modulation as Process,” Wolpe also provides an example of the spatial rearrangement of a chord to create a new chord with the same pc content (see Ex. 1.3).

¹⁵ See Patricia Morehead, “Contracting Sets – Expanding Tropes: A Discussion of Wolpe’s *Passacaglia* for Piano,” *Sonus* 15, no. 2 (1995): 80-112.

Example 1.3 Spatial rearrangement of a chord, in Stefan Wolpe, “Modulation as Process,” first two chords of Ex. 18b. I have corrected one pitch in the example that I believe to be a misprint. In m. 1, Gb7 has been changed to Bb7. Stefan Wolpe, *Das Ganze überdenken*, ed. Thomas Phleps (Saarbrücken: PFAU-Verlag, 2002), 56. © 2002 by Paul Sacher Stiftung, Basel, und PFAU-Verlag, Saarbrücken. Alle Rechte vorbehalten. By permission of the Stefan Wolpe Society, Inc.

In addition, Wolpe demonstrates how to move fluidly between diatonicism and chromaticism. The first musical example of the lecture presents a nine-measure harmonic progression, beginning with diatonic tonality and progressing through diatonic modulation. In the concluding measures, tonally unstable chromaticism leads to atonality (see Ex. 1.4).¹⁶ Wolpe’s example illustrates his dictum that “tonality and atonality . . . belong to a continuous spectrum of resources.”¹⁷

Thus the note is qualified by the interval, the interval by the chord, the chord by the key [tonality], the key by the modulation, the modulation by the continuous circulation of the keys [chromatic tonalities],¹⁸ – the chromatic tonality by the change

¹⁶ Wolpe, “Modulation as Process,” Ex. 1, 43.

¹⁷ Clarkson, “Ralph Shapey’s Apprenticeship,” 391.

¹⁸ Compare Peter Jona Korn’s description of his study of harmony with Wolpe at the Palestine Conservatoire in 1937-38: “I went through harmony with him quite thoroughly, very unacademically. He went step by step by first doing things quickly. Triads, then seventh chords, then adding diatonic modulation, then adding chromatic modulation.” Austin Clarkson, interview with Peter Jona Korn, Munich, Germany, 7 May 1985, accessed 15 January 2012, <http://www.wolpe.org/page10/page10.html>.

of chord structure, and the changed chord structure is qualified by atonality.¹⁹
[My translation]

Example 1.4 Harmonic motion from diatonicism to atonality, in Stefan Wolpe, “Modulation as Process,” Ex. 1. Wolpe, *Das Ganze überdenken*, ed. Thomas Phleps (Saarbrücken: PFAU-Verlag, 2002), 43. © 2002 by Paul Sacher Stiftung, Basel, und PFAU-Verlag, Saarbrücken. Alle Rechte vorbehalten. By permission of the Stefan Wolpe Society, Inc.

The image displays three systems of musical notation for piano, illustrating the progression from diatonicism to atonality. The first system includes annotations: 'tone' above a single note, 'interval' above a pair of notes, 'accord' above a chord, and 'tonality' above a sequence of chords. The second system is annotated with 'modulation' above a series of chords and 'enlarged modulation plus activated degrees' above a more complex chordal structure. The third system is annotated with 'changed chord structure' above a series of chords and 'atonality' above a final, more complex chordal structure. The notation includes treble and bass staves with various musical symbols such as notes, rests, and dynamic markings like *p* and *mf*.

¹⁹ “Also der Ton qualifiziert sich im Intervall, das Intervall im Akkord, der Akkord in der Tonalität, die Tonalität in der Modulation, die Modulation in der permanenten Zirkulation der chromatischen Tonalitäten, – die chromatischen Tonalität in der Veränderung der akkordischen Struktur, und die veränderte akkordische Struktur qualifiziert sich in der Atonalität.” Wolpe, “Modulation as Process,” 42.

The Pre-War Student Works

Shapey's first significant compositional project for Wolpe, Sonata in One Movement: *Sonate de l'amour* [*sic*]²⁰ for Violin and Piano, is a stylistically heterogeneous, monothematic work. Its harmonic organization echoes Wolpe's first example in "Modulation as Process" (see Ex. 1.4). Shapey premiered the Sonata, accompanied by Irma Wolpe, at a May 1940 concert of music by Wolpe's composition students.²¹ Shapey used French in the title and at the head of the score²² despite a poor command of the language. This choice may reflect his orientation, as an active violinist, towards the virtuoso violin literature.²³

On the title page, Shapey noted, "Stefan made some changes (inserted sheets his handwriting)." Shapey reinforced the concept that the Sonata was in some sense a collaborative project by writing beneath the title, "1st work, written under/with teacher, Stefan Wolpe." There is no evidence that Wolpe altered Shapey's music, but he carefully annotated the structure of the Sonata, inserting German terms into the score to elucidate its form, including "Einleitung [introduction]/Thema I" at the beginning, "Durchführung Teil" [development], "Hauptteil"

²⁰ The Sonata in One Movement is unpublished. The score is included in the Shapey Papers, Box 22. The additional title, *Sonate de l'amour*, seems to have been an afterthought on Shapey's part. He added it below the original title, *Sonate* in One Movement, on the title page, and also inserted a second title page with the new title, but without the original title. At the top of the first page of the score, Shapey wrote, "Sonata in one movement."

²¹ Concert program of "Class Demonstration of Original Work by Pupils of Stefan Wolpe and Piano Pupils of Irma Wolpe," Settlement Music School, Philadelphia, 28 May 1940. Information provided by Austin Clarkson in an email to the author, 30 July 2007. The program states that the first movement of Shapey's Violin Sonata was performed. Since the Sonata has only one movement, I suggest that the entire work was played. The program also included Shapey's two-piano arrangement of a Prelude by Scriabin as well as a Prelude for Piano by Shapey. Neither work has been preserved. On the concert, see Clarkson, "Ralph Shapey's Apprenticeship," 392.

²² Shapey mixes French and Italian terms. At the head of the score, he gives the tempo indication, "Moderato con moto agitato-très rythmic" [*sic*].

²³ Austin Clarkson suggests that Shapey's use of French for the title of the Sonata reflects the influence of Scriabin, whose unnamed piano prelude Shapey had arranged for two pianos. See Clarkson, "Ralph Shapey's Apprenticeship," 392.

[principal part] (m. 35) and “Überleitung [bridge passage] 2 Thema” (m. 49).²⁴ While Wolpe attempted to outline the thematic structure of the Sonata (introduction, first theme, etc.), the most important structural element of the music is its “modulation” between different harmonic “fields,” modal, tonal and chromatic. Austin Clarkson describes the first section as contrasting between the opening whole-tone theme (mm. 5-17) (see Ex. 1.5) and a subsidiary theme in “F# minor” (mm. 10-12),²⁵ but the F natural in m. 11 seems to define the subsidiary theme as octatonic rather than diatonic. True diatonicism is not introduced until the passage that Wolpe labels as a “Nebengedanke” (Parenthesis) [Subsidiary Idea/Parenthesis] (mm. 30-4) that leads to Wolpe’s “Hauptteil” (mm. 35-48). Measures 30-48 are highly dramatic music, set firmly in B major and written in a full-blooded, Germanic late Romantic style. Indeed, the transition between different harmonic “modes” is handled more smoothly in the Sonata than the transition between the multiple historic styles within the work (German Romanticism, Scriabin), each of which is associated with one of those harmonic modes.

²⁴ For a discussion of Wolpe’s annotation of the manuscript of Shapey’s piece, see Clarkson, “Ralph Shapey’s Apprenticeship,” 392.

²⁵ Ibid.

Example 1.5 Opening whole-tone theme, in Ralph Shapey, *Sonata in One Movement* for Violin and Piano (1940), mm. 8-9. Shapey Papers, Box 22. By permission of the Special Collections Research Center, University of Chicago Library.

The musical score for Example 1.5 shows measures 8 and 9 of the opening whole-tone theme. The violin part (top staff) begins with a whole-tone scale in G major (F#-G-A-B-C-D-E-F#), marked with a forte (f) dynamic. The piano accompaniment (bottom staves) consists of chords and arpeggios, with dynamics ranging from f to mf. The key signature has one sharp (F#), and the time signature is 2/4.

The formal organization of the *Sonata in One Movement* is based on a procedure employed by Bartók: the presentation of diatonic and chromatic forms of a theme within the same work.²⁶ Shapey presents a single theme in multiple guises. The Sonata begins with a whole-tone “introduction” (mm. 1-16) that presents the principal theme. This leads to a chromatic transition (mm. 17-28). After a brief, preparatory passage in B major (mm. 29-34), Shapey presents the originally modal principal theme in a tonal guise that is similar in contour to its original shape (mm. 35-48). This episode presents an expansion of the opening ideas of the work.

Measures 49-98 serve as the development section of the Sonata. In the manuscript, Wolpe copied out mm. 50-94, apparently editing the music as well, as Shapey noted on the title page. In his annotations to the score, Wolpe mislabeled the beginning of the section as the

²⁶ Béla Bartók, “Harvard Lectures,” in *Béla Bartók Essays*, ed. Benjamin Suchoff (Lincoln, NE: University of Nebraska Press, 1976), 354-92, especially 381.

introduction of the second theme of the sonata form (mm. 49, 57). Shapey does not introduce a new theme, but transforms the original themes, presenting them in chromatic versions (see Ex. 1.6). The key signature of the preceding tonal passage is abandoned in m. 49. The development section is tonally unstable, but includes some modal and tonal references. In the brief recapitulation (mm. 103-14), the music returns to the original version of the main theme and the whole-tone field of the beginning of the Sonata. The piece ends with a recall of the opening chords (mm. 113-4). The Sonata can thus be perceived to “modulate” from whole-tone to major to chromatic back to whole-tone harmony.

Examples 1.6a-g Chromatic versions of whole-tone and tonal themes, in Ralph Shapey, Sonata in One Movement for Violin and Piano (1940). Shapey Papers, Box 22. By permission of the Special Collections Research Center, University of Chicago Library.

1.6a Opening whole-tone theme, m. 13.

1.6b Chromatic version of Ex. 1.6a in the development, m. 50.

1.6c Transitional tonal theme in the exposition, m. 30.

1.6d Chromatic version of Ex. 1.6c at the beginning of the development, m. 49.

1.6e Second chromatic version of Ex. 1.6c in the development, m. 54.

1.6f Diatonic transitional theme in the exposition, m. 20. Shapey provides this theme with a dissonant accompaniment.

1.6g Chromatic version of Ex. 1.6f in the development that begins with identical pitches, m. 53.

A Dream Within a Dream for Soprano and Piano (1941)²⁷ represents the culmination of Shapey's prewar studies with Wolpe. The song is based on Edgar Allan Poe's eponymous poem (1849). As in the Sonata, Shapey moves fluidly between modality and chromaticism. He systematically presents the aggregate in *Dream*, generating structural motion within a piece by controlling the speed of circulation of the chromatic collection.²⁸

²⁷ *A Dream Within A Dream* is unpublished. The score is included in the Shapey Papers, Box 169.

²⁸ Clarkson, "Ralph Shapey's Apprenticeship," 395.

Wolpe did not discuss manipulation of the speed of aggregate presentation in his extant pre-War lectures. He later labeled this concept, the “tempo of chromatic circulation.”²⁹ In his Darmstadt lecture, “On New (And Not-so-New) Music in America” (1956), Wolpe wrote,

Those who work with tone rows within the total chromatic are becoming impatient with the limitations of such restrictions and are discovering innumerable procedures for delaying and altering the tempo of circulation.³⁰

In “Thinking Twice” (1960), Wolpe discussed the concept of “tempo of circulation” in greater detail. He employed the phrase, “modulatory circulation,” using analogy to relate the “tempo of chromatic circulation” to modulation:

The *tempo of structural transformation* should be of influence on the *tempo of chromatic circulation*.³¹

Every pitch constellation smaller than the all-chromatic circuit is either a delay in completing the whole, or is an autonomous fragment which can exist outside of the total circuit. It may be first unhinged as a part of the total circuit. . . . [T]he *modified* speed of the all-chromatic circuit points to a concept of modulatory circulation, to an increase or decrease of pitch quantities.³²

In his 1940 lecture, “What is Jewish Music,” Wolpe had used the term, “modulation,” in a similar sense when he described the modification of a pentatonic collection by adding chromatic pcs.³³

Wolpe’s use of the term, “modulatory circulation,” to describe the process of chromatic circulation in “Thinking Twice” can be related to his discussion of modulation in “Modulation as

²⁹ Stefan Wolpe, “Thinking Twice” (1960), in Wolpe, *Das Ganze überdenken*, ed. Thomas Phleps (Saarbrücken: PFAU-Verlag, 2002), 167-97, especially 168.

³⁰ Stefan Wolpe, “On New (And Not-so-New) Music in America” (1956), trans. and introduced by Austin Clarkson, *Journal of Music Theory* 28, no. 1 (Spring 1984): 1-45, especially 7.

³¹ Stefan Wolpe, “Thinking Twice,” 168-70.

³² *Ibid.*, 177; quoted in Elliott Antokoletz, *Twentieth-Century Music* (Englewood Cliffs, NJ: Prentice Hall, 1992), 412.

³³ “Pentatonic structures modulate to pentatonic structures whose fourths are changed.” See Stefan Wolpe, “What is Jewish Music?,” preface by Austin Clarkson, *Contemporary Music Review* 27, nos. 2/3 (April/June 2008): 179-92, especially 187-8.

Process.” The concept of “chromatic circulation” served as an extension of Wolpe’s description of motion between the tonal and chromatic realms in “Modulation as Process,” which Shapey applied in composing his *Sonata in One Movement for Violin and Piano* (1940).

Austin Clarkson has evaluated the pitch-set patterns of *A Dream within a Dream*, taking special note of Shapey’s use of sets with and without thirds to organize the music. Clarkson also points out Shapey’s use of the whole-tone, octatonic and chromatic collections.³⁴ Shapey’s discourse is based on the pervasive use of chains of tritones (ic6), both within a single line, and linked between treble and bass. Shapey presents five tritone pairs in the first two measures: D4–Ab4, Db4–G4, Eb5–A4, F4–B3 and E5–Bb4. The two pcs of the aggregate omitted in mm. 1-3 are the final tritone pair, C–Gb. The chords of measure 4 are a verticalization of the pcs presented melodically in mm. 1-2, with the addition of C4. The final pc of the aggregate, Gb4, is introduced separately on the fourth sixteenth note of the final beat of m. 4 (see Ex. 1.7). In addition to the pervasive tritone relationships within the music, the E in m. 1 creates third relationships with G and Db that are exploited by Shapey as *A Dream Within a Dream* unfolds.

³⁴ Ibid., 395.

Example 1.7 Chains of tritones (ic6) (in brackets), in Ralph Shapey, *A Dream Within a Dream* for Soprano and Piano (1941), mm. 1-7. © 1945 Ralph Shapey. By permission of Elsa Charlston Shapey.

Andante espressivo

The musical score is presented in three systems, each with a vocal line (Soprano) and a piano accompaniment (Piano). The tempo is marked **Andante espressivo**.

System 1 (mm. 1-3): The piano introduction begins in 4/4 time. The right hand starts with a mezzo-forte (*mf*) dynamic, playing a series of notes that form a chain of tritones (ic6). The left hand enters with a forte (*f*) dynamic, also playing a chain of tritones. The key signature changes to three flats (B-flat major/D-flat minor) in the third measure.

System 2 (mm. 4-6): The piano accompaniment continues with a fortissimo (*ff*) dynamic in the right hand and a piano (*p*) dynamic in the left hand. A pedal marking (*Ped.*) is indicated. A tritone is marked with an asterisk (*). The key signature changes back to 4/4 time in the sixth measure.

System 3 (m. 7): The piano accompaniment continues with a piano (*p*) dynamic. A tritone is marked with an asterisk (*). The key signature changes to 4/4 time in the seventh measure. The score includes various musical notations such as tritones in brackets, slurs, and dynamic markings.

Shapey's use of chains of tritones to present the aggregate is reminiscent of Wolpe's *Study on Tritones* (1936), the first of the *Four Studies on Basic Rows* (see Ex. 1.8).

Example 1.8 Chains of tritones (ic6), in Stefan Wolpe, *Four Studies on Basic Rows* for Piano, op. 23 (1935-36), I: *Study on Tritones*, mm. 1-4 (cf. Ex. 1.7). © 1974 Merion Music. Used by permission.

In Shapey's piece, the pcs of the tritone pair, C–Gb, are linked, first vertically, then horizontally, in mm. 5-7 (see Ex. 1.7). The opening D–Ab tritone has a central position within the arpeggios of mm. 4 and 7, and is stated melodically in m. 9 near the very bottom of Shapey's registral compass (D2–Ab1) (see Ex. 1.9).

Example 1.9 Chains of tritones (ic6), in Ralph Shapey, *A Dream Within a Dream* for Soprano and Piano (1941), mm. 8-11. © 1945 Ralph Shapey. By permission of Elsa Charlston Shapey.

The opening section of the piece comes to a close with the presentation of five consecutive tritone pairs in the vocal part: Ab⁴–D⁴, Db⁴–G⁴, Gb⁴–C⁵, B⁴–F⁵ and E⁵–Bb⁴ (see Ex. 1.10).

Example 1.10 Chains of tritones (ic₆), in Ralph Shapey, *A Dream Within a Dream* for Soprano and Piano (1941), mm. 12-5. © 1945 Ralph Shapey. By permission of Elsa Charlston Shapey.

The musical score for Example 1.10 consists of two systems of music. The first system covers measures 12 to 14, and the second system covers measures 15 to 17. The vocal part is written in a soprano clef, and the piano part is written in a grand staff (treble and bass clefs). The time signature is 2/4. The key signature has one flat (B-flat). The tempo is marked 'rubato'. The dynamics are marked 'ff' (fortissimo) and 'mp' (mezzo-piano). The lyrics are: 'take this kiss u - - - pon the brow' and 'and in par - ting from you now thus much let me a - vow'. The piano part features a chain of tritones in the bass line, which is highlighted by a bracket and a 'p' (piano) dynamic marking.

In accordance with Wolpe's technique of "chromatic circulation," the omitted tritone, Eb–A, is given a prominent role in the following phrase (mm. 18-20) (not shown).

Shapey gives other ics prominence in *Dream* as well. He employs the ic₂ dyad, Ab–Bb, as a recurring figure throughout the work, within melodic contexts (mm. 3 and 7, piano; m. 33, soprano), as a drum-roll flourish (mm. 16-8) and as a turn figure (m. 29). In addition to his use of

ic2, Shapey frequently makes use of melodic fourths (ic5) as the piece progresses, often in conjunction with harsh chordal dissonances.

In mm. 40-1, Shapey creates a harmonic configuration in which elements of the whole-tone and octatonic scales intersect (see Ex. 1.11). The vocal line embodies the octatonic segment, E5–F#5–G5–A5–Bb5–C6. Shapey's inclusion of the pc, Ab, in m. 41 suggests that the soprano and piano parts combine to present the whole-tone segment, E5–F#5–Ab3–Bb2/Bb5–C6.

Example 1.11 Intersection of whole-tone and octatonic segments, in Ralph Shapey, *A Dream Within a Dream* for Soprano and Piano (1941), mm. 40-1. © 1945 Ralph Shapey. By permission of Elsa Charlston Shapey.

The musical score for Example 1.11 consists of three staves: a vocal line (Soprano) and two piano staves (Right and Left Hand). The key signature is one flat (Bb), and the time signature is 3/4. The piece begins in measure 40, marked with a forte (f) dynamic. The vocal line starts with a whole note G5, followed by a half note F#5, and then a half note E5. The piano accompaniment features a sustained octatonic chord in the right hand, with notes G5, A5, Bb5, and C6. The left hand plays a whole note E5. The dynamic changes to fortissimo (ff) in measure 41. The vocal line continues with a half note D6, a half note C6, and a half note Bb5. The piano accompaniment remains sustained. The score ends in measure 42 with a final whole note G5 in the vocal line and a sustained octatonic chord in the piano.

Shapey uses the text of the song as a structural tool. The sustained octatonic chord first presented by the piano in m. 8 is repeated in mm. 27 and 45, both times in conjunction with the same vocal line, set to the text, “a dream within a dream.” This parallelism is extended at the conclusion of the piece by the repetition of the music of mm. 9-11 in mm. 46-8 (see Ex. 1.9). *A Dream Within a Dream* is a significant landmark in Shapey's development as a composer, the first piece in which he controls the speed of circulation of the aggregate and systematically uses specific intervals as structural elements.

Interlude: Military Service and the Return to Civilian Life, 1942-46

In mid-1942, Shapey was drafted into the United States Army. Shortly before his induction, he won a contest for young performers, the “Philadelphia Finds” Competition,³⁵ and, as part of the prize, was invited to conduct the Robin Hood Dell Orchestra at one of its open-air summer park concerts.³⁶ Although Shapey was unable to obtain a delay of his induction notice, he obtained a special furlough to fulfill his engagement through the intercession of Fredric Mann, chairman of the “Philadelphia Finds” committee.³⁷ His performance on 5 August 1942 of Debussy’s *Fêtes* was the climax of his pre-War studies, a triumph that garnered national attention. It was reviewed by all of the Philadelphia newspapers and covered by major news services, which disseminated the story around the country. *The New York Times* printed a short Associated Press article, while *The New York Daily News* reproduced a photo of the event, accompanied by a caption that described Shapey as “giv[ing] with plenty of the Toscanini technique” as he conducted the orchestra at Robin Hood Dell (see Fig. 1.1).³⁸

³⁵ The “Philadelphia Finds” Competition was a yearly contest for young conductors and instrumentalists. The winners were invited to perform with the Robin Hood Dell Orchestra.

³⁶ The Robin Hood Dell Orchestra was established in 1930 to provide summer employment for the musicians of the Philadelphia Orchestra. Most, but not all, of its members were also regular members of the Philadelphia Orchestra. On the history of the Robin Hood Dell concerts, see Richard E. Rodda, “Celebrating 75 Years of Music in the Park: 75th Anniversary of the Incorporation of the Robin Hood Dell Concerts, Predecessor of The Mann Center for the Performing Arts,” accessed 24 November 2013, <http://manncenter.org/about/75-year-of-music-in-the-park/rodda>.

³⁷ “Army Relaxes Rules to Let Soldier Conduct Concert at Dell Friday,” *Philadelphia Record*, 29 July 1942: 7. The concert was originally scheduled for Friday, 31 July, but it was postponed due to rain. Shapey was granted an extension of his furlough, so that he could perform at the rescheduled concert on 5 August 1942. See “Szell Conducts Czech Concert,” *The Philadelphia Evening Bulletin*, 5 August 1942: 12.

³⁸ S. L. S. [Samuel L. Singer], “Three ‘Finds’ Featured at Dell Concert,” *The Philadelphia Inquirer*, 6 August 1942: 12. H. P. [Henry Pleasants], “‘Finds’ Program at the Dell,” *Philadelphia Evening Bulletin*, 6 August 1942: 24; Associated Press, “Army Private Conducts,” *The New York Times*, 6 August 1942: 22; “Khaki Notes,” *New York Daily News*, 23 August 1942 [photos section]: 13.

Figure 1.1 Ralph Shapey conducts the Robin Hood Dell Symphony Orchestra, 5 August 1942. By permission of the Special Collections Research Center, University of Chicago Library.

Shapey was unable to devote serious attention to composition during his three years of stateside military service, from 1942-45. During his years in the military, he wrote many brief tonal pieces³⁹ that did not fully reflect the knowledge that he had acquired as a student of

³⁹ Shapey wrote pieces for solo piano, solo violin, violin and piano, clarinet and piano, and saxophone and piano. Copies of these pieces are included in the Shapey Papers, Boxes 20 and 22.

Wolpe.⁴⁰ He seems to have written these pieces, variously entitled, “Intermezzi,” “Burlesque,” “Melodie,” “Recitative,” “Waltz in Common Time,” “Improvisation,” etc., for his own amusement.⁴¹ In the spring of 1945, he recopied and copyrighted *Dream* along with at least a dozen other early compositions, including some of the pieces that he had written during his military service.⁴² Shapey was discharged from the Army in mid-May 1945.⁴³ He quickly completed a work far more substantial than anything that he had written while in the military: the Duo for Violin and Viola, op. 20, dated 28 May 1945.⁴⁴ The three-movement Duo served as an exercise for the out-of-practice composer (see Ex. 1.12). On the title page of the manuscript, the unknown Shapey optimistically dedicated the work to two eminent virtuosi, violinist Jascha Heifetz and violist William Primrose.

⁴⁰ For example, the Preludes, op. 5, for piano (1943) variously emulate Debussy, Scriabin and Chopin.

⁴¹ Deborah Strauss: “So when you were in the Army, you did compose a little bit.” Ralph Shapey: “Yes, whenever I could, when I could sneak away from the rest of them. Of course I did. I had to. Otherwise, I would have gone insane. My sanity would have gone.” Deborah Strauss, interview with Ralph Shapey, Chicago, 29 April 1997, transcript, 56. Oral History American Music, Yale University. Deborah Strauss holds B.A. and M.A. degrees from the University of Chicago. She works in Chicago in the field of nonprofit management.

⁴² He also copyrighted *Andante sostenuto* for Piano, op. 4; *Appassionata* for Piano, op. 13; *Burlesque* for Violin and Piano, op. 7; *Intermezzi* for Piano, op. 6; *Melodie* for Violin and Piano, op. 8; *Meditation* for Violin and Piano, op. 9; *Petite romance* for Piano, op. 18; *Prayer* for Violin and Piano, op. 15; Preludes for Piano, Book I, op. 5; Preludes for Piano, Book II, op. 19; *Recitative* for Violin, op. 10 and *Waltz in C* for Piano, op. 11. See Copyright Office, The Library of Congress, *Catalog of Copyright Entries, Part 3: Musical Compositions, 1945*, New Series, vol. 40, no. 10 (Washington, D.C.: Copyright Office, The Library of Congress, 1945).

⁴³ Military discharge document. Shapey Papers, Box 143.

⁴⁴ The Duo for Violin and Viola, op. 20, is unpublished. A copy of the score is included in the Shapey Papers, Box 22.

Example 1.12 Opening measures, in Ralph Shapey, Duo for Violin and Viola, op. 20 (1945), I, mm. 1-6. Shapey Papers, Box 22. By permission of the Special Collections Research Center, University of Chicago Library.

Allegro con moto

The musical score shows the opening measures of a Duo for Violin and Viola. The Violin part is written on a single staff with a treble clef, and the Viola part is on a single staff with an alto clef. The tempo is 'Allegro con moto'. The Violin part begins with a piano (p) dynamic, followed by mezzo-forte (mf), and then forte (f). The Viola part begins with mezzo-forte (mf), followed by accentuated forte (>f), then piano (p), and mezzo-forte (mf). The score includes various musical notations such as notes, rests, and dynamic markings.

Shapey did not immediately resume his studies in composition with Wolpe after his discharge from the army. During the summer of 1945, he studied violin with Louis Persinger and conducting with Fritz Mahler at Juilliard. At the conclusion of the summer session, Mahler wrote Shapey a letter of recommendation to Dmitri Mitropoulos that shows an appreciation of the younger man's talents: "Mr. Shapey has a fine feeling for music and a genuine talent for conducting. He is very alert and a quick student. His knowledge of scores while not exhaustive is considerable and he is able to absorb a score in short time."⁴⁵

Shapey wrote *Etchings* for Solo Violin, op. 21,⁴⁶ in July 1945 while studying at Juilliard with Persinger, and dedicated the piece to his teacher. *Etchings* is a monothematic work, divided into five sections. Sections I, II and V are dramatic and virtuosic, while section IV provides lyrical contrast. Section III, a march, has emphatic dotted rhythms, which Shapey also employs in sections I and V.⁴⁷ Shapey's use of dotted rhythms later became a trademark compositional device, which he employed again and again over a period of many decades.

⁴⁵ Fritz Mahler, letter to Dimitri Mitropoulos, 26 July 1945. Shapey Papers, Box 93. There is no evidence that Shapey met Mitropoulos at this time.

⁴⁶ *Etchings* is unpublished. A copy of the score is included in the Shapey Papers, Box 22.

⁴⁷ Shapey inserts measures in 2/4 and 3/4 in sections III and V to vary the rhythm.

While *Etchings* can be considered a set of variations, the sections are arranged so as to echo the movements of a multi-movement sonata as well. Section II has a scherzo-like quality, section IV that of a lyrical slow movement. The grand gestures of the concluding section evoke a late nineteenth-century sonata finale. The music is developed by repetition and elaboration of the melody, which is periodically repeated in its original form.

Shapey employs tonally referential materials in a non-functional manner in *Etchings*. He repeatedly emphasizes the pc, D, but does not use a key signature. Shapey's use of the aggregate in *Etchings* is related to his use of intervallic symmetry around an axis, a central tenet of Wolpe's pedagogy. In "Modulation as Process," Wolpe presents a chord with multiple intervallic symmetries, describing it as a "new alloy."⁴⁸ The chord includes both i9 symmetry around the axial pitch, F#3 (A2–F#3–Eb4), and i11 symmetry around the axial pitch, A4 (Bb3–A4–G#5) (see Ex. 1.13).

Example 1.13 Chord with multiple intervallic symmetries, in Stefan Wolpe, "Modulation as Process," Ex. 18a. Stefan Wolpe, *Das Ganze überdenken*, ed. Thomas Phleps (Saarbrücken: PFAU-Verlag, 2002), 56. © 2002 by Paul Sacher Stiftung, Basel, und PFAU-Verlag, Saarbrücken. Alle Rechte vorbehalten. By permission of the Stefan Wolpe Society, Inc.

See Miranda Cuckson, "Ralph Shapey's Dotted Rhythms," accessed 22 December 2013, <http://www.mirandacuckson.com/2013/06/15/ralph-shapeys-dotted-rhythms/>.

⁴⁸ See Wolpe, *Das Ganze überdenken*, 55.

In *Etchings*, Shapey creates a network of intervallic symmetries analogous to those in Ex. 1.13. Shapey employs intervallic symmetry both within a diatonic framework, and to mediate between diatonicism and chromaticism. In the opening measures, Shapey generates i11 symmetry around the axial pitch, D5. The piece opens with an ip +11, D5–C#6, which is repeated in m. 2. In m. 3, Shapey introduces the pc, Eb, creating a registrally reversed form of the inversion of the ip +11 interval beginning on D, the ip –13, Eb5–D4. In m. 4, Shapey restates the original thematic gesture, beginning not on D, but on Eb: Eb4–D5. The motivic parallelism between the repeated D5–C#6 gestures in mm. 1-2 and the Eb4–D5 figure in m. 4 suggests that they can be grouped together within the symmetrical configuration, Eb4—D5–C#6. Shapey’s use of the sequence, Eb4–D5–C#5, in m. 4 represents the first consecutive presentation—and overt linkage—of the three pcs, C#, D, and Eb, in *Etchings* (see Ex. 1.14).

In m. 3, Shapey creates an additional symmetrical relationship. The Eb5–D4 interval on the third beat is preceded by A4, which implicitly bisects the following dyad, dividing it into a tritone (i6: A4–Eb5) and a fifth (i7: D4–A4) (see Ex. 1.14).

Example 1.14 Intervallic symmetry around the axial pcs, D and A, in Ralph Shapey, *Etchings* for Solo Violin, op. 21 (1945), mm. 1-4. In “A” and “C,” Shapey creates motivic parallelisms that suggest axial symmetry around D5, within the configuration, Eb4—D5–C#6. In “B,” Shapey creates inexact symmetry around A5, within the configuration, D4–A4–Eb5. Shapey Papers, Box 22. By permission of the Special Collections Research Center, University of Chicago Library.

In mm. 5-6, Shapey adds an additional pc, Ab, to this web of symmetrical relationships. Measure 5 begins with Ab3 and concludes with the dyad F4–A4. A4 is repeated at the beginning of m. 6, coupled with Eb, an important element in the web of symmetries of mm. 1-4. The A4–G#5 dyad on the second half of beat 1 of m. 6 recapitulates the ascending motion of m. 5 from Ab3 to A4 (see Ex. 1.15).

Example 1.15 Intervallic symmetry, in Ralph Shapey, *Etchings* for Solo Violin, op. 21 (1945), mm. 5-6 (cf. Ex. 1.14). Shapey Papers, Box 22. By permission of the Special Collections Research Center, University of Chicago Library.

The many tritone dyads in mm. 5-6 are symptomatic of a shift in the primary interval of symmetry from i11 to i5/6. If the symmetries of mm. 1-4 and mm. 5-6 are coupled, they produce the intervallic pattern Eb–A–D–G#–C#, which alternates ic6 and ic5. Shapey creates an elegant and systematic harmonic arrangement that permits him to circulate the aggregate, yet generates a strong sense of tonal centricity due to the presence of the dyad, D–A, within the symmetrical pattern of alternating ics (see Ex. 1.16).

Example 1.16 Intervallic symmetry around the axial pc, D, in Ralph Shapey, *Etchings* for Solo Violin, op. 21 (1945), mm. 1-6.

Shapey presents two other intervallic symmetries in mm. 5-6 that reinforce the axial status of the pc, D. The dyad, D–B, is presented in its complementary i3 and i9 forms, B3–D4 and D5–B5. In addition, two i4 dyads with axial symmetry around D are stated successively on the second beat of m. 6: D5–F#5 and Bb3–D4.

Shapey discarded *Etchings* when he started his career as a composer in earnest. Violinist Miranda Cuckson premiered this unjustly forgotten work at the Bodensee Festival in Switzerland on 14 May 2006.⁴⁹ Cuckson also recorded *Etchings* on Centaur CRC 2900 (2007).

Studies with Wolpe (II): Student and Artist, 1946–48

At the conclusion of the 1945 Juilliard summer session, Shapey auditioned for the violinist and composer, Adolf Busch (1891–1952). He subsequently joined the Busch Chamber Players, touring with the group during the autumn of 1945 (see Fig. 1.2). The violinist Edith Eisler later recalled:

One of the violinists was Ralph Shapey, who later achieved considerable fame as a composer and had already embarked on writing the kind of music that made him so controversial. I remember hearing him try to explain and defend his musical language with passionate ardour to an uncomprehending, disapproving Karl Doktor, who later commented to me: “You could accomplish the same with logarithms.”⁵⁰

⁴⁹ Email from Miranda Cuckson, 10 December 2012.

⁵⁰ Tully Potter, *Adolf Busch: The Life of an Honest Musician*, vol. 2 (London: Toccata Press, 2010), 1032.

Figure 1.2 The Busch Little Symphony, 1945. Shapey is third from left in the back row. By permission of the Special Collections Research Center, University of Chicago Library.

In January-February 1946, the Busch Chamber Players spent a month recording the *Concerti grossi*, op. 6, of Handel.⁵¹ After the completion of the recording sessions, Shapey resumed his violin studies with Emanuel Zetlin in New York. He also returned to his

⁵¹ George Frideric Handel, *Concerti grossi*, op. 6, Busch Chamber Players, Adolf Busch, cond., Columbia MM-685 (1947); Pearl 9296 (1997) (CD rerelease). See *Tonträgerverzeichnis (Diskografie) Adolf Busch (1891-1952)*, compiled by Gert Schäfer and Prof. Dr. Klaus Schöler, accessed 30 January 2012, http://www1.karlsruhe.de/Kultur/Max-Reger-Institut/media/busch_adolf_diskografie.pdf. The complete set has been posted on YouTube. Busch's student, Frances Magnes, took one of the concertante parts in the Handel *Concerti grossi* during the autumn 1945 concert tour. See Potter, *Adolf Busch: The Life of an Honest Musician*, vol. 2, 1033. Magnes was the daughter-in-law of Judah Magnes (1877-1948), president of the Hebrew University of Jerusalem. She premiered Stefan Wolpe's Sonata for Violin and Piano with pianist David Tudor in 1949.

composition studies with Stefan Wolpe, who was teaching at the Brooklyn Free Musical Society School of Music (which, despite its name, was located in Manhattan).⁵² From 1946-48, Shapey was a member of the staff of the Brooklyn Free Musical Society School of Music,⁵³ and played the violin as a freelancer in several orchestras.⁵⁴

Shapey's second period of study with Wolpe extended from 1946 to 1948. During these years, Shapey reestablished his relationship with his teacher on a new basis. While his earlier studies with Wolpe had been overshadowed by his ambitions for a career as a violinist, Shapey now focused almost exclusively on his work as a composer. Shapey had matured as an artist and a person during his three years of military service. He was capable of grasping Wolpe's most sophisticated concepts in a way that would have been impossible before the war, when he had a limited knowledge of twentieth-century music. During the intervening years, Wolpe had changed as well. He had continued to refine his pedagogical concepts about composition, particularly his ideas about the systematic use of intervals, which he presented both in his teaching and in the dozens of short exercises later collected as *Music for Any Instruments* (1944-49). In addition, Wolpe had discarded the Middle Eastern modality of the Sonata for Oboe and Piano (1937-38, 1941) for a more complex, abstract musical language, embodied in *Battle Piece* for Piano (1943-44, 1947).

⁵² Shapey's studies were funded by the G. I. Bill. Clarkson, "Ralph Shapey's Apprenticeship," 396. Ralph Shapey, Guggenheim Fellowship application for 1951, *Accomplishments No. 4*, 1. By permission of the J. S. Guggenheim Memorial Foundation.

⁵³ Shapey, Guggenheim Fellowship application for 1951. By permission of the J. S. Guggenheim Memorial Foundation.

⁵⁴ Shapey played in the City Center Orchestra in New York, and later, in the Earle Theatre Orchestra in Philadelphia. He played in Broadway shows during this period as well. Shapey was the assistant conductor and concertmaster for the Broadway show, *Small Wonder*, in 1948-49. See *The Ophicleide* 1, no. 2 (January 1950): 1.

Wolpe was a systematic teacher who presented a series of concepts about pitch and rhythm, and about musical space and time. Although some of his musical ideas paralleled those of the serialists, he was vocal in his opposition to what he characterized as the “tyranny” of serialism. Wolpe preferred less systematic pitch ordering procedures that he considered to be more flexible, and thus more subtle.⁵⁵ Shapey’s papers do not preserve any of Wolpe’s lecture notes about his compositional procedures. Information about these procedures can be found, however, in a notebook kept by Wolpe’s student and friend, Isaac Nemiroff,⁵⁶ which includes careful transcriptions of Wolpe’s lectures during the late 1940s.⁵⁷ In a second, undated notebook, devoted to Nemiroff’s private lessons with Wolpe and sketches for Nemiroff’s own music, Wolpe wrote out many musical examples that illuminate some of his central concepts of the period.⁵⁸ Another student, Milton M. Kraus, also took detailed notes of his lessons with Wolpe in 1948.⁵⁹ This documentation of Wolpe’s teaching during the 1940s is critical for an understanding

⁵⁵ Abraham Skulsky, “Stefan Wolpe: Liberation from the Enslavement of the Twelve-tone System,” *Musical America* 71 (1 November 1951): 6, 29.

⁵⁶ Isaac Nemiroff (1912-77), founding member of the Department of Music at the State University College on Long Island [NY] at Oyster Bay, now Stony Brook University. He taught there from 1962 until his death in 1977. See the biographical note in the Finding Aid for the Nemiroff Collection, accessed 26 September 2007, <http://www.stonybrook.edu/libspecial/collections/archives/rg64/nemiroff.shtml>.

⁵⁷ Dr. Isaac Nemiroff Collection, Stony Brook University Special Collections & University Archives, Box 20, F3, Spiral Music Notebook #3 (small).

⁵⁸ Dr. Isaac Nemiroff Collection, Stony Brook University Special Collections & University Archives, Box 20, F10, Manuscript Music Notebook #9 (large, no cover). I would suggest that this notebook stems from the period 1949-50, since it includes a brief discussion of Schoenberg’s *The Survivor From Warsaw*, op. 46 (1947), which was published in 1949. The Finding Aid for the Nemiroff Collection provides a dating of 1949ff. for Manuscript Music Notebook #7 (small), which, like Notebook #9, includes material for Nemiroff’s Piano Sonata. Nemiroff’s handwriting for his transcription of Wolpe’s lectures in Notebook #3 is more fluid than in Notebook #9. Both the difference in handwriting between the two notebooks, and the systematic presentation of basic concepts in Notebook #3, argue for an earlier dating for the latter.

⁵⁹ Milton M. Kraus, “Composition Studies with Stefan Wolpe.” Wolpe/Baron Archive. Milton Max Kraus (1906-95) was a pianist and arranger. For a biographical note, see “Guide to the Milton M. Kraus Papers on Louis Moreau Gottschalk, 1956-1980 and undated,” accessed 18

of Shapey's compositional procedures throughout his career. Shapey was vocal in his conviction that he was Wolpe's truest disciple. He propagated Wolpe's ideas both by his performances of Wolpe's music and by his teaching, and employed them as the basis of his own compositional technique.⁶⁰

It is impossible to discuss Shapey's music without employing Wolpe's conceptual vocabulary. The compositional ideas that Wolpe presented to his students during the postwar years can be summarized as follows:

1. Continuum of tonal and twelve-tone procedures.⁶¹
2. Use of unordered pc sets rather than strict serial procedures to circulate the aggregate.⁶²
3. Building pieces upon the systematic use of intervals.⁶³
4. Control of the rate at which the pcs of the aggregate are introduced within a piece of music (the "tempo of chromatic circulation"), as well as variation of the speed of change within other musical parameters. See this chapter, notes 29-32.
5. Use of all registers of the pitch continuum.

April 2013, <http://www.nypl.org/sites/default/files/archivalcollections/pdf/muskraus.pdf>.

⁶⁰ The quarrel between Wolpe's two most famous students, Shapey and Morton Feldman, over the master's legacy generated a fascinating dialectic, with the two men explicating the same concepts in radically different ways.

⁶¹ Wolpe's procedures provide an interesting parallel to Schoenberg's practice during the 1930s and 1940s. See Silvina Milstein, *Arnold Schoenberg: Notes, Sets, Forms* (Cambridge, UK: Cambridge University Press: 1992), 4: "Schoenberg . . . was unwilling to relinquish completely the functional relations of tonality and often concentrated implications formerly pertaining to a tonal region or key on single pitch-classes or pitch-levels." See the review of Milstein's book by Bryan R. Simms in *Music Analysis* 12, no. 3 (Oct. 1993): 406-12.

⁶² See Stefan Wolpe, "Thinking Twice," in Wolpe, *Das Ganze überdenken*, 167-97.

⁶³ Stefan Wolpe, "Einblick ins Komponieren" ["Insight into Composing"], in Wolpe, *Das Ganze überdenken*, 152-66, especially 163-5.

6. Importance of the concept of pitch as opposed to the concept of pitch class.⁶⁴ For Wolpe, the spatial disposition of a pitch set was as important as its pc content.⁶⁵ Wolpe taught his students to arrange chords in different superpositions, and thus with different overtone content.
7. Use of both symmetrical and asymmetrical proportions, including the spatial disposition of the notes of a chord around an axis point.⁶⁶
8. Use of rhythmic complexity and rhythmic contrast.
9. Dissonant counterpoint.⁶⁷

Wolpe's theories about pitch organization reflect his own harmonic practice during the late 1930s and 1940s. His music of this period has been conceptualized as a "third way."⁶⁸ Larson Powell has compared Wolpe's synthesis of a diverse group of harmonic procedures in the late 1930s and 1940s to the heterogeneity of harmonic practice during the early twentieth

⁶⁴ Insofar as Wolpe delivered his lectures long before the development of pitch class theory, it would be more accurate to say that he tried to define the boundaries of the applicability of the principle of octave equivalence.

⁶⁵ See Paul Lansky, "Pitch-Class Consciousness," *Perspectives of New Music* 13, no. 2 (Spring-Summer 1975): 30-56. In handwritten lecture notes, probably from the early 1960s, Shapey wrote, "Today as in the past we have 12 notes & only 12 tones (barring $\frac{1}{4}$ tones etc.) with which to work; the 13th tone known as the 8ve becomes the prime but a prime interrelated on a new spatial plane. . . . A series of vibrations become[s] a known pitch to the defining ear. Since no two pitches can vibrate at the same rate of speed (unless played by various instruments) then each individual pitch has its own sound-weight. Thus the sound-weight of an "A large" is far greater than an "A4." But due to the lessening of the "A4"'s sound-weight it has gained in flexibility & intensity." Shapey Papers, Box 93.

⁶⁶ Stefan Wolpe, "On Proportions," trans. Matthew Greenbaum, *Perspectives of New Music* 34, no. 2 (Summer 1996): 132-84. See Christopher Segall, "K-Nets, Inversion, and Gravitational Balance," *Theory and Practice* 35 (2010): 119-45, especially 129, 141. Segall analyzes the axial centers of chordal patterns within pitch space. He abandons the concept of pc space in propounding his thesis.

⁶⁷ See Stefan Wolpe, "'Any Bunch of Notes': A Lecture," ed. Austin Clarkson, *Perspectives of New Music* 21, nos. 1/2 (Autumn 1982-Summer 1983): 295-310.

⁶⁸ Martin Zenck, "Beyond Neoclassicism and Dodecaphony: Wolpe's Third Way," in *On the Music of Stefan Wolpe: Essays and Recollections*, ed. Austin Clarkson (Hillsdale, NY: Pendragon Press, 2003), 169-86.

century.⁶⁹ Wolpe employed his ideas about the concept of interval in the *Four Studies on Basic Rows* (1935-36). He developed them further in the series of short pieces published as *Music for Any Instruments: Interval Studies* (1944-49).⁷⁰

According to Nemiroff's lecture notes, Wolpe begins with a mapping of the diatonic and chromatic scales. He divides the diatonic scale into two tetrachords, C–F and G–C. He divides the chromatic scale into two tetrachords, C–F and F#–B. Wolpe explains:

In the 12-tone row the 12th tone is to the first as in the seven tones [the diatonic scale] the completing 8th is to the first. In the real sense of tonality it is necessary to consider a scale of 8 tones even though the 8th is the octave of the 1st.

Therefore in [the diatonic major scale beginning on C] C is to C as in [the chromatic scale beginning on C] B is to C.

And it is this fact; that in 12 tones the balance is accomplished by a note of different pitch from the first, that prevents the use of the octave as an interval. This would destroy the balance in the same way that its avoidance (the 8va) destroys the balance in classical harmony. However such treatment of the so-called tonal system is a logical step in the development towards 12-tone harmony.

Wolpe diagrams inversional symmetries within the 12-tone collection (see Ex. 1.17):

In the exact non-varied intervallic material of the 12-tone row the balance achieved by inversion is as exact as the material itself. This differs from the result achieved in tonal harmony because that is based on a series of tonal centers.

⁶⁹ Larson Powell, "Itinerant Atonality: Stefan Wolpe's Middle Period Work," *Contemporary Music Review* 27, nos. 2/3 (April-June 2008): 305-22, especially 310-1.

⁷⁰ Stefan Wolpe, *Music for Any Instruments: Interval Studies* (1944-49), ed. Austin Clarkson (New York: Peermusic Classical, 1988). Elliott Carter vividly described Wolpe's analysis of intervals at Dartington Summer School in 1959. "He started talking about his Passacaglia, a piano work built of sections each based on a musical interval--minor second, major second, and so on. At once, sitting at the piano, he was caught up in a meditation on how wonderful these primary materials, intervals, were." Austin Clarkson, interview with Elliott Carter, New York City, 10 December 1982, accessed 15 January 2012, <http://www.wolpe.org/page10/page10.html>.

Example 1.17 Inversional symmetries within the twelve-tone collection, in Isaac Nemiroff, notebook for classes with Stefan Wolpe. Dr. Isaac Nemiroff Collection, Stony Brook University Special Collections & University Archives, Box 20, F3, Spiral Music Notebook #3 (small). By permission of Catherine Nemiroff.

Austin Clarkson points out Wolpe's care in addressing "the problem of incorporating the third into the atonal environment."⁷¹ In the lectures that Nemiroff recorded, Wolpe presents many possible ways to divide the aggregate, using different combinations of major and minor thirds (see Ex. 1.18).

⁷¹ Stefan Wolpe, *Music for Any Instruments: Interval Studies (1944-49)*, preface by Austin Clarkson, unpaginated.

Example 1.18 Division of the aggregate into patterns of thirds (+ = major, – = minor), in Isaac Nemiroff, notebook for classes with Stefan Wolpe. I have tried to reproduce the rather casual orthography of these lecture notes as carefully as possible, so as not to misrepresent Wolpe's ideas. Dr. Isaac Nemiroff Collection, Stony Brook University Special Collections & University Archives, Box 20, F3, Spiral Music Notebook #3 (small). By permission of Catherine Nemiroff.

Progressing by minor thirds and changing to major only when necessary to avoid repetition

A Starting by minor

B Progressing by major thirds etc.

Start with minor and progress by major thirds

Start with major and progress by minor

Inversion

Wolpe concludes his discussion of the division of the aggregate into a series of thirds by commenting,

My next problem is to discover a principle for constructing progressions of other intervals and to find the parallel in the advanced classical harmony which made use of chords constructed on other intervals as a result of the same piling up of thirds.

While Nemiroff recorded Wolpe's ideas about the systematic use of thirds within the twelve-tone collection, Wolpe's ideas about the systematic use of fourths were documented by

Milton Kraus.⁷² Wolpe first arranged the intervals vertically, creating a chord consisting of piled fourths, as well as one that includes both fourths and tritones. He also placed the intervals in close superposition. Finally, he horizontalized the intervals, creating two-part counterpoint. His use of alternating fourths and tritones creates several sc(016) trichords, and recalls some of the intervallic symmetries employed by Shapey in *Etchings* (see Ex. 1.19).

Example 1.19 Circled trichords and tetrachords, in Milton M. Kraus, notes for lessons with Stefan Wolpe, 11 March 1948: “Fourth Chords” (heading in the handwriting of Milton Kraus). Milton M. Kraus, “Composition Studies with Stefan Wolpe,” Wolpe/Baron Archive, Performing Arts Research Collections, New York Public Library. By permission of The New York Public Library.

Wolpe employed chords that include pc sets comparable to those circled in Ex. 1.19 when he discussed the principle of axial symmetry. In the example that he provided for Kraus, a series of pc pairs surrounds an unstated D5. Wolpe presents pc pairs an ip2 (C5, E5), an ip7 (G4, A5), an ip10 (E4, C6) and an ip13 (C#4, D#6) above and below D5 (see Ex. 1.20).

⁷² Milton M. Kraus, “Composition Studies with Stefan Wolpe,” 20 February and 11 March 1948. Wolpe/Baron Archive.

Example 1.20 Chordal symmetry around the axial pitch, D5, in Milton M. Kraus, notes for lessons with Stefan Wolpe, 1 April 1948. Milton M. Kraus, “Composition Studies with Stefan Wolpe,” Wolpe/Baron Archive, Performing Arts Research Collections, New York Public Library. By permission of The New York Public Library.

In a lecture documented by Nemiroff, Wolpe uses his intervallic concepts to segment a twelve-pitch collection into three tetrachords. The collection includes eleven pcs and one pc duplication, C (see Ex. 1.21).

Example 1.21 Segmentation of a pitch collection into tetrachords, in Isaac Nemiroff, notebook for classes with Stefan Wolpe. Dr. Isaac Nemiroff Collection, Stony Brook University Special Collections & University Archives, Box 20, F3, Spiral Music Notebook #3 (small). By permission of Catherine Nemiroff.

Wolpe demonstrates how to create interesting motivic figures, using these tetrachords (see Ex. 1.22).⁷³

⁷³ Note that the final pc of Ex. 1.22 is A, which replaces the C in the third tetrachord of Ex. 1.21.

Example 1.22 Using tetrachords to create motivic figures, in Isaac Nemiroff, notebook for classes with Stefan Wolpe (cf. Ex. 1.21). Dr. Isaac Nemiroff Collection, Stony Brook University Special Collections & University Archives, Box 20, F3, Spiral Music Notebook #3 (small). By permission of Catherine Nemiroff.

Wolpe also lectured about musical space. Nemiroff's notes on this subject are headed by Wolpe's play on words, "Home on the Ranges (Gas)." Wolpe offers a critique of the principle of octave equivalence in comments that accompany Ex. 1.23 (I).⁷⁴

The development of a tone through the octave closes the possibility of change of identity. (Either above or below.)

The tone returns in a unit of a new identity as opposed to the primo.

And as a unit of new quality.

Conclusion: octaves are either a new unit or a new dimension of a tone, or an octave as two completely independent tones.⁷⁵

Wolpe connects these comments to his introduction of the concept of axial centricity within the pitch continuum (see Ex. 1.23).

⁷⁴ For a discussion of the music of Varèse that negates the principle of octave equivalence, see Jonathan W. Bernard, *The Music of Edgard Varèse* (New Haven, CT: Yale University Press, 1987), 43-4.

⁷⁵ Isaac Nemiroff, notebook for classes with Stefan Wolpe: "Home on the Ranges (Gas)" [heading and commentary in Nemiroff's handwriting]. Dr. Isaac Nemiroff Collection, Stony Brook University Special Collections & University Archives, Box 20, F3, Spiral Music Notebook #3 (small).

Example 1.23 Axial centricity within the pitch continuum, in Isaac Nemiroff, notebook for classes with Stefan Wolpe: “Home on the Ranges (Gas)” [heading and commentary in Nemiroff’s handwriting], excerpts. Dr. Isaac Nemiroff Collection, Stony Brook University Special Collections & University Archives, Box 20, F3, Spiral Music Notebook #3 (small). By permission of Catherine Nemiroff.

I
Reinforcement of tones
1 2

II

In this case the tone is related to its higher and lower octave. This gives a symmetrical extension at which middle point is the tone itself.

III

In this case the middle octave becomes the constant or entity.

This relation of distanced tones to an inner group.

Example 1.23 continued

The image displays two systems of musical notation for piano, illustrating different voicings of chords. The first system is labeled with Roman numerals VI and VII. It shows two main voicings for each chord, with an 'or' indicating an alternative. The notes are written on both the treble and bass staves, with some notes marked with an 'x' to indicate specific fingerings or articulations. The second system continues the exploration of voicings for these chords, showing how they can be spread across the piano's range.

Wolpe voices a chord in multiple ways, showing how to create different intervallic and registral relationships within a gradually expanding pitch space (see Ex. 1.24).

Example 1.24 Multiple voicings of a chord, in Isaac Nemiroff, notebook for classes with Stefan Wolpe. Dr. Isaac Nemiroff Collection, Stony Brook University Special Collections & University Archives, Box 20, F3, Spiral Music Notebook #3 (small). By permission of Catherine Nemiroff.

The image shows a musical score for piano, featuring multiple voicings of a chord. The notation is written on both the treble and bass staves. The chords are spread across the piano's range, demonstrating different intervallic and registral relationships. The score is in a key with one flat (B-flat major or D minor) and shows a progression of these voicings over time.

He elaborates on his spatial concepts, presenting an illustration of axial symmetry that he labels, “Direct balance through immediate acceptance of space centers.”⁷⁶ In the treble, D6 bisects the interval, G#5–A6, while C#2 bisects the space between E1 and A2 in the bass (see Ex. 1.25).

Example 1.25 Axial symmetry, in Isaac Nemiroff, notebook for lessons with Stefan Wolpe: “Direct balance through immediate acceptance of space centers” (title in Nemiroff’s handwriting). Dr. Isaac Nemiroff Collection, Stony Brook University Special Collections & University Archives, Box 20, F10, Manuscript Music Notebook #9 (large, no cover). By permission of Catherine Nemiroff.

Wolpe then illustrates a shift of pitch center, indicated by arrows in the example below (see Ex. 1.26). He immediately transfers G#, the goal of the ascending motion in the treble line, to other registers. Wolpe describes the example as an illustration of “accumulated balance through displacements, calling for proportionate sound-nature displacements (or variation).”

⁷⁶ The musical examples reproduced in Exx. 1.24 and 1.25 are in Wolpe’s handwriting, while the explanations are in Nemiroff’s handwriting.

Example 1.26 Shift of pitch center, in Isaac Nemiroff, notebook for lessons with Stefan Wolpe: “Accumulated balance through displacements, calling for proportionate sound-nature displacements (or variation)” [text by Wolpe]. Dr. Isaac Nemiroff Collection, Stony Brook University Special Collections & University Archives, Box 20, F10, Manuscript Music Notebook #9 (large, no cover). By permission of Catherine Nemiroff.

In his 1952 lecture, “Thoughts on Pitch and Some Considerations Connected with It,” Wolpe expresses similar ideas. He writes, “This might be stated:/the release of distances, of segmenting, dividing, proportioning the/(whole pitch orbit/(call it a span of regions, or call it space)/is a primary activity of any pitch./Not only **space is open**, to be **entered at any point** and **to be related to any other one**,/but the concept of **moving distances**, of spacing, of actuating them,/is a dominant factor in carrying tones from one spot to another.”⁷⁷

⁷⁷ Wolpe presented “Thoughts on Pitch” at the Black Mountain College summer session in August 1952. Note that some words are highlighted in the printed text. See Stefan Wolpe, “Thoughts on Pitch and Some Considerations Connected with It,” ed. Austin Clarkson, *Perspectives of New Music* 17, no. 2 (Spring-Summer 1979): 28-55, unpaginated; see also Wolpe, “On Proportions,” 133. Wolpe’s ideas anticipate ideas discussed in the recent theoretical literature. See Philip Stoecker, “Klumpenhouwer Networks, Trichords, and Axial Isography,”

Example 1.27b Combination of different rhythms, in Milton M. Kraus, notes for lessons with Stefan Wolpe, 9 February 1948: “Design of Rhythm(s)/Combination of Vertical and Horizontal/diversity of direction/variety of the motivic phases.” Milton M. Kraus, “Composition Studies with Stefan Wolpe,” Wolpe/Baron Archive, Performing Arts Research Collections, New York Public Library. By permission of The New York Public Library.

During the same lesson with Kraus, Wolpe illustrated his dicta about motivic development with examples of the “multiplication of motivic elements,” including “intrusions” and “enlarged endings.” He used these terms in reference to the interpolation of new motivic fragments within a theme. Wolpe wanted his students to employ a variety of musical shapes in the development of an idea, creating balance between ascending and descending motion and between long and short phrase segments. He criticized figures that moved predictably in the same direction (“too many downward patterns”) and suggested that an idea be developed through the “Disintegration of More Than One Element/Countertrends being achieved by new upbeats (Intrusions).” Wolpe’s ideas about thematic construction are illustrated by the following example in his handwriting from the notes of Isaac Nemiroff. The opening idea has an arch shape. The contrasting figures that follow move upward in three waves. The concluding idea has an inverted arch shape, balancing the beginning of the example (see Ex. 1.28).

Example 1.28 Symmetry and variety in thematic construction, in Isaac Nemiroff, notebook for lessons with Stefan Wolpe. The entire example is in Wolpe's handwriting. Dr. Isaac Nemiroff Collection, Stony Brook University Special Collections & University Archives, Box 20, F10, Manuscript Music Notebook #9 (large, no cover). By permission of Catherine Nemiroff.

The Apprentice Works of 1946-47

Shapey assimilated Wolpe's ideas only gradually over a period of two decades. During the first year of his post-war studies with Wolpe, he wrote three large works in which he demonstrated his mastery of harmony and form: Piano Sonata No. 1, String Quartet No. 1 and the Piano Quintet. Shapey later described these works as having being composed in a "free 12-tone idiom/also, highly chromatic, bordering on serial technique."⁷⁹ Theodore Presser later published all three pieces.⁸⁰ Shapey withdrew the score of the Piano Sonata from the Presser catalogue in 1980, however.⁸¹

Piano Sonata No. 1 (1946), the first to be composed, has three movements. The first movement can be described as a sonata allegro, and is roughly divided into an exposition, development and recapitulation. It has a vigorous opening theme (see Ex. 1.29) and a lyrical second theme. Shapey uses the techniques of near repetition and elaboration to develop his

⁷⁹ Ralph Shapey, letter to David Ewen, 27 May 1980. Shapey Papers, Box 2, Folder E. Shapey annotated and corrected a preliminary version of his biographical entry in Ewen's *American Composers: A Biographical Dictionary* (New York: G. P. Putnam's Sons, 1982).

⁸⁰ Theodore Presser Co. publishes scores and parts for String Quartet No. 1 and the Piano Quintet. String Quartet No. 1: 11441134S (score) and 11441134P (parts); Piano Quintet: 11440565S (score) and 11440565P (parts).

⁸¹ The manuscript and the autograph score of Shapey's Piano Sonata No. 1 are included in the Shapey Papers, Boxes 19, 22, and 33. The University of Chicago Library also owns a circulating copy of the score.

themes, and gradually merges the two sets of musical ideas. He creates tonal contrast within the movement by the transposition of themes by ics 1 and 2 in the exposition and development and ic2 in the recapitulation.

Example 1.29 Opening theme, in Ralph Shapey, Piano Sonata No. 1 (1946), I, mm. 1-2.
© 1958 Ralph Shapey. By permission of Elsa Charlston Shapey.

The lyrical second theme is introduced in mm. 15-9. It contrasts awkwardly with the first theme, due to the abruptness of its introduction without any preparation for its slower pulse and harmonic rhythm. In mm. 16-7, the pulse doubles as Shapey interpolates music reminiscent of the first theme in order to link the two themes together. In particular, the bass line in m. 17, beat 4, alludes to one of the rhythmic fingerprints of the first theme, a succession of three sixteenth notes that begins on the second sixteenth of a beat (see Ex. 1.30).

Example 1.30 Second theme, in Ralph Shapey, Piano Sonata No. 1 (1946), I, mm. 15-7 (cf. Ex. 1.29). © 1958 Ralph Shapey. By permission of Elsa Charlston Shapey.

The extended statement of the second theme that begins in m. 45 can be considered the beginning of a clearly demarcated new section, the development. Shapey incorporates subtle references to the first theme into his presentation of the second theme, rather than juxtaposing the two disparate themes, as he does in mm. 15-9 (see Ex. 1.31).

Example 1.31 Presentation of the second theme in the development, in Ralph Shapey, Piano Sonata No. 1 (1946), I, m. 50 (cf. Ex. 1.30). © 1958 Ralph Shapey. By permission of Elsa Charlston Shapey.

The interpenetration of the themes continues with the reentrance of the first theme in m. 61. The long-short rhythm of the second theme is clearly delineated within the busy textures and driving rhythms of the music (see Ex. 1.32).

Example 1.32 Reentrance of the first theme in the development, in Ralph Shapey, Piano Sonata No. 1 (1946), I, m. 69. © 1958 Ralph Shapey. By permission of Elsa Charlston Shapey.

The development concludes with the fusion of the two themes (mm. 104-6) (see Ex. 1.33).

Example 1.33 Fusion of themes, in Ralph Shapey, Piano Sonata No. 1 (1946), I, m. 104. © 1958 Ralph Shapey. By permission of Elsa Charlston Shapey.

The recapitulation begins in m. 120 with the return of the opening theme in its original form, but transposed upwards by ic2. The movement concludes with a dramatic coda.

The musical idiom of Shapey's Sonata is heavily influenced by Wolpe's contemporaneous *Battle Piece* for Piano.⁸² In particular, the opening theme of Shapey's first

⁸² Clarkson, "Ralph Shapey's Apprenticeship," 396-7; see also the unpublished essay by Gordon E. Marsh, "Shapey at the Piano: Evolution of a Style."

movement strongly resembles the opening theme of movement III of Wolpe's work (see Ex.

1.34).⁸³ The thick, busy textures of Shapey's Sonata are comparable to those of movement IV of *Battle Piece* (see Ex. 1.35).

Example 1.34 Stefan Wolpe, *Battle Piece* for Piano (1943-47), III, mm. 1-2 (cf. Ex. 1.29). © Copyright 1989 Peer Musikverlag GmbH. International Copyright Secured. All Rights Reserved. Used by permission of Peermusic Classical.

Con moto ma non troppo. Risoluto ♩ = 88 [Tempo I]

Example 1.35 Stefan Wolpe, *Battle Piece* for Piano (1943-47), IV, m. 4 (cf. Ex. 1.29). © Copyright 1989 Peer Musikverlag GmbH. International Copyright Secured. All Rights Reserved. Used by permission of Peermusic Classical.

Shapey's harmonic language is also indebted to Wolpe's example.⁸⁴ Shapey integrates diatonicism, chromaticism and modality in both the vertical (harmonic) and horizontal (thematic)

⁸³ See Clarkson, "Ralph Shapey's Apprenticeship," 396-7, Exx. 4a and 4b.

⁸⁴ Martin Zenck describes the harmony of *Battle Piece* as both "freely atonal" and "virtually tonal." See Martin Zenck, "Beyond Neoclassicism and Dodecaphony," 180-2.

dimensions. Dissonant chordal configurations (Wolpe's "new alloys") and whole-tone constructions are prominent within a texture that features harmonies rich in thirds (see Ex. 1.36).

Example 1.36 Harmonic configurations in Ralph Shapey, Piano Sonata No. 1 (1946), I. The second chord is an example of Shapey's use of the whole-tone collection.

The form of the first movement adheres in part to the theme-based theory of sonata structure developed in the nineteenth century. Like many late nineteenth-century works, the first movement of Shapey's Sonata is notable for its lengthy development section. The alternating statements of the two themes are presented in progressively larger episodes and in increasingly dramatic fashion as they gradually adopt more of each other's characteristics. While Shapey's use of climaxes to articulate form is one of the most conventional aspects of his early work, his use of near repetition and elaboration to build his structures is the most original aspect of the first movement of the Sonata. Shapey's use of transposition by thirds 1 and 2 for thematic restatements in the first movement is also a central part of his formal strategy.

The second movement is a scherzo, with the usual three-part division into scherzo, trio and repeat of the scherzo. Like the beginning of the first movement of the Sonata, the scherzo is indebted to the initial rising thematic gesture of movement III of *Battle Piece* (see Ex. 1.37).

Example 1.37 Ralph Shapey, Piano Sonata No. 1 (1946), II, m. 1 (cf. Ex. 1.34). © 1958 Ralph Shapey. By permission of Elsa Charlston Shapey.

Scherzo: Allegro (♩ = 116)

The characteristic long–short rhythm of the second theme of the first movement returns in the trio (mm. 14ff.), which presents a lively counterpoint between treble and bass. In the repeat of the scherzo, Shapey again uses the techniques of near repetition and elaboration.

The last movement is a broadly conceived *Adagio appassionato*, full of thick, widely spaced counterpoint and sonorous chords. After a dramatic peroration in m. 24, Shapey introduces a contrasting episode with a thinner and lighter texture (mm. 29-40). A short passage that melds the opening theme with the ideas of the contrasting episode (mm. 40-4) serves as the bridge to a brief coda that recalls the beginning of the movement.

The Sonata is an imaginative and accomplished student work, in which the young Shapey is neither willing nor able to abandon his dependence on Wolpe's music as a compositional model. Nevertheless, like Shapey's other early works, it points the way to salient elements of his later style, particularly in the realms of harmony and texture.

Shapey ably handled large-scale thematic and tonal structures in the four-movement String Quartet No. 1 (1946). The young Shapey employed Schoenberg's String Quartet No. 4 (1936) as one of his most important models. The first movement (291 mm.) is cast in sonata

form. It begins with weaving triplet figures reminiscent of the transition to the second theme in the first movement of Schoenberg's quartet (see Exx. 1.38 and 1.39).

Example 1.38 Triplet figures, in Ralph Shapey, String Quartet No. 1 (1946), I, m. 1. © 1958 Theodore Presser Co. Used by permission.

Allegro moderato (♩ = 100)

Violin I

Violin II

Viola

Cello

mf *f*

Example 1.39 Triplet figures, in Arnold Schoenberg, String Quartet No. 4, op. 37 (1936), I, m. 21 (cf. Ex. 1.38). Copyright © 1939 (Renewed) by G. Schirmer, Inc. (ASCAP). International Copyright Secured. All Rights Reserved. Reprinted by Permission.

21

f *f* *f* *f*

The triplets serve as a backdrop to the wide-ranging first theme, which is introduced by violin I in m. 3 (see Ex. 1.40).

Example 1.40 Opening theme, in Ralph Shapey, String Quartet No. 1 (1946), I, mm. 3-5. © 1958 Theodore Presser Co. Used by permission.

The musical score for Example 1.40 consists of two systems of four staves each. The first system covers measures 3, 4, and 5. The second system covers measures 5, 6, and 7. The key signature is one flat (B-flat), and the time signature is 3/4. The score features a prominent triplet of eighth notes in all parts, which serves as a backdrop for the first theme. The dynamics are marked as *f* (forte) and *mf* (mezzo-forte). The score includes various musical notations such as triplets, slurs, and accidentals.

Pizzicato repeated chords and shifting meters serve as a framework for the second theme group (see Ex. 1.41).

Example 1.41 Second theme, in Ralph Shapey, String Quartet No. 1 (1946), I, mm. 46-9. © 1958 Theodore Presser Co. Used by permission.

Poco moderato (♩ = 96)

46

pizz.

pp calma

mf

sotto voce *mp* calma

mf

pizz.

pp calma

mf

p calma

mf

The development is based on the weaving figures of the accompaniment to the first theme, which Shapey subjects to permutation and extended contrapuntal treatment. In the recapitulation, Shapey rearranges the elements of traditional sonata form. He begins the recapitulation with the second theme (mm. 187-224), creating a variant of palindromic form, a procedure employed by twentieth-century masters such as Bartók and Berg.⁸⁵

Shapey's repetition of ideas at the same pitch levels throughout most of the first movement inevitably generates a sense of the presence of referential centers within the music. In the concluding coda, however, Shapey employs the technique of tonal change that he had used in

⁸⁵ On Berg's palindromes, see Robert P. Morgan, "The Eternal Return: Retrograde and Circular Form in Berg," in *Alban Berg: Historical and Analytical Perspectives*, ed. David Gable and Robert P. Morgan (Oxford: Clarendon Press, 1991), 111-49.

the Piano Sonata. The opening accompanimental triplets of the movement are transposed by i10 at the beginning of the coda (m. 255) as part of a scheme in which the triplet figure repeatedly ascends the circle of fifths from G to E, only to sink back to G (see Ex. 1.42).

Example 1.42 Movement through the circle of fifths, in Ralph Shapey, String Quartet No. 1 (1946), I, mm. 257-60. © 1958 Theodore Presser Co. Used by permission.

The musical score for Example 1.42 consists of two systems of staves. The first system (measures 257-258) shows a triplet figure in the bassoon and cello parts. The bassoon part is marked *mf* and the cello part is marked *f*. The second system (measures 259-260) shows the triplet figure ascending to E, with the bassoon part marked *mf* and the cello part marked *f*. The score is in 3/4 time and features a circle of fifths progression.

Similarly, the accompanimental figure for the second theme is transposed by i4, from C to E (mm. 272-4). These pitch shifts produce an effect akin to modulation, and the music gradually

subsides into a resolution on a major seventh chord based on C, the most consonant simultaneity of the entire movement.

In the second and third movements, Shapey employs traditional forms. The second movement is a theme and variations. While variations I and II display similarities in their contrapuntal textures, variation III is marked by Shapey's use of dotted rhythms, and by the primarily chordal character of the inner voices. Melodic flourishes alternate between the voices in variation IV. The third movement is a brief scherzo with trio.

The fourth movement is a long fugue with three subjects. The movement opens with a theme in octaves, played by the entire ensemble (mm. 1-11). The passage recalls the unison statement of the theme that begins the third movement of Schoenberg's String Quartet No. 4 (1936) (see Exx. 1.43 and 1.44).

Example 1.43 Theme in octaves, in Ralph Shapey, String Quartet No. 1 (1946), IV, mm. 1-4. © 1958 Theodore Presser Co. Used by permission.

Maestoso (♩ = 63)

The musical score is presented in two systems, each containing four staves. The first system (measures 1-2) shows the initial entry of the theme. The second system (measures 3-4) continues the rhythmic pattern. The notation includes eighth notes, quarter notes, and triplet markings. Dynamics are marked as *ff* and *f*. The tempo is indicated as Maestoso with a quarter note equal to 63 beats per minute.

Example 1.44 Theme played in unison, in Arnold Schoenberg, String Quartet No. 4, op. 37 (1936), III, mm. 614-8 (cf. Ex. 1.43). Copyright © 1939 (Renewed) by G. Schirmer, Inc. (ASCAP). International Copyright Secured. All Rights Reserved. Reprinted by Permission.

Largo ♩ = 78

The musical score for Example 1.44 is presented in two systems. The first system (mm. 614-618) is marked 'Senza sord.' and 'sul G'. The second system (mm. 619-623) is marked 'a tempo' and 'poco rit.'. The score includes dynamic markings (f, sf, p), articulation (accents), and phrasing slurs. The theme is played in unison across all four staves.

At the end of the fourth movement of Shapey's quartet, the theme is again stated in octaves by the viola and cello (mm. 141-54), but with transposition, alteration and expansion of the original musical ideas. Whereas Schoenberg reintroduces the instrumental unison at the midpoint of his movement (mm. 664-8), Shapey prefers to use a dramatic gesture of this kind as

a framing device at the beginning and end of a movement. He would use this formal procedure many times during the following years.

After the ensemble presents the initial theme in mm. 1-11, violin II introduces a countersubject (m. 12), distinguished by its busy, irregular rhythms. The viola and cello then present a second countersubject in long note values (mm. 22-8). The three subjects are characterized by noticeably different rates of motion. Eighth-note triplets and dotted rhythms predominate within the main subject. The first countersubject includes successions of sixteenth notes and syncopation, while the second countersubject proceeds in quarter-note and half-note motion. The superimposition of the contrasting rhythms of the three subjects calls to mind an ambitious exercise in species counterpoint, which was undoubtedly one of the concepts underlying this compositional project (see Ex. 1.45).

Example 1.45 Theme with two countersubjects, in Ralph Shapey, String Quartet No. 1 (1946), IV, mm. 58-9. The viola and cello play the second countersubject in canon at the unison. © 1958 Theodore Presser Co. Used by permission.

The musical score for Example 1.45 consists of four staves in 4/4 time. The first staff (Violin I) begins at measure 58 with a mezzo-forte (*mf*) dynamic. The second staff (Violin II) starts with a forte (*f*) dynamic and includes a crescendo leading to fortissimo (*ff*). The third and fourth staves (Viola and Cello) play the second countersubject in canon at the unison, both marked fortissimo (*ff*). The music features various rhythmic patterns, including eighth-note triplets and syncopation.

During the first half of the movement, Shapey presents the three subjects in constantly shifting contrapuntal combinations. There is a clear point of structural articulation in m. 70 as the music momentarily comes to a halt, followed by the reintroduction of the first countersubject by the two violins in m. 71, echoing its first entrance in m. 12. This structural parallelism effectively divides the movement into two halves. In the second half of the movement, all three subjects are developed more freely than in the first half, with greater attention to variety of texture and to the creation of large dramatic gestures. For example, the main subject is altered and divided between the voices in mm. 86-93 (see Ex. 1.46). Similarly, the second countersubject is presented both by the cello and violin I in mm. 110-7, with the violin playing sixteenth-note triplets and thirty-second-note quadruplets, *jeté* (not shown).

Example 1.46 Division of the main subject between the voices, in Ralph Shapey, String Quartet No. 1 (1946), IV, mm. 86-7. © 1958 Theodore Presser Co. Used by permission.

The musical score for Example 1.46 shows measures 86 and 87 of Ralph Shapey's String Quartet No. 1, IV. The score is in 3/4 time and features four staves: Violin I, Violin II, Cello, and Bass. Measure 86 begins with a mezzo-forte (*mf*) dynamic and a crescendo leading to a forte (*f*) dynamic. The main subject is divided between the voices, with a triplet of eighth notes in the Violin I staff. Measure 87 continues the development of the subject, with a mezzo-forte (*mf*) dynamic marking at the bottom. The score includes various musical notations such as notes, rests, and dynamic markings.

Shapey generates a sense of pitch centricity in the fourth movement by resolving the closing presentation of the main subject (mm. 141-54) on C, the same pc that he uses at the end of the opening statement (not shown).

The broadly conceived String Quartet No. 1 was an impressive accomplishment for the twenty-five-year-old Shapey. He employed compositional devices that he would use again in the future, such as dramatic framing gestures at the beginning and end of sections and movements. Shapey would use species counterpoint as a source for musical ideas in his Sonata for Violin and Piano, written in 1949-50 (see chapter 2).

In December 1946, Shapey composed a short Prelude for piano (see Ex. 1.47) to honor Wolpe's long-time patron, Else Schlomann, on her birthday.⁸⁶ It is possible that several of Wolpe's students composed works for this occasion. A substantial piece for piano by Isaac Nemiroff bears the inscription, "To dear Schlo on her birthday, with appreciation and love, Isaac." Shapey's work is entitled, "Prelude for Piano, To Schlo," and is inscribed with the date "1946."⁸⁷

⁸⁶ Else Schlomann (1876-1954). Her husband, Benno Schlomann (1863-1941), was an attorney in Berlin. The Schlomanns fled from Nazi Germany and settled in New York in 1938. See Claims Resolution Tribunal In re Holocaust Victim Assets Litigation Case No. CV96-4849 [Benno and Else Schlomann], accessed 24 February 2014, http://www.crt-ii.org/_awards/_apdfs/Schlomann_Else.pdf.

⁸⁷ Shapey's unpublished Prelude is included in the Shapey Papers, Box 22. Nemiroff's piece, copied neatly on seven sheets of twelve-line Passentino paper, is dated 12 December 1946 at the end of the score. It is listed as "Schlo's Piano Piece" in the Finding Aid for the Nemiroff Collection at Stony Brook University Library. Dr. Isaac Nemiroff Collection, Stony Brook University Special Collections & University Archives, Box 7, F27.

Example 1.47 Ralph Shapey, Prelude for Piano (1946). Shapey Papers, Box 22. By permission of the Special Collections Research Center, University of Chicago Library.

Moderato rubato (♩ = 72)

The musical score is written for piano and consists of five systems of staves. The key signature is one flat (B-flat major or D minor). The tempo is Moderato rubato, with a quarter note equal to 72 beats per minute. The score includes various dynamic markings and performance instructions.

Measure 1: Treble clef, 4/4 time. Dynamics: *mf* (first half), *f* (second half). Bass clef, 4/4 time. Dynamics: *f* (first half), *f* (second half).

Measure 2: Treble clef, 3/4 time. Dynamics: *mf* (first half), *f* (second half). Bass clef, 3/4 time. Dynamics: *f* (first half), *f* (second half).

Measure 3: Treble clef, 6/4 time. Dynamics: *f* (first half), *ff* (second half). Bass clef, 6/4 time. Dynamics: *f* (first half), *f* (second half). Performance instruction: *rit.* (ritardando).

Measure 4: Treble clef, 6/4 time. Dynamics: *mf* (first half), *f* (second half). Bass clef, 6/4 time. Dynamics: *f* (first half), *f* (second half).

Measure 5: Treble clef, 5/4 time. Dynamics: *p* (first half), *mf* (second half). Bass clef, 5/4 time. Dynamics: *f* (first half), *f* (second half). Performance instruction: *a tempo*.

Measure 6: Treble clef, 5/4 time. Dynamics: *mf* (first half), *f* (second half). Bass clef, 5/4 time. Dynamics: *mf* (first half), *f* (second half).

Measure 7: Treble clef, 4/4 time. Dynamics: *f* (first half), *f* (second half). Bass clef, 4/4 time. Dynamics: *f* (first half), *f* (second half).

Measure 8: Treble clef, 3/4 time. Dynamics: *f* (first half), *p* (second half). Bass clef, 3/4 time. Dynamics: *p* (first half), *mf* (second half). Performance instructions: *sostenuto* (sustained), *poco rit.* (a little ritardando). The score ends with a double bar line and the markings *r.h.* (right hand) and *l.h.* (left hand) with asterisks.

Both Shapey's one-page Prelude and Nemiroff's longer work are written in similar Schoenbergian idioms. Shapey uses unordered pitch sets in both their vertical and horizontal forms. The Prelude is built around a measure-long rhythmic and motivic configuration that is constantly varied. Austin Clarkson has pointed out Shapey's rearrangement of basic shapes throughout the Prelude.⁸⁸ Shapey makes clear use of small pitch sets, following Wolpe's practice. The dyad, G#(Ab)–A, is employed prominently (mm. 1, 3, 5, 8, 9) in both horizontal and vertical forms, as is the trichord, G#(Ab)–D–Eb (mm. 1-2, 4, 5, 6-7, 8). Although the two pc sets do not interact, they can be perceived as part of a larger collection centered around the pc, Ab. Tritones are the dominant interval in the Prelude, as they are in *A Dream Within a Dream*, but they are not used within simultaneities in the surprising final measure.

The Prelude is subdivided into three segments, each of which concludes with a sustained chord. The chord at the end of m. 4, marked by a *ritenuto*, demarcates segment 1. The second segment (mm. 5-7) serves as an elaboration of the gestures of mm. 1-2. This segment concludes with the chord at the end of m. 7, marked by a *Luftpause*. The tetrachord, Ab3–E4–B#4–C#5, precedes the end of both segments 1 and 2, perhaps as a formal “signal” (mm. 3, 7). Measures 8-9 function as a kind of “recapitulation.” The treble line of m. 8 reproduces the pc sequence of the melodic line of m. 1-2, up to the end of beat 1 of m. 2, with rhythmic and registral alterations. The six pcs of the final measure (m. 9) are divided into three dyads, A–Ab, D–C# and F#–C. These dyads are rearranged so as to create the first consonant triad of the entire piece, F#1–D3–A3, and a fifth plus major seventh, Db4–Ab4–C7, the dissonant quality of which is mitigated by the registral arrangement of the chord. C7, the highest note of the Prelude, functions not only as a component of the trichord, but also as an overtone of Ab4.

⁸⁸ Clarkson, “Ralph Shapey's Apprenticeship,” 397-8.

Shapey's next completed composition was the Piano Quintet (1947), which represented the culmination of his work in the twelve months following his return to studies with Wolpe. The score is dated April 1947, and is dedicated to Joy Tudor, sister of pianist David Tudor. David Tudor was both a composition student of Stefan Wolpe and a piano student of Irma Wolpe at the time.⁸⁹

The musical language of the Quintet is assertively atonal. Shapey employs what he was soon to describe as "the free 12-tone technic of sound"⁹⁰ that reflected Wolpe's teaching about the music of the Second Viennese School. The angular instrumental writing is coupled with frequent metric changes (see Ex. 1.48).

⁸⁹ Austin Clarkson, "David Tudor's Apprenticeship: The Years with Irma and Stefan Wolpe," *Leonardo Journal* 14 (December 2004): 5-10.

⁹⁰ Ralph Shapey, Guggenheim Fellowship application for 1951. By permission of the J. S. Guggenheim Memorial Foundation.

Example 1.48 Atonal counterpoint, in Ralph Shapey, Piano Quintet (1947), I, mm. 249-52.
© 1958 Theodore Presser Co. Used by permission.

The musical score is presented in two systems, each containing five staves. The first system covers measures 249 and 250, and the second system covers measures 251 and 252. The time signature is 7/8. The notation is atonal, featuring a variety of note values, rests, and accidentals. Dynamic markings include *più accel.* at the start of the first system, *più mosso* at the start of the second system, and *cresc.* in measures 251 and 252. The score is written for a Piano Quintet, with staves for five instruments: two flutes, two violas, and a cello/contrabass.

The first movement has a large-scale but conventional formal design. The second movement is a passacaglia that incorporates a scherzo (m. 192) and a fugue (m. 286). Shapey clearly conceived the quintet as an academic exercise. He carefully annotated the score of the work in red pencil, noting all of the musical devices that he employed, such as “counterpoint,” “sequence,” “canon,” “fugue” and “cantus firmus.” He marked the formal divisions of the work as well. Measure 21 of the first movement is labeled, “2nd announcement.” After a fermata, a new episode beginning in m. 46 is designated, “second section.” Shapey duly arrives at the “Development” (m. 77), “Recapitulation” (m. 211) and “Coda” (m. 234).⁹¹

Free Composition: 1947-49

After Shapey completed three large works between March 1946 and April 1947, Wolpe permitted him to write more freely. Shapey’s works of 1947-49 show him attempting to respond to the evolution of Wolpe’s style during the 1940s. Shapey began to assert his artistic independence while still in thrall to his teacher’s fascinating ideas. Soon after the completion of the Piano Quintet, he began to compose a violin concerto. A fragment of a first movement that breaks off with the inscription, “To be continued,” is included in the Shapey Papers at the University of Chicago Library.⁹² Shapey employs the gestural and harmonic language of the recently completed Piano Quintet in the Violin Concerto fragment. The incomplete concerto is marked by Shapey’s use of orchestrally impractical variable meters (see Ex. 1.49). Shapey

⁹¹ The Shapey Papers include two annotated copies of the score of Shapey’s Piano Quintet. Shapey Papers, Boxes 23, 46. The Juilliard School Library also owns an annotated copy of the Quintet.

⁹² The fragment consists of 29 large sheets and is dated 6 April 1947. Since Shapey habitually dated his manuscripts both when he started a piece and when he completed it, “6 April” evidently indicates the beginning of his work on the Violin Concerto fragment. Shapey Papers, Box 24.

included the fragmentary concerto draft in his list of works when he submitted the first of several unsuccessful Guggenheim applications in October 1950.⁹³

⁹³ “First Movement of Violin Concerto (incomplete).” Ralph Shapey, Guggenheim Fellowship application for 1951. List of Musical Compositions, Accomplishments No. 4, 1. By permission of the J. S. Guggenheim Memorial Foundation.

Example 1.49 Variable meters, in Ralph Shapey, Violin Concerto draft (1947), mm. 55-9. The score is notated in C. Shapey Papers, Box 24. By permission of the Special Collections Research Center, University of Chicago Library.

The musical score for Example 1.49, measures 55-59, is written for a full orchestra and strings. The time signature changes frequently: 4/4, 5/8, 4/8, and 5/4. The instruments and parts included are:

- Piccolo
- 2 Flutes
- 2 Oboes
- English Horn
- Clarinet (E)
- 2 Clarinets
- Bass Clarinet
- Bassoon
- Contrabassoon
- Horn 1
- Horn 2
- Horn 3
- Horn 4
- Trumpet 1
- Trumpet 2
- Trumpet 3
- Trombone 1
- Trombone 2
- Trombone 3
- Tuba
- Timpani
- Percussion
- Piano
- Harp
- Violin I
- Violin II
- Viola
- Cello
- Contrabass

Key features of the score include:

- Dynamic markings:** *ff* (fortissimo), *mf* (mezzo-forte), *f* (forte), *mp* (mezzo-piano), and *sul pont.* (sul ponticello).
- Articulation:** *acc.* (accents) and *stacc.* (staccato) are used throughout.
- Performance instructions:** *Open* is written above the Horn parts in measures 55, 57, and 59.
- Rehearsal marks:** Rehearsal marks are present at the beginning of measures 55, 57, and 59.

Shapey may have abandoned this homage to Schoenberg's iconic Violin Concerto (1936) due to the impracticality of its harmonically and rhythmically complex language for orchestral performance in the concert world of 1947. What may have been possible but extremely difficult for a chamber ensemble would not have been performable by an American orchestra in the years immediately following World War II. Only a few years later, Dimitri Mitropoulos, at the time co-principal conductor of the New York Philharmonic, wrote to Shapey, warning him about rhythmic complexity in orchestral music:

If you ever write an orchestra piece, be a little more practical in your annotation, because I know the troubles I experienced in making the orchestra understand in works of Mr. Schnabel,⁹⁴ who, in a way, wrote the same asymmetrical and complicated bar division. . . . [T]he tragic result of so much complication is that people like you and Mr. Schnabel or Mr. Wolpe will have very few chances to bring their message to bigger audiences.⁹⁵

New York Philharmonic programs of the period illustrate the acceptable parameters of style for orchestral works during the late 1940s. During the 1946-47 subscription season, the Philharmonic performed new or recent American works by William Schuman, David Diamond, Samuel Barber, Norman Dello Joio, Paul Creston, Elie Siegmeister, Peter Mennin and William Grant Still, all tonal composers. Shostakovich was the most popular contemporary European composer. Not until Mitropoulos took charge of the Philharmonic in 1949 did it regularly perform works by the members of the Second Viennese School.⁹⁶

In 1948, Shapey took on new responsibilities when Wolpe founded the short-lived Contemporary Music School in New York.⁹⁷ From 1948-50, Shapey was a member of the faculty

⁹⁴ Artur Schnabel (1882-1951), pianist and composer.

⁹⁵ Dimitri Mitropoulos, letter to Shapey, 25 September 1950. Shapey Papers, Box 3.

⁹⁶ New York Philharmonic Digital Archives, accessed 20 January 2013, <http://archives.nyphil.org>.

⁹⁷ On the founding of the Contemporary Music School, see Clarkson, "Ralph Shapey's Apprenticeship," 396.

of the Contemporary Music School, teaching violin, theory and composition.⁹⁸ He also served as the vice-president of the board of directors of the school in 1948-49, and president of the board of directors in 1949-50.⁹⁹

After Shapey set aside the ambitious Violin Concerto project, he wrote a set of three contrasting settings of Carl Sandburg's poem, "Fog," for soprano and piano, dated 6 July 1948.¹⁰⁰ In his three settings of Sandburg's poem, Shapey employs the Schoenbergian harmonic idiom that he had adopted in the Piano Quintet and the Violin Concerto fragment. Shapey uses ics in a stratified manner. He presents ics 1 and 2 repeatedly as simultaneities in the piano accompaniment of "Fog I" (not shown). Shapey also pairs ics 5 and 6 in the piano accompaniment (see Ex. 1.50).

⁹⁸ Ibid., 402.

⁹⁹ Ralph Shapey, Guggenheim Fellowship application for 1951, acknowledged 14 October 1950. By permission of the J. S. Guggenheim Memorial Foundation.

¹⁰⁰ The "Fog" songs are unpublished. A copy of the songs is included in the Shapey Papers, Box 20.

Example 1.50 Systematic use of ics 5 and 6, in Ralph Shapey, “Fog I” (1948), mm. 14-5. Shapey Papers, Box 20. By permission of the Special Collections Research Center, University of Chicago Library.

14

har -

15

- bor and ci - - - - ty

f

f

= Long slow slides from note to note.

By way of contrast, Shapey uses clusters in the piano accompaniment of “Fog II.” Both the vocal line and the piano accompaniment incorporate many fourths and fifths (i5 and i7) (see Ex. 1.51).

Example 1.51 Systematic use of intervals, in Ralph Shapey, “Fog II” (1948), mm. 4-10 (cf. Ex. 1.50). Shapey Papers, Box 20. By permission of the Special Collections Research Center, University of Chicago Library.

The musical score for "Fog II" (mm. 4-10) by Ralph Shapey is presented in two systems. The first system (mm. 4-7) shows a vocal line and piano accompaniment. The vocal line has lyrics: "the fog comes on lit-tle cat feet". The piano accompaniment features various intervals and dynamics. The second system (mm. 8-10) continues the vocal line and piano accompaniment. The vocal line has lyrics: "cat feet the fog comes on lit-tle". The piano accompaniment features various intervals and dynamics.

Key features of the score include:

- Time Signature:** 3/4
- Key Signature:** No sharps or flats (C major or A minor).
- Interval Analysis:**
 - 8^{va} (Octave) intervals are marked in red.
 - 15^{ma} (Fifteenth) interval is marked in red.
- Dynamics:**
 - p* (piano) and *f* (forte) are used in the vocal line.
 - pp* (pianissimo) and *ppp* (pianississimo) are used in the piano accompaniment.
- Lyrics:**
 - the fog comes on lit-tle cat feet
 - cat feet the fog comes on lit-tle

In mm 13-5, Shapey employs Lisztian rapid sixteenth-note alternating fifths between the hands, separated by ip11. They are transformed into alternating fourths and fifths, separated by ip6, in mm. 17-8 (not shown).

In “Fog III,” Shapey uses glissandi that cover the entire keyboard as well as a diatonic cluster (m. 3) reminiscent of “Fog II.” The thematic ideas in the piano accompaniment recall *A Dream Within a Dream*, written seven years before (see Ex. 1.52).

Example 1.52 Characteristic motives, in Ralph Shapey, “Fog III” (1948), mm. 9-11 (cf. Ex. 1.7). Shapey Papers, Box 20. By permission of the Special Collections Research Center, University of Chicago Library.

The musical score is presented in two systems. The first system, labeled with a measure number '9' at the beginning, features a vocal line in a soprano register and a piano accompaniment. The vocal line consists of a single melodic line with lyrics 'har - bor and ci - ty on' written below it. The piano accompaniment is written for both the right and left hands, featuring complex, flowing arpeggiated figures. The second system, labeled with a measure number '11', continues the vocal and piano parts. The vocal line has lyrics 'si - lent haun - ches and then' and shows a change in tempo or feel, indicated by a new time signature of 4/4. The piano accompaniment continues with similar arpeggiated textures, including triplet markings in the left hand.

The soprano alternates between slow glissandi (see Ex. 1.53) and recitation of the text over the piano accompaniment in “Fog I.”

Example 1.53 Vocal glissandi, in Ralph Shapey, “Fog I” (1948), m. 8. Shapey Papers, Box 20. By permission of the Special Collections Research Center, University of Chicago Library.

The image shows a musical score for measure 8 of "Fog I" by Ralph Shapey. The score is in 4/4 time and consists of a vocal line (treble clef) and a piano accompaniment (bass clef). The vocal line features a glissando from a half note G4 to a half note E4, with lyrics "the fog comes" underneath. The piano accompaniment features a glissando from a half note G3 to a half note E3, with lyrics "the fog comes" underneath. The score includes dynamic markings *f* and *ff*, and a crescendo hairpin. The measure number 8 is indicated at the top left.

While the voice primarily imitates the piano in “Fog II,” it gradually moves downward through the circle of fifths during “Fog III” (see Ex. 1.52), contrasting with Shapey’s dramatic piano writing.

Shapey’s next project was the first movement of *Three Essays on Thomas Wolfe*, which he completed in September 1948. He set aside this work, however, to write his String Quartet No. 2.¹⁰¹ The completion of String Quartet No. 2 in January 1949 marked the conclusion of Shapey’s formal studies.¹⁰²

¹⁰¹ Theodore Presser Co. publishes both score and parts of Shapey’s String Quartet No. 2: 11440571S (score); 11440571P (parts).

¹⁰² Shapey later commented: “After I had written my Second Quartet, which was finished, as I said, either ’48 or ’49 . . . I would say that, from that point on, I was not formally studying music with him [Wolpe] any longer. Even that, I didn’t study with him. I wrote the quartet as a so-called friend and colleague. I let him see it . . . There were no longer formal week by week--or any such thing--studies.” Carol K. Baron, interview with Ralph Shapey, transcript, 76. Wolpe/Baron Archive.

String Quartet No. 2 was the first of several works in which Shapey attempted to assimilate the influence of Bartók. Shapey was one of many composers in both Europe and America who attempted to integrate the Hungarian composer's harmonic and coloristic techniques into their music during the years immediately after the end of World War II. They inevitably adopted some of his stylistic fingerprints as well. Shapey's String Quartets No. 2 (1948-49), No. 3 (1950-51) and No. 5 (1957-58) draw on the timbres and textures of Bartók's quartets. Shapey uses Bartókian gestures both to dramatize and simplify his fundamentally Schoenbergian language.

Shapey does not individuate the members of the ensemble in String Quartet No. 2, nor does he use dramatic contrasts of register and density as an organizational strategy. The techniques of academic counterpoint, so important in the second movement of the Piano Quintet, play a dominant role in the quartet. Shapey also employs Wolpe's ideas about the systematic use of intervals.

The themes of String Quartet No. 2 undergo elaboration rather than transformation. Consequently, Shapey's musical discourse has a circular quality. Movement I has a two-part structure. Violin I introduces the main theme in m. 3 (see Ex. 1.54). Both the main theme and violin II's accompanimental countertheme are distinguished by their repeated use of ics 5 and 6. The countertheme is continuously repeated with slight variations, while the main theme is alternately presented in its original form and in chromatically inflected variants (mm. 6-8, 10-11) until Shapey deconstructs its intervallic content (mm. 30-7). Shapey uses double- and triple-stop chords in m. 38 to create a structural boundary (see Ex. 1.55).

Example 1.54 Main theme, in Ralph Shapey, String Quartet No. 2 (1948-49), I, mm. 3-5. © 1958 Theodore Presser Co. Used by permission.

3

f

mf

mf

f

Example 1.55 Use of chords to create a structural boundary, in Ralph Shapey, String Quartet No. 2 (1948-49), I, mm. 37-8. © 1958 Theodore Presser Co. Used by permission.

Maestoso

37

f

ff

ff

ff

A str.

In measures 39-61, Shapey recapitulates the first section with a busier and thicker

polyphony. The hitherto silent cello enters the polyphonic texture in m. 42, presenting the main theme in canon with the viola at *il l* while the violins play the countertheme in canon at *il l*. At the end of the movement, Shapey repeats the slashing chordal gesture of m. 38, but in expanded form (mm. 58-60, not shown).

Movement II is monothematic. The theme is a rearrangement of the intervallic components of the first movement theme (m. 62, not shown). It is first stated by the viola, and then elaborated by all of the members of the ensemble (mm. 63-8). At the end of the movement, Shapey presents a truncated, intervallically compressed version of the theme in which adjacencies are limited to ics 1, 2 and 3 (see Ex. 1.56).

Example 1.56 Truncated theme, in Ralph Shapey, String Quartet No. 2 (1948-49), II, mm. 75-6. © 1958 Theodore Presser Co. Used by permission.

Maestoso
rit.

The final reiteration of this truncated theme leads directly to the third movement

passacaglia.¹⁰³ The cello introduces the passacaglia theme (see Ex. 1.57), which begins with the concluding thematic variant of the second movement and its inversion. The final segment of the passacaglia theme includes measures 5 and 6, echoing the theme and countertheme of movement I. During the first two statements of the passacaglia theme (mm. 77-88), violin II and the viola alternately present its opening motive (the truncated second movement theme) in augmentation. Both instruments employ inversion as well.¹⁰⁴ During the second statement of the passacaglia theme, violin I presents the entire theme, segmented, and in diminution and inversion (see Ex. 1.57).

¹⁰³ Movement II of the Piano Quintet is also a passacaglia.

¹⁰⁴ Shapey reverses the directionality of the concluding dyad of the motive. He later labeled this procedure a “perversion.” He defined a “perversion” as follows: it “[employs] the same intervallic structure as the motif but not the same directionality.” See Shapey, *A Basic Course*, 13.

Example 1.57 Passacaglia theme in diminution and inversion, in Ralph Shapey, String Quartet No. 2 (1948-49), III, mm. 83-6. © 1958 Theodore Presser Co. Used by permission.

The theme is later presented in diminution and inversion by the entire ensemble (mm. 96ff.), permitting Shapey to intensify the pace of his polyphony. Bartókian glissandi (mm. 112-25) dominate the second half of the movement. Both the first and second halves of the movement end with a development of the final segment of the passacaglia theme, noticeable by its use of large intervals.

Shapey combines the themes of the first and third movements of the quartet in movement

IV. The cello presents the beginning of the passacaglia theme, while the theme and countertheme of movement I are restated by violins I and II. The first half of the movement concludes with glissandi and Bartókian “slashing” chords (mm. 174-82). The second half opens with a canonic presentation of the passacaglia theme (mm. 185-93) (see Ex. 1.58).

Example 1.58 Formal transition, in Ralph Shapey, String Quartet No. 2 (1948-49), IV, mm. 174-86 (cf. Ex. 1.55). © 1958 Theodore Presser Co. Used by permission.

174 G str.

181 Sostenuto con espr. $\text{♩} = 184$

G. P. sul pont. non vib. *p*

G. P. *p* Con sord.

G. P. *p* Con sord.

G. P.

The quartet ends with a passage of repeated *ff* chords, again reminiscent of Bartók's

quartets. Shapey's intermittent reliance on Bartókian gestures in String Quartet No. 2 spoils what is otherwise an accomplished and individual work.¹⁰⁵

The Juilliard Quartet premiered String Quartet No. 2 on 27 March 1950 at Times Hall in New York.¹⁰⁶ The concert consisted entirely of works by members of the faculty of Wolpe's Contemporary Music School, and concluded with the second performance of Wolpe's Quartet for Trumpet, Tenor Saxophone, Percussion and Piano, conducted by Shapey. Shapey later claimed that "everybody" hailed his String Quartet No. 2 as the next great string quartet after Schoenberg and Bartók.¹⁰⁷ In fact, *New York Times* reviewer Carter Harman was not enthusiastic. He wrote,

The Juilliard Quartet's rendition of Ralph Shapey's String Quartet [No. 2] also approached the musical tradition of melody and rhythm, but became preoccupied with cuteness in the form of glissandi. . . . It is to be hoped that the composers will soon develop musical personalities of their own.¹⁰⁸

¹⁰⁵ Shapey taught Bartók's quartets when he was an instructor at Wolpe's Contemporary Music School in New York. Years later, he told Carol K. Baron, "I think he had to go away, Stefan [Wolpe], or something; and he turned everything over to me. There was an analysis class that he was doing, I think on the Bartók Fifth Quartet, and I had to take it over." Carol K. Baron, interview with Ralph Shapey, transcript, 69 [editorial additions by Carol K. Baron and Barry Wiener]. Wolpe/Baron Archive. When Baron interviewed the composer Edward Levy, he recounted, "I began to study with Ralph [at the Contemporary Music School] in 1948 . . . Ralph started me with Bartók and Beethoven . . . Bartók's String Quartets from 1 through 6 and Beethoven's String Quartets from 18 backwards, or 16 backwards, this way. Ralph didn't kid around. . . . We [Wolpe and his students] spent a lot of time on the Bartók quartets. Remember, this is just after Bartók died, and there was a tremendous influence by Bartók around the late forties." Carol K. Baron, interview with Edward Levy, New York, 28 October [1975?], transcript, 7-8 [editorial additions by Barry Wiener]. Wolpe/Baron Archive.

¹⁰⁶ When he was interviewed by Carol K. Baron, Shapey explained: "Yeah, this is when the Juilliard Quartet[s] arm was twisted, and they did my Second String Quartet, which raised a hackle from everybody. That's, I mean, basically, all I remember about that particular concert, you know. The critic, I'm sure, panned it." Carol K. Baron, interview with Ralph Shapey, transcript, 186. Wolpe/Baron Archive. The Juilliard Quartet recorded Shapey's quartet a week after the premiere. See Ralph Shapey, Guggenheim Fellowship application for 1951, *Accomplishments No. 4*, 2. By permission of the J. S. Guggenheim Memorial Foundation.

¹⁰⁷ Carol K. Baron, interview with Ralph Shapey, transcript, 77. Wolpe/Baron Archive.

¹⁰⁸ C. H. [Carter Harman], "Two Groups Heard in Chamber Music," *The New York Times*, 28 March 1950: 27.

Shapey was only one of many composers who attempted to assimilate the influence of both Bartók and Schoenberg in the late 1940s. While his use of timbre and texture in the quartet betrays his indebtedness to his models, his use of repetition and elaboration to create a circular narrative allied him with radical trends.

Mastery and Discipleship

In 1949, Shapey composed music for the puppet ballet in act II of Federico García Lorca's play, *The Shoemaker's Prodigious Wife* [*La zapatera prodigiosa* (1926-30, rev. 1933)].¹⁰⁹ There is no documentary evidence to explain Shapey's involvement with García Lorca's play.¹¹⁰ It was, however, staged in New York shortly after Shapey completed the ballet music, suggesting that he may have been asked to contribute to the production, but that the director rejected his work.¹¹¹ After Shapey finished working on the theater project, he resumed work on *Three Essays on Thomas Wolfe*, adding two additional movements to the first 'Essay' between July and September 1949.¹¹²

Three Essays is undoubtedly the most significant of all of Shapey's early works. Together with its purely musical importance, it has a special position in Shapey's career as the first of his

¹⁰⁹ Federico García Lorca, *Lorca Plays: Two*, trans. and introduced by Gwynne Edwards (London: Methuen Drama, 1990), 1-41.

¹¹⁰ Shapey's unpublished score is dated 2 June 1949. Shapey Papers, Box 24.

¹¹¹ On 14 June 1949, a production of García Lorca's *The Shoemaker's Prodigious Wife* opened at the Provincetown Playhouse in Manhattan. Neither the playbill nor the reviews mention a composer or orchestra. See Leon Morse, "The Shoemaker's Prodigious Wife with *The Stronger*," *Billboard Magazine*, 25 June 1949: 43.

¹¹² Theodore Presser Co. publishes *Three Essays on Thomas Wolfe*: #410-41236.

works to be broadcast or recorded. Pianist David Tudor performed the third movement of *Three Essays on Thomas Wolfe* on WNYC's "Chamber Music Time" on 26 November 1949.¹¹³

Three Essays represents a radical departure from the works of 1946-47. Shapey employs the gestural and harmonic language of Piano Sonata No. 1 (1946) within a rhythmically free, ametrical context. The work is entirely unbarred. The clearly defined phrases and firmly articulated rhythms of Shapey's earlier music have been discarded.¹¹⁴ The first and third movements are multisectional, cyclic structures. Shapey unifies the *Essays* by using similar thematic material, and similar kinds of sectional contrasts, in all three movements.

Shapey's reference to the novelist Thomas Wolfe (1900-38) in the title of the *Essays* is directly related to its musical syntax and structure. Shapey discerned resemblances to his own evolving ideas about musical time and space in Wolfe's prose, and inserted passages from Wolfe's writings into the score in order to articulate his musical concepts. On the first page of the manuscript of "Essay I," Shapey wrote out several possible subtitles above the title, including "Of Time and Space," "Essay on Time," "Essay on Time and Space," and "Of Time – an Essay." He crossed them all out, however. Rather than employing subtitles, he inserted an epigraph, chosen from Wolfe's novel, *Look Homeward, Angel* (1929), before each movement. These epigraphs convey images of the suspension of time and space: "[T]he eternal movement had stopped, suspended in the Timeless architecture of the Absolute."¹¹⁵

¹¹³ Ralph Shapey, Guggenheim Fellowship application for 1951. *Accomplishments No. 4*, 2. By permission of the J. S. Guggenheim Memorial Foundation. There is an air check copy of this broadcast in the Shapey Papers, Box 155.

¹¹⁴ See the unpublished essay by Gordon E. Marsh, "Shapey at the Piano: Evolution of a Style."

¹¹⁵ Epigraph to "Essay I."

Shapey did not intend to present an interpretation of Wolfe's novel by selecting brief excerpts from the work. Rather, he chose the texts from an anthology of Wolfe's writings.¹¹⁶ In a 1983 interview with Vivian Perlis, Shapey discussed his use of Wolfe's prose:

Perlis: And what was the connection to Thomas Wolfe? Only that it was—your admiration for his writing at that period of time?

Shapey: Yes, early admiration for his writings, and those particular passages, you know, meant something special, and on the score, you know, I quote the passages and that's all, as the inspirational idea.¹¹⁷

Shapey employs organizational techniques in the *Essays* that are clearly related to those of Wolfe's *Battle Piece*.¹¹⁸ While *Battle Piece* is a palindromic work in seven sections,¹¹⁹ *Three Essays on Thomas Wolfe* contains multiple structural symmetries. The first movement has an episodic form. The stately opening idea (see Ex. 1.59) and its permutations return periodically throughout the movement, somewhat in the manner of a rondo. The opening music alternates with faster, scherzo-like passages (see Ex. 1.60). Shapey melds the two kinds of thematic gestures together (pp. 16-7, not shown) before the movement concludes with a grand peroration in octaves, using a new slow, proclamatory theme. This theme is decorated by elements of the opening idea (see Ex. 1.61).

¹¹⁶ *The Face of a Nation: Poetical Passages from the Writings of Thomas Wolfe*, ed. John Hall Wheelock (New York: Charles Scribner's Sons, 1939). The epigraph for "Essay I" is presented under the heading, "Fixity and Change," and is printed on p. 18.

¹¹⁷ Vivian Perlis, interview with Ralph Shapey, Chicago, 16-17 April 1983, transcript, 76. Oral History of American Music, Yale University.

¹¹⁸ Shapey heard *Battle Piece* repeatedly before its premiere, listening to David Tudor as he practiced the work. Email from Austin Clarkson to the author, 29 January 2010.

¹¹⁹ See Austin Clarkson, preface to the score of Wolfe, *Battle Piece*, p. II.

Example 1.61 Proclamatory theme, in Ralph Shapey, *Three Essays on Thomas Wolfe* for Piano (1948-49), I, p. 18, systems 1-2. © 1954 Theodore Presser Co. Used by permission.

Adagio maestoso

As in previous compositions, Shapey uses intervals as thematic and structural elements in the *Essays*. His coupling of repeated thirds and fifths (i3 and i7 dyads) as thematic elements in the first movement (see Ex. 1.62) gives the music tonal resonances.

Example 1.62 Repeated thirds and fifths, in Ralph Shapey, *Three Essays on Thomas Wolfe* for Piano (1948-49), I, p. 6, systems 2-3. © 1954 Theodore Presser Co. Used by permission.

The musical score for Example 1.62 consists of two systems of music. The first system (systems 2-3) is in G major and 4/4 time. It features a piano (p) section with repeated thirds and fifths in the right hand, and a forte (f) section with repeated thirds and fifths in the left hand. The score includes dynamic markings (f, ff), articulation (accents), and phrasing slurs.

In the slow, quiet second movement, Shapey decorates atmospheric cluster chords with delicate filigree patterns (see Ex. 1.63). He intermittently introduces thematic figures similar to those in the first movement, unifying the *Essays* as a cycle (not shown).

Example 1.63 Cluster chord, in Ralph Shapey, *Three Essays on Thomas Wolfe* for Piano (1948-49), II, p. 26, system 3. © 1954 Theodore Presser Co. Used by permission.

The musical score for Example 1.63 is written for piano. It consists of five staves. The top two staves are in treble clef, and the bottom three are in bass clef. The music features a complex cluster chord in the right hand, marked with a *p* (piano) dynamic and a crescendo leading to a *pp* (pianissimo) dynamic. The left hand has a melodic line with a slur and a *p* dynamic, and a bass line with a *p* dynamic. A *Sost. Ped.* (Sostenuto Pedal) instruction is at the bottom. The word "harmonics" is written above the second staff.

The third movement presents contrasting ideas that are rotated in a kaleidoscopic arrangement. The opening theme recalls the passacaglia theme in String Quartet No. 2 (see Ex. 1.64). Presented together, this theme and its countertheme evoke fugal procedures (see Ex. 1.65).

Example 1.64 Opening theme, in Ralph Shapey, *Three Essays on Thomas Wolfe* for Piano (1948-49), III, p. 30, system 1 (cf. Ex. 1.57). The main motivic figure and its variant are circled. © 1954 Theodore Presser Co. Used by permission.

The musical score for Example 1.64 is written for piano. It consists of five staves. The top two staves are in treble clef, and the bottom three are in bass clef. The music begins with a *f* (forte) dynamic and a *non legato* marking. Two motifs are circled: the first is a descending eighth-note figure in the bass, and the second is a similar figure in the treble. The score includes various musical notations such as slurs, ties, and dynamic markings.

Example 1.65 Theme coupled with countertheme, in Ralph Shapey, *Three Essays on Thomas Wolfe* for Piano (1948-49), III, p. 30, system 5. © 1954 Theodore Presser Co. Used by permission.

Shapey introduces an additional theme (see Ex. 1.66) that clearly alludes to the opening theme of part III of Wolfe's *Battle Piece* (see Ex. 1.34),¹²⁰ which he had previously used as a model for themes in his Piano Sonata. He combines all three themes in counterpoint twice in the course of the movement (not shown).¹²¹

Example 1.66 Allusion to Wolfe's *Battle Piece*, in Ralph Shapey, *Three Essays on Thomas Wolfe* for Piano (1948-49), III, p. 32, system 3 (cf. Ex. 1.34). © 1954 Theodore Presser Co. Used by permission.

¹²⁰ In addition to his November 1949 premiere of the third movement of Shapey's *Essays*, David Tudor gave the first performance of Wolfe's *Battle Piece* on 11 March 1950, at McMillin Academic Theater, Columbia University, New York.

¹²¹ "Essay III," p. 35, system 1; p. 43, system 1.

Shapey elaborates his ideas rather than developing them in the traditional sense. An augmented version of the first theme (see Ex. 1.67) and a version of the first theme in close position (see Ex. 1.68) (later presented in diminution, using thirty-second notes [not shown]¹²²) play a major part in the development of the movement. Shapey's use of these techniques in the *Essays* recalls the Piano Quintet (1947), in which he extensively employs the devices of academic counterpoint.

Example 1.67 Augmented version of the first theme, in Ralph Shapey, *Three Essays on Thomas Wolfe* for Piano (1948-49), III, p. 34, systems 3-4. © 1954 Theodore Presser Co. Used by permission.

Example 1.68 Registral compression of the first theme, in Ralph Shapey, *Three Essays on Thomas Wolfe* for Piano (1948-49), III, p. 39, system 4. © 1954 Theodore Presser Co. Used by permission.

There is an essential unity of language and type of discourse throughout the *Essays*.¹²³

Shapey maintains a careful balance between his use of traditional and progressive procedures.

¹²² "Essay III," p. 41, system 2.

¹²³ For a contrary view, see Clarkson, "Ralph Shapey's Apprenticeship with Stefan Wolpe," 399.

The relatively conventional “framing” material that appears periodically throughout the first movement sets the stage for the freer discourse of the rest of the movement and the following movements. In the third movement, supposedly the most freely ordered of the *Essays*, Shapey employs procedures borrowed from fugue to organize his ideas.

Despite their resemblances to Wolpe’s *Battle Piece*, the *Essays* display an originality of conception. Shapey’s formulation of an essentially circular musical discourse differs radically from Wolpe’s dialectic of the continuous permutation of ideas, although the harmonic and gestural languages of the two pieces are similar. Much later in life, Shapey reconsidered this forgotten piece. It was published by Theodore Presser in 1980, and was given its first complete performance by pianist Lisa Moore on 27 September 1981 at Carnegie Hall, during the finals of the 1981 Carnegie Hall International American Music Competition, sponsored by the Rockefeller Foundation.¹²⁴

Shapey completed *Three Essays on Thomas Wolfe* ten years after his first meeting with Stefan Wolpe in 1939. The *Essays* symbolize his aspiration, as an ambitious young composer, to master the most sophisticated elements of his teacher’s musical language. They reflect the fact that he was still strongly influenced by Wolpe’s music and ideas. Shapey was not yet capable of assimilating the techniques and characteristic gestures that he had derived from his models into an individual compositional style.

Shapey’s search for his own compositional voice was his central concern in the following decade. He also needed to gain recognition for his music, and to establish himself in the musical world. Shapey’s dual struggle to attain artistic self-realization and to gain professional success determined the arc of his career during the early 1950s.

¹²⁴ Thanks to Sylvia Kahan for this information.

CHAPTER TWO: CHOICES, 1949-54

Absorbing the Lessons of the Masters

Last Sunday night a group of fifty persons heard the preview-premier of Sonata 1949 by Stefan Wolpe. . . . In my [view] Mr. Wolpe in this sonata finally reached his peak as a mature composer. His flux of melodic invention, harmonic circulation and rhythmic drive was evident in a masterful composition. . . . I congratulate Mr. Wolpe on his new found expression, since this work presents a large gap from his earlier works, and to the performers for a job exceptionally well done.

Ralph Shapey¹

During the years 1949-54, Ralph Shapey followed a zigzag path between a new type of musical discourse and conventional ideas about the continuity of a musical narrative as he searched for a language of his own (see Table 2.1 and Fig. 2.1). Although Shapey had begun to discard traditional concepts of continuity in the works of 1948-49, his admiration for Wolpe's stylistically eclectic Sonata for Violin and Piano (1949) seems to have prompted second thoughts about his compositional path. Shapey responded to Wolpe's Sonata with his own Sonata for Violin and Piano (1949-50),² a much more conservative work than *Three Essays on Thomas Wolfe*, the piece that immediately preceded it.

¹ Ralph Shapey, "The Magnus [Frances Magnes] Concert," *The Ophicleide* 1, no. 1 (October 1949): 4-6. Courtesy of Austin Clarkson.

² A copy of the pencil manuscript of the Sonata for Violin and Piano is included in the Shapey Papers, Box 24. The Juilliard Library owns a copy of the holograph score.

Table 2.1 Ralph Shapey: Chronology, 1949-53

Sonata for Violin and Piano	26 October 1949–8 January 1950
Cond., prem. of Wolpe, Sax Qt.	11 March 1950
String Quartet No. 3	31 January 1950–20 January 1951
First Guggenheim Fellowship application	1951
<i>Seven Little Pieces</i> for Piano	22 February–10 March 1951
Cantata, narr., vocal soloists, small orchestra	22 January–17 June 1951
Edgard Varèse, letter of recomm. for Shapey	26 November 1951
Fantasy for Orchestra	9 July–28 August 1951
Hon. mention, Gershwin Memorial Contest	1951
<i>Sonate</i> for Oboe and Piano	11 November 1951–26 February 1952
<i>Suite of Four Pieces</i> , piano	5 March–20 April 1952
Symphony No. 1, orchestra	19 May–26 August 1952
Oboe Quartet, oboe and string trio	2 November–18 December 1952
String Quartet No. 4	4 June–9 September 1953
Frank Huntington Beebe Fellowship Award	1953
Beebe Fellowship trip to Europe	September 1953–July 1954
St. Qt. No. 4, prem., New Music Quartet	26 May 1954
<i>Sonate</i> for Cello and Piano	15 October 1953–1 January 1954
<i>Burnt Norton</i> [sketch], narr. and piano	December 1953
<i>Piece in the Form of Sonate-Variations</i>	2 January–15 February 1954
<i>For 11 Instruments</i> [sketch]	January–March 1954
Concerto for Clarinet and Chamber Group	24 March–7 June 1954

Figure 2.1 Ralph Shapey, early 1950s. By permission of the Special Collections Research Center, University of Chicago Library.

The initial notes of the violin part in the *Largo maestoso* first movement allude to the beginning of Wolpe's recently completed Violin Sonata (see Exx. 2.1a and 2.1b).³ Despite this superficial resemblance, the two works begin quite differently. Shapey presents a slowly developing narrative that contrasts with Wolpe's quickly evolving dialectic. Wolpe's music embodies a complex web of ic relationships, while Shapey employs the interval of the tritone (ic6) as the primary element of his discourse. The violin similarly plays an accompaniment consisting almost exclusively of tritone figures when the piano presents the second theme of the first movement of Shapey's Sonata (see Ex. 2.2). Shapey had not yet overcome his obsession with the tritone, demonstrated years before in *A Dream Within a Dream* (1941).

³ Austin Clarkson, "Ralph Shapey's Apprenticeship with Stefan Wolpe," *Contemporary Music Review* 27, nos. 4/5 (August-October 2008): 389–405, especially 402.

Example 2.2 Introduction of the second theme, in Ralph Shapey, Sonata for Violin and Piano (1949-50), I, p. 4, system 1. Shapey Papers, Box 24. By permission of the Special Collections Research Center, University of Chicago Library.

$\text{♩} = 168$

p short & crisp

mf gay, flirtatious

Shapey builds intensity by the gradual diminution of rhythmic values to thirty-second notes (see Ex. 2.3). He then changes both rhythm and texture, introducing a dramatic “March,” in which the violin develops the opening theme above a piano accompaniment of alternating dyads (not shown). Shapey rounds off the first movement with a return to the opening thematic material. This concluding episode parallels the interlude between the two presentations of the second theme. Both episodes begin with ascending thirty-second-note figures in the piano and are marked sixteenth note = 126 (not shown).

Example 2.3 Diminution of rhythmic values, in Ralph Shapey, Sonata for Violin and Piano (1949-50), I, p. 9, system 1 (cf. Ex. 2.2). Shapey Papers, Box 24. By permission of the Special Collections Research Center, University of Chicago Library.

$\text{♩} = 168$

The musical score for Example 2.3, System 1, is for the Sonata for Violin and Piano by Ralph Shapey. The tempo is marked as quarter note = 168. The key signature has one flat (B-flat). The score consists of three systems of staves. The Violin part is on the top staff, and the Piano part is on the bottom two staves. The score features rapid repeated dyads, primarily octaves and fifths, in both the violin and piano parts. Dynamic markings include *mf*, *f*, *p*, and *mf*. The score is characterized by a diminution of rhythmic values.

The second movement is a vigorous scherzo in variable meters. The rapid repeated dyads, primarily octaves and fifths, in both the violin and piano parts recall Bartók's music (see Exx. 2.4a and b). Major and minor seconds and sevenths (ics 1 and 2) are also prominent in the abrasive harmonic language of the movement. Shapey sometimes presents ic1 systematically in the melodic line (mm. 29-34, 59-63). In one passage, he presents ic1 in both the melodic line and the piano accompaniment (see Ex. 2.5).

Example 2.4a Dyads in fifths, in Ralph Shapey, Sonata for Violin and Piano (1949-50), II, mm. 1-4. Shapey Papers, Box 24. By permission of the Special Collections Research Center, University of Chicago Library.

$\text{♩} = 184$ Allegro vivace

Violin

Piano

f

Example 2.4b Dyads in fifths and ninths, in Béla Bartók, String Quartet No. 3 (1927), SZ85, Seconda parte, conclusion. Note that there is an engraving mistake in the final measure; the cello chord should be marked *ff*. © Copyright 1929 Boosey & Hawkes, Inc. Copyright renewed. Reprinted by permission.

Budapest, 1927. except.

Example 2.5 Horizontal and vertical use of ic1, in Ralph Shapey, Sonata for Violin and Piano (1949-50), II, mm. 44-8. Shapey Papers, Box 24. By permission of the Special Collections Research Center, University of Chicago Library.

The third movement, for violin solo, serves as an interlude within the formal plan of the sonata. Like the first movement, the third movement is unbarred and rhythmically free. The opening figures are separated by a tritone, and are succeeded by a series of tritone dyads that echo the main theme of the first movement (see Ex. 2.6).

Example 2.6 Tritone dyads in the melodic line, in Ralph Shapey, Sonata for Violin and Piano (1949-50), III, beginning (cf. Exx. 2.1b and 2.2). Shapey Papers, Box 24. By permission of the Special Collections Research Center, University of Chicago Library.

The monothematic fourth movement is a set of variations. In contrast to his emphasis on the tritone in movement I, Shapey employs fourths and fifths, particularly paired dyads, a half-step apart, as central thematic elements (see Ex. 2.7).

Example 2.7 Fourths and fifths (ic5) used as thematic elements, in Ralph Shapey, Sonata for Violin and Piano (1949-50), IV, mm. 99-102. Shapey Papers, Box 24. By permission of the Special Collections Research Center, University of Chicago Library.

The musical score for Example 2.7 shows measures 99-102. The violin part (top staff) features a melodic line with various intervals, including fourths and fifths, marked with a mezzo-forte (*mf*) dynamic. The piano part (bottom staff) provides accompaniment with chords and single notes, also marked with a mezzo-forte (*mf*) dynamic. The key signature has one flat (B-flat).

The music evolves through an oscillation between processes of rhythmic diminution and augmentation. Shapey's use of rhythmic diminution and augmentation in the fourth movement is comparable to his use of rhythmic diminution in the first movement (see Ex. 2.3). Together with his use of rhythmic contraction and expansion to construct the musical narrative, Shapey employs layered textures in movement IV that evoke fifth (mixed) species counterpoint.

The opening section illustrates Shapey's method. The violin and piano together state the first two bars of the theme, which has a quarter-note pulse (mm. 1-2). The piano then completes the theme and adds an accompaniment with an eighth-note pulse (mm. 3-11). In m. 12, Shapey introduces a third layer. The violin takes over the presentation of the theme, while the bass line

Example 2.9 Theme used as a cantus firmus, in Ralph Shapey, Sonata for Violin and Piano (1949-50), IV, mm. 56-7. Shapey Papers, Box 24. By permission of the Special Collections Research Center, University of Chicago Library.

The musical score for Example 2.9 consists of two staves: a violin staff (treble clef) and a piano staff (grand staff, treble and bass clefs). The key signature has one sharp (F#), and the time signature is 4/4. Measure 56 begins with a violin melody on G4, followed by A4, B4, and C5. The piano accompaniment in the right hand consists of eighth and sixteenth notes, while the left hand has a single bass note. Measure 57 continues the violin melody with more complex rhythmic patterns. The piano accompaniment in the right hand features chords and moving lines, while the left hand continues with bass notes. Dynamics include *mf*, *f*, *p*, and accents.

The only evidence for a performance of the Violin Sonata during Shapey's lifetime is a letter from Wolpe to his student, Nettie Simons. Wolpe commented on the work and noted the influence of his own music on Shapey.⁴ Miranda Cuckson, violin, and Blair McMillen, piano, gave the concert premiere of the Violin Sonata on 8 September 2009 at the Mannes School of Music. They also recorded the work on Centaur CRC 3103.

Unlike the concise String Quartet No. 2, Shapey's String Quartet No. 3 (1950-51)⁵ is a large five-movement work. The first movement is an allegro that begins with a slow introduction. The second movement is an adagio, the third a scherzo. The fourth movement is a second slow movement, while the finale is an energetic Bartókian folk dance. String Quartet No.

⁴ "Why did Shapey's Sonata affect you so much? I heard it once. I heard my own Vln. Son. in it. But I am used to that." Letter from Stefan Wolpe to Nettie Simons, 15 March 1956. Netty [Nettie] Simons Papers, Performing Arts Research Collections, New York Public Library. My thanks to Austin Clarkson for providing a transcription of the letter.

⁵ Theodore Presser Co. publishes score and parts for String Quartet No. 3. Score: 11441135S; parts: 11441135P. I have no information about performances of the work.

3 represents Shapey's most ambitious attempt to assimilate Bartók's style and compositional techniques. Shapey copied both the formal plan of Bartók's String Quartet No. 5 (a five-movement arch-form scheme with movements II and IV as slow movements) and the themes and textures of Bartók's music. The opening of the fifth movement of Shapey's piece is modeled on the opening theme of the first movement of Bartók's Fifth Quartet (see Exx. 2.10a and b).

Example 2.10a Béla Bartók, String Quartet No. 5 (1934), SZ102, I, mm. 1-2. © Copyright 1936 Boosey & Hawkes, Inc. Copyright renewed. Reprinted by permission.

♩ = 138 - 132

The musical score consists of four staves, each representing a different instrument: Violin I, Violin II, Viola, and Cello/Double Bass. The time signature is 4/4. The key signature has one flat (B-flat). The tempo/meter marking is ♩ = 138 - 132. The first measure of each staff contains a series of eighth notes, with a forte (f) dynamic marking. The second measure contains a half note followed by a quarter rest, then a quarter note, and finally a half note. The staves are grouped by a brace on the left.

Example 2.10b Ralph Shapey, String Quartet No. 3 (1950-51), V, mm. 1-3 (cf. Ex. 2.10a).
© 1959 Theodore Presser Co. Used by permission.

$\text{♩} = 216$ ($\text{♩} = 72$)

Shapey also imitates other surface features of Bartók's style. He employs a type of pizzicato that he describes in the score of String Quartet No. 3 as a "guitar-like strumming," reminiscent of the final bars of Bartók's String Quartet No. 6 (1939) (see Exx. 2.11a and b).

Example 2.11a Strummed pizzicato, in Béla Bartók, String Quartet No. 6 (1939), SZ114, IV, conclusion. © Copyright 1941 by Hawkes & Son (London), Ltd. Reprinted by permission.

Example 2.11b Strummed pizzicato, in Ralph Shapey, String Quartet No. 3 (1950-1), III, rehearsal letter B (cf. Ex. 2.11a). © 1959 Theodore Presser Co. Used by permission.

The musical score for Example 2.11b consists of four staves. The first two staves are in 4/4 time, and the last two are in 3/4 time. The score includes a rehearsal mark 'B' at the beginning. The first staff has a treble clef and a key signature of one sharp (F#). The second staff has a treble clef and a key signature of one sharp (F#). The third staff has a bass clef and a key signature of one sharp (F#). The fourth staff has a bass clef and a key signature of one sharp (F#). The score includes a dynamic marking 'f' (forte) and a note 'pizz.' (pizzicato) with an asterisk indicating guitar-like strumming.

Shapey imitates Bartók's use of glissandi within a string quartet texture, and his characteristic dramatic manner of concluding a fast movement (see Exx. 2.12a, b and c). The influence of Schoenberg's music is also evident in the quartet, particularly in the widely spaced atonal lines of the second slow movement (see Ex. 2.13).

Example 2.12a Glissandi, in Béla Bartók, String Quartet No. 3 (1927), SZ85, Seconda parte, Coda. © Copyright 1929 Boosey & Hawkes, Inc. Copyright renewed. Reprinted by permission.

Example 2.12a shows a musical score for a string quartet, specifically the Coda section of the Seconda parte of Béla Bartók's String Quartet No. 3 (1927). The score is written for four staves (Violin I, Violin II, Viola, and Cello/Double Bass). It features glissandi (slurs over multiple notes) and dynamic markings 'p' (piano) and 'cresc.' (crescendo). A measure number '15' is indicated in a box at the top right. The key signature has one sharp (F#).

Example 2.12b Conclusion of Béla Bartók, String Quartet No. 5 (1934), SZ102. © Copyright 1936 Boosey & Hawkes, Inc. Copyright renewed. Reprinted by permission.

Example 2.12b shows the conclusion of Béla Bartók's String Quartet No. 5 (1934). The score is written for four staves (Violin I, Violin II, Viola, and Cello/Double Bass). It features dynamic markings 'cresc.' (crescendo) and 'p' (piano). The second system is marked 'Slargando' and '♩ = 104'. A measure number '320' is indicated in a box at the top right. The key signature has one flat (Bb).

Budapest, 1934. aug. 6. - anyag. 6.

Example 2.12c Ralph Shapey, String Quartet No. 3 (1950-51), I, mm. 263-76 (cf. Exx. 2.12a and b). © 1959 Theodore Presser Co. Used by permission.

263

Violin I, Violin II, Viola, and Cello/Double Bass staves. Measures 263-266. The music features a mix of whole, half, and quarter notes, with some triplets and slurs.

poco accel.

267

Violin I, Violin II, Viola, and Cello/Double Bass staves. Measures 267-272. The music features a mix of whole, half, and quarter notes, with some triplets and slurs. An annotation *poco accel.* with a line pointing to the start of measure 267 is present.

273

Violin I, Violin II, Viola, and Cello/Double Bass staves. Measures 273-276. The music features a mix of whole, half, and quarter notes, with some triplets and slurs.

Example 2.13 Widely spaced atonal lines, in Ralph Shapey, String Quartet No. 3 (1951), IV, mm. 4-5. © 1959 Theodore Presser Co. Used by permission.

The musical score for Example 2.13 shows four staves of music. The first staff (Violin I) begins with a forte (f) dynamic and a triplet of eighth notes, followed by a ritardando (rit.) marking. The second staff (Violin II) also starts with a forte (f) dynamic and a triplet, then transitions to a piano (p) dynamic. The third staff (Viola) is mostly silent, with a few notes in the second measure. The fourth staff (Cello/Double Bass) starts with a forte (f) dynamic and a triplet, then transitions to a piano (p) dynamic. The score includes various articulations such as accents, ritardando (rit.), and a 'sul D' marking for the Cello/Double Bass.

Shortly after Shapey completed String Quartet No. 3, he wrote another work influenced by Bartók, the *Seven Little Pieces* for Piano (1951),⁶ miniatures that resemble Bartók's *Mikrokosmos* (1926-39).⁷ The *Seven Little Pieces* are harmonically and rhythmically sophisticated pieces of modest scope, conceived as teaching material. They were recorded by Jacob Maxin, one of Irma Wolpe Rademacher's most important piano students.⁸ Maxin evidently performed the *Seven Little Pieces* as well.⁹

⁶ Theodore Presser Co. publishes *Seven Little Pieces* for Piano: #410-41222.

⁷ *Mikrokosmos* includes 153 pieces, divided into six volumes. Bartók conceived the first four volumes specifically for pedagogical purposes. Some of the pieces in Volume VI are intended for concert use. See Béla Bartók, "Preface to *Mikrokosmos*" (1939), in *Béla Bartók Essays*, ed. Benjamin Suchoff (Lincoln, NE and London, UK: University of Nebraska Press, 1992), 424-5.

⁸ Pianist Jacob Maxin (1929-2012) was a student of Eduard Steuermann and Irma Wolpe. He taught at the New England Conservatory from 1968-2002. A copy of Maxin's recording of the *Seven Little Pieces* for Piano is included in the Shapey Papers, Box 154, and in the Joseph Regenstein Recordings Collection of the University of Chicago Library (CD transfer shapey048). The recording was apparently made between February 1951 and February 1952, insofar as Shapey provided the Guggenheim Foundation with a copy in 1952, but did not list the recording in a February 1951 letter to the Foundation. See Ralph Shapey, letter to Henry Allen Moe,

Movement II is entitled, “Staccato and Legato” (see Ex. 2.14). Shapey’s title and his use of mixed articulations recalls Bartók’s own “Staccato and Legato,” no. 123 of *Mikrokosmos* (see Ex. 2.15a). Shapey builds musical ideas from the systematic use of ics, a practice similar to Bartók’s method in “Fourths” (see Ex. 2.15b) and “Alternating Thirds,” nos. 131 and 129 of the *Mikrokosmos*, respectively.

Example 2.14 Building musical ideas from the systematic use of ics, in Ralph Shapey, “Staccato and Legato,” *Seven Little Pieces* for Piano (1951), II, mm. 1-2. © 1979 Theodore Presser Co. Used by permission.

(either ♩ = 72, or ♩ = 100)

Secretary General of the J. S. Guggenheim Memorial Foundation, 22 February 1952. By permission of the J. S. Guggenheim Memorial Foundation.

⁹ Ralph Shapey, letter to Johanna Schmidt-Grohe of the Bayerischer Rundfunk, 17 December 1956. Shapey Papers, Box 93.

Example 2.15a Béla Bartók, “Staccato and Legato,” *Mikrokosmos*, SZ107, vol. 5, no. 123a, mm. 1-12. © Copyright 1940 by Hawkes & Son (London) Ltd. [Definitive corrected edition © Copyright 1987 by Hawkes & Son (London) Ltd.] Reprinted by permission.

a Allegro, ♩ = 126

Example 2.15b Building musical ideas from the systematic use of ics, in Béla Bartók, “Fourths,” *Mikrokosmos*, SZ107, vol. 5, no. 131, mm. 11-20. © Copyright 1940 by Hawkes & Son (London) Ltd. [Definitive corrected edition © Copyright 1987 by Hawkes & Son (London) Ltd.] Reprinted by permission.

Shapey employs fourths and fifths (ic5) in the treble and thirds and sixths (ics 3 and 4) in the bass. The bass twice states a progression that can be segmented into a series of ic3 and ic4

dyads: C–A, B–G#–F, G–Eb. The treble presents a progression of ic5 dyads: A/E–F#/C#–A#/D#–F/C–G/D–E/A (see Ex. 2.14). The disposition of intervals is treated in a more complex manner as the movement proceeds. Shapey interchanges ic patterns between treble and bass, as well as occasionally presenting the same ics in both voices.

Movement III is entitled, “Repetitive Finger Staccato” (see Ex. 2.16a). Shapey’s use of rapid staccato figures recalls Bartók’s “Staccato,” no. 124 of *Mikrokosmos* (see Ex. 2.16b). Shapey employs bitonality in movement III. In mm. 7-9, the bass outlines a dominant seventh chord on E, while the treble presents a segment of the Bb minor scale (see Ex. 2.16a).

Example 2.16a Bitonality in Ralph Shapey, “Repetitive Finger Staccato,” *Seven Little Pieces* for Piano (1951), III, mm. 7-9. © 1979 Theodore Presser Co. Used by permission.

The musical score for Example 2.16a consists of three measures (7-9) in 2/4 time. The treble staff (top) is in Bb minor, indicated by one flat. It begins with a half rest in measure 7, followed by rapid staccato eighth-note patterns in measures 8 and 9. The bass staff (bottom) is in E major, indicated by one sharp. It features a dominant seventh chord on E (E2, G#2, B2, D#3) in measure 7, which transitions to a more complex rhythmic pattern in measures 8 and 9. Dynamics are marked as *mp* (mezzo-piano) in measure 7, *p* (piano) in measure 8, and *f* (forte) in measure 9. The piece is titled "Repetitive Finger Staccato" and is from the "Seven Little Pieces" for Piano by Ralph Shapey.

Example 2.16b Béla Bartók, “Staccato,” *Mikrokosmos*, SZ107, vol. 5, no. 124, mm. 1-7. © Copyright 1940 by Hawkes & Son (London) Ltd. [Definitive corrected edition © Copyright 1987 by Hawkes & Son (London) Ltd.] Reprinted by permission.

124

Allegretto mosso, $\text{♩} = 128$

p, secco quasi pizz.

sf

p

sempre simile

sf

Shapey wrote *Seven Little Pieces* while he was at work on the Cantata for Small Orchestra with Piano, Percussion, Narrator and Three Vocal Soloists (1951).¹⁰ The text of the Cantata is by Shapey's first wife, Sylvia Goldberg Shapey. They married in 1951, the year of its composition. The Cantata is the first piece for which Shapey devised a spatial diagram depicting the positioning of the performers on stage. The number of string, wind and brass players called for by the score is relatively small, but the instrumentation includes the impractical number of twelve percussionists (2-2-1-1/2-1-1/piano/12 perc/6-5-4-3-2).¹¹ Shapey creates complex, interlocking rhythms and differentiates between layers of contrasting timbres in his writing for

¹⁰ The score of the Cantata is available from the Theodore Presser Co. Rental Library. I have no information about a performance of this work.

¹¹ The spatial diagram for the positioning of the performers depicts a relatively conventional arrangement. The singers and speaker are positioned to the right of the conductor, with the piano on the left. The strings are divided between the right and left sides of the front of the stage, with the winds and brass in the center, facing the conductor. The twelve percussionists are arrayed at the back of the stage. Ralph Shapey, *Cantata for Small Orchestra with Piano, Percussion, Narrator and Three Vocal Soloists* (1951). Shapey Papers, Box 26.

percussion and piano (see Ex. 2.17). The diatonic bass clusters in the piano (mm. 2ff.) recall the *Fog Songs* (1948).

Example 2.17 Interlocking rhythms and layered timbres, in Ralph Shapey, *Cantata for Small Orchestra with Piano, Percussion, Narrator and Three Vocal Soloists* (1951), mm. 1-3. © 1958 Theodore Presser Co. Used by permission.

The musical score for Example 2.17 is written in 4/4 time and consists of nine staves. The instruments and their parts are as follows:

- Piano:** Treble and bass clefs. The bass line features diatonic bass clusters starting in measure 2, marked *f* and *15^{ma}*.
- Timpani:** Bass clef. Plays a rhythmic pattern of eighth and sixteenth notes, marked *f*.
- Wood Blocks:** Treble clef. Plays a rhythmic pattern of eighth notes, marked *f*.
- Snare Drum:** Treble clef. Plays a complex rhythmic pattern with triplets, marked *ff*, *mf*, and *ff*.
- Cymbals S:** Treble clef. Plays a rhythmic pattern of eighth notes, marked *ff*, *f*, and *ff*.
- Cymbals L:** Treble clef. Plays a rhythmic pattern of eighth notes, marked *f*.
- Gong:** Treble clef. Plays a rhythmic pattern of eighth notes, marked *f*.
- Bass Drums H:** Treble clef. Plays a rhythmic pattern of eighth notes, marked *f*.
- Bass Drums L:** Treble clef. Plays a rhythmic pattern of eighth notes, marked *mf*.
- Tom-tom H:** Treble clef. Plays a rhythmic pattern of eighth notes, marked *f*.

The score includes various dynamic markings (*f*, *ff*, *mf*) and articulation marks (accents, slurs). The overall texture is dense and layered, with interlocking rhythms across the different instruments.

Example 2.17 continued

The musical score for Example 2.17 continued is arranged in a multi-staff format. The instruments and their parts are as follows:

- Pno. (Piano):** The right hand has a triplet of eighth notes marked with a red '3'. The left hand plays a series of chords, with a dynamic of *f* and a red annotation '15^{ma}' with a dashed line indicating a melodic line.
- Timp. (Timpani):** Plays a single note.
- W. Bl. (Wood Block):** Plays a series of notes, with a dynamic of *f* and a 'rim shot' annotation.
- S. Dr. (Snare Drum):** Plays a single note.
- Cym. (Cymbal):** Plays a series of notes, with a dynamic of *mf* and a '(stick)' annotation.
- Gong:** Plays a series of notes, with a dynamic of *f*.
- B. Dr. (Bass Drum):** Plays a series of notes, with a dynamic of *f* and a '(Timpani stick)' annotation. The notes are marked with Roman numerals I, II, and III.
- Tm.-tm. (Tom-tom):** Plays a series of notes, with a dynamic of *mf* and a triplet of eighth notes marked with a red '3'.

The Cantata includes many passages in which the sonorous qualities of the music are of central importance. The percussionists carry the bulk of the musical argument, while the

woodwinds, brass and strings play brief, repetitive figures. Shapey periodically interpolates passages of atonal counterpoint for string ensemble (see Ex. 2.18).

Example 2.18 Atonal counterpoint, in Ralph Shapey, *Cantata for Small Orchestra with Piano, Percussion, Narrator and Three Vocal Soloists* (1951), mm. 115-8. © 1958 Theodore Presser Co. Used by permission.

The musical score for Example 2.18 consists of two systems of staves, measures 115-116 and 117-118. The instruments are Violin I, Violin II, Viola, Cello, Contrabass, Violin II (Vn. II), Viola (Va.), Violoncello (Vc.), and Contrabass (Cb.). The score is written in 4/4 time, with a key signature of one flat (B-flat). The first system (measures 115-116) features a complex atonal counterpoint. Violin I starts with a forte (*f*) dynamic, playing a series of eighth and sixteenth notes. Violin II and Viola play a mezzo-forte (*mf*) melody. Cello and Contrabass play a forte (*ff*) bass line. The second system (measures 117-118) continues the atonal counterpoint. Violin I and Violin II play a forte (*f*) melody. Viola and Violoncello play a mezzo-forte (*mf*) melody. Cello and Contrabass play a forte (*f*) bass line. The score includes various musical notations such as slurs, ties, and dynamic markings.

Violin I

Violin II

Viola

Cello

Contrabass

Vn. I

Vn. II

Va.

Vc.

Cb.

Towards the end of the work, Shapey creates a dense canonic texture of strings, winds and brass (see Ex. 2.19) before reintroducing the percussion instruments. Shapey supplements bass drum trills and timpani riffs with percussive piano clusters and *ff* string chords as the work concludes (see Ex. 2.20).

Example 2.19 Canonic figures, in Ralph Shapey, *Cantata for Small Orchestra with Piano, Percussion, Narrator and Three Vocal Soloists* (1951), mm. 246-8. © 1958 Theodore Presser Co. Used by permission.

246

The musical score for Example 2.19, measures 246-248, is written for a small orchestra. The key signature has one sharp (F#) and the time signature is 4/8. The score includes the following instruments and their parts:

- Piccolo:** Measures 246-248, starting with a forte (*f*) dynamic.
- Oboe:** Measures 246-248, starting with a forte (*f*) dynamic.
- Clarinet:** Measures 246-248, starting with a forte (*f*) dynamic.
- Bassoon:** Measures 246-248, starting with a forte (*f*) dynamic.
- Horn I:** Measures 246-248, starting with a forte (*f*) dynamic, marked *non legato*.
- Horn II:** Measures 246-248, starting with a mezzo-forte (*mf*) dynamic, marked *non legato*.
- Trumpet:** Measures 246-248, starting with a mezzo-forte (*mf*) dynamic, marked *non legato*.
- Trombone:** Measures 246-248, starting with a forte (*f*) dynamic.
- Tuba:** Measures 246-248, starting with a forte (*f*) dynamic.
- Violin I:** Measures 246-248, starting with a mezzo-forte (*mf*) dynamic, marked *non legato*.
- Violin II:** Measures 246-248, starting with a forte (*f*) dynamic, marked *non legato*.
- Viola:** Measures 246-248, starting with a mezzo-forte (*mf*) dynamic, marked *non legato*.
- Violoncello:** Measures 246-248, starting with a forte (*f*) dynamic, marked *non legato*.
- Double Bass:** Measures 246-248, starting with a mezzo-forte (*mf*) dynamic, marked *non legato*.

Example 2.20 Ralph Shapey, *Cantata for Small Orchestra with Piano, Percussion, Narrator and Three Vocal Soloists* (1951), conclusion, mm. 270-1. © 1958 Theodore Presser Co. Used by permission.

270 *8^{va}* -----

Piccolo

Bassoon

Horn I
II

Trombone

Timpani

Tom-tom H

Bass Drums H
M

Bass Drum L
B

Piano

Violin I

Violin II

Viola

Cello

Double Bass

Searching for Recognition

After he left his position at Wolpe's Contemporary Music School,¹² Shapey taught at the Third Street Music School Settlement in New York throughout the 1950s.¹³ He also taught composition, orchestration and conducting at his private studio in New York.¹⁴ Shapey began to concentrate on building his career as a composer and conductor during the early 1950s, gradually phasing out his activities as a professional violinist.¹⁵ 1950 was a pivotal year in this respect. Shapey conducted the first and second performances of Wolpe's Quartet for Trumpet, Saxophone, Piano and Percussion. The second performance concluded the 27 March 1950 concert at which the Juilliard Quartet premiered Shapey's String Quartet No. 2.¹⁶ Shapey also participated in a concert presented by the Third Street Music School Settlement at Town Hall in 1951, conducting the school's Junior Orchestra in a performance of Haydn's *Toy Symphony*.¹⁷

¹² On Shapey's departure from the Contemporary Music School, see Austin Clarkson, "Ralph Shapey's Apprenticeship," 403.

¹³ Ralph Shapey, 1952 Guggenheim Fellowship application, Accomplishments. By permission of the John Simon Guggenheim Memorial Foundation. Shapey taught theory and harmony at the Third Street Music School Settlement for ten years, earning \$2500 per year. He also presented concerts of contemporary music at the school. See Carol K. Baron, interview with Ralph Shapey, transcript, 189. Wolpe/Baron Archive. According to Shapey's letter of 17 December 1956 to Johanna Schmidt-Grohe, he taught composition and violin at the Third Street Music School Settlement as well. Ralph Shapey, letter to Johanna Schmidt-Grohe, 17 December 1956. Shapey Papers, Box 93.

¹⁴ Ralph Shapey, letter to Johanna Schmidt-Grohe, 17 December 1956. Shapey Papers, Box 93.

¹⁵ Carol K. Baron, interview with Ralph Shapey, transcript, 75, 91. Wolpe/Baron Archive. See also Shapey, "Remembrances of My Life in Music," 15-6. Shapey Papers, Box 136. Shapey's last commercial job as a violinist was the recording of the Chamber Concerto of Ellis Kohs [Columbia ML 4492 (1953)], in which he assisted members of the Juilliard String Quartet. See Patrick Finley, *A Catalogue of the Works of Ralph Shapey* (Stuyvesant, NY: Pendragon Press, 1997), 10.

¹⁶ C. H. [Carter Harman], "Concert is Devoted to Wolpe, Rudhyar," *The New York Times*, 13 March 1950: 14; C. H. [Carter Harman], "Two Groups Heard in Chamber Music," *The New York Times*, 28 March 1950: 27. See chapter 1, note 108.

¹⁷ "Music School Students Heard," *The New York Times*, 3 May 1951: 34.

That same year, Shapey began to apply for the awards that helped ambitious young composers to become established. He filed a Guggenheim Fellowship application at the end of 1950. After it was rejected, he reapplied for a Guggenheim Fellowship in late 1951, adding a letter from Edgard Varèse, whom he had recently met for the first time.¹⁸ At this stage, Shapey merely saw Varèse as an eminent artist and friend of Wolpe who might help him at the outset of his career. He was not acquainted with any of Varèse's works, other than *Density 21.5* for Flute (1936). Shapey purchased the Elaine Music Shop LP of Varèse's music¹⁹ only after Varèse provided him with the letter of recommendation.²⁰

Although Shapey's application for a Guggenheim Fellowship was rejected for the second time in 1952, he continued to file applications for another decade without success.²¹ After 1963, he finally abandoned his quest to receive recognition from the Guggenheim Foundation for his accomplishments.²²

¹⁸ Edgard Varèse, letter of recommendation for Ralph Shapey's 1952 Guggenheim Fellowship application, 26 November 1951. By permission of the J. S. Guggenheim Memorial Foundation.

¹⁹ The Elaine Music Shop LP (1950) was the first devoted to the music of Varèse. It included recordings of *Intégrales*, *Octandre* and *Ionisation*, conducted by Frederic Waldman, as well as a recording of *Density 21.5* by flutist René Le Roy. It has been reissued on él Records ACMEM125CD (2007).

²⁰ Olivia Mattis, interview with Ralph Shapey, Chicago, 11 November 1991. Oral History American Music, Yale University. Partial transcript prepared by Barry Wiener, January 2010.

²¹ Milton Babbitt did not receive a Guggenheim Fellowship until 1960, while Stefan Wolpe received one in 1962, at age 59. George Perle received a fellowship in 1966. See <http://www.gf.org/fellows>.

²² Shapey filed Guggenheim Fellowship applications for 1951, 1952, 1953, 1955, 1956, 1957, 1959, 1960 and 1963. In 1950, Shapey submitted letters of reference from Dimitri Mitropoulos, Stefan Wolpe, Wallingford Riegger, John Cage and Henry Cowell. In 1951, he added a letter from Edgard Varèse. In 1954, David Diamond and Luigi Dallapiccola provided letters. Elliott Carter wrote a letter in 1958. The letters differ widely in their evaluation of Shapey's talents and abilities. Wolpe, Varèse and Mitropoulos wrote letters that were uniformly enthusiastic. Carter, Riegger and Dallapiccola were also supportive.

Shapey wrote the *Fantasy* for Orchestra²³ during the summer of 1951. A work of approximately ten minutes in length, it was his first piece for large orchestra, not counting the Violin Concerto fragment of 1947. Immediately after its completion, Shapey entered the *Fantasy* in the seventh annual George Gershwin Memorial Contest. Although Shapey had hoped that this work would help to advance his compositional career, he was cited only with an honorable mention.²⁴ The first prize was awarded to Roy Elihu Travis²⁵ for his *Symphonic Allegro* (1951), ostensibly (in Shapey's retelling of the story) because of the difficulty of Shapey's score.²⁶ Dimitri Mitropoulos and the New York Philharmonic performed the prize-winning composition on 1 December 1951.²⁷ At the award ceremony that preceded the performance of the Travis work by the Philharmonic, Shapey received a special prize of \$100 in recognition of his honorable mention.²⁸

Shapey's *Fantasy* is a synthesis of different strains of modernism by a young composer searching for his own distinctive manner. The music alternates between sound blocks of different textures and styles. The piece opens with a pulsating, bass-heavy chordal mass, presented by the piano. Shapey adds a widely spaced solo flute melody to the texture in m. 2, doubled at first by the piano at the unison (see Ex. 2.21).

²³ The *Fantasy* for Orchestra has never been performed. It was published by Theodore Presser Co. in 1979, but Shapey withdrew the score shortly afterwards. A copy of the *Fantasy* is included in the circulating collection of the University of Chicago Library.

²⁴ "Former G.I. Wins \$1,000 In 7th Gershwin Contest," *The New York Times*, 8 November 1951: 36.

²⁵ Roy Elihu Travis (b. 1922), emeritus professor of music, UCLA.

²⁶ Shapey, "Remembrances of My Life in Music," 16-7. Shapey Papers, Box 136. See also Shapey, "Concerning: Priest of Music," 1-2. Shapey Papers, Box 139.

²⁷ As part of the prize, Mitropoulos and the Philharmonic recorded the Travis work on Columbia AAL 16 (1952).

²⁸ C. H. [Carter Harman], "Travis Work Bows at Carnegie Hall," *The New York Times*, 3 December 1951: 33.

Example 2.21 Clusters in pc space, in Ralph Shapey, *Fantasy* for Orchestra (1951), mm. 1-3. © 1954 Ralph Shapey. By permission of Elsa Charlston Shapey.

(♩ = 40)

Flutes

Bass Clarinet

Piano

p

Leg.

Fl.

p

Leg.

B. Cl.

p

Pno.

p

Leg.

Shapey unfolds the aggregate in the course of the first three measures. The piano's repeated chordal figure comprises three *il* dyads, while the flute melody introduces the

remaining six pcs. Chromatic completion occurs with the statement of C#6 in the treble in m. 3.

The harmonic structure is determined as much by the registral arrangement of pitches as by pc relationships. The piano's D1 pedal point serves as a tonal anchor for its upper partials, most notably A3 and F#4. The C#6 that completes the aggregate in m. 3 resolves to its upper neighbor, D6, reinforcing D's status as a "tonic" within the music of the opening sound block, which recurs periodically throughout the *Fantasy*.

A new sound block, which begins in m. 11 (not shown), features a drier orchestral texture and more emphatic rhythms. Shapey develops the ideas of the second sound block in an atonal passage for piano solo (see Ex. 2.22) that provides textural and harmonic contrast with the preceding episodes.

Example 2.22 Widely spaced atonal lines, in Ralph Shapey, *Fantasy* for Orchestra (1951), mm. 36-8, piano solo. © 1954 Ralph Shapey. By permission of Elsa Charlston Shapey.

Stylistic Consolidation, 1952-53

Many of the works that Shapey composed between late 1951 and early 1953 share an astringent modality and irregular rhythms, along with some use of stasis and repetition. One of the most significant of Shapey's works of this period is the four-movement *Sonate* for Oboe and Piano (1952),²⁹ commissioned by oboist Josef Marx, a close friend of Wolpe and a pioneer in the creation of a repertoire of avant-garde works for his instrument. Marx premiered Shapey's Oboe *Sonate*, accompanied by pianist Russell Sherman, at the Third Street Music School Settlement on 21 February 1953 in the "WNYC 14th Annual American Music Festival Concert and

²⁹ Theodore Presser Co. publishes the score and parts of the *Sonate* for Oboe and Piano. Parts: 11440570P; score; 11440570S.

Broadcast.”³⁰ Marx and Sherman also performed and broadcast the *Sonate* in Germany in 1956.³¹ Oboist James Ostryniec and pianist Wanda Maximilien recorded the work on CRI SD 501 in 1984.

In the monothematic first movement of the Oboe Sonata, Shapey presents an essentially circular narrative. He continually returns to the central motive, a rising tritone. Shapey often employs sound blocks in the piano accompaniment, reinforcing the perception of an absence of forward progression (see Ex. 2.23).

³⁰ “On the Radio This Week,” *The New York Times*, 15 February 1953: X14; program, “WNYC 14th Annual American Music Festival Concert and Broadcast,” 21 February 1953. Shapey Papers, Box 93. Marx and Sherman repeated the work on 30 September 1955 at Carnegie Recital Hall. Reviewer John Briggs mistakenly identified their performance as the premiere of the work in *The New York Times*. See J. B. [John Briggs], “Music: New Chamber Works Heard,” *The New York Times*, 1 October 1955: 11.

³¹ Ralph Shapey, letter to Johanna Schmidt-Grohe, 17 December 1956. Shapey Papers, Box 93. In a later, undated worklist, Shapey identified the German performance of the *Sonate* for Oboe and Piano as having taken place in Munich, with a broadcast on Westfunk Radio, but did not supply a date. Shapey Papers, Box 93.

Example 2.23 Narrative circularity, in Ralph Shapey, *Sonate* for Oboe and Piano (1952), I, mm. 54-60. The oboe's two tritone figures are circled in the example. © 1954 Theodore Presser Co. Used by permission.

The musical score is presented in two systems, measures 54-60. The top system (measures 54-56) is in 4/4 time. The oboe part (top staff) begins with a triplet of eighth notes (marked *poco cresc.*), followed by a half note (marked *mf*), and then a circled tritone figure (TT) in measure 55. The piano part (bottom staves) features a triplet of eighth notes (marked *mf*) in the right hand and a triplet of eighth notes (marked *f*) in the left hand. The bottom system (measures 57-60) is in 3/4 time. The oboe part (top staff) begins with a triplet of eighth notes (marked *f*), followed by a half note (marked *mf*), and then a circled tritone figure (TT) in measure 58. The piano part (bottom staves) features a triplet of eighth notes (marked *f*) in the right hand and a triplet of eighth notes (marked *f*) in the left hand. The score includes various dynamics (*mf*, *f*, *sub. p*, *p*) and articulations (*Leg.*, ** Leg.*). The piano part also includes right hand (RH) and left hand (LH) staves.

Movement II, a bumptious scherzo with trio, is marked by irregular rhythms and asymmetrical phrase structures (not shown). The brief third movement functions as a slow

introduction leading to the spirited finale. In the last movement, Shapey alternately presents two themes, the first of which is related motivically to movement III. The buoyant, galloping second theme evokes the nineteenth-century sonata-finale tradition. As the movement progresses, Shapey presents the two themes simultaneously (mm. 95-116). The oboe employs the first theme's conjunct descending motion, while the piano's bass line incorporates the dotted triplets of the second theme (see Ex. 2.24). In the concluding measures, Shapey melds the two themes together, alternating between conjunct melodic motion and repeated chords with dotted rhythms (mm. 117-34) (see Ex. 2.25).

Example 2.24 Simultaneous presentation of themes, in Ralph Shapey, *Sonate* for Oboe and Piano (1952), IV, m. 111. ©1954 Theodore Presser Co. Used by permission.

The musical score for Example 2.24, measures 111-116, is presented in 2/4 time. It consists of three staves: Oboe (top), Piano Right Hand (middle), and Piano Left Hand (bottom). The Oboe staff begins with a forte (*f*) dynamic and a conjunct descending melody. The Piano Right Hand staff starts with a mezzo-forte (*mf*) dynamic, followed by a forte (*f*) dynamic, and features a dotted triplet in the bass line. The Piano Left Hand staff begins with a forte (*f*) dynamic and also features a dotted triplet. The score includes various musical notations such as slurs, ties, and dynamic markings.

Example 2.25 Thematic synthesis, in Ralph Shapey, *Sonate for Oboe and Piano* (1952), IV, mm. 120-1. © 1954 Theodore Presser Co. Used by permission.

The musical score for Example 2.25 shows measures 120-121 of Ralph Shapey's *Sonate for Oboe and Piano*, IV. The score is in 4/4 time and features three staves: Oboe (top), Piano Right Hand (middle), and Piano Left Hand (bottom). Measure 120 begins with a forte (*f*) dynamic. The Oboe part has a melodic line with a slur over measures 120-121. The Piano Right Hand has a chordal accompaniment. The Piano Left Hand has a bass line. Measure 121 features a mezzo-forte (*mf*) dynamic for the Oboe and a fortissimo (*ff*) dynamic for the Piano. The Piano part includes a triplet in the right hand and a triplet in the left hand. The score includes various musical notations such as slurs, ties, and dynamic markings.

Shapey employs Wolpe's ideas about the systematic use of intervals to create structural contrast. He transforms the theme of movement I by substituting fourths and fifths (ic5) for tritones (ic6) in mm. 19-26 (see Ex. 2.26).

Example 2.26 Thematic transformation, in Ralph Shapey, *Sonate* for Oboe and Piano (1952), I, m. 21 (cf. Ex. 2.23). © 1954 Theodore Presser Co. Used by permission.

Shapey's use of narrative circularity and pitch stasis in the Oboe Sonata is reflected in his contemporary description of the work. He evoked the discourse about time and space that he had appropriated from the writings of Thomas Wolfe in 1949:

It opens with the slow, long singing oboe passage of eons ago. It has been said, "It is heaven and earth, space upon space upon outer space, sad and lonely with the deepest intensity of quietude." . . . The third [movement] returns to a quietude of a different kind, of the infinity of remembered sounds. . . . This is followed by the fourth, vigorous, dynamic, rhythmic intensities driving forward to ever reaffirmation of the joy and lust for life; interrupted for a moment by the opening theme of the 1st move.[ment]; but then once again going forward to its climactic joy and then remembering in its finality, in a return to the spatial mystery of its own self and its own roots.³²

When the *Sonate* for Oboe and Piano was premiered in 1953, the neoclassical composer Tadeusz Kassern³³ commented that Shapey was destined to follow a difficult path as a composer due to the radical nature of his music.³⁴ What is noteworthy about Kassern's remark is that it was

³² Ralph Shapey, letter to Johanna Schmidt-Grohe, 17 December 1956. Shapey Papers, Box 93.

³³ Tadeusz Kassern (1904-57), Polish-Jewish composer. See "Kassern is Dead; Composer was 53," *The New York Times*, 3 May 1957: 27.

³⁴ Carol K. Baron, interview with Ralph Shapey, 151. Wolpe/Baron Archive.

made in response to one of Shapey's more conventionally conceived works, a composition in traditional four-movement form that did not employ twelve-tone procedures and did not include texturally fragmented ideas.

After 1951, Shapey's infatuation with the surface aspects of Bartók's style gradually lessened. In several works written in 1952-53, he attempted to integrate elements of Schoenberg's style and technique into his own evolving language. The *Suite of Four Pieces* for Piano (1952)³⁵ illustrates this facet of Shapey's compositional development. It is dedicated to pianist Jacob Maxin, who had recently recorded the *Seven Little Pieces* for Piano.³⁶

The insistent repeated ic3 dyads³⁷ that comprise the primary motive of the first movement (see Ex. 2.27) recall Schoenberg's epigrammatic piano piece, op. 19, no. 2 (see Ex. 2.28).

³⁵ Theodore Presser Co. publishes the *Suite of Four Pieces*: #110-40694. Jacob Maxin premiered the *Suite* on an undetermined date. See the worklist included in Shapey's letter of 17 December 1956 to Johanna Schmidt-Grohe. I have no other information about performances of this work.

³⁶ Maxin seems to have recorded both "Essay I" of the *Three Essays on Thomas Wolfe* and the *Seven Little Pieces* between February 1951 and February 1952. The recordings are mentioned in Shapey's letter of 22 February 1952 to Henry Allen Moe, Secretary General of the J. S. Guggenheim Memorial Foundation. The corresponding undated 1951 letter from Shapey to Moe does not list the two recordings by Maxin. By permission of the J. S. Guggenheim Memorial Foundation.

³⁷ In movement I, the ic3 dyad is usually presented as a minor third, but is occasionally stated as a major sixth.

Example 2.27 Repeated ic3 dyads, in Ralph Shapey, *Suite of Four Pieces* for Piano (1952), I, mm. 1-10. © 1954 Theodore Presser Co. Used by permission.

♩ = 44 Tempo rubato

Rehearsal marks: * (before m. 1), * (before m. 4), * (before m. 7), * (before m. 10).

Example 2.28 Repeated ic4 dyads, in Arnold Schoenberg, *Sechs kleine Klavierstücke*, op. 19, no. 2 (1911), mm. 1-4 (cf. Ex. 2.28). © 1913 Universal Edition. Used by permission of Belmont Music Publishers.

Langsam (♩)

Dynamic markings: *äußerst kurz pp*, *mf*, *p espress.*

The Schoenberg allusion merely serves as Shapey's starting point. He develops his ideas by repetition and elaboration, transposing the motives and shifting them to different registers. The movement has an arch form. While each restatement of the motives follows the same fundamental pattern, they are given their most extended treatment at the center of the movement (not shown).

Shapey's use of Wolpe's technique of "chromatic circulation" generates structural dynamism in the music. In mm. 1-10, Shapey sets up an opposition between two ic3 dyads, F#–A and F–Ab, that underlies the entire movement. The juxtaposition of the two adjacent dyads underlines the chromatic character of Shapey's harmonic language. Shapey does not complete the presentation of the aggregate in mm. 1-5, omitting two pcs, B and C, which are finally introduced in the descending treble figure on the second beat of m. 6. In contrast, m. 6 omits F and F#, focal pcs in mm. 1-5, which again take on dramatic significance in the musical argument of mm. 7-10, along with B and C. B and C are both paired with other pcs to state permutations of the opening motive in the middle of the movement (mm. 16-8, 23-4, 26-7, not shown). The music reaches a climax with the reintroduction of the juxtaposed F#–A and F–Ab dyads (mm. 28-9, not shown). Shapey then presents a modified reprise of the opening measures, in which he creates formal symmetry by resolving the opposition between the two adjacent dyads in favor of the F#–A dyad which opens the movement.

The theme of movement II alludes to the "Musette" from Schoenberg's *Suite für Klavier*, op. 25 (1921/23) (see Exx. 2.29a and b). Unlike Schoenberg's piece, with its strict neo-Baroque rhythms, Shapey's movement uses variable meters. At the beginning of the movement, Shapey wrote the opening words of the ditty, "Come & pitch a pennie pennie pennie, pitch pennie will

you pitch.”³⁸ Shapey repeatedly expressed his hostility to the music of John Cage, referring to him as a “nihilist.”³⁹ He considered Cage’s use of the *I Ching* to generate musical content to be an abdication of the composer’s task.⁴⁰ Shapey’s allusion to Cage’s use of chance operations in a piece that evokes the music of Schoenberg was a clearly polemical gesture.⁴¹

³⁸ “Pitch penny” is a game played with coins of small denominations that are tossed across a room into a hole. See Alice Bertha Gomme, *The Traditional Games of England, Scotland and Ireland*, vol. II (London: David Nutt, 1898), 43. Shapey’s reference to the ditty is a veiled allusion to John Cage, who tossed coins to consult the *I Ching*, the Chinese *Book of Changes*, when he composed. On Cage’s use of the *I Ching*, see James Pritchett, *The Music of John Cage* (Cambridge, UK: Cambridge University Press, 1993), 70ff.

³⁹ In a 1963 interview, Shapey said: “I consider the avant-garde to be a bunch of nihilists, and I think you all know who I mean, John Cage and company. This is the avant-garde of the day. I do not consider them composers, I do not consider what they write as music.” Eugene Bruck, interview with Ralph Shapey, “Conversations with Contemporary Composers,” New York University, 1963. Partial transcript prepared by Barry Wiener. “Shapey lectures at NYU,” Shapey Papers, Box 17 (tape); CD 43b (reel tape transfer).

⁴⁰ When he was interviewed by John Holzaepfel, Shapey recounted, “The first time [I saw] an embarrassment with John [Cage] was in his apartment on Houston Street. . . . They had the charts out, and they were pitching pennies. I said, ‘John, who made the charts?’ ‘I did.’ I said, ‘And you’re going to tell me that in each chart, you wiped out everything you knew about music, completely?’ He said, ‘Oh, sure.’ . . . I went over to the window. There were some kids out in the street, playing hopscotch. I said, ‘Come on, John. Let’s call the kids and let them make the charts, and let’s see what happens then.’” John Holzaepfel, interview with Ralph Shapey about David Tudor, Chicago, 29 November 1999, transcript, 20-1. Shapey Papers, Box 138.

⁴¹ John Holzaepfel: “In your early *Suite of Four Pieces* for Piano, the second piece is a satire on Cage.” Shapey: “Right [laughing].” Holzaepfel: “I guess that relates to the story you were telling earlier.” Shapey: “About pitching the pennies.” John Holzaepfel, interview with Ralph Shapey about David Tudor, transcript, 30. Shapey Papers, Box 138.

Example 2.29a Arnold Schoenberg, *Suite für Klavier*, op. 25 (1921/23), “Musette,” mm. 1-3. © 1925 Universal Edition. Used by permission of Belmont Music Publishers.

Rascher (♩ = 88)

Example 2.29b Ralph Shapey, *Suite of Four Pieces* for Piano (1952), II, mm. 1-5 (cf. Ex. 2.29a). © 1954 Theodore Presser Co. Used by permission.

♩ = 72

Movement III represents an early landmark in Shapey's development as a composer. Here Shapey wrote static music, abandoning conventional techniques for the creation of a musical narrative (see Ex. 2.30). In the opening measures, a short rising motive, Eb/G–A–Bb, is

presented in varied rhythmic guises. It is accompanied by a four-note motive consisting of a series of i7s, beginning on E4 and concluding on Db4. These two ideas are repeated without transposition throughout the movement. In mm. 5-8, Shapey interweaves an additional four-note motive, F–Ab–D–Db, into the texture. He transposes this motive in mm. 9-12, while he inserts a brief window of development of his initial ideas. The movement concludes with a restatement of the three motives that underpin the musical structure. It ends on Db, the final pc of both four-note motives. Paradoxically, movement III is closer in style to the *Sonatas and Interludes* for Prepared Piano of Cage (1946-48), music that Shapey disliked, than to the music by Schoenberg that he so admired.

Example 2.30 Static construction, in Ralph Shapey, *Suite of Four Pieces* for Piano (1952), III. © 1954 Theodore Presser Co. Used by permission.

$\text{♩} = 44$

The musical score consists of five systems of piano music, each with a treble and bass staff. The tempo is marked as $\text{♩} = 44$.

- System 1:** Four measures in 4/4, 3/4, 4/4, and 2/4 time signatures. Dynamics are *p* (piano) in all measures.
- System 2:** Four measures in 4/4, 3/4, 4/4, and 2/4 time signatures. Dynamics are *mp* (mezzo-piano) and *pp* (pianissimo). Pedal markings include "Sost. Ped." and "pp".
- System 3:** Four measures in 3/4, 4/4, 4/4, and 2/4 time signatures. Dynamics are *pp* and *mp*. Pedal markings include "Sost. Ped.", "pp", and "mp". A dashed line indicates a pedal change between measures 3 and 4. Labels "RH" and "LH" are present.
- System 4:** Four measures in 4/4, 3/4, 4/4, and 2/4 time signatures. Dynamics are *p* and *pp*. Pedal markings include "Sost. Ped.", "mp", and "pp".
- System 5:** Four measures in 2/4, 3/4, 4/4, and 2/4 time signatures. Dynamics are *ppp* (pianississimo) and *pp*. Pedal markings include "ppp", "pp", and "ppp".

Additional markings include "Sost. Ped." (Sostenuto Pedal), "pp", "mp", "ppp", and "ppp" (pianississimo) throughout the score.

The virtuosic movement IV ends the *Suite* with a flourish. The two central ideas are intertwined on the first beat, which is followed by a rest that isolates the initial gesture and underlines its significance. The right hand plays repeated C4s, while the left hand surrounds them with a triplet figure on the pitches B3, Db4 and Bb3 (not shown). The two figures are linked together throughout the entire movement, with Shapey alternately juxtaposing brief passages of stasis and development. The *Suite* ends with a flurry of repeated notes, followed by a final restatement of the paired opening figures, transposed to the bass register.

Shapey's next work, the three-movement Symphony No. 1 (1952),⁴² is a piece that he had planned for some time as a major statement of his compositional accomplishments and intentions. In his first application for a Guggenheim Fellowship, he wrote:

I plan for this coming year to work on my Symphony No. 1 for Orchestra. It will be a three-movement symphony, large in scope, making use of the free 12-tone technic of sound in its most contemporary idiom and in conjunction with the technics of the past masters. The present state of the Symphony is one of sketches clearly conceived, and should, with a Fellowship, take approximately one year for completion. Upon completion, I intend to submit the score to Mr. Mitropoulos for possible performance.⁴³

In Symphony No. 1, Shapey presents his musical ideas in alternation and combination. The first movement begins with a *Maestoso* introduction that concludes with a proclamatory, motto-like motive (see Ex. 2.31). Shapey often uses such mottos or fanfares to signal the end of a section in his compositions. In this study, I consequently refer to these ideas as “boundary figures.” A repeated-note motive, reintroduced periodically throughout the movement, serves as a second “boundary figure” (see Ex. 2.32).

⁴² Symphony No. 1 has never been performed. It was published by Theodore Presser in 1979, but withdrawn by Shapey shortly afterwards. A copy of the score is in the circulating collection of the University of Chicago Library. The Shapey Papers, Box 20, include both the full score and a two-piano reduction of the Symphony, prepared by Shapey.

⁴³ Ralph Shapey, Plan for Artistic Creation, 1951 Guggenheim Fellowship application. By permission of the J. S. Guggenheim Foundation.

Example 2.31 Proclamatory “boundary figure,” in Ralph Shapey, two-piano arr. (by the composer) of Symphony No. 1 (1952), I, mm. 27-9. Symphony No. 1 © 1958 Ralph Shapey. Two-piano arr., unpublished. Shapey Papers, Box 20. By permission of Elsa Charlston Shapey.

27

Piano 1

Piano 2

mp *p*

mp *p*

Example 2.32 Repeated-note “boundary figure,” in Ralph Shapey, two-piano arr. (by the composer) of Symphony No. 1 (1952), I, m. 6. Symphony No. 1 © 1958 Ralph Shapey. Two-piano arr., unpublished. Shapey Papers, Box 20. By permission of Elsa Charlston Shapey.

The main theme of the *Maestoso* (see Ex. 2.33) begins with a segment of the pentatonic scale, Eb–Db–Ab, and continues with a second (hemitonic⁴⁴) pentatonic segment, A–F–E. The final four pcs of the theme, E–C–Bb–Gb, constitute a segment of the whole-tone scale. The nine pcs of the theme constitute a collection that can be conceptualized as a series of alternating whole and half steps, the first two segments of which are symmetrical to each other, employing the ic succession, 1-2-1. Each of the segments is separated from the others by a half step (ic1): C–Db–Eb–E, F–Gb–Ab–A, Bb–C. The missing three pcs of the aggregate are simultaneously presented by the accompanimental figure, D–G–B/C. Shapey’s use of modality may suggest an interest in Messiaen’s modes of limited transposition, although his mode does not precisely fit Messiaen’s model. It corresponds most closely to Messiaen’s mode 2, the segments of which are, however, separated by a whole step rather than a half step.⁴⁵ Shapey’s creation of a new “mode”

⁴⁴ The term, hemitonic, refers to the inclusion of half steps within a scale.

⁴⁵ Olivier Messiaen, *The Technique of My Musical Language*, trans. John Satterfield, 2 vols. (Paris: Alphonse Leduc, 1956), 1:59-60; 2:50-1, Exx. 312-28.

may have been founded on Wolpe's suggestion that his students create their own "synthetic modes."⁴⁶

Example 2.33 Theme including pentatonic and whole-tone segments, in Ralph Shapey, two-piano arr. (by the composer) of Symphony No. 1 (1952), I, mm. 12-4. Symphony No. 1 © 1958 Ralph Shapey. Two-piano arrangement, unpublished. Shapey Papers, Box 20. By permission of Elsa Charlston Shapey.

The *Maestoso* introduction is followed by an *Allegro* (m. 30) that opens with a fugato (see Ex. 2.34). The *Maestoso* theme is combined with motivic figures derived from the head of the fugato subject in mm. 86ff. (see Ex. 2.35).

Example 2.34 Fugato subject, in Ralph Shapey, two-piano arr. (by the composer) of Symphony No. 1 (1952), I, mm. 30-3. Symphony No. 1 © 1958 Ralph Shapey. Two-piano arrangement, unpublished. Shapey Papers, Box 20. By permission of Elsa Charlston Shapey.

⁴⁶ Clarkson, "Ralph Shapey's Apprenticeship," 391.

Example 2.35 Combination of themes, in Ralph Shapey, two-piano arr. (by the composer) of Symphony No. 1 (1952), I, mm. 87-8. Symphony No. 1 © 1958 Ralph Shapey. Two-piano arrangement, unpublished. Shapey Papers, Box 20. By permission of Elsa Charlston Shapey.

The musical score for Example 2.35 is presented in three systems of staves. The first system (measures 87-88) is in 4/4 time. The second system (measures 89-90) is in 6/4 time. The third system (measures 91-92) is in 6/4 time. The score includes various musical notations such as notes, rests, and dynamic markings.

Measure 87: The first system consists of three staves. The top staff is in treble clef, the middle in bass clef, and the bottom in bass clef. The key signature has one sharp (F#). The time signature is 4/4. The dynamic marking is *p* (piano). The notation includes eighth notes, quarter notes, and half notes, with some notes beamed together.

Measure 88: The second system consists of three staves. The top staff is in treble clef, the middle in bass clef, and the bottom in bass clef. The key signature has one sharp (F#). The time signature is 4/4. The dynamic marking is *mf* (mezzo-forte). The notation includes eighth notes, quarter notes, and half notes, with some notes beamed together. A triplet of eighth notes is marked with a '3' and a bracket.

Measure 89: The third system consists of three staves. The top staff is in treble clef, the middle in bass clef, and the bottom in bass clef. The key signature has one sharp (F#). The time signature is 6/4. The dynamic marking is *mp* (mezzo-piano). The notation includes eighth notes, quarter notes, and half notes, with some notes beamed together.

Measure 90: The fourth system consists of three staves. The top staff is in treble clef, the middle in bass clef, and the bottom in bass clef. The key signature has one sharp (F#). The time signature is 6/4. The dynamic marking is *mp* (mezzo-piano). The notation includes eighth notes, quarter notes, and half notes, with some notes beamed together.

Shapey presents a sound block in the concluding measures of the movement. Both the rocking accompaniment of the *Maestoso* and an additional figure derived from the head of the fugato subject are continuously reiterated with little variation. Shapey creates a sense of pitch centricity by the use of pedal points on A and D (see Ex. 2.36).

Example 2.36 Sound block, in Ralph Shapey, two-piano arr. (by the composer) of Symphony No. 1 (1952), I, mm. 116-9. Symphony No. 1 © 1958 Ralph Shapey. Two-piano arrangement, unpublished. Shapey Papers, Box 20. By permission of Elsa Charlston Shapey.

$\text{♩} = 72 \text{ (♩} = 36)$

The musical score consists of two systems, each for a piano. The first system covers measures 116 and 117. Measure 116 begins with a *cresc.* marking. Measure 117 features a *rit.* marking and a *ff* dynamic. The second system covers measures 118 and 119. Measure 118 starts with a *ff* dynamic. Measure 119 includes a *rit.* marking. The score is characterized by dense, rhythmic textures with frequent use of triplets and sixteenth notes. Dynamics range from *cresc.* to *ff*. Performance markings include *rit.* and *cresc.*.

The second movement scherzo begins with a fugato akin to that of the first movement *Allegro*. Shapey continuously varies the playful, widely spaced fugato subject during the course of the movement (see Ex. 2.37). In m. 31, he introduces a theme that comprises a series of ic1

dyads that contrast with the succession of ic5 and ic6 dyads within the fugato subject. The dotted rhythms of the new theme contrast with the eighth-note triplets of the fugato subject as well. Shapey quickly combines the new theme with the fugato subject, subsuming it within the dominant texture of the movement (mm. 37ff., not shown). Similarly, he later introduces a theme combining dotted rhythms with the ic5 and ic6 relationships of the fugato subject. He presents this theme together with a version of the fugato subject in close position (m. 93ff, not shown).

Example 2.37 Fugato subject, in Ralph Shapey, two-piano arr. (by the composer) of Symphony No. 1 (1952), II, mm. 1-3. Symphony No. 1 © 1958 Ralph Shapey. Two-piano arrangement, unpublished. Shapey Papers, Box 20. By permission of Elsa Charlston Shapey.

♩. = 108 Scherzando

In the *Andantino espressivo* finale, Shapey employs the concept of stasis as an important structural tool. Shapey contrasts two sets of ideas: brief motivic figures that are employed within an essentially static discourse, and long-breathed themes that are coupled with intricate accompaniments. In the opening section, he creates a mosaic of brief motivic figures. Irregular meters highlight the repetitive nature of the music (see Ex. 2.38).

Example 2.38 Sound block, in Ralph Shapey, two-piano arr. (by the composer) of Symphony No. 1 (1952), III, mm. 1-5. Symphony No. 1 © 1958 Ralph Shapey. Two-piano arrangement, unpublished. Shapey Papers, Box 20. By permission of Elsa Charlston Shapey.

♩ = 92 Andantino espressivo

The musical score is presented in two systems. The first system consists of two staves (piano and grand staff) for measures 1 through 5. The piano part (left grand staff) is in 4/4 time, featuring a complex rhythmic pattern with eighth and sixteenth notes, and dynamic markings of *mp*, *mf*, and *p*. The grand staff (right) has a treble clef and a key signature of one sharp (F#), with dynamic markings of *mp*, *mf*, and *p*. The second system also consists of two staves for measures 3 through 5. The piano part (left grand staff) is in 4/4 time, featuring a complex rhythmic pattern with eighth and sixteenth notes, and dynamic markings of *mf*, *f*, and *mf*. The grand staff (right) has a treble clef and a key signature of one sharp (F#), with dynamic markings of *mf* and *mf*. The key signature changes from one sharp (F#) to no sharps or flats (C major) in measure 3, and back to one sharp (F#) in measure 5.

In mm. 43ff., Shapey introduces a theme with multiple symmetries (see Ex. 2.39). The theme begins with a three-note figure, D–C#–C, and ends with its retrograde, C–Db–D. In m. 45,

Shapey presents the symmetrical figure, Ab5–B4–B4–Ab5. Measures 46-7 include the palindrome, D#5–E4–F4–E4–D#5.

Example 2.39 Theme with multiple symmetries, in Ralph Shapey, two-piano arr. (by the composer) of Symphony No. 1 (1952), III, mm. 43-8. “A” and “A₁” are a three-note figure and its retrograde. “B” is a symmetrical figure, and “C” is a palindrome. Symphony No. 1 © 1958 Ralph Shapey. Two-piano arrangement, unpublished. Shapey Papers, Box 20. By permission of Elsa Charlston Shapey.

Piano II

43

A

B

C

A₁
rit.

p

mp

mf

p

p

Shapey gradually thickens the texture, juxtaposing sixteenth notes against sixteenth-note triplets (mm. 76-80, not shown), before presenting an interlude in which a variant of the theme is coupled with a flowing and texturally transparent ostinato accompaniment (see Ex. 2.40).

Example 2.40 Thematic variant with ostinato accompaniment, in Ralph Shapey, two-piano arr. (by the composer) of Symphony No. 1 (1952), III, mm. 89-90 (cf. Ex. 2.39). Symphony No. 1 © 1958 Ralph Shapey. Two-piano arrangement, unpublished. Shapey Papers, Box 20. By permission of Elsa Charlston Shapey.

The musical score for Example 2.40 consists of four staves. The first two staves are for the right hand, and the last two are for the left hand. The key signature has three flats (B-flat, E-flat, A-flat). Measure 89 is in 3/4 time, and measure 90 is in 4/4 time. The melodic line in the treble staff of measure 89 is marked *pp* and consists of eighth notes. The accompaniment in the middle staves of measure 89 consists of eighth notes with a '3' above them, indicating a triplet. The melodic line in the bass staff of measure 89 is marked *mp* and consists of eighth notes. The accompaniment in the middle staves of measure 90 consists of eighth notes with a '3' above them, indicating a triplet. The melodic line in the treble staff of measure 90 is marked *p* and consists of eighth notes. The accompaniment in the middle staves of measure 90 consists of eighth notes with a '3' above them, indicating a triplet.

He then resumes the process of rhythmic diminution that he had initiated earlier in the movement, passing the melodic line back and forth between the treble and bass of the orchestra with an accompaniment in thirty-second notes (see Ex. 2.41). Shapey's use of rhythmic diminution as a formal strategy recalls his procedure in the Sonata for Violin and Piano (1950). In the final pages of the Symphony, Shapey creates a sound block, in which he repeats both the melodic line and three layers of accompanimental figures (see Ex. 2.42).

Example 2.41 Rhythmic diminution, in Ralph Shapey, two-piano arr. (by the composer) of Symphony No. 1 (1952), III, m. 99. Symphony No. 1 © 1958 Ralph Shapey. Two-piano arrangement, unpublished. Shapey Papers, Box 20. By permission of Elsa Charlston Shapey.

99

f

f

f

f

Example 2.42 Sound block, in Ralph Shapey, two-piano arr. (by the composer) of Symphony No. 1 (1952), III, mm. 149-52. Symphony No. 1 © 1958 Ralph Shapey. Two-piano arrangement, unpublished. Shapey Papers, Box 20. By permission of Elsa Charlston Shapey.

After Shapey completed Symphony No. 1 (1952), he drafted a long letter to Wolpe in which he tried to describe his evolution as a composer. He suggested that his development was entering a new phase, reasserting both his essential allegiance to Wolpe's compositional principles and his insistence that his music was original, not merely dependent upon Wolpe's compositional solutions. Shapey was attempting to differentiate different planes of sound. The following comments are derived from two fragmentary drafts that seem to be complementary versions of the same letter. The final sentence of the second draft has been italicized for emphasis:

I have reread the Sym. quite a few times, in an effort to see where I am & where I'm going. Min & max I find the need for greater free flowingness. The last mov[ement] of the Sym. is to my mind the beg. of a new phase. But contrary to your new directions I'm

trying to find a different way of solving the same problems, both contrapuntally & harmonically.⁴⁷

I find the last mov[ement] of the sym. a new and important change. Harmonically, I find a greater need for the non-segregation of intervals. Contrary, the dissolution of sound should come about through the interreactions of their own forces, thus arriving at a new time element through the controlling of the [combustible forces], so that *slow and fast & all their variants can coexist at the same time, without the normal sublimating of one to another*.⁴⁸

Shapey's next piece was a work of equal importance but of more modest dimensions, the three-movement Oboe Quartet for oboe and string trio (1952),⁴⁹ composed for oboist Josef Marx. The first movement is monothematic. The sinuous theme is often transposed, altered rhythmically, inverted, and otherwise modified, but rarely abandons its basic shape. It is repeatedly presented in its original pitch and registral configuration by the oboe soloist. Shapey frequently introduces repetitive accompanimental figures (not shown) and brief interpolated sound blocks that interrupt and impede the progress of the musical narrative (see Ex. 2.43).

⁴⁷ Ralph Shapey to Stefan Wolpe, draft of a letter, undated (ca. 1952). Shapey Papers, Box 11.

⁴⁸ Ralph Shapey to Stefan Wolpe, draft of a letter, undated (ca. 1952). Shapey Papers, Box 147, Wolpe Material (Restricted). According to Austin Clarkson, "The 'segregation of intervals' refers to working with specific pitch-class sets, and 'dissolution of sound,' to the deconstruction of shapes and gestures. 'The interreactions of their own forces' refers to the mutual engagement of characteristic actions that Wolpe referred to as 'organic modes.'" See Austin Clarkson, "Ralph Shapey's Apprenticeship," 403.

⁴⁹ Theodore Presser Co. publishes the score and parts of the Oboe Quartet. Score: 11440564S; parts: 11440564P.

In contrast to the intricate rhythms of the first movement, the second movement scherzo is built on an obsessive 5/16 rhythm. As the movement concludes, the violin plays a rising line that culminates in a series of large leaps, accompanied by ostinati in the oboe, viola and cello. Shapey uses the ostinati to create a sound block similar to the conclusion of Symphony No. 1, written only a few months earlier (see Ex. 2.44).

Example 2.44 Sound block, in Ralph Shapey, Oboe Quartet (1952), II, mm. 91-6 (cf. Ex. 2.42). © 1954 Theodore Presser Co. Used by permission.

The musical score for Example 2.44 consists of two systems of four staves each. The first system covers measures 91-93, and the second system covers measures 94-96. The staves are Violin I, Violin II, Viola/Cello, and Double Bass. The key signature has one sharp (F#). The time signature is 5/16. Dynamics include *f* (forte) and *ff* (fortissimo). Measure 94 includes the instruction "senza sordini" (without mutes) on the right side. The score concludes with a final chord in measure 96 marked *ff*.

The third movement is a rondo with two contrasting episodes (see Table 2.2).

Table 2.2 Ralph Shapey, Oboe Quartet (1952), III: Form

Section	Measure Nos.	
A	1-24	Development of widely spaced thematic ideas.
B	25-44	Episode: Use of ostinati.
A ₁	45-60	Return of ideas of section A and their further development.
C	61-66	Episode: Rhythmically regular four-part counterpoint.
A ₂	67-95	Return of ideas of section A and their further development.

It begins with a group of linked motives, including repeated chord gestures in the strings that act as accompanimental flourishes for the thematic discourse (see Ex. 2.45).

Example 2.45 Linked motives, in Ralph Shapey, Oboe Quartet (1952), III, mm. 1-3. © 1954 Theodore Presser Co. Used by permission.

In the first section, the primary thematic figures are continuously rearranged in different configurations. Shapey employs the repeated chord gestures as “boundary figures” at dramatic moments that signal a point of transition in the musical narrative, such as m. 12 (see Ex. 2.46).

Example 2.46 Repeated chord “boundary figure,” in Ralph Shapey, Oboe Quartet (1952), III, mm. 11-2. © 1954 Theodore Presser Co. Used by permission.

As the movement proceeds, Shapey extends the length of the repeated chord gestures, which become progressively more important to the musical narrative. The repeated chord gestures morph into forceful Bartókian multiple-stop chords (see Ex. 2.47), while the widely spaced thematic figures are transformed into surging Varèse-like patterns, played by the violin (see Exx. 2.48a and b).

Example 2.47 Triple-stop chord gestures, in Ralph Shapey, *Oboe Quartet* (1952), III, mm. 58-9. © 1954 Theodore Presser Co. Used by permission.

58 Rit. -----

f *f* *ff* *ff*

$\frac{1}{4} + \frac{3}{16}$ $\frac{1}{8} + \frac{3}{16} + \frac{1}{4}$ $\frac{2}{4}$

f *f* *ff* *ff*

f *f* *ff* *ff*

f *f* *ff* *ff*

Example 2.48a Edgard Varèse, *Density 21.5* for Flute (1936), mm. 12-4. Copyright ©1946 by Casa Ricordi – Reproduced by kind permission of Hal Leonard MGB, Italy.

12

f *ff*

Example 2.48b Leaping, ascending thematic line, played by the violin, in Ralph Shapey, Oboe Quartet (1952), III, mm. 74-5 (cf. Ex. 2.48a). © 1954 Theodore Presser Co. Used by permission.

74

The musical score consists of four staves. The first staff (Violin I) shows a leaping, ascending thematic line starting in measure 74 with a *mf* dynamic. The second staff (Violin II) features a triplet of eighth notes. The third staff (Viola) also has a triplet of eighth notes. The fourth staff (Cello/Double Bass) has a single eighth note. In measure 75, the time signature changes to 2/4. The Violin I part continues with a triplet of eighth notes, while the other parts have various rhythmic figures. Dynamics include *mf* and *f*.

After the narrative breaks down into cadential flourishes (mm. 76-80, not shown), the music reaches a point of complete stasis. Shapey presents a sound block, with repetition of widely spaced figures in all of the parts (see Ex. 2.49). The final measures of the Oboe Quartet juxtapose volleys of *ff* repeated chords with the opening thematic gesture of the movement (not shown).

Example 2.49 Sound block, in Ralph Shapey, Oboe Quartet (1952), III, mm. 81-2. © 1954 Theodore Presser Co. Used by permission.

The musical score for Example 2.49 consists of four staves of music. The first staff begins at measure 81 and ends at measure 82. The second staff continues from measure 81 and ends at measure 82. The third staff begins at measure 81 and ends at measure 82. The fourth staff begins at measure 81 and ends at measure 82. The music is written for four staves, with the first staff starting at measure 81 and the fourth staff ending at measure 82. The score features complex rhythmic patterns, including triplets and sixteenth notes, with dynamic markings like *ff* and *f*. The key signature is one sharp (F#) and the time signature is 5/4. The music is written for four staves, with the first staff starting at measure 81 and the fourth staff ending at measure 82.

In the two episodes (see Table 2.2), Shapey presents a more conventional type of musical discourse. Ostinati derived from the motives of the opening section accompany lyrical melodic lines, presented in counterpoint, in the first episode (mm. 25-44). In the second contrasting episode, Shapey introduces a more conventional type of discourse: music in even rhythms and traditional four-part counterpoint (mm. 61-7).

The Oboe Quartet is a precursor of Shapey's later style in its use of pitch-specific motives together with repetition and stasis. While Shapey's string writing in the Oboe Quartet is reminiscent of Bartók's practice, the originality of his overall conception demonstrates that he had begun to assimilate the Hungarian composer's instrumental techniques and gestural language into his own style. The Oboe Quartet was not premiered during the 1950s, and was seemingly forgotten when Shapey developed his new style a few years after its composition. In the early

1980s, however, Shapey reevaluated his early works and arranged for a performance. Oboist James Ostryniec and the Alard Quartet played the Oboe Quartet at Merkin Hall in New York on 31 October 1983. In *The New York Times*, Edward Rothstein wrote,

Ralph Shapey's Quartet for oboe, violin, viola and cello was given its first performance Monday night in Merkin Hall, though the work is more than 30 years old. The reason for the delay in its appearance was ascribed in the program to the difficulty of the composition, and with its cross rhythms and hemiolas it can certainly not be called easy.

But far more difficult pieces have come and gone since 1952, so there may be other reasons for its hibernation. Mr. Shapey himself, for example, put a seven-year moratorium on performances of his compositions beginning in 1969, in protest against what he called the deteriorating ethical standards of the world.

The work is far from a period piece. Its tough-skinned intellectual severity is mixed with a piquant wit and slightly cynical glimpses of sentiment. At times the composition was overly deliberate, with repeated blocks of musical material confronting one another with sharp gestures and brusque interruptions, but the result was also unpredictable, disorienting and slyly captivating, both in its fury and in its wry irony.⁵⁰

Stylistic Retrenchment and Career Advancement

String Quartet No. 4 (1953)⁵¹ was commissioned by Alma Morgenthau (1887-1953), one of the great patrons of new music in America during the twentieth century.⁵² Morgenthau became a supporter of Shapey at the behest of Dimitri Mitropoulos after attending a performance of String Quartet No. 2 in 1952,⁵³ and provided him with a stipend until her death the following year.

⁵⁰ Edward Rothstein, "Music: Alard Strings," *The New York Times*, 3 November 1983: C14.

⁵¹ Theodore Presser Co. publishes both score and parts for String Quartet No. 4. Score: 11440572S; parts: 11440572P.

⁵² See Carol J. Oja, "Women Patrons and Crusaders for Modernist Music: New York in the 1920s," in Ralph P. Locke and Cyrilla Barr, eds., *Cultivating Music in America: Women Patrons and Activists since 1860* (Berkeley, CA: University of California Press, 1997), 237-61.

⁵³ On 2 May 1952, Alma Morgenthau attended a concert at the home of Rosalyn Tureck, at which the Juilliard String Quartet performed Shapey's String Quartet No. 2. In a letter, dated "Wednesday" (presumably 7 May 1952), Morgenthau wrote to Shapey, "Your quartet [String Quartet No. 2] still rings in my ears and I would be glad to relieve your life somewhat by helping

In String Quartet No. 4, Shapey composed highly chromatic music dense in texture and incident. The aggregate is circulated in a systematic manner. The first movement begins with a leaping three-note motive, played in unison by violin I and viola. This three-note motive is repeated periodically throughout the movement as a framing device that serves the dramatic function of articulating its formal organization. In the opening measures, the three-note motive and its accompaniment present the six pcs of a chromatic hexachord, B–E, arrayed as a cluster in pc space, while spread apart registrally in pitch space. In m. 2, the ensemble extends its initial statement, employing the complementary chromatic hexachord, F–Bb, which completes the aggregate (see Ex. 2.50).

Example 2.50 Aggregate completion, in Ralph Shapey, String Quartet No. 4, I, mm. 1-2. © 1954 Theodore Presser Co. Used by permission.

Maestoso ♩ = 52

The musical score is written for four parts: Violin I, Violin II, Viola, and Cello. The key signature has one flat (B-flat), and the time signature is 3/4. The tempo is Maestoso, with a metronome marking of 52 quarter notes per minute. The music features a leaping three-note motive in the first measure, played in unison by Violin I and Viola. This motive is repeated in the second measure. The aggregate is completed by the complementary chromatic hexachord, F–Bb, in the second measure.

financially. . . Mr. Mitropoulos values your work, also commented it was terribly difficult to be played & is very glad that I can help you. Feels you are valuable.” Alma Morgenthau, letter to Ralph Shapey, May 1952. Shapey Papers, Box 93.

Similarly, at the beginning of the *Delicatissimo* episode, the fugato subject begins with two three-note figures that comprise the chromatic hexachord, Bb–Eb (m. 37). They are followed by two longer figures that include the complementary hexachord, E–A (mm. 38-9) (see Ex. 2.51). The close motivic relationship between the fugato subject and the thematic ideas of mm. 1-2 is masked by its presentation within a single register.

Example 2.51 Complementary hexachords, in Ralph Shapey, String Quartet No. 4, I, mm. 37-9 (cf. Ex. 2.50). The hexachords are labeled “A” and “B” in the example. © 1954 Theodore Presser Co. Used by permission.

Delicatissimo ♩ = 44

The musical score consists of two systems of four staves each. The first system covers measures 37-38, and the second system covers measures 39-40. The tempo is marked 'Delicatissimo' with a quarter note equal to 44 (♩ = 44). The time signature is 3/4. In measure 37, a chromatic hexachord (Hex A) is circled in the second staff. In measures 38-39, complementary hexachords (Hex B) are circled in the second staff. The score includes various musical notations such as notes, rests, and dynamic markings like 'p' (piano).

Movement I is characterized by intricate and angular rhythms. Shapey structures the first section of the movement around the concept of rhythmic diminution, a technique that he had previously employed in the Violin Sonata (1949-50) and Symphony No. 1 (1952). While the emphatic opening gestures embody an eighth-note pulse (see Ex. 2.50), the busy interlocking figures of the following measures have an underlying sixteenth-note pulse (mm. 8ff., not shown). Shapey introduces sixteenth-note triplets (mm. 19-23) and thirty-second-note figures (see Ex. 2.52) while retaining the underlying sixteenth-note pulse. The process of rhythmic diminution can be observed by examining Shapey's use of repeated B/E dyads. In mm. 3 and 5, he employs eighth notes, in m. 23, sixteenth-note triplets, and in m. 34, thirty-second notes (not shown).

Example 2.52 Rhythmic diminution, in Ralph Shapey, String Quartet No. 4, I, m. 31. © 1954 Theodore Presser Co. Used by permission.

The musical score for Example 2.52 consists of four staves in 3/4 time. Measure 31 is marked 'ten.' and 'mf'. Measure 32 is marked 'f'. Measure 33 is marked 'f'. Measure 34 is marked 'f'. The score shows complex rhythmic patterns, including sixteenth-note triplets and thirty-second notes, illustrating the concept of rhythmic diminution.

Shapey employs rhythmic layering in the fugato, presenting similar motivic figures in different tempi (mm. 48-50, not shown). He later varies the texture by other means, introducing

multiple stops in all instruments except the cello (mm. 64-5) and using quarter-tones (mm. 71-6) (see Ex. 2.53). In the latter episode, both the viola and cello play at the top of their ranges. The last section of the movement presents what might be considered a “recapitulation” in retrograde. Shapey reverses the rhythmic procedures of the first section, gradually augmenting the pulse. He begins with music that includes many thirty-second-note figures and that has an underlying sixteenth-note pulse (mm. 69-78). He then segues into imitative counterpoint with an eighth-note triplet pulse (mm. 79-89). The movement ends with the dramatic restatement of the opening gesture, which is presented in imitation in the final measures (mm. 95-8).

Example 2.53 Quarter-tones played by the cello, in Ralph Shapey, String Quartet No. 4, I, m. 76. © 1954 Theodore Presser Co. Used by permission.

The musical score for Example 2.53 consists of four staves. The first three staves are in treble clef, and the fourth staff is in bass clef. The time signature is 3/4, and the key signature has one sharp (F#). The score includes dynamic markings: *mf*, *mp*, *f*, and *ord.*. There are also performance instructions: "non vib." and "*". A note at the bottom states: "*1/4 tones should be done with slow vibrato (cello only)".

After the interlude of the brief scherzo, Shapey presents another large form in the third and final movement that can be perceived as a kind of sonata-allegro. Shapey again employs irregular rhythms and includes long passages of thick-textured counterpoint. The opening theme

has three motivic components, the first and last of which mirror each other (see Ex. 2.54).

Shapey divides the three motives between the parts within the polyphonic and often imitative texture of the first section.

Example 2.54 Theme with three motivic components, in Ralph Shapey, String Quartet No. 4, III, mm.1-2. The main voice is marked by Shapey with brackets. © 1954 Theodore Presser Co. Used by permission.

Allegro ♩ = 100
non legato maestoso

The musical score for Example 2.54 shows the first two measures of the String Quartet No. 4, III, by Ralph Shapey. The score is in 4/4 time and features four staves (Violin I, Violin II, Viola, and Cello). The first measure is marked with a forte (f) dynamic and the tempo 'Allegro' with a quarter note equal to 100 beats. The second measure is marked with a forte (f) dynamic and the tempo 'non legato maestoso'. The first measure is divided into three sections: A (first three notes), B (next two notes), and A1 (last two notes). The first and last sections (A and A1) are circled, indicating they mirror each other. The score includes various musical notations such as brackets, slurs, and triplets.

The “development” consists of three episodes, in the first of which the cello introduces a widely spaced, lyrical atonal theme (mm. 24-7) (see Ex. 2.55).

Example 2.55 Contrasting lyrical theme, in Ralph Shapey, String Quartet No. 4, III, mm. 24-5. © 1954 Theodore Presser Co. Used by permission.

The following two episodes are closely related. They both begin with an elaborated version of the central motive of the opening theme. Although this idea has the character of a fugato subject, it is used instead to introduce a polyphonic synthesis of all of the movement's themes. Shapey commences the "recapitulation" by presenting the opening theme with its original accompaniment (mm. 73-4, not shown). This concluding section is twice as long as the "exposition." Shapey first creates a Bartókian climax, using forceful double-stopped chords (mm. 92-5, not shown). He does not end the quartet here, however, but introduces rapid galloping dotted rhythms that dominate the concluding measures (not shown).

Shapey's use of motives derived from the opening theme throughout the last movement ultimately creates an effect of bland repetition. In addition, the music displays a rhythmic squareness that is not eliminated by Shapey's use of added values. In the last movement of String Quartet No. 4, Shapey's compositional solutions were circumscribed by his reliance on

conventional academic techniques and his eschewal of the new syntax that he had begun to employ in works like the last movement of Symphony No. 1.

Sadly, Alma Morgenthau did not live to hear the work that she had commissioned; she died on 25 December 1953. String Quartet No. 4 was premiered at a concert by the New Music Quartet,⁵⁴ dedicated to the memory of Morgenthau. The concert also included the world premiere of another Morgenthau commission, Milton Babbitt's String Quartet No. 2, as well as performances of Schoenberg's String Trio and Alexander Zemlinsky's String Quartet No. 3. Shapey could not attend because he was in Europe on a Frank Huntington Beebe Fellowship. On 30 May 1954, Edward "Ed" Levy⁵⁵ wrote Shapey a letter that carefully documents the event:

The hall was about a little more than half-filled. . . . Your quartet was first on the program followed by Schoenberg. Then, intermission[,] Babbitt, with the more easily-accessible-to-my-ears Zemlinsky as finale.

The group was called out to two curtain calls after yours; I asked [Fritz] Jahoda,⁵⁶ who was sitting just across the aisle – he liked the first two [movements], not the third – same for cellist from my school, Dori, same for Bob⁵⁷ & Roslyn Koff, same, incidentally, for me and Mary [Ed Levy's wife]. Jack Maxin didn't subdivide, said he liked the work very much. . . . After the concert, I spoke to Claus [Adam] who told me that the people he had spoken to liked the 2nd and 3rd mvts. Also saw [Abraham] Skulsky⁵⁸ who had reservations, but I can't remember them.⁵⁹

⁵⁴ The members of the New Music Quartet were Broadus Earle and Matthew Raimondi, violins, Walter Trampler, viola, and Claus Adam, cello. Claus Adam had been one of Stefan Wolpe's composition students during the 1940s.

⁵⁵ Edward Irving Levy (1929-2002) was a composer who studied both with Shapey and Wolpe. He was a professor of music at Yeshiva University from 1967 to his death.

⁵⁶ Fritz Jahoda (1909-2008), pianist and conductor; professor of music at City College of New York, City University of New York.

⁵⁷ Robert Koff (1919-2005), original first violinist of the Juilliard String Quartet.

⁵⁸ Abraham Skulsky (1906-59), music journalist. He was a friend of Stefan Wolpe and Shapey. See "Abraham Skulsky, A Music Critic," *The New York Times*, 23 November 1959: 31.

⁵⁹ Edward Levy, letter to Ralph Shapey (in Florence, Italy), 30 May 1954. Shapey Papers, Box 145. On 27 May 1954, the critic of *The New York Times*, John Briggs, complained that both the Babbitt and Shapey works were composed in a "dessicated and highly cerebral idiom," while Francis D. Perkins in *The New York Herald Tribune* provided a more informed point of view: "In their twelve-tone idiom both new quartets seemed related to the Schoenberg trio. . . . Mr. Shapey's music, while still episodic, had more continuity, along with some fanciful relief in the

The Beebe Award and Shapey's Trip to Europe (1953-54)

In 1953, Shapey was awarded a Frank Huntington Beebe Scholarship grant for the year 1953-54, which permitted him to travel to Great Britain, France, Germany and Italy from September 1953 to July 1954.⁶⁰ The only stipulation included in the award was that Shapey present the music that he had composed during his trip to the representatives of the Beebe Fund when he returned home.⁶¹ Shapey's letters to Ed Levy and Wolpe chart his travels. The dates on his manuscripts and scores provide additional information about his itinerary (see Table 2.3).

Shapey's first destination was England. At the beginning of December, he made a brief stopover in Paris and then moved on to Germany, where he stayed from mid-December 1953 to February 1954. Shapey was in Italy by late February, and remained there until mid-summer before he returned home. The experience of traveling to the main centers of musical activity in postwar Europe was a transformative experience. Shapey met many distinguished musicians, including Walter Goehr, René Leibowitz, Hermann Scherchen, Karl Amadeus Hartmann and Luigi Dallapiccola. Guiding him from afar was his teacher, Wolpe:

Did you meet Boulez or Messiaen? Why did you bother [---] with Leibowitz? He counts at first 12, in order to start with one. He is dogmatic not knowing that in Art are no Dogmas, because Art is Dogma itself. What do you look for in Munich? To get something played? Is this what you spend your time ^{with} to want? Don't stay too long there. And get to know Rosbaud the conductor (who is a 100 times more worth than Hartmann) Stuckenschmidt (write to him, he is an old friend of mine and one of the top critics in Germany. Ask him for advice whom to see, where to go to, what to hear. . . .)] Scherchen is the man you (of all people) have to meet. . . . Get to know Eimert, Rufer,

second of the three movements." J. B. [John Briggs], "Music Quartet Pays Tribute in Concert," *The New York Times*, 27 May 1954: 33; Francis D. Perkins, "New Music Quartet," *The New York Herald Tribune*, 27 May 1954: 23.

⁶⁰ "Two Win Music Awards: Brooklyn and Bronx Composers Get Beebe Prizes for Study," *The New York Times*, 12 July 1953: 64; Ralph Shapey, letter to the J. S. Guggenheim Memorial Foundation, 14 August 1954. By permission of the J. S. Guggenheim Memorial Foundation.

⁶¹ Letters from Harrison Keller, trustee of the Frank Huntington Beebe Fund for Musicians, to Shapey, 12 June 1953 and 18 June 1953. Shapey Papers, Box 93.

Henze; see the people in the Stuttgart Radio. What is Hartmann writing?⁶²

You must try to get to see Scherchen or my old friend Vladimir Vogel who is a first rate composer. Did you get to see a young fellow – Stockhausen? I read the other day a score of his and liked the thing.⁶³

It is too bad that you dislike so much Dallapiccola. I found him very charming when I saw him here. He could be of value to you. He is helpful. (At least he did try his best to bring me to Venice) . . . Try to meet Nono (and my old friend Sanzogno the conductor). I hear that Nono is a very gifted composer who is writing less traditional music.⁶⁴

⁶² Stefan Wolpe, letter to Shapey (in Munich), postmarked 4 February 1954. Shapey Papers, Box 147, Wolpe Material (Restricted).

⁶³ Stefan Wolpe, letter to Shapey (in Florence, Italy), postmarked 24 February 1954. Shapey Papers, Box 147, Wolpe Material (Restricted).

⁶⁴ Stefan Wolpe, letter to Shapey (in Florence, Italy), postmarked 7 April 1954. Shapey Papers, Box 147, Wolpe Material (Restricted).

Table 2.3 Ralph Shapey's Trip to Europe, September 1953 to July 1954

Shapey-Levy correspondence, Shapey Papers, Box 145; Shapey-Wolpe correspondence, Shapey Papers, Box 147, Wolpe Material (Restricted). By permission of the Special Collections Research Center, University of Chicago Library.

<u>Document</u>	<u>Location</u>	<u>Date</u>
<i>Sonate</i> for Cello and Piano, mvts. I and II	London	15 Oct. 1953–13 Nov. 1953
Letter from Shapey to Ed Levy	Paris	6 Dec. 1953
<i>Burnt Norton</i> (sketch)	Munich	18 Dec. 1953
<i>Sonate</i> for Cello and Piano, mvt. III	Munich	19 Dec. 1953–1 Jan. 1954
<i>Piece in the Form of Sonate-Variations</i>	Munich	2 Jan. 1954–15 Feb. 1954
Letter from Shapey to Ed Levy	Munich	25 Jan. 1954
<i>For 11 Instruments</i> (sketch, first version)	Munich	30 Jan. 1954
Letter from Wolpe to Shapey	Munich	Postmarked 4 Feb. 1954
Letter from Shapey to Ed Levy	en route to Cologne	4 Feb. 1954
Letter from Shapey to Ed Levy	Munich	14 Feb. 1954
Letter from Ed Levy to Shapey	Munich	Postmarked 16 Feb. 1954
Letter from Wolpe to Shapey	Florence	24 Feb. 1954
<i>For 11 Instruments</i> (sketch, second version)	Florence	16 Mar. 1954
Concerto for Clarinet and Chamber Group	Florence	24 Mar.–7 June 1954
Letter from Wolpe to Shapey	Florence	7 April 1954
Letter from Ed Levy to Shapey	Florence	18 April 1954
Letter from Shapey to Ed Levy	Florence	23 April 1954
Letter from Ed Levy to Shapey	Florence	30 May 1954
Letter from Ed Levy to Shapey	Florence	15 June 1954
Letter from Wolpe to Shapey	New York	16 Aug. 1954

The three-movement *Sonate* for Cello and Piano (1953-54)⁶⁵ was the first piece that Shapey composed during his Beebe Scholarship tour of Europe. The first two movements were written in London, the third in Munich. The *Sonate* is stylistically eclectic. Shapey alternates between different approaches to harmony and musical continuity. The music wavers between modality, both whole-tone and octatonic, and chromaticism. The cello moves smoothly between chromaticism and the two whole-tone collections in the opening measures of movement I (see Ex. 2.56). Beginning in beat 5 of m. 3, the cello presents segments of both whole-tone collections, {Bb, C, D, E} and {F, G, A, B}. The piano chord on the fifth beat of m. 3, B1/Db4/G4, combines with the cello line to present subsets of both whole-tone collections. The final notes of the cello in m. 4, C#2–D#2, can be perceived either as completing the second whole-tone collection, or as part of a chromatic figure, D–C#–D#, related to the chromaticism of the cello line in m. 3.

⁶⁵ The *Sonate* for Cello and Piano is published by Theodore Presser Co.: 11440569S. Cellist Joel Krosnick and pianist Gilbert Kalish recorded the work on Arabesque Z6728.

Example 2.56 Subsets of both whole-tone collections, in Ralph Shapey, *Sonate* for Cello and Piano (1953-54), I, mm. 3-4. The two whole-tone collections are labeled “A” and “B.” Their subsets are circled. © 1954 Theodore Presser Co. Used by permission.

The musical score consists of two systems. The first system (measures 3-4) is in 3/4 time. The cello part (bass clef) begins in measure 3 with a triplet of eighth notes (Bb, A, G) circled and labeled 'A'. The piano part (treble and bass clefs) also begins in measure 3 with a triplet of eighth notes (Bb, A, G) circled and labeled 'B'. The second system (measures 4-5) is in 3/4 time. The cello part begins in measure 4 with a triplet of eighth notes (Bb, A, G) circled and labeled 'B'. The piano part begins in measure 4 with a triplet of eighth notes (Bb, A, G) circled and labeled 'B'. The tempo marking 'poco rit.' is present above the piano line in measure 4.

In movement II, the piano first presents a chromatic theme that is varied in a succession of short, rhythmically irregular phrases, with frequent clashes of sevenths and ninths between treble and bass. The cello enters in m. 4 with a contrasting theme that blends chromatic (B–C#–C) and octatonic (G–Ab–F–E) gestures.⁶⁶ In addition, it employs additive and subtractive

⁶⁶ B and C# can be considered elements of the octatonic collection that also includes E, F, G and Ab.

rhythms in the progression, 3-1-2-3-2-1-3 (see Ex. 2.57). Shapey later reintroduces the cello theme in an extended form. When the piano takes over the theme, the cello's accompanimental line begins with a segment of the octatonic scale, F#–G#–A–B–C (see Ex. 2.58).

Example 2.57 Octatonicism in the cello theme, in Ralph Shapey, *Sonate for Cello and Piano* (1953-54), II, mm. 4-7. Shapey annotates the score with “TP,” indicating the “tension point” of the treble line. © 1954 Theodore Presser Co. Used by permission.

The musical score for Example 2.57 consists of three staves. The top staff is the cello line, starting with a measure rest followed by notes in measures 4, 5, 6, and 7. The piano accompaniment is on the bottom two staves. The piano treble line (middle staff) has a melodic line with a dashed curve and an asterisk marking a 'TP' (Tension Point) in measure 5. The piano bass line (bottom staff) has a melodic line with notes in measures 4, 5, 6, and 7, and a crescendo hairpin starting in measure 4. Dynamics include *mf* for the cello and piano treble, and *f* for the piano bass line.

* TP = Tension Point in curve of melodic line.

Example 2.58 Octatonicism in the cello line, in Ralph Shapey, *Sonate* for Cello and Piano (1953-54), II, mm. 26-34 (cf. Ex. 2.57). Octatonic segments of the cello line are circled. © 1954 Theodore Presser Co. Used by permission.

The musical score is presented in three systems, each with a cello line (treble clef) and a piano accompaniment (grand staff). The time signature is 3/8.

System 1 (mm. 26-29): The cello line begins with a measure of rest, followed by a dotted quarter note, a quarter note, and a half note. A circled octatonic segment (F#4, G4, A4, Bb4, C5, D5, Eb5, F5) is circled. The piano accompaniment consists of a continuous eighth-note pattern. Dynamics include *mf* for both parts.

System 2 (mm. 30-32): The cello line continues with a dotted quarter note, a quarter note, and a half note. A circled octatonic segment (F#4, G4, A4, Bb4, C5, D5, Eb5, F5) is circled. The piano accompaniment continues with a continuous eighth-note pattern. Dynamics include *f* for the cello and *mf* for the piano.

System 3 (mm. 33-34): The cello line begins with a dotted quarter note, a quarter note, and a half note. A circled octatonic segment (F#4, G4, A4, Bb4, C5, D5, Eb5, F5) is circled. The piano accompaniment consists of a continuous eighth-note pattern. Dynamics include *mf* for the cello and *f* for the piano.

Shapey juxtaposes motivic development with circular and repetitive narrative strategies in the *Sonate*, a technique that he had previously employed in Symphony No. 1 and the Oboe Quartet. He presents a polyphonic interchange between piano and cello in movement I that is periodically disrupted by brief “windows” of repetitive figures (mm. 7, 16-7, not shown). In mm. 34-6, the music reaches a point of complete stasis, with multiple repetitions of a dissonant piano figure before the beginning of the recapitulatory concluding section of the movement (not shown). In movement II, Shapey again introduces a “window” of stasis when the music increases in intensity, using a motive derived from the piano’s initial chromatic theme (see Ex. 2.59).

Example 2.59 Sound block, in Ralph Shapey, *Sonate* for Cello and Piano (1953-54), II, mm. 22-5. © 1954 Theodore Presser Co. Used by permission.

poco a poco cresc.

The musical score for Example 2.59 is presented in two systems. The top system is for the piano, and the bottom system is for the cello. The piano part (top system) begins with a melodic line in 6/8 time, marked with a forte (*f*) dynamic. The cello part (bottom system) begins with a more static, dissonant figure, also marked with a forte (*f*) dynamic. The tempo/mood is indicated as *poco a poco cresc.* The score shows a progression of dynamics from *f* to *ff* across the measures.

The cello and piano present a polyphonic dialogue throughout most of the rondo finale (see Ex. 2.60).

Example 2.60 Polyphonic dialogue between cello and piano, in Ralph Shapey, *Sonate for Cello and Piano* (1953-54), III, mm. 1-2. © 1954 Theodore Presser Co. Used by permission.

Con moto ♩ = 69

The musical score consists of three staves. The top staff is the piano part, the middle staff is the cello part, and the bottom staff is the piano part's low bass. The piano part (top staff) begins with a flowing ostinato in the middle register, marked *mp*. The cello part (middle staff) enters with a motive in its highest register, marked *mp*. The piano part (bottom staff) includes a transposed and augmented statement of the first five notes of the movement's opening theme in the low bass, marked *p*. The score is in 3/16 and 4/4 time signatures. The tempo is marked 'Con moto' with a quarter note equal to 69 beats per minute.

Early in the movement, Shapey interrupts the contrapuntal discourse to introduce a brief lyrical interlude. The piano initiates the episode with a flowing ostinato in the middle register (m. 25). The cello then enters with a motive in its highest register (mm. 27-9). The first six notes of the motive comprise an octatonic subset (see Ex. 2.61a). The piano's ostinato pattern is coupled with a transposed and augmented statement of the first five notes of the movement's opening theme, presented in the low bass. Shapey employs this thematic figure as a *cantus firmus*. Its first four notes are identical in shape to the beginning of the "Thème de l'étoile et de la Croix," stated in double octaves throughout the "Regard de la Croix," no. 7 of Messiaen's *Vingt Regards sur l'Enfant-Jésus* (1944) (see Ex. 2.61b). Shapey's possible use of the music of Messiaen as a compositional model during the 1950s and early 1960s will serve as a recurrent motif in the remainder of this study. His interest in Messiaen's music and ideas seems to have culminated in a detailed critique of the Frenchman's rhythmic procedures, presented in a lecture at Yale University that will be discussed in chapter 5.

Example 2.61a Lyrical interlude, in Ralph Shapey, *Sonate* for Cello and Piano (1953-54), III, mm. 27-9. The circled notes comprise an octatonic subset. © 1954 Theodore Presser Co. Used by permission.

27

p tenderly – poignantly

p *mp* *p* *mp* *p* *mp*

Sost. Leg. Sost. Leg. Sost. Leg.

29

p *mp* *p* *mp* *p* *mp*

Sost. Leg. Sost. Leg.

Example 2.61b Olivier Messiaen, *Vingt Regards sur l'Enfant-Jésus* for Piano (1944), VII, “Regard de la Croix,” mm. 1-4 (cf. Ex. 2.61a). © 1947 Durand éditions - Paris. All rights reserved. Reproduced by kind permission of Hal Leonard MGB, Italy.

Bien modéré (♩ = 40)
expressif et douloureux

(Thème de l'étoile et de la Croix)

The cello's lyrical motive and the piano's cantus firmus return in the final pages of the Cello Sonata. The work concludes with a melding of the weaving atonal motive central to the discourse of the movement and the piano accompaniment of the lyrical episodes, including the cantus firmus (mm. 99-107, not shown).

Shapey's appropriation of ideas from the music of Messiaen at this relatively early date is consistent with evidence both from his other scores of the 1950s and from his correspondence. As a young composer, Shapey would have had many opportunities to hear Messiaen's music, which was played frequently in New York during the late 1940s and early 1950s. Both *Trois petites Liturgies de la Présence Divine* (1943-44) and the *Turangalîla-Symphonie* (1946-48)

were performed in New York in autumn 1949,⁶⁷ while the composer's own recording of *Visions de l'Amen* (1943) was issued on the Dial label in 1950.⁶⁸ During this period, the American musical establishment promoted Messiaen as a major figure. Prior to the American premiere of *Turangalila*, Serge Koussevitsky, music director of the Boston Symphony, gave interviews stating that he considered the Frenchman to be "the future hope of European music."⁶⁹ Similarly, composer Irving Fine⁷⁰ asserted in a 1950 *New York Times* article that Messiaen's influence, both as composer and teacher, "reached fantastic proportions" in France after the end of World War II, and that younger French composers perceived "almost limitless possibilities" in his "elaborate rhythmic theory."⁷¹ Under the circumstances, it would have been almost impossible for an ambitious young musician like Shapey to ignore Messiaen's music. Shapey referred approvingly to a performance of Messiaen's music in an undated letter to Edward Levy about the International Conference on Twentieth Century Music, held in Rome in April 1954.⁷²

⁶⁷ Olivier Messiaen, *Trois petites Liturgies de la Présence Divine*, New York Philharmonic, Leopold Stokowski, cond., 17-18 November 1949; *Turangalila-Symphonie*, Boston Symphony, Leonard Bernstein, cond., Carnegie Hall, 10 December 1949. See Olin Downes, "Bernstein Leads Messiaen's work; Conducts Boston Symphony in 'Turangalila' -- Yvonne Loriod Is Piano Soloist," *The New York Times*, 11 December 1949: 87.

⁶⁸ Olivier Messiaen, *Visions de l'Amen* for Two Pianos, Olivier Messiaen and Yvonne Loriod, pianos, Dial Contemporary Classics 8 (195-). See Carter Harman, "Records: French: Eighty Years of Gallic Music Traversed," *The New York Times*, 16 July 1950: X6.

⁶⁹ "Koussevitsky Gives List: Conductor Plans Messiaen Work as Premiere During Season," *The New York Times*, 7 October 1947: 31.

⁷⁰ Irving Fine (1914-62), composer and professor of music at Brandeis University.

⁷¹ Irving Fine, "Composers in France: Younger Generation Uses Complicated Means," *The New York Times*, 4 June 1950: X7.

⁷² "The music was bad, bad, bad!!! Out of 11 concerts I would say I heard 12 good works (a lot perhaps) but in a lot of cases I'm giving the benefit of [a] doubt. Chavez was quasi good, Prokofiev – good, Honegger – good, Messiaen – good, Carter – good, Schoenberg – Op. 19 and 25 for piano (put in concert at last moment from guilty conscience to leave him out)! Petrassi – good, Hartmann – good (hysterical), Berg - Op. 5 for clar. and piano – beautiful! Varèse, *Octandre* (bad performance), Nono – talented but very young, Webern – *Cantata*, bad performance, Stravinsky (good, bad, indifferent) but hailed like a God!" Shapey to Edward Levy, letter (undated), 1954. Shapey Papers, Box 145. On the contemporary music festival held in

In retrospect, the Cello Sonata represents an aesthetic compromise, in which Shapey tried to combine traditional narrative strategies with his use of sound blocks. It was a compromise that Shapey was not able to sustain, and which he soon abandoned. Shapey's vacillation between two fundamentally different approaches to composition in the Sonata produces an unsettling effect, as if a piece by Roger Sessions were repeatedly interrupted by snippets of music by Philip Glass.

Although Shapey completed the Sonata in early 1954, it was not premiered until 10 March 1956, when it was performed by cellist Jackson Wiley and pianist Russell Sherman at Carnegie Recital Hall in New York. During the two-year interval between conception and performance, Shapey's circumstances changed radically. Two transformative events in his career took place: the premiere of his Concerto for Clarinet and Chamber Group by the New York Philharmonic Chamber Players on 20 March 1955, and the cancellation of the Philharmonic premiere of *Challenge: The Family of Man*, which was to be performed on 9-10 February 1956 (see chapter 3).

In preparation for the premiere of *Challenge*, Shapey received publicity photos from the New York Philharmonic at the beginning of February 1956.⁷³ His photo was printed in *The New York Times*, together with an announcement of the forthcoming performance.⁷⁴ Shapey thought that he would finally achieve the recognition that he felt he had been denied in 1951, when he received an honorable mention for his Fantasy for Orchestra (1951) in the George Gershwin

Rome between 4 and 15 April 1954, see Frances Stonor Saunders, *Who Paid the Piper? The CIA and the Cultural Cold War* (London: Granta Books, 1999), 221-223; Ian H. Wellens, *Music on the Frontline: Nicolas Nabokov's Struggle Against Communism and Middlebrow Culture* (Burlington, VT: Ashgate, 2002).

⁷³ Joan Abel, Press Department, New York Philharmonic, letter to Shapey, 3 February 1956. Shapey Papers, Box 93.

⁷⁴ "American Composers Take Over The Concert Spotlight This Week," *The New York Times*, 5 February 1956: 119.

Memorial Competition.⁷⁵ He was, understandably, bitterly disappointed when the Philharmonic cancelled the performance of his work. A month after the *Challenge* fiasco, Shapey attended the premiere of the Cello Sonata at Carnegie Recital Hall, at a “twilight concert” of contemporary music that had been scheduled at 5:30 PM to save money. After all of the media attention that he had received in the previous twelve months, he must have felt like Cinderella after the ball. This circumstance made the first performance of the Cello Sonata somewhat anticlimactic from the standpoint of Shapey’s professional development. Reviewing the performance by Wiley and Sherman, the *New York Times* critic, Edward Downes, noted stylistic variation within Shapey’s Sonata, yet gave it a positive reception:

[An] interesting work despite its seeming inconsistencies of style was a ‘Cello Sonata of Ralph Shapey. The extreme thematic angularity of its opening movement, reminiscent of some twelve-tone music, gave way later to some positively neo-baroque sounding counterpoint and a romantically fervid finish.’⁷⁶

While he was composing the Cello Sonata, Shapey planned an additional work, *Burnt Norton*, based on the first poem in T. S. Eliot’s *Four Quartets*. Shapey left two closely related drafts for a setting of the first ten lines of Eliot’s poem.⁷⁷ While the first draft is undated and unsigned, the second draft is signed and headed, “Munich, 18 December 1953.” *Burnt Norton* is radically different in style from the Cello Sonata: jagged music, highly dissonant, full of large leaps and rhythmically fluid. The first draft is scored for voice, narrator and piano, while the second draft is scored only for narrator and piano (see Ex. 2.62). Shapey was apparently drawn to Eliot’s poem by its discussion of the “eternal present:”

Time present and time past

⁷⁵ See chapter 2, note 26.

⁷⁶ Edward Downes, “Six U.S. Works Bow in Twilight Concert,” *The New York Times*, 11 March 1956: 55.

⁷⁷ Both drafts of *Burnt Norton* are written on fourteen-stave Circle Blue Print paper. Shapey Papers, Box 26.

Are both perhaps present in time future
 And time future contained in time past.
 If all time is eternally present
 All time is unredeemable.
 What might have been is an abstraction
 Remaining a perpetual possibility
 Only in a world of speculation.
 What might have been and what has been
 Point to one end, which is always present.⁷⁸

⁷⁸ T. S. Eliot, *Burnt Norton*, part I, in T. S. Eliot, *Four Quartets* (New York: Harcourt, Brace & Co., 1943), 13. See chapter 3 for an examination of Shapey's 1958 discussion of the idea of time: "'Time' moves along hurriedly only in [a] narrow sense; there is another 'Time,' the Eternal Time! . . . A 'Time' which does not move, goes no place; simply 'IS'! Frozen in space, complete & fulfilled." Ralph Shapey, handwritten manuscript containing the composer's thoughts about musical structure (henceforth, [thoughts about musical structure]), ca. 1958. Shapey Papers, Box 11.

Shapey's use of Eliot's text about the "eternal present" recalls his epigraph for the first of the *Three Essays on Thomas Wolfe* (1948-49), "It was as if God had lifted his baton sharply above the endless orchestration of the seas, and the eternal movement had stopped, suspended in the Timeless architecture of the Absolute."⁷⁹

Shapey temporarily set aside his theories about musical time when he composed the *Piece in the Form of Sonate-Variations* (1954)⁸⁰ for piano. He began work on the *Sonate-Variations* on 2 January 1954, the day after he completed the Cello Sonata. The *Sonate-Variations* is an imaginative synthesis of variation form and sonata form. The work can be divided into a theme and thirteen variations, which are separated by double bars but are not labeled or numbered. The variations can be grouped into larger sections that symbolize the four movements of a sonata cycle on two different levels.

The theme is an arch-like structure centered around the completion of the aggregate on the pc, E. The music moves in contrary motion between the hands. At the beginning of the theme, the treble line ascends while the bass line descends. At its conclusion, this motion is reversed (see Ex. 2.63).

⁷⁹ Epigraph to "Essay I" of Ralph Shapey, *Three Essays on Thomas Wolfe* (1948-49).

⁸⁰ Theodore Presser Co. publishes the *Piece in the Form of Sonate-Variations*: #110-40696.

Example 2.63 Thematic symmetry, in Ralph Shapey, *Piece in the Form of Sonate-Variations* for Piano (1954), page 1, system 1. © 19-- Theodore Presser Co. Used by permission.

$\text{♩} = 88$

The musical score for Example 2.63 is presented in two systems. The first system consists of a treble and bass staff. The treble staff begins with a half note B-flat, followed by a quarter note A, a quarter note G, and a quarter note F. The bass staff begins with a half note B-flat, followed by a quarter note A, a quarter note G, and a quarter note F. The first system is marked with dynamics *mp*, *mf*, *f*, and *mf*. The second system consists of a treble and bass staff. The treble staff begins with a half note B-flat, followed by a quarter note A, a quarter note G, and a quarter note F. The bass staff begins with a half note B-flat, followed by a quarter note A, a quarter note G, and a quarter note F. The second system is marked with dynamics *mf* and *mp*. The score includes various musical notations such as notes, rests, and dynamic markings.

The theme and the first six variations can be conceptualized both as a single movement that simultaneously incorporates all four movements of a sonata cycle, and as the exposition of the first movement of a four-movement sonata cycle that comprises the entire work (see Table 2.4).

Table 2.4 Ralph Shapey, *Piece in the Form of Sonate-Variations* (1954): Form

<u>Variation</u>	<u>Page</u>	<u>Small Form</u>	<u>Large Form</u>
Theme	1	First movement	First movement exposition
1	1-2		
2	3-4		
3	4-5	Slow movement	
4	5-7	Scherzo	
5	7-8	Finale	
6	8-9	(Variant of theme)	
7	9-12		First movement development
8	12-15	(Related to var. 2)	First movement recapitulation
9	16-18	(Related to var. 3)	Slow movement
10	18-19	(Elaboration of theme)	
11	19-22	(Related to var. 4)	Scherzo
12	23	(Variant of theme)	
13	24-28	(References to vars. 5, 4/11, 6)	Finale

The theme and variations 1-2 constitute the “first movement” of the small form. Variation 3 is a “slow movement,” variation 4 a “scherzo” with obsessive dotted rhythms. Variations 5 and 6 serve both as the “finale,” and, on another level, as the conclusion of the first movement exposition within the larger form. The brief variation 6, a reworking of the original theme, delineates this structural landmark. Variation 7 serves as the development section of the first movement of the large form, with a more expansive character and a wider registral range than the previous variations. In variation 8, an elaboration of variation 2, the theme is presented in imitation and diminution (see Ex. 2.64). Variation 8 serves as the recapitulation of the first movement of the large form.

Example 2.64 Theme presented in imitation and diminution, in Ralph Shapey, *Piece in the Form of Sonate-Variations* for Piano (1954), variation 8, p. 15, system 1 (cf. Table 2.4). © 19-- Theodore Presser Co. Used by permission.

Variation 9 constitutes the slow movement of the large form, with affinities of rhythm and pitch structure to the first slow variation, variation 3. Variation 10 is a transformation and elaboration of the original theme. Like the other variants of the original theme, variations 6 and 12, it serves to demarcate divisions within the overall design of the work. Variation 11 serves as the scherzo, sharing its obsessive dotted rhythms with variation 4. Both variations end with the same tetrachord (also employed at the conclusion of variation 6), with the E–G# dyad sustained in the treble, while the Eb–G dyad is repeated in the bass (not shown). After the brief interlude of variation 12, variation 13 serves as an extended finale to the large sonata form that combines elements from many variations.

Lalan Parrott premiered the *Sonate-Variations* at Carnegie Recital Hall in New York on 13 October 1956.⁸¹ When Irma Wolpe performed the work in New York in 1958, David Baruch wrote in *Musical America*, “the Sonata-Variations was notable for its communicative rhythms,

⁸¹ Edward Downes, “Concert Series is Started Here,” *The New York Times*, 14 October 1956: 82.

strong and logical sense of direction, and pleasing sonorities.”⁸²

At the end of January 1954, Shapey briefly interrupted work on the *Sonate-Variations* to sketch a piece for ensemble, entitled *For 11 Instruments*. *For 11 Instruments* represented Shapey’s second attempt within a month to compose in a style that violated traditional concepts about musical continuity.⁸³ The one-page sketch, scored for two pianos, is highly repetitive, with dissonant, widely spaced figures (see Ex. 2.65). In March 1954, Shapey wrote out a three-page full score for the opening measures of what he apparently considered to be a revised version of the first sketch but which, in fact, appears to be the beginning of a different piece.⁸⁴ As in the case of *Burnt Norton*, Shapey abandoned the project despite, or perhaps because, of the originality of his conception.

The two-piano sketch leaf is of great importance in charting Shapey’s development as a composer. The rapid leaps, wide registral span and repetitive gestures evoke the music of Varèse, which Shapey knew through the Elaine Music Shop recording, issued in 1950. Both the sketch for *Music for 11 Instruments* and the fragmentary setting of *Burnt Norton* stand in sharp contrast to the “official” music that Shapey completed in 1953 and the early months of 1954.

⁸² David Baruch, “Composers’ Showcase,” *Musical America* 78, no. 6 (May 1958): 26.

⁸³ The sketch is dated Munich, 30 January 1954. Shapey Papers, Box 26.

⁸⁴ The ensemble draft of *For 11 Instruments* is dated Florence, 16 March 1954. Shapey labeled the new version, “reconceived.” Shapey Papers, Box 26.

Example 2.65 Ralph Shapey, *For 11 Instruments* (1954), sketch, short score, mm. 1-7.
Shapey Papers, Box 26. By permission of the Special Collections Research Center, University
of Chicago Library.

Slow

The musical score is written for two pianos, Piano 1 and Piano 2. The tempo is marked "Slow". The key signature has one sharp (F#). The time signature is 5/8. The score consists of seven measures.

Piano 1:

- Measure 1: Treble clef, F#4 half note, F#5 quarter note, F#5 quarter note. Bass clef: whole rest.
- Measure 2: Treble clef: whole rest. Bass clef: whole rest.
- Measure 3: Treble clef: F#4 quarter note, F#5 quarter note, F#5 quarter note. Bass clef: whole rest.
- Measure 4: Treble clef: F#4 quarter note, F#5 quarter note, F#5 quarter note. Bass clef: whole rest.
- Measure 5: Treble clef: F#4 quarter note, F#5 quarter note, F#5 quarter note. Bass clef: whole rest.
- Measure 6: Treble clef: F#4 quarter note, F#5 quarter note, F#5 quarter note. Bass clef: whole rest.
- Measure 7: Treble clef: F#4 quarter note, F#5 quarter note, F#5 quarter note. Bass clef: whole rest.

Piano 2:

- Measure 1: Treble clef: F#4 quarter note, F#5 quarter note, F#5 quarter note. Bass clef: F#4 quarter note, F#5 quarter note, F#5 quarter note.
- Measure 2: Treble clef: F#4 quarter note, F#5 quarter note, F#5 quarter note. Bass clef: F#4 quarter note, F#5 quarter note, F#5 quarter note.
- Measure 3: Treble clef: F#4 quarter note, F#5 quarter note, F#5 quarter note. Bass clef: F#4 quarter note, F#5 quarter note, F#5 quarter note.
- Measure 4: Treble clef: F#4 quarter note, F#5 quarter note, F#5 quarter note. Bass clef: F#4 quarter note, F#5 quarter note, F#5 quarter note.
- Measure 5: Treble clef: F#4 quarter note, F#5 quarter note, F#5 quarter note. Bass clef: F#4 quarter note, F#5 quarter note, F#5 quarter note.
- Measure 6: Treble clef: F#4 quarter note, F#5 quarter note, F#5 quarter note. Bass clef: F#4 quarter note, F#5 quarter note, F#5 quarter note.
- Measure 7: Treble clef: F#4 quarter note, F#5 quarter note, F#5 quarter note. Bass clef: F#4 quarter note, F#5 quarter note, F#5 quarter note.

Measure 1: 5/8

Measure 2: 2/4 + 3/16

Measure 3: 1/8 + 2/4 + 1/16

Measure 4: 1/8 + 2/4

Measure 5: 3/16

Measure 6: 4/8

Measure 7: 3/16

When Shapey met Karl Amadeus Hartmann⁸⁵ in Munich at the end of January 1954, the two composers argued about their differing approaches to the question of musical continuity. In a letter of 25 January 1954, Shapey wrote to Ed Levy:

I finally saw Hartmann – the big shot here last night. We got there at 4 PM. We argued & fought till 9 PM. . . . Even he – however he is a good composer & is seeking a new form. This is good & I for one agree, but to get involved with charts with numbers for a new form, to me, becomes childish. Actually all he is doing is what Schoenberg did for 12 note Rows. Hartmann is trying to do the same thing for form. Agreed it's possible – except for the glaring fallacies. A binding formula which binds nothing – a form which is rigid in the most superficial way resulting in new names for old tricks. His form comes from a preconceived regulated metric series; the argument got very heated and [-----] when I yelled back at him – “you dictate to your material, but my material dictates to me.” Then we parted, good close friends, his arm around me. . . . Oh yes – I forgot – Hartmann was yelling that nature dictates the form – when I pulled the above and ended the discussion.⁸⁶

Given Shapey's ongoing experiments with a radical reformulation of the elements of his compositional language in the winter of 1954, it is not surprising that the Cello Sonata and the *Sonate-Variations* proved to be an ending rather than a beginning. A conjunction of musical and psychological factors led Shapey to change his style in his next piece, the Concerto for Clarinet and Chamber Group. This change of compositional direction seems to have been spurred by Wolpe's announcement of the imminent recording of his Quartet for Trumpet, Tenor Saxophone, Percussion, and Piano (1950, rev. 1954). Shapey had conducted the premiere of the original version of the Quartet in 1950, and had, rightly or wrongly, a possessive attitude towards the performance of the work. In a February 1954 letter, Wolpe wrote, “Esoteric is going to bring out my Sonata [for violin and piano] and the Saxophone Quartet in one Package. It's planned for April. I certainly want you to conduct this piece (with a new first movement). If I can delay

⁸⁵ Karl Amadeus Hartmann (1905-1963), German composer.

⁸⁶ Ralph Shapey, letter to Edward Levy, 25 January 1954. Shapey Papers, Box 145.

Esoteric's plans when do you plan to be back. Write me immediately."⁸⁷ On 7 April 1954, Wolpe wrote to Shapey:

I worked much. Wrote a new first movement to the second of the Saxophone Quartet. Much much better, less maudlin, less melodious very terse, compact and acutely there (I am moved by it)... Also, I added a vibraphone.

It is too bad that you can't conduct the piece. Sam Baron is going to do it. I hear splendid comments about him...Esoteric will bring out the LP in September.⁸⁸

As Shapey later recounted,⁸⁹ he lacked the funds to return to America for Wolpe's recording sessions. Shapey's bitter disappointment at the missed opportunity to conduct Wolpe's recording was all the more reason for him to have Wolpe's Saxophone Quartet uppermost in his mind as he thought about his future compositional path. In March, he began writing the Concerto for Clarinet and Chamber Group. More than anything else, the Concerto evokes the sound world of Wolpe's Quartet. Shapey's stylistic detour of 1950-54, sparked by his admiration for Wolpe's Violin Sonata, was at an end. The Concerto for Clarinet and Chamber Group set him on a path to return to the musical ideas that he had cultivated in the works of 1948-49.

⁸⁷ Stefan Wolpe, letter to Ralph Shapey (in Munich, Germany), postmarked 4 February 1954. Shapey Papers, Box 147, Wolpe Material (Restricted).

⁸⁸ Stefan Wolpe, letter to Ralph Shapey (in Florence, Italy), postmarked 7 April 1954. Shapey Papers, Box 147, Wolpe Material (Restricted).

⁸⁹ Ralph Shapey, undated note on yellow paper (?1990s). Shapey Papers, Box 147, Wolpe Material (Restricted).

CHAPTER 3:**THE SEARCH FOR A NEW CONCEPT OF CONTINUITY, 1954-58**

During the second half of the 1950s, Shapey attempted to reformulate the concept of musical continuity. In a series of works (see Table 3.1), he gradually abandoned traditional procedures of musical development based on the unfolding of motives or themes. He created a music in which contrast and continuity are produced mainly through variation of register, density, texture and timbre. Although he worked out many of his ideas within the medium of chamber music, he focused primarily on the creation of a new way of writing for the orchestra in which he was able to fully realize the implications of his new musical language. Shapey reconfigured the orchestra, dividing the ensemble into small groups and using a large battery of percussion instruments. He employed brief, forceful musical gestures, which he called “graven images,” elaborating them by the use of extreme registers, complex, layered textures, dramatic timbral contrasts and spatial manipulation, both within pitch space and physical space. Shapey’s quest to develop a new musical language was inspired by the concepts of musical time and space developed by his teacher and mentor, Stefan Wolpe, and by Edgard Varèse, whose music he championed as a conductor.

Table 3.1 Ralph Shapey: Chronology of Compositions, 1953–58

Composition	Dates Composed
Trio for Violin, Cello and Piano, mvt. I	8 February 1953–16 April 1953
String Quartet No. 4	4 June 1953–9 September 1953
<i>Sonate</i> for Cello and Piano	15 October 1953–1 January 1954
<i>A Piece in the Form of Sonate-Variations</i> , piano	2 January 1954–15 February 1954
Concerto for Clarinet and Chamber Group	24 March 1954–7 June 1954
<i>Ballet-Oratorio</i> , narr., chorus, solo voices, chamber orch. and dancers, unfinished	1954–56
Trio for Violin, Cello and Piano, mvt. II	5 August 1954–3 April 1955
Trio for Violin, Cello and Piano, mvts. III-IV	11 April 1955–2 May 1955
<i>Challenge: The Family of Man</i> , orchestra	1 June 1955–17 October 1955
<i>Mutations I</i> , piano	23 June 1956–31 July 1956
<i>Short Piece</i> , piano	9 September 1956
Duo for Viola and Piano	24 November 1956–9 June 1957
<i>Rhapsodie</i> for Oboe and Piano	14 June 1957–21 July 1957
<i>Songs of Eternity</i> for mezzo-soprano and eleven players (later withdrawn)	24 July 1957–10 September 1957
String Quartet No. 5 with Female Voice	1 September 1957–20 March 1958
<i>Ontogeny</i> , orchestra	18 June 1958–20 August 1958
<i>Walking Upright</i> , soprano and violin	24 August 1958–25 August 1958
“Invocation” Concerto for Violin and Orchestra	26 August 1958–4 December 1958

Re-engaging with Wolpe’s Music

In March 1954, Shapey suddenly abandoned the neo-Schoenbergian language that he had employed in String Quartet No. 4 (1953) and the *Sonate-Variations* (1954). His stylistic evolution was undoubtedly stimulated by Wolpe’s own change of style in the late 1940s and early 1950s. Under the impact of Varèse, Wolpe had begun to write music that was more texturally fragmented and widely arrayed in physical space than his earlier works, a process that culminated in his two compositions for three pianos, *Seven Pieces* for Three Pianos (1951) and *Enactments* (1950–53).¹

¹ According to Austin Clarkson: “[Wolpe] had previously written pieces for two pianists, but three pianists opened up new possibilities for realizing his emerging concept of diverse and

In retrospect, several pieces that Shapey wrote in 1951-52 foreshadow his new stylistic departure. Shapey's change of direction may, however, have been precipitated by his emotional distress over Wolpe's plans to record his Saxophone Quartet. Shapey's next composition, the Concerto for Clarinet and Chamber Group (1954),² bears many similarities to Wolpe's Quartet. The ensemble in Shapey's Concerto resembles that of Wolpe's piece. While Wolpe employs a quartet of trumpet, tenor saxophone, percussionist and piano, Shapey's clarinet soloist is accompanied by a group of six players: horn, violin, cello, piano, and two percussionists, who play tom-toms (high, medium, low) and bass drum. Shapey provides a seating plan that places one of the percussionists at the front of the ensemble, to the right of the conductor, an arrangement reminiscent of Stravinsky's seating plan for the instrumental ensemble of *L'Histoire du soldat* (see Fig. 3.1).

complex actions in an abstractionist, constellatory musical space." Austin Clarkson, "Essays in Actionism: Wolpe's Pieces for Three Pianists," *Perspectives of New Music*, 40, no. 2 (Summer 2002): 115-33, especially 116; Clarkson, "Stefan Wolpe and Abstract Expressionism," in Steven Johnson, ed., *The New York Schools of Music and Visual Arts* (New York: Routledge, 2002), 75-112.

² Ralph Shapey, Concerto for Clarinet and Chamber Group (Bryn Mawr, PA: Theodore Presser Co., 1978). Score and parts for the Concerto for Clarinet and Chamber Group are available from the Theodore Presser Co. Rental Library.

Figure 3.1 Ralph Shapey, Concerto for Clarinet and Chamber Group (1954), seating plan. © 1978 Theodore Presser Co. Used by permission.

The three movements of the Concerto are played without pause. The Concerto begins with an evocation of jazz. Shapey presents piano clusters and percussion riffs, followed by the entry of the wailing clarinet (see Ex. 3.1).

Example 3.1 Jazz timbres and textures, in Ralph Shapey, Concerto for Clarinet and Chamber Group (1954), mm. 1-4. © 1978 Theodore Presser Co. Used by permission.

Sounds as written

Maestoso $\text{♩} = 40$

Example 3.1 continued

The musical score for Example 3.1 continued is written for a chamber ensemble. The staves are arranged vertically as follows:

- B♭ Cl.:** Treble clef, 2/4 time. Starts with a rest, then a whole note Ω in the second measure, marked *f*.
- Hn.:** Treble clef, 2/4 time. First measure has a half note $\flat E$ marked *f*. Second measure has a half note $\flat E$ marked *f*.
- Vn.:** Treble clef, 2/4 time. First measure has a quarter note $\flat E$ marked *f*. Second measure has a half note $\flat E$ marked *f*.
- Vc.:** Bass clef, 2/4 time. First measure has a quarter note $\flat E$ marked *f*. Second measure has a half note $\flat E$ marked *f*.
- Pno.:** Grand staff, 2/4 time. First measure has a quarter note $\flat E$ marked *f*. Second measure has a half note $\flat E$ marked *f*.
- H.:** Treble clef, 2/4 time. First measure has a quarter note $\flat E$ marked *f*. Second measure has a half note $\flat E$ marked *f*.
- T.-t. M.:** Treble clef, 2/4 time. First measure has a quarter note $\flat E$ marked *f*. Second measure has a half note $\flat E$ marked *f*.
- L. B. D.:** Treble clef, 2/4 time. First measure has a quarter note $\flat E$ marked *f*. Second measure has a half note $\flat E$ marked *f*.

The score includes various musical notations and dynamics:

- Triplets:** Indicated by a '3' above the notes in the first measure of the B♭ Cl., Hn., Vn., Vc., and Pno. staves.
- Dynamics:** *f* (forte) is used throughout the first measure. *p* (piano) is used in the second measure of the H. and T.-t. M. staves.
- Articulations:** *tr* (trill) is used in the second measure of the H. and T.-t. M. staves. *decresc.* (decrescendo) is used in the second measure of the L. B. D. staff.
- Other markings:** Ω (Omega symbol) is used in the second measure of the B♭ Cl. staff. $\flat E$ (flat E) is used in the second measure of the Hn., Vn., Vc., and Pno. staves.

The timbres and textures of these opening measures are reminiscent of Wolpe's Quartet, which commences with tom-tom riffs, piano clusters, and brief saxophone and trumpet figures (see Ex. 3.2).³

³ Wolpe's Saxophone Quartet is known today only in the revised version (1954), which Shapey did not see until after he had completed his Concerto.

Example 3.2 Stefan Wolpe, Quartet for Trumpet, Tenor Saxophone, Percussion and Piano (1954), I, mm. 9-13 (cf. Ex. 3.1). © 1966, 2004 Southern Music Publishing Co., Inc. International Copyright Secured. All Rights Reserved. Used by permission of Peermusic Classical.

Although Wolpe made obeisance to American jazz in his quartet,⁴ his irregular rhythms and jagged counterpoint owe more to European works like Stravinsky's *L'Histoire du soldat* (1918) (see Exx. 3.3a and b),⁵ which influenced Shapey's Concerto as well. In an interview with Eric Salzman, Wolpe commented:

⁴ Austin Clarkson has pointed out Wolpe's debt to the instrumentation of *Counterpoise #1* (1948), a classically oriented work for trumpet, baritone saxophone, percussion and piano by his student, jazz composer John Carisi. See Austin E. Clarkson, "Stefan Wolpe in Conversation with Eric Salzman," *The Musical Quarterly* 83, no. 3 (Autumn 1999): 378-412, especially 389.

⁵ Richard Taruskin has refuted the proposition that jazz had a significant influence on *L'Histoire du soldat*, arguing instead that Stravinsky's ensemble is that of a "stylized village band." See Richard Taruskin, *Stravinsky and the Russian Traditions: A Biography of the Works Through Mavra, II* (Berkeley: University of California Press, 1996), 1301-6.

I didn't intend at all to write a piece [the Saxophone Quartet] which even by its faintest traces would include jazz. But it came out as a piece which allows to think of jazz in a remotely related way. Because among my students which came to me in the years from '46, immediately after the war till including the present days, I taught an enormous amount of jazz people. I didn't teach them jazz altogether, I taught them theories and the concepts of serial music, or even of serious music.⁶

While jazz also had only a limited influence on the style of Shapey's Concerto, he would draw on jazz gestures and timbres repeatedly throughout his career.⁷

⁶ Austin E. Clarkson, "Stefan Wolpe in Conversation," 399. Clarkson comments, "When Wolpe told Salzman that he did not intend to write a piece that included jazz, he meant that while the scoring provided a vernacular timbre, his main agenda lay elsewhere. In the Saxophone Quartet he was trying to create a musical analogy to the paintings of [Jackson] Pollock and [Willem] de Kooning, [Franz] Kline and [Mark] Rothko, [Jack] Tworkov and [Esteban] Vicente, with whom he associated at the Eighth Street Club." See Clarkson, "Stefan Wolpe in Conversation," 389.

⁷ Shapey discussed jazz in a 1965 interview with William Allaudin Mathieu. See William Mathieu, interview with Ralph Shapey, Chicago, 1965, transcript. Shapey Papers, Box 10. An edited version of this interview was published as William Mathieu, "Point of Departure: A Discussion Between Composers Ralph Shapey and Bill Mathieu," *Down Beat's Music '66* (1966): 32–4, 37, 106.

Example 3.3a “Royal March,” mm. 8-14, from *L’Histoire du soldat* (1918). Music by Igor Stravinsky. Libretto by Charles Ferdinand Ramuz. Music © Copyright 1924, 1987, 1992 Chester Music Ltd, 14-15 Berners Street, London W1T 3LJ, United Kingdom, worldwide rights except the United Kingdom, Ireland, Australia, Canada, South Africa and all so-called reversionary rights territories where the copyright © 1996 is held jointly by Chester Music Limited and Schott Music GmbH & Co. KG, Mainz, Germany. Libretto © Copyright 1924, 1987, 1992 Chester Music Ltd, 14-15 Berners Street, London W1T 3LJ, United Kingdom. All Rights Reserved. International Copyright Secured. Reprinted by Permission.

1

Cl. *sub. meno f*

Bn. *sub. meno f*

Cnt. *Solo* *sub. meno f* *s*

Tbn. *sub. meno f* *s*

B.D. and Cym. *molto*

B.D. (edge and center) *R R R R* *p*

Vn. *sf secco* *pizz.* *arco* *pizz.* *arco* *pizz.*

Cb. *sf secco*

Example 3.3b Stefan Wolpe, Quartet for Trumpet, Tenor Saxophone, Percussion and Piano (1954), II, mm. 5-13 (cf. Ex. 3.3a). © 1966, 2004 Southern Music Publishing Co., Inc. International Copyright Secured. All Rights Reserved. Used by permission of Peermusic Classical.

The musical score for Example 3.3b, Stefan Wolpe's Quartet for Trumpet, Tenor Saxophone, Percussion and Piano (1954), II, mm. 5-13, is presented in a multi-staff format. The score includes measures 5 through 13. The time signatures are 2/4, 3/8, and 3/4. The music features complex rhythms, including triplets and quintuplets, and dynamic markings such as *mf*, *f*, *p*, and *snare off*. The piano part includes a xylophone section. The score is written in a multi-staff format with various clefs and key signatures.

The melding of jazz gestures and timbres with classical techniques in Wolpe's Quartet and Shapey's Concerto was intentional on the part of both composers. The editors of *The Ophicleide*, the newsletter of Wolpe's Contemporary Music School, announced a contest in 1950 to stimulate discussion about the interchange with jazz:

Our school has developed into a common meeting ground for progressive jazz and the modern classics. A question has arisen as to how strongly these two kinds of music

influence each other. We consider this question of such vital importance to everyone, that we have decided to run a contest./In 500 words or less, describe your theories on* -----
THE COUNTER-INFLUENCES OF THE MODERN CLASSICS ON JAZZ, AND OF
PROGRESSIVE JAZZ ON MODERN CLASSICS.⁸

Perhaps coincidentally, a notice in the same issue of *The Ophicleide* announced the forthcoming premiere of Wolpe's Saxophone Quartet.⁹ The issue also included a lengthy discussion of Schoenberg's music by faculty and students of the Contemporary Music School, moderated by Shapey. For both Wolpe and Shapey, jazz would always be secondary in importance to the great music of Schoenberg, Bartók and Varèse.

Shapey employs unordered segments of the twelve-tone collection as the basis of pitch organization in the first and last movements of the Concerto for Clarinet and Chamber Group. Although Shapey uses a succession of pcs resembling a series at the beginning of the Concerto, he does not employ this procedure systematically, and he only hints at the use of the operations of transposition and inversion. Shapey reuses the pitch groupings of the opening measures in an identifiable manner as the work progresses, however. For example, there are multiple correspondences between the pc content of m. 5 and that of m. 41 (see Exx. 3.4a and b). The pc content of the figure played by the clarinet in the second half of the first beat of m. 5, {D#, E, F}, is identical to that of the first three-note chord of m. 41. The pc collection, {F, Gb, G, A, Bb}, played by the clarinet on beats 1-2 in m. 5, is divided in m. 41 between the clarinet's A-Bb dyad and the three-note chord, {F, F#, G}, played by the violin and cello. The horn presents the melodic figure, F4-B4-G4-C5, on the fourth beat of m. 5, at the same time as the clarinet and violin combine to state the pc set, {Db, G, Ab}. Similarly, the clarinet plays the dyad, B-C, immediately after the violin and cello present the chord, {C, F, G}, on the last beat of m. 41. As

⁸ *The Ophicleide* 1, no. 3 (February 1950): 6.

⁹ *Ibid.*, 9.

the clarinet sounds the pc, B, the violin, cello and piano combine to play the chord, {C#, G, G#}, the enharmonic equivalent of the pc set, {Db, G, Ab}.

Example 3.4a Opening clarinet line, in Ralph Shapey, Concerto for Clarinet and Chamber Group (1954), m. 5. © 1978 Theodore Presser Co. Used by permission.

The musical score is for Example 3.4a, showing the opening clarinet line and accompaniment for various instruments in 4/4 time. The score includes staves for Clarinet (Cl.), Horn (Hn.), Violin (Vn.), Viola (Vc.), Piano (Pno.), Horn (H), Trombone (T.-t. M.), and Bassoon (B. D.).

- Clarinet (Cl.):** The line begins with a measure rest, followed by a series of eighth notes: G4, A4, B4, C5, B4, A4, G4. A slur covers the next four measures, which contain a half note B4, a dotted half note G4, and a half note F#4. The line ends with a triplet of eighth notes: E4, D4, C4, marked with a forte (*f*) dynamic.
- Horn (Hn.):** The line begins with a measure rest, followed by a half note B4, a dotted half note G4, and a half note F#4. The line ends with a triplet of eighth notes: E4, D4, C4, marked with a mezzo-piano (*mp*) dynamic.
- Violin (Vn.):** The line begins with a measure rest, followed by a half note B4, a dotted half note G4, and a half note F#4. The line ends with a triplet of eighth notes: E4, D4, C4, marked with a mezzo-piano (*mp*) dynamic.
- Viola (Vc.):** The line begins with a measure rest, followed by a half note B4, a dotted half note G4, and a half note F#4. The line ends with a triplet of eighth notes: E4, D4, C4, marked with a mezzo-piano (*mp*) dynamic.
- Piano (Pno.):** The line begins with a measure rest, followed by a half note B4, a dotted half note G4, and a half note F#4. The line ends with a triplet of eighth notes: E4, D4, C4, marked with a piano (*p*) dynamic.
- Horn (H):** The line begins with a measure rest, followed by a half note B4, a dotted half note G4, and a half note F#4. The line ends with a triplet of eighth notes: E4, D4, C4, marked with a piano (*p*) dynamic.
- Trombone (T.-t. M.):** The line begins with a measure rest, followed by a half note B4, a dotted half note G4, and a half note F#4. The line ends with a triplet of eighth notes: E4, D4, C4, marked with a piano (*p*) dynamic.
- Bassoon (B. D.):** The line begins with a measure rest, followed by a half note B4, a dotted half note G4, and a half note F#4. The line ends with a triplet of eighth notes: E4, D4, C4, marked with a piano (*p*) dynamic.

Example 3.4b Ralph Shapey, Concerto for Clarinet and Chamber Group (1954), m. 41 (cf. Ex. 3.4a). © 1978 Theodore Presser Co. Used by permission.

41

Cl. *mf*

Hn.

Vn. *simile*

Vc. *simile*

Pno. *pp*

H. *mp*

T.-t. M. *mp*

B. D. *p*

Shapey introduces a clarinet melody that moves through the circle of fifths in the second movement. According to Shapey's own analysis, this diatonic melody presents the "twelve-tone set" that undergirds the entire Concerto (see Ex. 3.5).¹⁰

¹⁰ "For the first time, the true structural organization of a 12-tone set is fully revealed, although handled in a rather free manner. The clarinet solo always uses the 12 notes in their [its] organized

Example 3.5 Melodic motion through the circle of fifths, in Ralph Shapey, Concerto for Clarinet and Chamber Group (1954), mm. 110-2. © 1978 Theodore Presser Co. Used by permission.

110

Cl. *legato espressivo*
mp dolce

Hn.

Vn. *p*

Vc. *p*

Pno.

H

T.-t. M

L R. D

Shapey's use of the circle of fifths in the second movement is reminiscent of Wolpe's use of tropes, each of which employs a single interval class; an example of this procedure occurs in

set." Ralph Shapey, typescript notes for a television demo, 1965-66. Shapey Papers, Box 5. See Lynne Rogers, "Opposites Interact: Motivic Organization in Shapey's Clarinet Concerto," *Contemporary Music Review* 27, nos. 4/5 (August-October 2008): 433-49.

the *Passacaglia* for Piano (1936), a work that the younger composer particularly admired.¹¹

Shapey presents the “twelve-tone set” with chromatic interpolations, reminiscent of the thematic material of the first movement (see Ex. 3.6). While the chromatic interpolations serve to unify the entire work, the spacious, fifth-dominated textures and the absence of percussion writing in the second movement produce timbral and textural contrasts with the rest of the Concerto.

Example 3.6 Chromatic interpolations within the “twelve-tone set,” in Ralph Shapey, Concerto for Clarinet and Chamber Group (1954), mm. 113-7, clarinet only. In the example, the pcs of the series are numbered, while interpolations are marked by dashed brackets. © 1978 Theodore Presser Co. Used by permission.

The musical score for Clarinet (Cl.) from Example 3.6, showing chromatic interpolations within a twelve-tone set. The score is divided into two systems. The first system (mm. 113-115) shows a sequence of notes with dashed brackets indicating chromatic interpolations between specific pitch classes (pcs) numbered 1 through 7. The second system (mm. 116-117) continues the sequence with pcs numbered 8 through 12. The score includes dynamic markings (*mp*, *mf*) and articulation (*dolce*). The notation includes treble clef, key signature of one flat, and time signature of 4/4.

Shapey conducted the premiere of the Concerto for Clarinet and Chamber Group at one of the New York Philharmonic’s Chamber Concerts on 20 March 1955, with Stanley Drucker as the clarinet soloist. In *The New York Times*, Harold C. Schonberg wrote,

Mr. Shapey’s eleven-minute work sounded twelve-tone. In any case, it was decidedly atonal. Like many compositions of its class, it was nonmelodic, and its form did not easily break down on first hearing. Plenty of force and rhythm were in evidence. With two musicians out of the six working on percussion, and with the piano also handled in a

¹¹ Patricia Morehead, “Contracting Sets – Expanding Tropes: A Discussion of Wolpe’s *Passacaglia* for Piano,” *Sonus* 15, no. 2 (Spring 1995): 80-112.

percussive manner, a degree of force was inevitable. What Mr. Shapey has done, he has done well and he even has achieved a degree of personality in the rather arid writing.¹²

The first piece that Shapey completed after his return from Europe in the summer of 1954 was the Trio for Violin, Cello and Piano (1953-55).¹³ He had begun to compose the Trio at the suggestion of cellist Benar Heifetz of the Albeneri Trio in 1953, but set it aside to write String Quartet No. 4. The Trio is dedicated to physicist and inventor Robert Adler (1913-2007).¹⁴ It is a transitional work, and lacks stylistic unity. For that very reason, it is of particular interest in showing how Shapey's compositional technique evolved during a critical period in his artistic development.

Like many of Shapey's pieces of the late 1940s and early 1950s, the Trio reflects the influence of Wolpe's *Battle Piece* and the string quartets of Bartók. The first two movements draw on the motivic language of the opening measures of part IV of *Battle Piece*, most notably the repeated chord gesture in m. 2 (see Exx. 3.7a and b).

¹² Harold C. Schonberg, "Shapey Conducts Own Work in Bow," *The New York Times*, 21 March 1955: 21.

¹³ Theodore Presser Co. publishes both score and parts for the Trio for Violin, Cello and Piano. Parts: 11440566P; full score: 11440566S.

¹⁴ Ralph Shapey, letter to Rosalyn Tureck, 13 September 1954. Shapey Papers, Box 4.

Example 3.7a Stefan Wolpe, *Battle Piece* for Piano (1943-47), IV, mm. 1-2. © 1989 Peer Musikverlag GmbH. International Copyright Secured. All Rights Reserved. Used by permission of Peermusic Classical.

Vivo ♩ = 84

The musical score consists of two systems of piano music. The first system is in 3/4 time, marked 'mp sharply' and 'p'. The second system is in 4/4 time, marked 'mf', 'pp', 'mp', and 'p'. The score includes various musical notations such as notes, rests, and dynamic markings.

Example 3.7b Ralph Shapey, Trio for Violin, Cello and Piano (1953-55), I, mm. 6-8 (cf. Ex. 3.7a). © 1958 Theodore Presser Co. Used by permission.

The musical score is presented in three systems. The first system (measures 6-7) features a violin staff with a melodic line, a cello staff with a similar melodic line, and a piano staff with a rhythmic accompaniment. The second system (measure 8) continues the melodic lines in the violin and cello, while the piano part provides a steady accompaniment. The third system (measures 9-10) shows the violin and cello playing sustained chords, with the piano part continuing its rhythmic pattern. The score is marked with dynamic indications such as *ff*, *f*, and *sfz*, and includes various musical notations like slurs, accents, and ties.

Shapey does not develop his ideas in Wolpe's manner, but creates a circular, repetitive discourse, particularly in movement I. Shapey's rhythmic procedures in movement I also lack subtlety. The instrumental lines fit together within a rigid rhythmic grid, a characteristic of

several of the works of 1952 and 1953, including the Oboe Quartet. Although subdivisions within beats are complex, the interlocking rhythms are stiff, and seem to constrain the composer's imagination (see Ex. 3.7b).

The second movement was composed between August 1954 and April 1955, after Shapey had embarked on his new stylistic path by writing the Concerto for Clarinet and Chamber Group. Shapey employs musical material similar to that of movement I. He uses repetition in a comparable manner, but his handling of his materials is more sophisticated. The music has greater rhythmic and contrapuntal complexity than that of movement I, and the phrase structure is more fluid (see Ex. 3.8).

Example 3.8 Ralph Shapey, Trio for Violin, Cello and Piano (1953-55), II, mm. 1-5. © 1958 Theodore Presser Co. Used by permission.

Allegro ♩ = 80 (♩ = 160)

The score is written for Violin, Cello, and Piano. The tempo is Allegro, with a quarter note equal to 80 beats (half note = 160). The time signature is 16/16, with a 4+16/16 section in measure 2 and a 3/8 section in measure 3. The key signature has one sharp (F#). The score includes various dynamics (p, mp, mf, f), articulations (pizz., arco), and phrasing slurs. The Piano part includes a section marked (C) and (B).

* *f* within the orbit of “*p* to *mf*.” This entire movement should have the dynamic range from “*p* to *mf*,” but “*f*” is a “*f*” intensity without “*f*” sound.

After the protracted genesis of the first two movements, Shapey appears to have treated the final two movements of the Trio as afterthoughts. The brief third movement consists primarily of a series of alternating fifths on different pitches with interspersed glissandi (not shown). Movement IV is a set of variations on an ostinato. Shapey employs a declamatory theme and elaborates rather than develops his ideas.

The Trio was premiered at the concert that Shapey and Wolpe presented together at Carl Fischer Hall in New York on 22 May 1959, together with three other, more recent, pieces by Shapey: String Quartet No. 5 (1957-58), *Rhapsodie* for Oboe and Piano (1957) and *Form* for Piano (1959).¹⁵ Eric Salzman's critical *New York Times* review displayed ambivalence about Shapey's use of traditional forms in the work: "The conventional four movements are thematic and vigorous, with a coy scherzo that doesn't quite belong. The medium is mastered but the technique is bound by the form."¹⁶

Challenge: The Family of Man

Shapey's next major composition, *Challenge: The Family of Man* for Orchestra (1955),¹⁷ was commissioned by Dimitri Mitropoulos and the New York Philharmonic (see Fig. 3.2).

¹⁵ Four works by Wolpe were also performed: *Form* for Piano (1959), three movements from *Enactments* for Three Pianos (1953), the Saxophone Quartet (1950, rev. 1954) and the Oboe Quartet (1955). On the 22 May 1959 Shapey-Wolpe concert, see Patricia Morehead, "Analysis of *Form for Piano* by Ralph Shapey," *Perspectives of New Music* 40, no. 2 (Summer 2002): 68-79.

¹⁶ Eric Salzman, "An Involved Style," *The New York Times*, 23 May 1959: 19.

¹⁷ The score and parts of *Challenge: The Family of Man* are available from the Theodore Presser Co. Rental Library.

Ralph Shapey's "Challenge—The Family of Man" will have premiere by Philharmonic Thursday.

Figure 3.2 "American Composers Take Over The Concert Spotlight This Week," *The New York Times*, 5 February 1956: 119.

Mitropoulos had followed Shapey's career with great interest. He awarded Shapey honorable mention in the 1951 George Gershwin Memorial Contest for his Fantasy for Orchestra (1951),¹⁸ and arranged for the stipend that Shapey received from Alma Morgenthau. Two years later, Mitropoulos arranged for the premiere of Shapey's Concerto for Clarinet and Chamber Group on one of the New York Philharmonic's Chamber Concerts.¹⁹ The success of the Clarinet Concerto resulted in the commission for *Challenge: The Family of Man*. The "commission" consisted of the copying of the parts at the expense of Mitropoulos, plus two tickets to the performance.²⁰ Mitropoulos originally suggested that Shapey entitle the work, "Challenge." Shapey, however, was inspired by the catalogue of the landmark photographic exhibition, "The

¹⁸ Shapey, "Remembrances of My Life in Music," 16-7. Shapey Papers, Box 136.

¹⁹ Shapey, "Remembrances," 18-9; Vivian Perlis, interview with Ralph Shapey, Chicago, 16-17 April 1983, transcript, 70-2. Oral History American Music, Yale University. See also Patrick Finley, *A Catalogue of the Works of Ralph Shapey* (Stuyvesant, NY: Pendragon Press, 1997), 9.

²⁰ Ralph Shapey, "Concerning: Priest of Music," 3. Shapey Papers, Box 139.

Family of Man,” to change the name of the piece to “Challenge: The Family of Man.”²¹ Edward Steichen (1879-1973), director of the Department of Photography at New York’s Museum of Modern Art, mounted the “Family of Man” exhibition at MoMA in January 1955.²² Steichen’s exhibition and its accompanying catalogue stand as classic representations of post-World War II American liberalism. The exhibition attempted to embody the unity of human experience. “It was conceived . . . as a mirror of the essential oneness of mankind throughout the world.”²³ In addition to the many images depicting different aspects of life, “The Family of Man” portrayed the horrors of war (see Fig. 3.3) and warned of the danger of nuclear annihilation.²⁴ The exhibit included a photograph of deliberations at the United Nations, underlining the necessity of international cooperation.²⁵

²¹ Ibid., 4.

²² Edward Steichen, *The Family of Man* (New York: Museum of Modern Art, 1955); Ralph Shapey, “Concerning: Priest of Music,” 4. Shapey Papers, Box 139.

²³ Edward Steichen, “Introduction,” in Steichen, *The Family of Man* (New York: The Museum of Modern Art, 1955), 3.

²⁴ “[T]he best authorities are unanimous in saying that a war with hydrogen bombs is quite likely to put an end to the human race. . . . there will be universal death—sudden only for a fortunate minority, but for the majority a slow torture of disease and disintegration . . .” Bertrand Russell, in Edward Steichen, *The Family of Man*, 179.

²⁵ Edward Steichen, *The Family of Man*, 184-5. See also Fred Turner, “The Family of Man and the Politics of Attention in Cold War America,” *Public Culture* 24, no. 1 (Winter 2012): 55-84; Jean Back and Viktoria Schmidt-Linsenhoff, eds., *The Family of Man 1955-2001* (Marburg: Jonas Verlag, 2004).

Figure 3.3 *Bombed-out Pforzheim, Germany, 1949.* Photograph by Otto Hagel, in Edward Steichen, *The Family of Man* (New York: The Museum of Modern Art, 1955), 127. Collection Center for Creative Photography © 1998 Center for Creative Photography, The University of Arizona Foundation. Used by permission.

In unpublished program notes, Shapey discussed the relationship of his piece to the “Family of Man” exhibition, using concepts that echoed the exhibition’s language and images:

This piece is not a tone poem in the sense of a musical portrait of any ethnic group or groups, past, present or future. But rather a kind of philosophical concept of the last frontier left to mankind. For centuries it has been Nature which has always presented the Challenging force to man, but now as never before, since the advent of the Atomic Age, Jet, Medicine and all the other fantastic strides Man has made in his conquest of Nature, Man stands at the threshold of the one last Challenge left to him; Man unto Man. All of

the barriers of time, space, travel, ideas and even language are quickly being torn down. Never before has the need for the true understanding of mankind as a family been so desperate.

“And God said, let there be light” ----light of reason, understanding, life & love; the light of Mankind, one Mankind; the greatest Challenge of all time; The Family of Man, all Mankind.²⁶

Shapey’s words evoke one of the opening images of the exhibition catalogue, a photograph by Wynn Bullock of dawn over a winding river, entitled by Steichen, “And God said, let there be light (Genesis 1:3)” (see Fig. 3.4).

Figure 3.4 Wynn Bullock, *Let There Be Light*, 1954, in Edward Steichen, *The Family of Man* (New York: The Museum of Modern Art, 1955), 1. Wynn Bullock, *Let There Be Light*, 1954 © 1954/2014 Bullock Family Photography LLC. All rights reserved.

²⁶ Ralph Shapey, draft of the program note for *Challenge: The Family of Man*, 1956. Shapey Papers, Box 93.

Shapey also expressed universalist sentiments similar to those conveyed by the exhibition in his unfinished *Ballet-Oratorio*, subtitled, *They Shall Not Have Died in Vain*, for narrator, chorus, solo voices, chamber orchestra and dancers (1954-56).²⁷ In a text draft for the work, Shapey wrote:

Thus it is written in many books; spoken by the many tongues; & the Lord
God (called by many names: Jehovah, Allah, Mazda, Brahma, Christ the Son of God)
looked upon this formless void which was the earth & sent His spirit upon the face of
these waters.
So began the eternal laws of creation.
The Heavens, the earth, the waters & all therein, each a law & life unto itself.
And God saw fit in His Infinite Love to send to man His truths, in many forms
through many voices:
Music – they shall not die in vain (chorus)²⁸

When Shapey devised the scenario of the *Ballet-Oratorio* in 1954 and compiled its text, he drew on Carl Sandburg's book-length poem, *The People, Yes* (1936),²⁹ which repeatedly employs the phrase, "the Family of Man."³⁰ Sandburg (1878-1967) was the brother-in-law of Edward Steichen, and wrote the "Prologue" to the catalogue for the "Family of Man" exhibition.³¹

In *Challenge: The Family of Man*, Shapey realized the musical vision that he had first articulated in his 1954 sketch, *For 11 Instruments* (see Ex. 2.65). He also built on the

²⁷ Shapey originally collaborated on the *Ballet-Oratorio* with dancer and choreographer Jean Erdman (b. 1916), wife of mythologist Joseph Campbell (1904-87). Erdman wrote Shapey an undated letter, postmarked 28 February 1955, withdrawing from the project due to other artistic commitments. Shapey Papers, Box 2.

²⁸ Ralph Shapey, *Ballet-Oratorio*, text draft (undated, ca. 1954). Shapey Papers, Box 36.

²⁹ Ralph Shapey, *Ballet-Oratorio*, Shapey Papers, Box 36; Carl Sandburg, *The People, Yes* (New York: Harcourt, Brace and Co., 1936).

³⁰ "The living flowing breath of the history of nations./Of the little Family of Man hugging the little ball of Earth . . ." Carl Sandburg, *The People, Yes*, 55.

³¹ Carl Sandburg, "Prologue," in Edward Steichen, *The Family of Man*, 4-5. In the Prologue, Sandburg reuses phrases from *The People, Yes* with little or no modification: "the living flowing breath of the history of nations" and "one big family hugging close to the ball of Earth." See chapter 3, note 30.

achievements of his previous works for orchestra and large ensemble, including Symphony No. 1 (1952) and the Concerto for Clarinet and Chamber Group (1954), creating music of far greater complexity than anything he had previously written. *Challenge: The Family of Man* is characterized by continuously changing meters, thick, layered textures, use of extreme registers, and an extensive use of percussion. It is divided into five sections that are symmetrically balanced, with the final section both recapitulating the music of the first and incorporating ideas from the other sections of the piece. In his program note for *Challenge: The Family of Man*, Shapey wrote:

In form, [*Challenge: The Family of Man*] is a one movement, five section work. Each section has an individual personality of its own, using both new material as well as elements from preceding sections. The unifying force is the underlying thematic material of the first section in an almost cantus-like handling. . . . Rhythmically it carries to the inevitable conclusion my ideas started in the last movement of my Symphony No. 1, and the Concerto for Clarinet and Chamber Group, performed March 20, 1955, of quickly changing, moving eddies. Sudden shifts from slow to fast all within themselves, the pulsating vibrancy of many different levels of “time,” each a unit unto itself and yet working as a part of the greater unit of the whole.

Time and sound combined through spatial interrelations give the score a luminosity and dramatic intensity.³²

Shapey’s approach to orchestration is modeled on the music of both Stravinsky and Varèse. The opening measures of *Challenge: The Family of Man* repeatedly delineate a huge pitch space that spans the highest and the lowest possible sounds provided by the instruments of the orchestra. Its breadth is emphasized by the striking acoustic properties of these sounds, which deliberately test the limits of auditory perception. Just as Varèse had juxtaposed the piccolo and the tubas in his recently completed *Déserts* (1954) (see Ex. 3.9), Shapey pits the violins, flutes and piccolos against the contrabass tuba, the contrabassoon and the contrabasses (see Ex. 3.10).

³² Ralph Shapey, *Challenge: The Family of Man*, unpublished program note, 1956. Shapey Papers, Box 93.

Example 3.9 Delineation of a wide pitch space, in Edgard Varèse, *Déserts* (1954), mm. 35-8. Milan: Copyright ©1954 by Casa Ricordi – Reproduced by kind permission of Hal Leonard MGB, Italy.

The musical score for measures 35-8 of Edgard Varèse's *Déserts* is presented below. The score is written for a large orchestra and includes the following instruments and parts:

- Picc.** (Piccolo): Measures 35-38, marked *ff* and *sf*. A "Take Picc." instruction is present at measure 38.
- Fl.** (Flute): Measures 35-38, marked *ff* and *sf*.
- E♭ cl.** (E♭ Clarinet): Measures 35-38, marked *ff*.
- B♭ cl.** (B♭ Clarinet): Measures 35-38, marked *p subito* and *ff*.
- Hns.** (Horns): Measures 35-38, marked *ff*.
- Tpts.** (Trumpets): Measures 35-38, marked *ff*.
- Tbns.** (Trombones): Measures 35-38, marked *ff*.
- Tbs.** (Tuba): Measures 35-38, marked *ff* and *ten.* (tension).
- Pf.** (Piano): Measures 35-38, marked *mf* and *ff*.
- 1 Timp.** (Timpani): Measures 35-38, marked *hard sticks* and *3*.
- 2 Sn. dr.** (Snare Drum): Measures 35-38, marked *ff*.
- 3 low B. dr.** (Bass Drum): Measures 35-38, marked *ff*.
- 4 high med. low** (Cymbals): Measures 35-38, marked *p*.
- 5 Xyl.** (Xylophone): Measures 35-38, marked *ff*.

The score is written in 4/4 time and features a wide pitch space delineation across the instruments. The measures are numbered 35, 36, 37, and 38. The key signature is one flat (B♭).

Example 3.10 Delineation of a wide pitch space, in Ralph Shapey, *Challenge: The Family of Man* for Orchestra (1955), I, mm. 1-2 (cf. Ex. 3.9). © 1957 Theodore Presser Co. Used by permission.

$\text{♩} = 66$ ($\text{♩} = 132$)

2 Piccolos

2 Flutes

3 Oboes

English Horn

3 Clarinets (Bb)

Bass Clarinet (Bb)

3 Bassoons

Contrabassoon

Horns (F) I - II

Horns (F) III - IV

Trumpets (Bb) I - II

Trumpet (Bb) III

Trombone I

Bass Trombone (F) II - III

Bass Tuba (Bb)

Timpani

Bass Drum (very low)

Xylophone

Piano

Violins I

Violins II

Violas

Cellos

Basses

* Basses: Tune down "C" string to "A"

Shapey fills out the wide pitch space with timbres that are particularly penetrating.

Challenge: *The Family of Man* presents high, nasal bassoon sounds doubled by the English horn rather than by the oboe, and by violas rather than violins. Shapey's use of the highest register of the bassoon recalls the opening measures of the *Rite of Spring* (see Ex. 3.11). In addition to the acoustic qualities of Shapey's music, its deliberate pace and static, block-like construction portend a work of large dimensions.

Example 3.11 Bassoon employed in its highest register, in Igor Stravinsky, *The Rite of Spring* (1913, rev. 1947; new ed. 1967), First Part, "Adoration of the Earth," mm. 1-4. © Copyright 1912, 1921 by Hawkes & Son (London) Ltd. Reprinted by permission.

INTRODUCTION

Lento ♩ = 50 tempo rubato
colla parte

Clarinet 1 in A

Bass Clarinet 2 in Bb

Bassoon 1

Horn 2 in F

A. Cl.

B. Cl.

Bsn.

Hn.

mp

p

p

3

5

3

1

Thematic ideas and subsidiary figures are repeated and elaborated within the sound blocks of *Challenge: The Family of Man*. These passages are integrated effectively into a dramatic musical structure based on contrasts of texture, timbre and rhythm, as well as on motivic manipulation. The symmetrical arrangement of section II exemplifies Shapey's method. Section II has the form, A–B–A₁–B₁–A₂. Shapey establishes a steady sixteenth-note pulse within a layered polyphonic orchestral texture at the beginning of the section (mm. 1–35). At the end, the musical material of the opening measures is transformed into rhythmically intricate counterpoint (see Ex. 3.12).

Example 3.12 Rhythmically intricate counterpoint, in Ralph Shapey, *Challenge: The Family of Man* for Orchestra (1955), II, m. 98. © 1957 Theodore Presser Co. Used by permission.

98

The musical score for measures 98-100 of Ralph Shapey's *Challenge: The Family of Man* for Orchestra, II, m. 98. The score is written for a full orchestra and includes the following instruments and parts:

- Picc.** (Piccolo): Measures 98-100, dynamics *mf* and *f*.
- Fl.** (Flute): Measures 98-100, dynamics *mf* and *f*.
- Ob. 1** (Oboe 1): Measures 98-100, dynamics *mf* and *f*.
- E. H.** (English Horn): Measures 98-100, dynamics *mf* and *f*.
- Cl. in B $\flat$ 1** (Clarinet in B $\flat$ 1): Measures 98-100, dynamics *f* and *mf*.
- Cl. in B $\flat$ 2** (Clarinet in B $\flat$ 2): Measures 98-100, dynamics *f* and *mf*.
- Bs. Cl.** (Bass Clarinet): Measures 98-100, dynamics *f* and *mf*.
- Bn. 1** (Basset Horn 1): Measures 98-100, dynamics *mf* and *f*.
- Bn. 2** (Basset Horn 2): Measures 98-100, dynamics *f* and *mf*.
- Cbn.** (Contrabassoon): Measures 98-100, dynamics *f* and *mf*.
- Pno.** (Piano): Measures 98-100, dynamics *f* and *mf*, articulation *marcato*.
- Vn. 1** (Violin 1): Measures 98-100, dynamics *f* and *mf*, articulation *pizz.*.
- Vn. 2** (Violin 2): Measures 98-100, dynamics *f* and *mf*, articulation *pizz.*.
- Va.** (Viola): Measures 98-100, dynamics *f* and *mf*, articulation *pizz.*.
- Vc.** (Violoncello): Measures 98-100, dynamics *f* and *mf*, articulation *pizz.*.
- Cb.** (Double Bass): Measures 98-100, dynamics *f* and *mf*, articulation *pizz.*.

During the intermediate episodes, two closely related sound blocks (mm. 36–47, 61–74) frame a brief return of the opening sixteenth-note string figures (mm. 48–60). These string

figures are frequently interrupted by the newly dominant brass choir, which develops a motive stated at the outset of the section by the winds. Shapey presents rapid ascending and descending figures simultaneously in the two sound blocks. The descending figure is a diminution of the ostinato that is repeated in the bass during the opening measures.

The beginning of the final episode of section II is signaled both by the reintroduction of the leaping motivic figure played by the first violins at the beginning of the work (mm. 79ff.) and by a stentorian brass theme (mm. 75ff.) (see Ex. 3.13). Similarly, the turbulent orchestral writing in the first half of section III leads not to a conventional climax, but to sonorous brass chords (see Ex. 3.14a), reminiscent of Messiaen's orchestral music (see Ex. 3.14b). Shapey begins the passage with a succession of chords using subtractive rhythms, arranged in the descending series, 3, 1, 2, 1, 1, 1 (see Ex. 3.15).³³ Shapey's handling of the climaxes of sections II and III reflects his abandonment of the concept of a linear musical narrative in favor of a non-linear, non-narrative approach to musical continuity, which he was soon to articulate verbally.³⁴

³³ Shapey discussed similar rhythmic techniques in a lecture that he gave at Yale, probably in the early 1960s. See Ralph Shapey, "Lecture on Rhythm Given at Yale University" (undated, ca. 1963). Shapey Papers, Box 10.

³⁴ See Jonathan Cross, *The Stravinsky Legacy* (Cambridge, UK: Cambridge University Press, 1998), 55.

Example 3.13 Motto theme, in Ralph Shapey, *Challenge: The Family of Man* for Orchestra (1955), II, mm. 75-85. © 1957 Theodore Presser Co. Used by permission.

$\text{♩} = 66$

$\frac{3}{4}$ $\frac{4}{4}$ $\frac{2}{4}$ $\frac{3}{4}$ $\frac{3}{32}$

75

Hn. I-III *ff*

Hn. II-IV *ff*

Tpt. in Bb I-II

Tpt. in Bb III

Tbn. I

$\frac{3}{4}$ $\frac{4}{4}$ $\frac{2}{4}$ $\frac{3}{4}$ $\frac{3}{32}$

Vln. I *f*

Vln. II *f*

Va.

Vc.

Cb.

Example 3.13 continued

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Example 3.13 continued

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Hn. I-III

Hn. II-IV

Tpt. I-II

Tpt. III

Tbn. I

Vln. I

Vln. II

Va.

Vc.

Cb.

4/4

2/4

3/4

4/4

2/4

3/4

f

ff

f

f

Example 3.14a Chordal theme, in Ralph Shapey, *Challenge: The Family of Man* for Orchestra (1955), III, mm. 67-70. © 1957 Theodore Presser Co. Used by permission.

67

sonorous

Bs. Cl.

Bn.

Cbn.

sonorous

Hn. I-III

mf

Hn. II-IV

mf

Tpt. I-II

mf

Tpt. III

mf

Tbn. I

mf

Tbn. II-III

mf

a:2

Tuba

mf

Vn. I

sonorous

f

Vn. II

mf

Va.

mf

div.

Vc.

mf

div.

Cb.

mf

tutti

Example 3.14b Motto theme, in Olivier Messiaen, *Turangalila-Symphonie* (1946-48), I, mm. 24-29 [mm. 2-7 after rehearsal number 3] (cf. Ex. 3.14a). © 1953, 1992 Durand éditions - Paris. All rights reserved. Reproduced by kind permission of Hal Leonard MGB, Italy.

This musical score page contains measures 24 through 29 of the motto theme from the first movement of Olivier Messiaen's *Turangalila-Symphonie*. The score is written for a large symphony orchestra and includes the following parts:

- Flutes:** 1st Flute (Pte Fl.) and 2nd Flute (2 Htb.).
- Woodwinds:** Clarinet in A (C. angl.), Clarinet in B-flat (2 Clar. Sib), Bassoon (Cl. basse Sib), and 3 Bassoons (3 Bops).
- Brass:** 4 Cornets in E-flat (4 Cors Fa), 3 Trumpets (3 Trp. Ut), 3 Trombones (3 Trbon), and Tuba.
- Drums and Percussion:** Cymbal (suspended) (Cymb. (susp.)) and Grand Caisse (Gr. caisse).
- Piano and Harp:** Piano and Oude.
- Voice:** 1st and 2nd Voices (1ers Voies Div. en 3 and 2ds Voies Div. en 3).
- Other:** Alto and Violoncelles (Vclles).
- Double Bass:** C.B.

The score features complex rhythmic patterns, including triplets and sixteenth notes, and various dynamic markings such as *sf* (sforzando) and *gliss.* (glissando). The key signature is one flat (B-flat major/D minor). The page is numbered 5 in the top right corner.

Example 3.15 Subtractive rhythmic processes, in Ralph Shapey, *Challenge: The Family of Man* for Orchestra (1955), III, mm. 50-3. © 1957 Theodore Presser Co. Used by permission.

The musical score is for a full orchestra and includes various percussion instruments. The tempo is 3/8, and the key signature is one flat (B-flat). The score is divided into four measures, each with a different time signature: 3/8, 3/8, 2/8, and 1/8. The instruments listed on the left are Picc., Fl., Ob., E. H., Cl. in Bb, Bs. Cl., Bn. II-III, Cbn., Hn. I-III, Hn. II-IV, Tpt. in Bb-III, Tbn. I, Tbn. II-III, Tuba, W. Bk., Anv. Iron, Cym. H M L, Crash Cym., Vn. I, Vn. II, Va., Vc., and Cb. The score features various dynamics including *ff*, *f*, and *sf*, and includes articulation marks like trills and slurs.

In section V, the leaping motivic figure of section I is transformed into an ostinato, while the low winds, brass, strings and the piano sustain pitches at the bottom of their ranges. The work ends with a tolling gong and a brief reminiscence of the sonorous chords of section III.

Shapey uses a vivid timbral palette throughout *Challenge: The Family of Man*.

The strings and brass alternately play glissandi during the second half of section III (mm. 72-124).³⁵ The percussion instruments dominate the musical discourse of section IV in a manner that presages Shapey's later music.

When Shapey finished *Challenge: The Family of Man* in October 1955, Wolpe was at Black Mountain College in North Carolina, working on his Symphony No. 1 (1955-56). Aware of Shapey's orchestral project, Wolpe wrote to him on November 4: "How are you? And how is your Symphony? Is it finished? I am awfully curious to read it. (And sense, get acquainted with what you have to say and how you say it.)"³⁶ When Shapey informed him that *Challenge* had been completed, Wolpe wrote a long letter in which he tried to relate Shapey's compositional evolution to his own musical ideas:

I am happy to read that your symphony (or whichever you call it) will be programmed in the first week of February. I will be there certainly!! . . .

I am curious to read the score of yours. (Who copied the thing for you?) When you write "all kinds of new things happen: new dynamics, intensities, dimensions, actions, reactions, planes & levels" I had to think of the title of pieces which I wrote in 1947 which was the following: "Displaced spaces, chords, negations[,] a new sort of interrelationship in space, Pattern[,] Tempo, diversity of action, interreaction & intensities" which all later were (programmatically) fused in to what my Enactments for 3 Pianos really & verily are.³⁷

³⁵ This may be indebted to Stravinsky's example. See *The Rite of Spring*, rehearsal nos. 175-9, trombones and horns.

³⁶ Stefan Wolpe, letter to Shapey from Black Mountain College, North Carolina, 4 November 1955. Shapey Papers, Box 147, Wolpe Material (Restricted).

³⁷ Stefan Wolpe, letter to Shapey from Black Mountain College, 25 November 1955. Shapey Papers, Box 147, Wolpe Material (Restricted).

A few weeks later, Shapey sent Wolpe a copy of the score of *Challenge* and received an ecstatic response:

I dreamt this night of a performance of your “Challenge.” It sounded extraordinary[,] like huge organs, many of them[,] and the double bass’s steppings in the second mov[ement] sounded like nightingales plus ocarinas, the brass sections in the second to the last part sounded like phantastic accordions. O what a joyous night I had with you!!³⁸

The compositional achievement of *Challenge: The Family of Man* represents the culminating point of Shapey’s early career. Unfortunately, the piece was never performed. In a 1950 letter, Mitropoulos had expressed admiration for Shapey’s music, but warned that Shapey’s tendency to excessive rhythmic and textural complication could impede performances of his orchestral works.³⁹ Mitropoulos’s letter reflected his own difficulties in teaching orchestras to play rhythmically complex contemporary works. He compared Shapey’s “unplayable” rhythms to those of both Wolpe and Artur Schnabel, recalling the problems he experienced in 1946 when he premiered Schnabel’s Symphony No. 1 in Minneapolis.⁴⁰ Milton Babbitt attended the Schnabel premiere and testified to the orchestra’s inability to master the music:

Mitropoulos was beside himself with unhappiness at the inadequate rehearsal time and the way the men played it [Schnabel’s Symphony No. 1]. If you just look at the score, you’ll see it’s a forest of notes, and Dimitri just couldn’t untangle it—he simply couldn’t.⁴¹

Despite his consistent advocacy of challenging music written in a language that strained the comprehension of both orchestras and audiences, Mitropoulos had no desire to repeat his traumatic Minneapolis experience. When Shapey was awarded honorable mention in the George Gershwin Memorial Contest in 1951, Mitropoulos again warned him about the excessive

³⁸ Stefan Wolpe, letter to Shapey, undated (December 1955 or January 1956). Shapey Papers, Box 147, Wolpe Material (Restricted).

³⁹ See chapter 1, note 95.

⁴⁰ Minneapolis Symphony Orchestra, 13 December 1946. See William R. Trotter, *Priest of Music: The Life of Dimitri Mitropoulos* (Portland, OR: Amadeus Press, 1995), 206-7.

⁴¹ Trotter, 207.

difficulty of his orchestral writing, and indicated that Shapey was denied first prize for this reason.⁴² Despite the admonitions of Mitropoulos, Shapey wrote music in *Challenge: The Family of Man* that was more rhythmically and texturally complex than anything that he had yet produced. Before the rehearsals, Mitropoulos complained about Shapey's use of irregular rhythms, and demanded permission to omit one of the sections of the piece, a request Shapey denied.⁴³ After the first rehearsal (see Fig. 3.5), Mitropoulos canceled the premiere of *Challenge*, although he played through the work at the dress rehearsal as a favor to Stefan Wolpe.⁴⁴ In retrospect, the cancellation should not have come as a surprise. For the board of directors of the New York Philharmonic and the orchestra's audience, even the music of Hindemith was considered problematical in 1955.⁴⁵ Most of the leading American composers of intricate, atonal music, including Wolpe, Carter and Babbitt, found it nearly impossible to obtain performances of their orchestral works during the 1950s and 1960s.⁴⁶

⁴² See chapter 2, note 26.

⁴³ Shapey, "Remembrances," 20. Shapey Papers, Box 136.

⁴⁴ "The Challenge was read through, when he [Mitropoulos] decided that he just couldn't do it. . . . Wolpe was in Black Mountain [North Carolina], and he . . . drove up . . . and Mitropoulos did go over it for him." Vivian Perlis, interview with Ralph Shapey, 75. Oral History American Music, Yale University; Finley, 9.

⁴⁵ "Confidentially to you, we – including Mitropoulos – think that a week of Hindemith will not be very beneficial because first of all he is not a conductor, and secondly few of his works are accepted by the public." Memo from Bruno Zirato (1884-1972), co-manager of the New York Philharmonic, to Floyd G. Blair (1891-1965), president of the Philharmonic-Symphony Society of New York, 20 June 1955. New York Philharmonic Leon Levy Digital Archives, ID: 005-01-24, accessed 7 March 2013, <http://archives.nyphil.org>.

⁴⁶ Wolpe's Symphony was not performed in its entirety until 1965 (New England Conservatory, Frederick Prausnitz, cond.), and it did not receive its first complete New York performance until 1975. See Elliott Carter, "The Orchestral Composer's Point of View," in *Elliott Carter: Collected Essays and Lectures, 1937-1995*, ed. Jonathan W. Bernard (Rochester: University of Rochester Press, 1997), 235; Benjamin Boretz, "4.11.66: Orchestral Culture in Mid-America," in Boretz, *Music Columns from The Nation, 1962-1968* (Red Hook, NY: Open Space, 1991), 96.

Figure 3.5 Shapey and Dimitri Mitropoulos at the rehearsals for *Challenge: The Family of Man* by the New York Philharmonic, February 1956. © 1956 New York Philharmonic. By permission of the New York Philharmonic.

A notational problem seems to have been the immediate pretext for the cancellation of Shapey's New York Philharmonic performance. According to clarinetist Stanley Drucker, rhythmic errors in the score and parts of *Challenge* made the piece unperformable.⁴⁷ An examination of both the draft short score and the full score confirms that Shapey repeatedly made a rhythmic error in the first movement.⁴⁸ In addition to any questions that he might have had about the playability of Shapey's demanding score, Mitropoulos felt pressured by the recent decision of the Board of Directors of the Philharmonic to search for a new music director for the orchestra.⁴⁹ This development was at least partially precipitated by hostility generated by his advocacy of difficult contemporary works.⁵⁰ Under the circumstances, Mitropoulos was not in a position to perform Shapey's demanding music.

After he canceled Shapey's premiere, Mitropoulos spoke to the press and provided a diplomatic explanation for his action:

I commissioned the work because I had, and still have, a great esteem for Mr. Shapey's compositorial talent. Unfortunately, after putting the work through rehearsal, it appeared so difficult in its design, so complicated in structure and notation, that the rehearsal time at our disposal would not have been sufficient to guarantee a performance of the desirable

⁴⁷ Conversation with Stanley Drucker, 29 November 2010, following the symposium, "Considering Dimitri Mitropoulos," held at The Walter Reade Theater, Lincoln Center, New York.

⁴⁸ Shapey wrote sixteenth rest, dotted eighth note, thirty-second note = quarter note repeatedly in the first section (m. 18, violin I; m. 22, violin II; m. 12, trumpet; m. 41, cello; m. 42, viola). This error is also found in the short score of *Challenge: The Family of Man*. Shapey should have written sixteenth rest, eighth note tied to thirty-second note, thirty-second note. See Shapey, *Challenge: The Family of Man* for Orchestra, short score, draft. Shapey Papers, Box 27.

⁴⁹ Conversation with Barbara Haws, New York Philharmonic Archivist, 29 November 2010, following the symposium, "Considering Dimitri Mitropoulos," held at The Walter Reade Theater, Lincoln Center, New York.

⁵⁰ "As you know, we have been severely criticized for playing too much modern and new music. The criticism is not only from our audiences in New York, but also from the radio audiences. Maestro Mitropoulos has been the strongest advocate of new music and is the one responsible for our programs." Floyd G. Blair, president of the Philharmonic-Symphony Society of New York, letter to Mr. L. M. Symmes, Jr., 3 August 1955. New York Philharmonic Leon Levy Digital Archives, ID: 005-01-24, accessed 7 March 2013, <http://archives.nyphil.org>.

perfection. In addition, the work's provocative character might have caused antagonism to future performances of contemporary works. Thus, I regretfully had to change the program.⁵¹

In contrast, Edward Steichen, whose MoMA exhibition gave *Challenge: The Family of Man* its name, wrote a supportive letter to Shapey that summarized the plight of composers who write for American orchestras, with their tight rehearsal schedules.⁵²

Of course I was shocked when I heard of the cancellation and without knowing the details realized that there must be production problems and we all know that that is not unusual – that ever since composers have written music for a symphony orchestra, both orchestra and conductor have on many occasions stated that it could not be done, that it was not playable and today they have become standard repertoire and even the high school orchestras are not stumped by the scores.

. . . Keep up your dander and be assured of my deep interest.⁵³

When Mitropoulos referred in his statement to the press about “antagonism to future performances of contemporary works,” he had in mind the forthcoming premiere of Leon Kirchner's Piano Concerto No. 1 (1953). On 23 February 1956, two weeks after Shapey's cancellation, Mitropoulos conducted the world premiere of Kirchner's Concerto, with the composer as soloist. The performers recorded the work the following day.⁵⁴ In *The New York Times*, Harold C. Schoenberg complained, “The trouble with [Kirchner's] score, as much as one can hazard a guess about such complicated organization at one hearing, is that it sounds overworked.” He continued,

⁵¹ H. W. L. [Henry W. Levinger], “New York Concert and Opera Guide,” *The Musical Courier* CLIII, no. 4 (1 March 1956): 17.

⁵² According to violinist Rolf Schulte, James Levine requested that Elliott Carter simplify his rhythmic notation and write for orchestra in 4/4 when he invited Carter to compose a piece for the Boston Symphony Orchestra. Elliott Carter Colloquium, Graduate Center, City University of New York, 14 February 2013.

⁵³ Edward Steichen, letter to Shapey, 23 February 1956. Shapey Papers, Box 4. Shapey later recalled that “[Steichen] was going to come to the concert, and he was terribly disappointed.” Vivian Perlis, interview with Ralph Shapey, transcript, 76. Oral History American Music, Yale University.

⁵⁴ Leon Kirchner, Concerto for Piano and Orchestra. Kirchner, piano; New York Philharmonic, Dimitri Mitropoulos, cond. Columbia ML 5185 (1956).

It carries on a flirtation with twelve-tone elements, though Mr. Kirchner does not use a tone row and even ends the slow movement with a tonic chord. Dissonances elsewhere are piled on dissonances. The piano writing—and Mr. Kirchner proved an exceptionally able exponent of his own music—is rather percussive but thoroughly idiomatic and very difficult.⁵⁵

Despite the relatively conservative nature of Kirchner's music, Henry W. Levinger, critic of the *Musical Courier*, complained about the Concerto's incomprehensibility:

It is a composition which cannot be grasped at first hearing, at least by this reporter. . . . It is ugly sounding, dissonance is piled on dissonance, and there is no relief for the ear. . . . The bewildered audience paid respectful homage to the composer.⁵⁶

In his biography of Mitropoulos, William R. Trotter singles out Kirchner as one of the composers of complex, rebarbative music championed by the conductor.⁵⁷ Kirchner's Concerto was representative of the most "advanced" compositional idiom acceptable by orchestral players, critics and the Philharmonic's audience in the mid-1950s. Mitropoulos had commissioned Shapey to compose *Challenge: The Family of Man* after the premiere of the Concerto for Clarinet and Chamber Group demonstrated that the younger man had learned to write music that was both performable and comprehensible by audiences.⁵⁸ Under the circumstances, Mitropoulos had hoped that he could trust Shapey to refrain from writing music for full orchestra that explored the boundaries of the possible.

In March 1958, the press recalled Shapey's experience with the New York Philharmonic when an international jury chose the Concerto for Clarinet and Chamber Group for performance at the forthcoming ISCM Festival, to be held in Strasbourg, France, in June 1958. Shapey's selection was noted in a *New York Times* article, entitled, "World of Music: Two Are

⁵⁵ Harold C. Schonberg, "Philharmonic Plays Kirchner Concerto," *The New York Times*, 24 February 1956: 20.

⁵⁶ H. W. L. [Henry W. Levinger], "New York Concert and Opera Guide," *The Musical Courier* CLIII, no. 5 (15 March 1956): 13.

⁵⁷ Trotter, 409.

⁵⁸ See chapter 3, note 12.

Chosen/I.S.C.M. Jury Picks Copland and Shapey Works for Festival.”⁵⁹ The article recounted the story of the aborted premiere of *Challenge: The Family of Man*, and connected Dimitri Mitropoulos’s patronage of Shapey to his new success. The ISCM performance marked the first real European recognition of Shapey’s accomplishments, although Shapey was not able to attend the festival for financial reasons.⁶⁰

Shapey’s New Style

Shapey was deeply hurt by the cancellation of the premiere of *Challenge: The Family of Man* by Mitropoulos and the New York Philharmonic in February 1956. He reacted in a characteristic way to the crisis: he changed compositional direction, just as he had done when he was denied the opportunity to conduct the recording of Wolpe’s Saxophone Quartet in 1954. Throughout the spring and summer of 1956, Shapey wrote little music while he meditated on his future direction as a composer. When he returned to composing, he deliberately sought a new musical discourse. His style emphasized the reiteration of brief motives, somewhat in the manner of Varèse. At the time, Shapey thought of his compositional philosophy as a radical break with his musical past. He perceived, however, that it represented an intensification of ideas that were already present in the music that he had written in the preceding years:

I spent one whole year asking myself, “What is it that made the old masters so great?” . . . [I]t was a very intensive year of looking and searching until I formulated for myself that which I knew I was doing, but had not yet come to clearly understand.⁶¹

In 1958, Shapey articulated his new conception of music in unpublished notes:

⁵⁹ Ross Parmenter, “World of Music: Two Are Chosen,” *The New York Times*, 2 March 1958: X7.

⁶⁰ Shapey: “I couldn’t raise the money to go. I was a pauper. Nobody would give me the money.” Carol K. Baron, interview with Ralph Shapey, transcript, 196. Wolpe/Baron Archive.

⁶¹ Cole Gagne and Tracy Caras, *Soundpieces: Interviews with American Composers* (Metuchen, NJ; London: Scarecrow Press, 1982), 370-1.

I must freeze sound & movement. No longer can I go on writing organic music which goes, goes, goes. I'm tired, tired, tired of music that like a dog runs in circles after its own tail; & yet never will I deny any of that which I had written before this new moment. The line does start, however in the past; perhaps, only vaguely, I can see it in the Clar[inet] Conc[erto].⁶²

The music that Shapey wrote in the late 1950s was heavily influenced by his perception of Varèse's most recent work, *Déserts* (1954). Much has been written about the way in which Varèse reordered the elements of musical language, creating a radically new perspective on musical time and space, integrating the percussion ensemble into the orchestra and merging the boundaries between pitched sound and noise. Varèse used his new language to contrast musical stasis and motion in a discourse that differed from the traditional concept of musical narrative.⁶³ He did not abandon this concept, however. An important aspect of his music is the effect produced by its dialogue with the expectations generated by traditional ideas of musical continuity. Shapey proceeded from more radical premises in the late 1950s. In his most ideologically extreme works, he partially abandoned the concept of directed activity that lies at the heart of Western music in a way that Varèse never did. Shapey relied on the Varésian concepts of register, timbre, and texture to fashion a musical narrative in the first movement of his String Quartet No. 5 (1957-58). In *Ontogeny* for Orchestra (1958), he created a continuum of pitched and unpitched sounds, and juxtaposed sections of different timbral characters to obtain structural contrast. These pieces embody some of the central tenets of the members of the "New York School," which John Cage summarized in his statement, "Where people had felt the

⁶² Ralph Shapey, handwritten manuscript [thoughts about musical structure], ca. 1958. Shapey Papers, Box 11.

⁶³ See Jonathan W. Bernard, "Rhythm and Duration," in *The Music of Edgard Varèse* (New Haven and London: Yale University Press, 1987), 128-92; Jonathan W. Bernard, "Varèse's Space, Varèse's Time," in *Edgard Varèse: Composer, Sound Sculptor, Visionary*, ed. Felix Meyer and Heidy Zimmermann (Woodbridge, Suffolk: The Boydell Press, 2006), 149-55, especially 151-3.

necessity to stick sounds together to make a continuity, we four felt the opposite necessity to get rid of the glue so that sounds would be themselves.”⁶⁴

The stylistic differences between Shapey and Varèse later led Shapey to deny the influence of the older composer on his music:

Vivian Perlis: The ideas that you write about and that other people write about your music, sound more like Varèse than your music sounds like Varèse. That is, masses of sound in time and space, and colliding masses of [sound] . . . because it sounds like you, it doesn’t sound like Varèse.

Shapey: I happen to admire him. I think he is one of the geniuses of the twentieth century. . . . I’ve conducted a lot of Varèse, I’m fascinated by it. . . . There are many who think or say that I’ve been influenced by Varèse. I don’t think that’s true at all.⁶⁵

Roughly speaking, Shapey’s music of the late 1950s represents an abandonment of the “German” tradition of rigorous pitch manipulation, and an embrace of the “French” preoccupation with timbre and texture.⁶⁶ Although Shapey never desired to “get rid of the glue,” to use Cage’s terminology, he certainly focused on permitting “sounds [to be] themselves.” When Shapey was interviewed by William Allaudin Mathieu in 1965, he discussed his interest in the purely physical properties of sound:

We are definitely in the period of transition. I think the electronic instrument caused a tremendous revolution, if for no other reason . . . perhaps than for the first time . . . we . . . are beginning to know . . . something about the structure of sound itself. This has caused a tremendous revolution, this has made all serious people aware that sound is not only a fantastic thing by itself but all the incredible things that can happen to and with sound.⁶⁷

⁶⁴ David Nicholls, “Getting Rid of the Glue,” in *The New York Schools of Music and Visual Arts*, ed. Steven Johnson (New York, London: Routledge, 2002), 17-56, especially 21.

⁶⁵ Vivian Perlis, interview with Ralph Shapey, transcript, 49. Oral History American Music, Yale University.

⁶⁶ Andrew Kohn writes of links between “Varèse’s and Wolpe’s spatial conceits,” and of the influence of Wolpe on both Morton Feldman and Shapey. Andrew David Kohn, “The Development of Stefan Wolpe’s Compositional Style 1948-1963, and the Role of Other Arts, With ‘Never Any Jam Today’ (Original Composition)” (Ph.D. diss., University of Pittsburgh, 1995), 20, note 9.

⁶⁷ William Allaudin Mathieu, interview with Ralph Shapey, Chicago, 1965, transcript, 14. Shapey Papers, Box 10.

Shapey's new manner reflected his interest in the visual arts, particularly the idea of objects moving relative to each other in space, as in the mobiles of Alexander Calder, a friend of Varèse.⁶⁸ In his 1983 interview with Vivian Perlis, Shapey discussed his ideas about the "shape" of sound:

Shapey: I knew Eric [Salzman] . . . in New York, and he gave it [*Discourse I* (1961)] a writeup and he talked about that it was like a piece – like a sculpture, frozen . . . frozen in space, that you can walk around and see it from all angles.

Perlis: It doesn't remind me of Calder, because Calder's too delicate, but a mobile that is . . . affected by –

Shapey: Other things . . . that's a Calder, okay, but he mentioned that this was like a frozen piece of sculpture that you could look at . . . from all angles. . . . I said [to Eric], "Did we ever talk about this?" He said, "No." . . . I said, "Well, well, I really did it."⁶⁹

Shapey's second wife, Vera Klement, was (and is) an abstract expressionist painter.⁷⁰ In later years, Shapey emphasized the importance of the interaction of composers and artists in New York at the time he was developing his new approach to composition:

Shapey: [Wolpe] would also go into the other direction: that he was doing in music what [the artists are] doing in painting, and that they're doing in painting what he's doing in music. . . .

Vera Klement: It isn't only [Wolpe] that made the analogy between painting and music at that time. It was also Morty Feldman and [Philip] Guston⁷¹ who saw . . . and Cage who crossed over the borders. There was a great deal of that.

Shapey: Well, we all did that. . . .

Shapey: It was nice. That I can't deny. It was a wonderful milieu. That it was.⁷²

⁶⁸ Heinz Stahlhut, "The Art Collection of Louise and Edgard Varèse," in *Edgard Varèse: Composer, Sound Sculptor, Visionary*, 101-9, especially 103-5.

⁶⁹ Vivian Perlis, interview with Ralph Shapey, transcript, 97. Oral History American Music, Yale University.

⁷⁰ Vera Klement (b. 1929), professor emerita of art at the University of Chicago, where she taught from 1969-95. Klement was married to Ralph Shapey from 1957-76.

⁷¹ Philip Guston (1913-80), painter and printmaker.

⁷² Carol K. Baron, interview with Ralph Shapey, transcript, 57-8. Wolpe/Baron Archive. See Dore Ashton, *The Unknown Shore: A View of Contemporary Art* (Boston, Toronto: Little, Brown

Retreat from the Orchestra

Shapey wrote several pieces for small ensembles in the two years following the *Challenge* debacle before he was again willing to use an orchestral canvas. Between June 1956 and July 1957, he composed three works of modest scope: *Mutations I*⁷³ for Piano (1956), *Rhapsodie* for Oboe and Piano (1957) and the Duo for Viola and Piano (1957). He also wrote an occasional work, the *Short Piece* for Piano, in September 1956. The first of these compositions, *Mutations*, seems to have served as a “trial run” for Shapey’s new style. Although Shapey avoided one set of musical anxieties by writing for piano solo, the new piece may have been a response to another.

Wolpe’s student David Tudor served as one of the leading American advocates of the European and American avant-garde during the 1950s, performing frequently both in New York and at European music festivals. Tudor helped to prepare the score of Wolpe’s *Battle Piece*, and premiered the work in March 1950.⁷⁴ He gave the American premiere of Boulez’s Piano Sonata No. 2 later that year.⁷⁵ During the 1950s, Tudor became closely associated with John Cage. Shapey perceived Tudor’s collaboration with Cage and his associates as an act of aesthetic

and Company, 1962), 197-211; Ashton, “Stefan Wolpe—Man of Temperament,” in *On the Music of Stefan Wolpe*, ed. Austin Clarkson, 95-102; Hilda Morley Wolpe, “The Eighth Street Club, From *A Thousand Birds: A Biographical Memoir*,” in *On the Music of Stefan Wolpe*, 103-10.

⁷³ *Mutations I* was published by Theodore Presser Co. in 1978: #110-40688. In 1966, Shapey composed a companion piece, *Mutations II* for Piano. He consequently retitled *Mutations* as *Mutations I*.

⁷⁴ See chapter 1, note 120. Tudor had been one of Irma Wolpe’s most important piano students. He also studied composition with Stefan Wolpe. See Austin Clarkson, “David Tudor’s Apprenticeship: The Years with Irma and Stefan Wolpe,” *Leonardo Music Journal* 14 (2004): 5-10. Also see John Holzaepfel, “David Tudor and the Performance of American Experimental Music, 1950-1959” (Ph.D. diss., City University of New York, 1994).

⁷⁵ Carter Harman, “Boulez’s 2D Sonata Heard In Premiere,” *The New York Times*, 18 December 1950: 35.

betrayal, despite the fact that Tudor continued to perform Shapey's music when asked to do so.⁷⁶

Cage presented a concert at Carl Fischer Hall on 30 May 1956, in which Tudor performed Stockhausen's *Klavierstücke V-VIII*, which had been dedicated to him.⁷⁷ Also on the program were Boulez's *Structures Ia* for Two Pianos (1951), Webern's *Five Movements* for String Quartet, Op. 5 (1909), and works by Earle Brown, Morton Feldman, Christian Wolff and Cage. Shapey composed *Mutations* between 23 June and 31 July 1956, completing the work two months after the concert at Carl Fischer Hall. He may have intended *Mutations* to serve as a critique of the highly publicized piano music of his professional rivals.

Shapey constructed *Mutations* as a series of eight short movements that are played without pause. He devised the musical narrative of the work from brief, eruptive musical gestures. The primary musical ideas of *Mutations* are a motive employing double-dotted rhythms, and the rapid accompanimental chordal figures with which it is coupled (see Ex. 3.16). These accompanimental chordal figures also function within *Mutations* as an independent motive.

⁷⁶ John Holzaepfel, interview with Ralph Shapey, Chicago, 29 November 1999, transcript, 21-2. Shapey Papers, Box 138.

⁷⁷ Holzaepfel, "David Tudor and the Performance of American Experimental Music, 1950-1959," 354; "Programs of the Current Week," *The New York Times*, 27 May 1956: 100; Ross Parmenter, "John Cage Offers Stereophonic Concert Including Eight Radios and Four Pianos," *The New York Times*, 31 May 1956: 21.

Example 3.17 “Walking” motive, in Ralph Shapey, *Mutations I* for Piano (1956), I, mm. 10-1. © 1978 Theodore Presser Co. Used by permission.

The inner movements elaborate ideas embedded within movement I. In movement II, Shapey employs rapid, dissonant repeated chords, derived from the initial accompanimental motive. He builds movement III around the “walking” motive. In movements V and VI, Shapey elaborates upon the large leaps of the accompanimental motive. In movement VII, he transforms the opening double-dotted motive into a lyrical melody. Shapey’s intent was seemingly to take motives from the opening movement and submit each in turn to permutation.

In movements II and V, Shapey subjects brief, widely spaced motives to additive rhythmic processes. He emphasizes the abruptness of his discourse, created by the use of jagged rhythms and large, rapid leaps. Shapey transforms a three-note rhythmic pattern into a four-note pattern at the beginning of movement II. The original succession, consisting of two sixty-fourth notes followed by a sixteenth note, becomes a sixty-fourth note, two thirty-second notes, and a sixteenth note (see Ex. 3.18).

Example 3.18 Additive rhythmic processes, in Ralph Shapey, *Mutations I* for Piano (1956), II, mm. 1-4. © 1978 Theodore Presser Co. Used by permission.

♩ = 112

The musical score consists of two systems of piano music. The first system is in 4/16 time, with a key signature of one flat. It features complex additive rhythms with many beamed sixteenth notes. Dynamics include piano (*p*) and a simile instruction. The second system is in 2/8 time, with a key signature of one flat. It continues the additive rhythmic processes with dynamics ranging from forte (*f*) to mezzo-forte (*mf*).

At the end of movement VI, Shapey gradually pares a motive down to the reiteration of a single tone (see Ex. 3.19). In these passages, Shapey reduces the connections between musical events to a minimum, testing the meaning of the idea of continuity in a way that recalls the works of his most radical contemporaries.⁷⁸

⁷⁸ See Eric Smigel, "Alchemy of the Avant-Garde: David Tudor and the New Music of the 1950s" (Ph.D. diss., University of Southern California, 2003), 18-21, on Tudor's interrogation of Boulez's concept of musical continuity as expressed in Boulez's Piano Sonata No. 2 (1947-48). For a discussion of Boulez's ideas about musical time, see Edward C. Campbell, *Boulez, Music and Philosophy* (New York: Cambridge University Press, 2010), "Modernism and Time," 228-52.

Example 3.19 Subtractive processes, in Ralph Shapey, *Mutations I* for Piano (1956), VI, mm. 7-14. © 1978 Theodore Presser Co. Used by permission.

The musical score for Example 3.19 consists of two systems of piano music. The first system covers measures 7 through 14. It is written in 4/16 time. The right hand (treble clef) features a series of eighth and sixteenth notes, often beamed together, with dynamic markings of *mf*, *mp*, and *mf*. The left hand (bass clef) has a more complex texture with sixteenth notes and rests, marked with *p*, *mf*, and *p*. There are several instances of *8va* (octave up) markings. The second system covers measures 10 through 14. It continues the rhythmic complexity with dynamic markings of *f*, *ff*, *fff*, and *ff*. The right hand has a *p più rit.* marking. The left hand has a *f* marking. The score includes various musical notations such as beams, slurs, and dynamic markings.

While the (0156) tetrachords of the opening movement are emblematic of the characteristic chromaticism of *Mutations*, Shapey also uses intervals systematically to produce structural contrasts within the work. He employs perfect intervals prominently in the middle section of movement I and in movement III. In movements IV and VII, he employs thirds (ics 3 and 4) for melodic purposes (see Ex. 3.20).

Example 3.20 Vertical and horizontal presentation of ics 3 and 4, in Ralph Shapey, *Mutations I* for Piano (1956), VII, m. 2. © 1978 Theodore Presser Co. Used by permission.

Shapey dedicated *Mutations* to Irma Wolpe-Rademacher, who premiered the work at a concert held at the Nonagon Gallery in New York as part of the Composers Showcase series in April 1958. She performed Shapey's *Sonata-Variations* (1954) as well. In *Musical America*, David Baruch wrote that *Mutations* "offered examples of the composer's manner of subjecting germinal motives to a complex, interestingly varied intellectual development."⁷⁹ The *New York Times* reviewer, Ross Parmenter, was less sympathetic to Shapey's piano music. He wrote, "*Mutations* left in the mind an impression of repeated sound patterns. Yet they seemed disjointed and a little feeble."⁸⁰

Shapey's next work was the Duo for Viola and Piano (1957),⁸¹ dedicated to the writer Vivienne Tallal Winterry.⁸² Like *Mutations*, the Duo consists of a series of brief sections, played *attacca*. The sections are articulated by concluding double bars, but are unnumbered, unlike the short movements of *Mutations*. The motive that opens the Duo (see Ex. 3.21) serves as a

⁷⁹ David Baruch, "Composers' Showcase," *Musical America* 78, no. 6 (May 1958): 26.

⁸⁰ Ross Parmenter, "Concert Features Two U. S. Composers," *The New York Times*, 7 April 1958: 27.

⁸¹ Theodore Presser Co. publishes the Duo for Viola and Piano: 11440559S.

⁸² Winterry (Vivienne Tallal Weinberger Winterry Goodman) was the author of the text for two volumes of photographs by Fritz Henle (1909-93).

unifying device, closing all but two of the seven sections (sections 3 and 6) and linking them in the manner that Shapey had previously employed in *Mutations*.

Example 3.21 Opening motive, in Ralph Shapey, *Duo for Viola and Piano* (1957), mm. 1-2. © 1957 Theodore Presser Co. Used by permission.

Andante con espressivo ♩ = 60

An additional set of three musical ideas is introduced by the piano in mm. 5 and 6 of section 1 (see Ex. 3.22). These ideas become central elements of the discourse in section 2, and also play a prominent role in sections 3, 5 and 7. The parallel between the concluding measures of sections 5 and 7 (compare mm. 88-91 and mm. 136-39) provides internal symmetry within the overall form of the Duo. In contrast, the brief, delicately textured section 6 has the character of a formal parenthesis. It features a rapid staccato repeated-note motive (not shown) that is untypical of the work as a whole.

Example 3.22 Three musical ideas, labeled X, Y and Z, in Ralph Shapey, Duo for Viola and Piano (1957), mm. 5-6. Note that only part of m. 5 is reproduced in the example. © 1957 Theodore Presser Co. Used by permission.

The Duo embodies a fusion of static and developmental procedures. The lyrical opening motive, shared by the viola and the piano, undergoes a process of transformation and extension throughout the work, while the gestures introduced by the piano in mm. 5 and 6 of section 1 are not developed, but juxtaposed in continually new configurations. The developmental aspect of the musical narrative is dominant at the beginning of the Duo, due to the emphasis on the lyrical motive and its extension through transposition and transformation. The static element, represented by the piano's unchanging gestures, comes progressively to the fore as the work unfolds. Shapey presents these gestures in a highly repetitive, almost obsessive fashion in several sections (see Ex. 3.23).

in the first two measures. Six pcs (E, F#, Ab, A, Bb, B) are stated in m. 1, four more pcs (C, C#, D, F) on the first beat of m. 2, and the last two pcs (Eb, G) on the following beat. The gestures introduced by the piano in mm. 5 and 6 include three dyads and a tetrachord derived from the opening of the work: {Ab, Bb} (labeled “A” in Exx. 3.24a and b) (m. 1, bass), {B, C} (“C”) (m. 2, treble), {F, F#} (“D”) (m. 2, bass) and {D, Eb, E, F#} (“E”) (m. 2, treble and bass). The viola adds the dyad, {A, B} (“B”) (m. 1, bass) (see Exx. 3.24a and b).

Example 3.24a Unordered pc sets, in Ralph Shapey, Duo for Viola and Piano (1957), mm. 1-2. © 1957 Theodore Presser Co. Used by permission.

Andante con espressivo ♩ = 60

The musical score for Example 3.24a shows measures 1 and 2 of Duo for Viola and Piano by Ralph Shapey. The score is in 4/4 time, with a key signature of one flat (Bb). The tempo is Andante con espressivo, 60 beats per minute. The piano part is in the bass clef, and the viola part is in the treble clef. The score includes dynamic markings (p, mf, f) and articulation (accents). Circled notes are labeled with letters A, B, C, D, and E, corresponding to the unordered pc sets mentioned in the text. Measure 1 has a key signature change to two flats (Bb, Eb) and a time signature change to 2+3/4. Measure 2 has a key signature change to one flat (Bb) and a time signature change to 4/16.

Example 3.24b Unordered pc sets derived from mm. 1-2, in Ralph Shapey, Duo for Viola and Piano (1957), mm. 5-6 (cf. Ex. 3.24a). © 1957 Theodore Presser Co. Used by permission.

The tetrachord stated by the piano in the concluding measures of section 1 (mm. 20-2) has the same pc content as the tetrachord (a trichord decorated by a grace note) on the second eighth note of m. 1, {A, Bb, B, E}. The viola's C4 corresponds to the C5 that is part of the treble trichord on the first beat of m. 2 (see Ex. 3.25). Similarly, the viola line in mm. 48-9 freely retrogrades the pc content of m. 1 and the first chord of m. 2, omitting B and F#: C–D–C#–E–A–Bb–Ab (see Ex. 3.26).

Example 3.25 Unordered pc set, {A, Bb, B, E}, derived from mm. 1-2, in Ralph Shapey, Duo for Viola and Piano (1957), m. 20 (cf. Exx. 3.21 and 3.24a). © 1957 Theodore Presser Co. Used by permission.

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Example 3.26 Free retrogression of the pc content of mm. 1-2, in Ralph Shapey, Duo for Viola and Piano (1957), mm. 48-9, viola only (cf. Exx. 3.21 and 3.24a). © 1957 Theodore Presser Co. Used by permission.

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Viola

While Shapey was working on the Duo, he wrote a letter to Wolpe discussing his current projects, fitting them into the historical framework that he had created to describe his compositional evolution. The letter confirms the thesis that Shapey considered his “new” style to be a logical development of his earlier work, rather than a fresh start:

I have just finished 1st mvt of a new work, Duo for Viola & Piano, & started second movement. Although there are many relations to my past writings, I am working out new ideas of sound relationships. As yet these ideas are not completely formulated [in] my own mind, but the main line of development comes from the “Challenge.” The next step in the formulation will be (1st few measures already written) my 5th Qt. & then a work I call “Dimensions” for soprano, sax, guitar, bass, piano, celesta, piccolo & percussion.

These 3 wks [works] exploiting completely new realms of sound intensities as time intensities form the yrs. [year's] planned works.⁸⁴

On 26 March 1958, violist Walter Trampler and pianist Lalan Parrott premiered the Duo for Viola and Piano at the Third Street Music School Settlement in New York. Trampler and Parrott repeated the work on 6 April 1958 at the Nonagon Gallery in New York, on a program that also included the *Sonate-Variations* and *Mutations*.⁸⁵ In *Musical America*, reviewer David Baruch wrote that “Mr. Trampler’s impressively skillful, intense playing brought out the fiercely impassioned, strange quality of the work’s craggy melodic lines,”⁸⁶ while Ross Parmenter commented in *The New York Times* that “the Duo for Viola and Piano, played with intensity and skill by Walter Trampler and Miss Parrott, was a much more vigorous and impressive work [than the *Sonate-Variations* and *Mutations*]. It received the biggest hand of the evening.”⁸⁷ The Duo’s successful mixture of static and developmental procedures shows a composer in transition. In the following months, Shapey realized his new concept of musical continuity in a more thoroughgoing manner in the *Rhapsodie* for Oboe and Piano, *Songs of Eternity* and String Quartet No. 5.

The one-movement *Rhapsodie* for Oboe and Piano (1957)⁸⁸ was Shapey’s third work featuring the oboe, following the *Sonate* for Oboe and Piano (1952) and the Oboe Quartet (1952). Like the *Sonate*, it was premiered by Josef Marx, the leading advocate of avant-garde music for the oboe in New York. Marx gave the *Rhapsodie* its first performance together with pianist Lalan Parrott at the concert of works by Wolpe and Shapey that was jointly presented by

⁸⁴ Ralph Shapey, draft of a letter to Wolpe, undated (ca. 1957). Shapey Papers, Box 147, Wolpe Material (Restricted).

⁸⁵ See chapter 3, notes 79 and 80.

⁸⁶ David Baruch, “Composers’ Showcase,” *Musical America* 78, no. 6 (May, 1958): 26.

⁸⁷ Ross Parmenter, “Concert Features Two U. S. Composers,” *The New York Times*, 7 April 1958: 27.

⁸⁸ Theodore Presser Co. publishes the *Rhapsodie* for Oboe and Piano: #114-40568.

the two composers at Carl Fischer Hall on 22 May 1959.⁸⁹ A comparison of the *Rhapsodie* with the *Sonate* for Oboe and Piano shows that Shapey returned to the essentially static discourse of the first movement of the *Sonate* in the later work. Shapey's use of repetition in the *Rhapsodie* is more extensive and more fundamental to the structure of the entire piece, however.

The *Rhapsodie* has three sections that are played without pause. The music is rhythmically fluid. As in *Mutations I*, rhythmic subdivisions are indicated by dashed bar lines. Due to the complexity of rhythmic interrelationships in the *Rhapsodie*, the dashed bar lines are not always coordinated between the parts, or, in the case of the piano part, between the staves. In the first section (pp. 1-5), the oboe plays a widely spaced, winding theme. The narrative progresses in circular fashion, returning again and again to the oboe's opening thematic figure. The constituent elements of the oboe theme are altered rhythmically, inverted, occasionally transposed, and developed by the technique of near repetition, the restatement of musical ideas with slight modifications so as to produce continuous variation. The piano accompanies the oboe line with its own motives (see Ex. 3.27). Shapey develops these motives by the use of both near repetition and retrogression (see Ex. 3.28).

⁸⁹ See chapter 3, note 15.

Example 3.27 Opening theme, in Ralph Shapey, *Rhapsodie* for Oboe and Piano (1957), p. 1, systems 1-2. © 1959 Theodore Presser Co. Used by permission.

$\text{♩} = 60$
 Oboe
 Piano

Musical score for the opening theme of *Rhapsodie* for Oboe and Piano by Ralph Shapey. The score consists of two systems. The first system shows the Oboe and Piano parts. The Oboe part starts with a half note G4, followed by a triplet of eighth notes (A4, B4, C5), then a quarter note D5, and a half note E5. The Piano part starts with a half note G3, followed by a triplet of eighth notes (A3, B3, C4), then a quarter note D4, and a half note E4. The second system continues the Oboe part with a half note F5, followed by a triplet of eighth notes (G5, A5, B5), then a quarter note C6, and a half note D6. The Piano part continues with a half note F3, followed by a triplet of eighth notes (G3, A3, B3), then a quarter note C4, and a half note D4. The score includes dynamic markings (p, mp, mf, f), articulation marks (accents), and fingerings (1, 3, 5). The tempo is marked as quarter note = 60. The key signature has one sharp (F#). The score is marked with 'Leo.' and an asterisk at the end of each system.

Example 3.28 Development of the piano's opening motives by near repetition and retrogression, in Ralph Shapey, *Rhapsodie* for Oboe and Piano (1957), p. 3, systems 2-3 (cf. Ex. 3.27). © 1959 Theodore Presser Co. Used by permission.

The musical score for Example 3.28 shows systems 2-3 of Ralph Shapey's *Rhapsodie* for Oboe and Piano. The piano part is written on two staves (treble and bass), and the oboe part is on a single staff. The piano part begins with a forte (*f*) dynamic and a 7-measure rest. The oboe part begins with a 1-measure rest. The piano part features a series of chords and arpeggios, with dynamics ranging from *f* to *mf*. The oboe part features a series of eighth and sixteenth notes, with a 'sonorous' marking. The piano part includes a 5-measure rest and a 5-measure rest. The oboe part includes a 5-measure rest and a 5-measure rest.

The second section of the *Rhapsodie* is based on an ostinato figure related to the oboe theme, unobtrusively introduced in the piano early in section 1 (see Ex. 3.29a). This ostinato figure is repeated continuously, using both exact repetition and near repetition, while the oboe plays a widely spaced, winding line that can be partitioned into a series of ic1 and ic2 dyads (see Ex. 3.29b).

Example 3.29a Introduction of ostinato figure, in Ralph Shapey, *Rhapsodie* for Oboe and Piano (1957), p. 1, system 3, piano only. © 1959 Theodore Presser Co. Used by permission.

Example 3.29b Reiteration of ostinato figure, in Ralph Shapey, *Rhapsodie* for Oboe and Piano (1957), p. 6, system 1. © 1959 Theodore Presser Co. Used by permission.

In the third section, the oboe primarily plays trills, with periodic interjections of widely spaced ic1 dyads that recall the opening theme. This motivic relationship is reinforced by the oboe's C#–Bb dyad at the end of p. 9, line 1, which similarly echoes the C#–Bb dyad in the opening theme (see Ex. 3.30). The trills can be perceived as a variation of the widely spaced ic1 dyads of the opening theme within pitch space.

Example 3.30 Thematic transformation of ic1 dyads, in Ralph Shapey, *Rhapsodie* for Oboe and Piano (1957), p. 9, system 1 (cf. Ex. 3.27). © 1959 Theodore Presser Co. Used by permission.

Shapey continued his intense engagement with Wolpe's musical ideas when he composed the *Rhapsodie*. Both Shapey's use of close intervals for the opening oboe theme and his extensive use of trills later in the piece are clearly indebted to Wolpe's Oboe Sonata. Wolpe's Sonata was inspired by the music of the Middle East, which he imbibed during his years in Mandate Palestine.⁹⁰ Similarly, the sinuous solo line of Shapey's *Rhapsodie* is reminiscent of Middle Eastern wind playing, while the middle section ostinato evokes non-Western percussion. Nevertheless, there are significant differences between the two works. Shapey abandons the narrative directionality of Wolpe's intricate musical argument in the *Rhapsodie*. In addition, his music has a rhythmic fluidity that contrasts with the complex but angular rhythms of Wolpe's Sonata.

The 1959 premiere of the *Rhapsodie* was not covered by the press; the work was played

⁹⁰ See chapter 1, notes 8 and 9.

late in the program, by which time the music critics had left the concert hall in order to file their reviews.⁹¹ When oboist James Ostryniec performed the *Rhapsodie* in 1983, reviewer Joseph McLellan commented, “In Shapey’s ‘Rhapsodie,’ the oboe melody is intense, compressed and lyrical.”⁹²

Thinking on a Larger Scale

Although Shapey had tried to articulate his new artistic vision in the three works that he wrote between June 1956 and July 1957, he did not fully realize his ideas until he composed *Songs of Eternity* (1957) and String Quartet No. 5 (1958). *Songs of Eternity* is scored for mezzo-soprano soloist and an ensemble of eleven players: flute/piccolo, Bb clarinet/bass clarinet, cello, contrabass, celesta, piano and percussionists playing cymbals (high, medium and low), gong, tom-toms (high, medium and low), bass drum, timpani and vibraphone.⁹³ The opening pages are scored for cymbals, gong, tom-toms and bass drum, which play in a complex polyphony. The winds and strings enter with held notes in their highest register, reinforced by chords played by the vibraphone and celesta (see Ex. 3.31).

⁹¹ At the time, newspaper reviews were always filed immediately after a concert, and were published on the following day.

⁹² Joseph McLellan, “Up-To-Date Sounds of the Oboe,” *The Washington Post*, 7 November 1983: B9. Ostryniec had already recorded the *Rhapsodie* with pianist Charles Wuorinen on CRI SD 423 (1980).

⁹³ Sometime after 1962, for unknown reasons, Shapey removed *Songs of Eternity* from his list of works. A copy of the score is included in the Shapey Papers, Box 47. Shapey arranged the fourth movement of *Songs of Eternity* and inserted it into *This Day* for Soprano and Piano (1960) as the first movement, “The Universe Resounds.” He subsequently produced a new work using the same collection of texts, *Songs of Ecstasy* for Soprano, Piano, Percussion and Tape (1967).

Example 3.31 Percussive texture, in Ralph Shapey, *Songs of Eternity* for Mezzo-soprano and Eleven Players (1957), Prologue, mm. 6-8. Shapey Papers, Box 47. By permission of the Special Collections Research Center, University of Chicago Library.

The musical score for Example 3.31, titled "Percussive texture," is for the Prologue of *Songs of Eternity* by Ralph Shapey, measures 6-8. The score is for an ensemble of eleven players and a mezzo-soprano. The instruments and their parts are as follows:

- Picc.** (Piccolo): Measures 6-8, starting with a forte (*f*) dynamic and ending with a mezzo-forte (*mf*) dynamic.
- Bs. Cl.** (Bass Clarinet): Measures 6-8, starting with a forte (*f*) dynamic.
- Cel.** (Cello): Measures 6-8, starting with a forte (*f*) dynamic and ending with a mezzo-forte (*mf*) dynamic.
- Cym. H M L** (Cymbals): Measures 6-8, starting with a mezzo-forte (*mf*) dynamic and ending with a forte (*f*) dynamic.
- Gong**: Measures 6-8, starting with a piano (*p*) dynamic and ending with a forte (*f*) dynamic.
- T.-t. H M L** (Tom-tom): Measures 6-8, starting with a forte (*f*) dynamic and ending with a mezzo-forte (*mf*) dynamic.
- B.D.** (Bells): Measures 6-8, starting with a forte (*f*) dynamic and ending with a mezzo-forte (*mf*) dynamic.
- Vib. (motor on)** (Vibraphone): Measures 6-8, starting with a forte (*f*) dynamic and ending with a mezzo-forte (*mf*) dynamic.
- Vc.** (Viola): Measures 6-8, starting with a mezzo-forte (*mf*) dynamic and ending with a forte (*f*) dynamic.
- Cb.** (Contrabass): Measures 6-8, starting with a forte (*f*) dynamic and ending with a mezzo-forte (*mf*) dynamic.

The score includes various musical notations such as dynamics (*f*, *mf*, *p*), articulation marks (accents, slurs), and performance instructions (e.g., "dp. ped.", "dp. off", "non vib.", "harmonic (actual note)"). The tempo is marked "Prologue, mm. 6-8".

In the second movement, “Song I,” the melodic line is a chromatic figure that loops around the pitch, A4, and is elaborated by the use of additive and subtractive rhythmic processes similar to those Shapey had employed in *Challenge: The Family of Man* (see Ex. 3.32).

Example 3.32 Additive and subtractive rhythmic processes, in Ralph Shapey, *Songs of Eternity* for Mezzo-soprano and Eleven Players (1957), Song I, mm. 1-9, celesta only (cf. Ex. 3.15). Shapey Papers, Box 47. By permission of the Special Collections Research Center, University of Chicago Library.

♩ = 176-184 Lightly, with great excitement

The image displays two systems of musical notation for a celesta part. The first system consists of two staves, with the upper staff labeled 'Cel.' and 'mf'. The music features complex, additive and subtractive rhythmic patterns, with measures of varying lengths (e.g., 16, 8, 3, 16, 8, 4). The second system continues the piece, starting with a measure marked '6' and 'f', followed by measures marked 'mf'. The notation includes various accidentals (sharps, flats, naturals) and dynamic markings (mf, f) to indicate the performance. The overall style is characteristic of mid-20th-century experimental music.

The fourth movement, “Of Joy,” employs a text by Alexander Scriabin that had been used as a wall caption, accompanying one of the photographs in the “Family of Man” exhibition at the Museum of Modern Art (see Fig. 3.6): “The Universe resounds with the joyful cry I am.”⁹⁴

⁹⁴ The text is taken from Scriabin’s *Mysterium: Preliminary Action*. It was one of many texts used in the “Family of Man” exhibition at the Museum of Modern Art that Shapey placed at the front of the score of *Challenge: The Family of Man*.

Figure 3.6 “*The universe resounds with the joyful cry I am.*” (Scriabin) Photograph by Wayne Miller, in Edward Steichen, *The Family of Man* (New York: The Museum of Modern Art, 1955), 23. “The photographer's father delivering the photographer's son.” (1946) Photograph by Wayne Miller. © 1946 Wayne Miller/Magnum Photos. Used by permission of Magnum Photos.

Shapey's setting of Scriabin's ecstatic paean to Being underscores the meaning of the text by repeating the words, “I am,” continuously as the music dies away at the end of the movement (mm. 55–63). In private notes of the period, Shapey referred to “the acceptance of the inevitability of ‘I Am,’ the promise of here & now.”⁹⁵ He associated this idea with his new conception of musical time:

“Time” moves along so hurriedly only in [a] narrow sense; there is another “Time,” the Eternal Time! . . . A “Time” which does not move, goes no place; simply “Is”! Frozen in space, complete and fulfilled. The organism has gone through its many metamorphoses; it has reached its state of “Infinitude.” It has nothing else to do but to “Be.” To “Exist!” . . .

⁹⁵ Ralph Shapey, handwritten manuscript [thoughts about musical structure], ca. 1958. Shapey Papers, Box 11.

A moment becomes
Eternity
as

Eternity
Becomes the moment.⁹⁶

Shapey also expressed his concept of “being” by contrasting the terms, “it is,” and “it becomes.”⁹⁷ The art historian Dore Ashton has pointed to parallels between Shapey’s ideas and the language employed by the abstract expressionist artists, several of whom founded a magazine entitled, *It Is*, in 1958, a year after the composition of *Songs of Eternity*.⁹⁸

Shapey realized his new concept of musical rhetoric even more fully in his next work, String Quartet No. 5 with Female Voice (1958).⁹⁹ The quartet was begun before the completion of *Songs of Eternity*. Shapey composed the first movement in a brief burst of activity at the beginning of September 1957, as a partially erased date on the handwritten score reveals. Significantly, the quartet, like Schoenberg’s String Quartet No. 2, is scored for string quartet with solo voice. Like his great predecessor, Shapey felt that he was exploring uncharted musical territory. Stefan Wolpe’s recently completed *Quintet with Voice* (1956-57) provided an additional model for Shapey’s combination of solo voice with instrumental ensemble.

String Quartet No. 5 is notable for the single-minded manner in which Shapey presented his new compositional techniques. Particularly in the first movement, Shapey reduces his material to a minimum, creating a musical narrative based primarily on the reiteration and juxtaposition of a few brief gestures and motives, although he uses traditional procedures of motivic development as well. Shapey’s practice was clearly modeled on Varèse’s handling of

⁹⁶ Ibid.

⁹⁷ Ralph Shapey, “‘A Composer is an Architect in Sound, Time and Space’: Questions Submitted to Shapey by Wolpe, March 1960,” *Sonus* 21, no. 1 (Fall 2000): 1-5, especially 4.

⁹⁸ Dore Ashton, “Stefan Wolpe—Man of Temperament,” 96–7. See chapter 3, note 72.

⁹⁹ Theodore Presser Co. publishes String Quartet No. 5: #111-40120.

musical time and space in works like *Intégrales* and *Déserts*. In his 1956 lecture, “On New (And Not-So-New) Music in America,” Stefan Wolpe discussed the music of Varèse in terms that parallel Shapey’s ideas:

There are works by Varèse in which everything develops itself in an unusually slow way. This is of great value for the concept of extremes. . . . There is a minimum of ordinary musical dialectic. . . . Simply composed . . . with repetitions of single phrases that are complete in themselves . . . generally occupying the musical space monolithically . . . held together by a constellation of sonorities that articulate time with a minimum of elements.¹⁰⁰

While Shapey adopted a musical discourse modeled on the works of Varèse, he also drew on the related ideas about musical space and time developed by Wolpe during the 1940s and early 1950s.¹⁰¹ Wolpe’s compositional strategy was premised on controlling the rates of change of musical parameters, including pitch, register, density and tempo.¹⁰² In a 1964 lecture, Wolpe elucidated his techniques. Discussing his *Form* for Piano (1959), he explained,

Specific modes of behavior determine shape and type of action, argue about the articulation of time, organize levels of interactions, where to act, how to move, at what distances from each other, in what dynamic strength and so on.¹⁰³

Wolpe was concerned with the juxtaposition of contrasting elements:

In the *Form* for Piano the art of moulding opposites into adjacent situations becomes the main concern. . . . Opposites become complementary and allow the infinite and instant conversion of line into lines, into sounds, into varying

¹⁰⁰ Stefan Wolpe, “On New (And Not-So-New) Music in America [1956],” trans. and introduced by Austin Clarkson, *Journal of Music Theory* 28, no. 1 (Spring 1984): 1-45, especially 24-5.

¹⁰¹ The period in which Wolpe developed these concepts was that of his closest association with Shapey, before the gradual deterioration of their relationship.

¹⁰² See Robert Morris, “Some Processes in Wolpe’s *Piece in Three Parts*,” in *On the Music of Stefan Wolpe*, ed. Clarkson, 263-78, especially 263: “Any attempt to hold onto a passage as a fixed and self-enclosed set of relations, akin to a ‘motive,’ ‘theme,’ or ‘section,’ will be frustrated by the piece’s manifold warp and woof. There are no stable forms, only processes of formation and destruction, of accretion and deletion, intersection and complementation.” See also Elliott Antokoletz, *Twentieth-Century Music* (Englewood Cliffs, New Jersey: Prentice Hall, 1992), 415.

¹⁰³ Stefan Wolpe, “The Frances Parker Lecture [24 April 1964],” *Contemporary Music Review* 27, nos. 2 / 3 (April-June 2008): 193-200, especially 197.

quantities of action, from much to nothing, from nothing to little, from little to scarcely anything, from scarcely anything to a conjuring plenty of abandon. Since opposites become adjacencies, the modes of opposite expression—as hard and soft, wild and tame, flowing and hesitant, etc.—all these modes become self-inclusive.¹⁰⁴

Wolpe discussed his *Piece In Two Parts* for Six Players (1962) in similar terms:

[R]arely is a shape seen without its own diversification accompanying it. . . .
 . . . Because of the following, this often occurs in my music: a note, a sound, several short layers of moving lines converting into, let us say, a sudden large mass of sounds followed by a single rapid figure, etc. To make this procedure possible, you need multidimensional space and must abandon one focal point in favor of multifocal points as well, for my music does not move only in one direction, but simultaneously in a variety of directions.¹⁰⁵

At least one critic grasped the underlying dialectic of Wolpe's discourse. In *The New York Times*, Peter G. Davis wrote, "He alternates opposites to maximum advantage, juxtaposing static moments and passages of furiously intense motion, complex textures and simple ones, rhapsodic and explosive melodic lines."¹⁰⁶

Shapey's String Quartet No. 5 expounds a series of Wolpean contrasts in its presentation of musical ideas (see Table 3.2).

¹⁰⁴ Ibid., 197.

¹⁰⁵ Ibid., 199.

¹⁰⁶ Davis reviewed a retrospective concert of Wolpe's music, presented at Town Hall in New York by Shapey and the Contemporary Chamber Players of the University of Chicago. See Peter G. Davis, "Chicagoans Play Music by Wolpe," *The New York Times*, 25 March 1968: 54.

Table 3.2 Wolpean Contrasts in the Handling of Musical Space and Time in Shapey's String Quartet No. 5 (1958)

Thick	Thin
High	Low
Busy	Static
Rapid	Slow
Ensemble	Solo
Up	Down
Clusters in central register	Widely spaced chords at registral extremes

In the first movement, rapid gestures repeatedly outline the registral extremes of the ensemble. The movement opens with a sustained B4, played by violin II, while violin I and the cello both leap downwards from their highest to their lowest registers. The viola leaps downward an octave from its highest register as well (see Ex. 3.33a). These downward leaps, encompassing a wide pitch space, resemble the opening gesture of *Challenge: The Family of Man*.

Example 3.33a Delineation of a wide pitch space, in Ralph Shapey, String Quartet No. 5 with Female Voice (1958), I, m. 1 (cf. Ex. 3.10). © 1958 Theodore Presser Co. Used by permission.

$\text{♩} = 54$

Score for String Quartet No. 5, I, m. 1. The score shows four staves: Vn. I, Vn. II, Va., and Vc. The key signature has one sharp (F#). The tempo is marked as $\text{♩} = 54$. The Vn. II part is marked "non vib." and "p". The Vn. I part has a dynamic marking of *mf* and a fingering of 5. The Va. part has a dynamic marking of *mf*. The Vc. part has a dynamic marking of *mf*. The score shows a wide pitch space delineation with rapid gestures.

At the end of the movement, the registral space of the opening measures is inverted, as all four members of the quartet combine to play pentachords in close position, symmetrically arranged around the pitch, D4. Shapey enriches his presentation of this simple idea with glissandi, moving in contrary motion in the two inner voices, and with changing dynamics that continually alter the listener's perception of the chord (see Ex. 3.33b).

In comparison to the first movement, the second movement is more complex in its form, use of timbre and texture, and pitch organization. The movement includes passages of numbered measures that repeat and extend the musical ideas of the first movement. They continue the numbering of the measures in the first movement as well. The other measures of the second movement are not numbered, raising the possibility that they were composed after Shapey had completed the first draft of the entire quartet. Shapey may originally have conceived of the quartet in far simpler terms, with the main contrast between the sections being the introduction of the voice at the end of the piece. The continuous numeration of the first movement material may also indicate that Shapey broke off several passages from the latter half of the original movement in order to interpolate them at different points in the second movement.

At the beginning of the second movement, violins I and II play an ascending, leaping motive, balancing the descending, leaping gestures that open the first movement (see Ex. 3.34).

Example 3.34 Directional symmetry, in Ralph Shapey, String Quartet No. 5 with Female Voice (1958), II, rehearsal letter A (cf. Ex. 3.33a). © 1958 Theodore Presser Co. Used by permission.

Vn. I
 Vn. II
 Va.
 Vc.

A ♩ = 50
mf
f
 5
 3
 5
 5

u = upbeat
 / = downbeat

Immediately after the opening flourishes of the second movement, Shapey introduces complex dissonant counterpoint for the first time in the quartet (rehearsal letters A–D). The voice then enters, accompanied alternately by sustained chords, and by motivic figures derived from the beginning of the movement (see Ex. 3.35). The fact that these figures are not transposed makes it easier to perceive them within the continuous, kaleidoscopic variation of timbre, texture and register.

Example 3.35 Entry of the voice, in Ralph Shapey, String Quartet No. 5 with Female Voice (1958), II, rehearsal letter E. © 1958 Theodore Presser Co. Used by permission.

E

sonorous

mf on a twi- lit col- on- nade

sub. non vib.

vib. nor.

mf

5

mf

sub. p

f

mf

mf

sub. p

p

mf

mf

sub. p

p cresc.

mf

sub. p

cresc.

mf

sub. p

cresc.

Cello C string is lowered to Bb.

∪ = upbeat
/ = downbeat

The entrance of the voice is preceded by the most thickly textured music so far presented in the quartet. When it falls silent, Shapey presents an extended passage for solo viola, *con sordino* (rehearsal letter J). This music is succeeded by a second passage of dissonant counterpoint (rehearsal letter K) (see Ex. 3.36). Shapey's juxtaposition of thick and thin textures serves as an additional illustration of Wolpe's concept of contrasts. The remainder of the movement illustrates Shapey's dictum that his music should present a limited number of ideas in constantly changing configurations.

Example 3.36 Contrasting textures, in Ralph Shapey, String Quartet No. 5 with Female Voice (1958), II, rehearsal letters J-K. © 1958 Theodore Presser Co. Used by permission.

J

The image displays two systems of a musical score for a string quartet. Each system consists of four staves. In both systems, the first, second, and fourth staves contain whole rests, while the third staff contains a single melodic line. The first system is marked with a mezzo-piano (*mp*) dynamic and the tempo marking *calma*. Above the melodic line in the first system is the instruction *con sord.* with a dashed line indicating a sustained sound. The second system is marked with a mezzo-piano (*mp*) dynamic and the instruction *(con sord.)* above the melodic line, also with a dashed line indicating a sustained sound. The melodic line in both systems is written in a 3/4 time signature and features a series of eighth and sixteenth notes, with some notes beamed together.

Example 3.36 continued

The musical score consists of four staves. The first staff is in treble clef and contains a melodic line with dynamics *mf*, *f*, and *mf*. It includes performance instructions: "(con sord.)", "sul pont.", and "nat.". A box labeled "K" is at the beginning. The second staff is also in treble clef, starting with a *mp* dynamic and a crescendo, then moving to *mf* and *f*. The third staff is in bass clef, featuring a rhythmic pattern with a *mf* dynamic. The fourth staff is in bass clef, containing a melodic line with dynamics *f*, *mf*, and *f*, and performance instructions: "(con sord.)", "sul pont.", and "nat.". A triplet of eighth notes is marked with a "3" and a sharp sign.

The text recited by the vocal soloist in the second movement of the quartet was taken by Shapey from a poem by his second wife, Vera Klement. It includes the words, “I Am,” first heard in *Songs of Eternity*. They are inserted here within a different context, however:

A seagull rent the beaded cord with a shriek I Am
filling my mouth with sudden salt

Like the fourth movement of *Songs of Eternity*, String Quartet No. 5 ends with a repetition of the assertion, “I Am.” These words seem to encapsulate Shapey’s musical evocation of a transcendent present, created by means of his new concept of narrative discourse.

Although String Quartet No. 5 is essentially cyclic in nature, Shapey’s use of modified repetition produces a structure of considerable complexity. The subtlety of his episodic form is reinforced by his techniques of pitch organization and motivic elaboration. In the quartet, he uses both ordered and unordered pc sets that are never transposed. They are presented both vertically

and horizontally, and are deployed in constantly changing registral configurations. The second movement opens with the presentation of two sets in violins I and II: the unordered set, {C, C#, D, D#, F#}, is divided between the two instruments, and the ordered set, (G, Ab, D, E, F, Bb), is played by violin I. The first of these two sets is closely related to the main motivic material of the opening movement. The second set is constantly restated throughout the second movement, either as part of the melodic line or within the polyphonic texture. The two sets are united in the first entrance of the voice (rehearsal letter E), which states both sets, first A, then B (see Ex. 3.35).

In a 1963 interview with Eugene Bruck,¹⁰⁷ Shapey explicitly identified String Quartet No. 5 as a serial, but not twelve-tone, composition:

Shapey: The organization is based on a series. This is serial music, not twelve-tone, that's a different thing. This is serial music.

Bruck: What kind of series?

Shapey: It's no different to my mind than taking a C major scale. I consider that a series also. . . . I did not add this up numerically, I am not a twelve-tone composer, this is not a twelve-tone work. But I do work with these fragmented ideas, these fragmented notes that add up to a certain particular image in a serial manner, and they will come back over and over and over again.¹⁰⁸

Like the Trio for Violin, Cello and Piano, *Form* for Piano and the *Rhapsodie* for Oboe and Piano, String Quartet No. 5 was premiered at the concert that Wolpe and Shapey jointly presented at Carl Fischer Hall on 22 May 1959. In *The New York Times*, Eric Salzman provided

¹⁰⁷ Eugene M. Bruck (1925-2012), broadcaster, critic, music executive and instrument dealer. See "Eugene M. Bruck" (paid death notice), *The New York Times*, 14 December 2012.

¹⁰⁸ Eugene Bruck, interview with Ralph Shapey, "Conversations with Contemporary Composers," New York University, 1963. Partial transcript prepared by Barry Wiener. "Shapey lectures at NYU," Shapey Papers, Box 17 (tape); CD 43b. Howard Klein of *The New York Times* noted the NYU lecture series in a survey of contemporary developments in the music world. See Howard Klein, "Music World: Old Hall, New Look," *The New York Times*, 29 September 1963: 125.

a detailed account of the work:

The harmonic vocabulary is highly “dissonant” and the primary interest lies in pitch relationships rather than in color and rhythm.

The quartet is in one movement and is dominated by a single idea—long held notes are passed around from one instrument to the other punctuated by rich chords. After this material is presented and varied somewhat, there is a cadence motion, a pause and a new section introduces the voice.

The unidentified text is treated rather cavalierly. The prosody and the setting allows very little to be heard or understood . . . The idea is apparently that the text has a sound value to contribute to the music.

A return of the opening section with a bit of “sprechstimme” in the voice rounds the piece off neatly. At the very close, the held note gets passed on the voice itself making a very effective finish.¹⁰⁹

1958: Return to the Orchestra

Shapey’s next work, *Ontogeny* for Orchestra (1958),¹¹⁰ illustrates the lessons that he had learned in the three years since the composition of *Challenge: The Family of Man*. The name of the work refers to the development of an organism from conception to maturity. At the bottom of the first page of the score, Shapey appended the following note: “Ontogeny—a pattern of processes in time through which the inherent potentialities of ----- proceeds freely to be realized.” Similar comments relating artistic and natural processes were common in Shapey’s circle.¹¹¹

In *Ontogeny*, Shapey used many of the ideas that he had developed in *Challenge: The Family of Man*, but recast them within the context of his new, more radical, musical language. In

¹⁰⁹ Eric Salzman, “Music: An Involved Style,” *The New York Times*, 23 May 1959: 19. In the *New York Herald Tribune*, Francis D. Perkins was more succinct: “[Soprano Valerie Lamoree]’s share of the music varied between actual song and song-speech, and seemed at times a part of the instrumental fabric. The vocal writing was sometimes penetrating and poignant.” F. D. P. [Francis D. Perkins], “Wolpe, Shapey Works Heard at Fischer Hall,” *New York Herald Tribune*, 23 May 1959: 6.

¹¹⁰ *Ontogeny* is available from the Theodore Presser Co. Rental Library.

¹¹¹ See Matthew Greenbaum, “The Proportions of Density 21.5: Wolpean Symmetries in the Music of Edgard Varèse,” in *On the Music of Stefan Wolpe: Essays and Recollections*, 207-19, especially 208-9.

contrast to orchestral works of the 1950s that embody a complex dialectic of pitch relationships, like Wolpe's *Symphony No. 1* (1956) and Carter's *Variations for Orchestra* (1955), Shapey's music is primarily concerned with texture and timbre. He juxtaposes static blocks of sound, using variation form to organize the constant changes of texture and timbre into a coherent whole. The work embodies an ordered progression of musical ideas, described by Donal Henahan in *The Musical Quarterly*: "Each of the ten sections takes the development of the germinal material one step further until the organism's life history is complete, and all potentialities (in theory) are exhausted."¹¹²

Shapey's notes for *Ontogeny* reveal conceptual and compositional links to the earlier *Challenge: The Family of Man* and the later *Dimensions* (1960). Shapey originally entitled the work "Dimensions," and did not change its name to *Ontogeny* until late in the compositional process. He made an outline of the form of "Dimensions," and described both his musical intentions and their metaphysical resonance. He headed the outline, "Dimensions/I Segregations (diversities)/Move[ment] I." Shapey described "Dimensions" in terms that would become familiar elements of his descriptive vocabulary. Using language derived from Wolpe, he conceived of his music as consisting of unchanging figures and gestures that were continuously recombined in different configurations:

Preset constellations each functioning of & by itself in non-growth, no change: retaining always its own individuality, its own concreteness but is in continuous flux, growth & change due to the occurrences around each one, each ones, spheres of influence, spheres of counter-influence, negations; pilings up, segregations & desegregations, that which was in orbit around a given situation now becomes the situation, orbits & non-orbits dependent only upon their immediate functions; & each is unique unto itself.¹¹³

On a sketch page, he elaborated:

¹¹² Donal J. Henahan, in Henahan, Peter Evans and Vincent McDermott, "Current Chronicle," *The Musical Quarterly* 52, no. 4 (October, 1966): 496-520, especially 500.

¹¹³ Ralph Shapey, sketches for *Ontogeny*. Shapey Papers, Box 35.

Preset constellations: each development dependent primarily upon itself only, not necessarily interdependent. Time flux is occurring on all different levels simultaneously, independently as well as interdependently but strongly conditioned by its own constellation.¹¹⁴

Shapey was attempting to describe his creation of distinct, simultaneous layers of sound, a procedure that he had previously employed in the final movement of his Symphony No. 1 (1952), and that he had discussed in a letter to Wolpe after he completed the symphony.¹¹⁵ In 1952 he had relied almost exclusively on Wolpe's terminology to articulate his ideas; by 1958, however, his verbal as well as his musical language had been transformed by his contact with Edgard Varèse. This was demonstrated by Shapey's summary of his artistic credo for "Dimensions:" "Dimensions (in Collage)/A–Time/B–Space/C–Density/Collage in Dimensions."¹¹⁶ Shapey's new terms of reference are reminiscent of Varèse's description of his own music: "I conceive music as spatial, not only order and proportion in time but also in space."¹¹⁷

Shapey's outline for "Dimensions" provides measure numbers that correspond precisely to the first 247 measures of *Ontogeny*. He divided the work into six sections, labeled A–F. On a separate page, headed, "Dimensions in Time & Space," Shapey detailed the forces needed for performance. The orchestra was to be subdivided into three parts, with the third consisting exclusively of percussion. It was to be accompanied by vocal soloists and two choruses, one small and the other large.

¹¹⁴ Shapey, sketches for *Ontogeny*. Shapey Papers, Box 35.

¹¹⁵ See chapter 2, note 48.

¹¹⁶ Shapey, notes included with the sketches for *Ontogeny*. Shapey Papers, Box 35.

¹¹⁷ "Edgard Varèse: A Portrait," ed. Earle Brown; prepared with the assistance of Louise Varèse, dated 11 June 1961, typescript, 5. Shapey Papers, Box 93. See also Louise Varèse, "Excerpt About Santa Fe," *Soundings* 16 (1990): 26-9, especially 27. The quoted statements are taken from Calla Hay, "World Has Really As Yet Heard Nothing in Music, Varèse Idea, Compared to Its Possibilities," *Santa Fe New Mexican*, 24 August 1936: 3.

In other notes, Shapey articulated his ideas about both the historical and metaphysical significance of his music:

Let there be (light) -- The Word -- I Am that I Am -- light
 Manifestation (Stages)
 The Graven Image (in Art)
 New tonality resulting through Atonality
 The "Absolute"
 The "I Am"¹¹⁸

On the sketch page that also includes a statement about "preset constellations," Shapey wrote, "Hymn to Joy/Symphony to (of) Light."¹¹⁹

The assertion, "I Am," recalls String Quartet No. 5 and *Songs of Eternity*, as well as the epigraph for the second section of *Challenge: The Family of Man*, which quotes Scriabin's exclamation, "The Universe resounds with the joyful cry, I am." Shapey's celebration of the cosmic joy of consciousness in the provisional title, "Hymn to Joy," also evokes his use of Scriabin's text in *Challenge*.

Shapey's use of the divine command, "Let there be light," is an explicit allusion to *Challenge*. "And God said, Let there be light" (Gen. 1:3) is the epigraph for the first of the five sections of the earlier work. Shapey made this connection clear at the outset of the compositional process when he wrote, "Let there be light," at the top of a sketch for the opening measures of *Ontogeny*, dated 13 January 1958.¹²⁰ On another sketch page, Shapey set the words, "light let there let be Be light," under a widely spaced melody that became the source of the pc collection that he employed in the opening gesture of the piece (see Ex. 3.37).¹²¹ Shapey's linkage of the

¹¹⁸ Shapey, notes included with the sketches for *Ontogeny*. Shapey Papers, Box 35.

¹¹⁹ Shapey, sketches for *Ontogeny*. Shapey Papers, Box 35.

¹²⁰ Ibid.

¹²¹ Ibid.

texts, “Let there be light,”¹²² “The Word,”¹²³ and “I am that I am,”¹²⁴ at the top of this sketch page, and in his notes, can be perceived as an attempt to construct a theology of creation embodying the musical processes at work in *Ontogeny*.

Example 3.37 Ralph Shapey, *Ontogeny* for Orchestra (1958), sketch. Shapey Papers, Box 35. By permission of the Special Collections Research Center, University of Chicago Library.

Shapey divides the orchestra into seven groups in *Ontogeny*, positioning them around the stage in order to facilitate the spatialization of sound. He labels the groups, A–G:

- A: Celesta, xylophone, bass clarinet
- B: Piccolo, contrabassoon, wood block, snare drum, tom-toms (H-M-L), bass drum
- C: Oboe, horn, trumpet, piano, bass drums (H-M-L)
- D: B flat clarinet, bassoon, five timpani, gongs (H-L)
- E: Piccolo, trumpet, two contrabasses, gamolin (H-L)¹²⁵
- F: E flat clarinet, English horn, two horns, trombone, nine violins, eight violins, four cellos
- G: Two flutes, oboe, six violas, E flat tuba, cymbals (H-M-L)

At the beginning of the score, Shapey provides a diagram for the positioning of the groups on stage. His arrangement places several wind instruments that play in extreme registers at the front of the ensemble. By way of contrast, the strings are all relegated to the rear. The percussion instruments are distributed among all of the instrumental groups except for group F.

¹²² Genesis 1:3.

¹²³ Genesis 1; Psalm 33:6; John 1:1.

¹²⁴ Exodus 3:14.

¹²⁵ A higher pitched percussion instrument, possibly cowbells. See James Holland, *Practical Percussion*, revised ed. (Lanham, MD: Scarecrow Press, 2005), 171. Holland lists “2 cow bells (written gamelan?)” in the ensemble of Shapey’s “Invocation” Concerto for Violin and Orchestra (1958). The published score of *Rituals* for Orchestra (1959) specifies “cow bell (no clapper).”

In general, Shapey brings the loud instruments forward, while pushing the softer, less resonant instruments to the back of the stage in his orchestral layout. The delicate celesta, however, is positioned at the front of the stage, and plays a major role in the music (see Fig. 3.7).

Figure 3.7 Ralph Shapey, *Ontogeny* for Orchestra (1958), seating plan. ©1958 Theodore Presser Co. Used by permission.

Shapey's desire to create the perception of a wide musical space (both in pitch space and physical space) is evident from the inception of the work. In the opening measures, he contrasts the highest and lowest pitched instruments in the orchestra, including the piccolo, the contrabassoon and the contrabass (groups B and E) (see Ex. 3.38). Violin harmonics and the

Shapey delineates the arrangement of the ensemble in physical space by distributing sustained chords and brief motivic figures among all seven instrumental groups before introducing the percussion in m. 14. A gong tremolo (mm. 26-7) leads to section II, which is devoted solely to the percussion instruments (mm. 27-51) (see Ex. 3.39). Shapey's use of registral extremes in section I, shimmering gong sounds in the transition to section II, and unpitched percussion sounds in that section, all suggest a comparison with the original version of Varèse's *Déserts* (1954). Varèse similarly contrasted the opening instrumental portion of *Déserts*, marked by the use of a wide pitch space and harsh timbres, with unpitched "percussion-like" sounds at the beginning of the first electronic interpolation. Varèse later revised the three electronic interpolations of *Déserts* in a manner that obscures the similarities between his piece and *Ontogeny*.¹²⁶

¹²⁶ Edgard Varèse, "Interpolations from *Déserts*," original version (1954), él Records ACMEM125CD. Varèse created the definitive version of the electronic interpolations in 1961. See Olivia Mattis, "Varèse's Multimedia Conception of *Déserts*," *The Musical Quarterly* 76, no. 4 (Winter 1992): 557-83, especially 559; Fernand Ouellette, *Edgard Varèse*, trans. Derek Coltman (New York: The Orion Press, 1968), 184-5, 211; Malcolm MacDonald, *Varèse: Astronomer in Sound* (London: Kahn & Averill, 2003), 338, 344.

The following sections focus on the individual instrumental groups. The trumpet cadenza heralds a new, contrasting texture, the pointillism of section III, in which the ensemble is limited primarily to the instruments of group E.¹²⁷ Similarly, section IV is initially limited to members of group F, who play dotted figures in rhythmic unison and close harmony. Section V is a delicate dialogue between the celesta and two flutes, which is cut short by loud bass drum strokes (see Ex. 3.40). In these three sections, Shapey uses closely related motivic figures, a procedure obscured by differences in texture and timbre between the sections as well as by the process of motivic transformation. Shapey employs the motivic figures, textures and timbres of sections I-V in increasingly dramatic ways during the second half of *Ontogeny* until he melds them all together in the final pages of the work.

¹²⁷ An excerpt from this passage is reproduced in Henahan et al, "Current Chronicle," *The Musical Quarterly* 52, no. 4 (October 1966), 501.

Example 3.40 Timbral contrasts, in Ralph Shapey, *Ontogeny* for Orchestra (1958), mm. 162-71. © 1958 Theodore Presser Co. Used by permission.

162

A Cel. *decresc.*

G 2 Fl. *p* *rit.*

168

Cel. *f*

A Xyl. *f* *Ped.*

B. Cl. *f*

Picc. *f*

B Cbn. *f*

B.D. *f*

Although Shapey may be said to have “exhausted”¹²⁸ the potential of his ideas, his technique cannot be described in traditional terms. In each section of *Ontogeny*, musical ideas are deployed in static, repetitive fashion. Shapey wrote,

¹²⁸ See chapter 3, note 112.

My newest works are fundamentally dependent upon fixed situations and their juxtapositions to each other as well as themselves. They do not have developments as conceived in 19th century music; but rather, the material is always in a state of “it is” as opposed to “becoming.” . . . They depend rather on shifting proportions, shifting focus, and an elastic state of flux.¹²⁹

The periodic return of the trumpet fanfare and the thunderous motto theme, as well as the re-entry of blocks of musical material throughout the work, create not just a “mosaic-like” design,¹³⁰ but a “stabile” type of musical construction.¹³¹

In *Ontogeny*, pitch is ultimately subservient to the musical parameters of texture, timbre and register. As noted above, Shapey juxtaposes the delicate timbre of the celesta with that of the loudest percussion instrument, the bass drum, in section V (m. 168). He sets up an opposition between sustained wind and brass instruments and plucked strings in section VII (mm. 197ff.). Many of the pitched instruments are exploited primarily for their timbral and registral qualities. The sounds of the highest and lowest pitched instruments, such as the piccolo, the contrabassoon, the double bass and the tuba, are deliberately employed at the limits of acoustic tolerance. Shapey carefully differentiates the percussion instruments, creating polyphony between the timpani, the bass drums, the wood block, the snare drum, tom-toms, gamolin, cymbals and gongs.

¹²⁹ Ralph Shapey, “‘A Composer is an Architect in Sound, Time and Space’,” 4.

¹³⁰ Henahan et al, “Current Chronicle,” *The Musical Quarterly* 52, no. 4 (October 1966), 499.

¹³¹ Martin Zenck, “Beyond Neoclassicism and Dodecaphony: Wolpe’s Third Way,” in *On the Music of Stefan Wolpe: Essays and Recollections*, 169-86, especially 170-1. See also Vivian Perlis, interview with Ralph Shapey, transcript, 97. Oral History American Music, Yale University. Elliott Carter’s comments about the influence of Varèse’s compositional techniques provide a summary of Shapey’s practice in *Ontogeny*: “What has interested recent composers, also, is that Varèse’s music does not depend on thematic motives for its continuity, but rather the relationship between vertical, harmonic structure, instrumental sonorities, spacings, and of course, the play of rhythmic motives. . . . Varèse . . . carried these three phases—rhythmicized orchestra, percussion alone, and a combination of both with each contributing different elements to the total effect—to a much more extensive development.” See Carter, “On Edgard Varèse,” in *Elliott Carter: Collected Essays and Lectures, 1937-1995*, ed. Jonathan W. Bernard, 146-51, especially 148-9.

As the title of the work indicates, *Ontogeny* was apparently intended to represent a kind of musical “big bang,” beginning with the most basic of musical ideas, which gradually proliferate in order to fill the musical “universe.” Shapey restricts himself to highly limited pitch material, primarily clusters (in pc space) of several pcs, which are presented in constantly changing registral configurations. In keeping with the timbral and registral contrasts that are the true “theme” of *Ontogeny*, the widely spaced orchestral cluster chords in the opening measures lead to both diatonic and chromatic piano clusters (in pitch space) in section II, which is devoted to the percussion ensemble. These piano clusters function as part of the continuum between pitched instrumental sounds and unpitched percussion sounds in *Ontogeny*, a concept that Shapey derived from Varèse. When Shapey conducted the Buffalo Philharmonic in the premiere of *Ontogeny* in May 1965, reviewers focused on his virtuosic manipulation of timbre and texture:

“Ontogeny,” a series of explosive incidents involving a martial array of percussion – field drums face-down, snare drums, tympani, gongs, wood blocks, cow bells, celeste – and an orthodox orchestra given to such doublings and contrasts as trumpet-violin, tuba-fiddle and so on. . . .

Well, it was pretty great, anyway, a muscular and undiplomatic manifesto of individualism, hard-edged declarations and rhythmic barrages with a kind of brawny grace and surprising sensitivity in the unfolding.¹³²

In his 1966 review of Shapey’s performance of *Ontogeny* with the Chicago Symphony Orchestra, Donal Henahan described it as “a 10-section orgy of sound that often recalled Varèse’s *Ionisation*.”¹³³

A comparison of *Challenge: The Family of Man* with *Ontogeny* helps to illuminate

¹³² John Dwyer, “Philharmonic ‘First’ Offers Conductors in Own Works,” *Buffalo Evening News*, 3 May 1965: 34.

¹³³ Donal Henahan, “Remarkable Mandel Hall Concert: New Music by Four Good Men,” *Chicago Daily News*, 27 May 1966: 23. The Chicago Symphony Orchestra performed at Mandel Hall, the concert hall of the University of Chicago. *Ontogeny* was coupled on the program with Schoenberg’s Violin Concerto, conducted by the orchestra’s music director, Jean Martinon. The concert was played twice, on 26 and 27 May 1966.

Shapey's thought processes during the period when he changed his style. Mitropoulos had pleaded with Shapey to clarify his ideas, and to omit nonessential details that would be impractical in performance. During the early 1950s, Shapey was defiant about the rhythmic complexity of his orchestral writing. However, given the prevailing conservatism of performers and audiences, Shapey was, like his colleagues, confronted with the possibility that he would never hear his music. His solution, beginning in the late 1950s, was to simplify and streamline his compositional intentions. His orchestral music became more heavily conceptual in nature, losing some of the richness of detail that had been so important in his previous works. Nevertheless, it was still considered nearly unplayable.

There are a number of direct parallels between *Challenge: The Family of Man* and *Ontogeny*, all of which show Shapey reusing ideas from the earlier work in the later, within a much simpler context. The opening sections of the two compositions are similar in character and use similar thematic material, but the earlier work employs more complex, intricate rhythms. The pizzicato string chords of *Challenge: The Family of Man* (section III, mm. 22-42) have an analogue in the pizzicato string chords of *Ontogeny* (mm. 197-223). Again, the earlier work presents these chords within a highly complex orchestral fabric, while the later work juxtaposes two textures, sustained chords and pizzicato chords. The bass drum strokes at the conclusion of the duet of the flutes and the celesta provide one of the most memorable moments in *Ontogeny* (see Ex. 3.40). Shapey uses the bass drum in a similarly dramatic manner near the end of section III of *Challenge: The Family of Man* (mm. 90-6, not shown). However, within the section as a whole, this is only one element of a complex musical discourse.

After Shapey completed *Ontogeny*, he immediately turned his attention to his next major

project, the “Invocation” Concerto for Violin and Orchestra (1958).¹³⁴ In this work, he attempted to bring together the disparate strands of his musical identity: modernist, virtuoso violinist and Jew. Significantly, Shapey dedicated the “Invocation” Concerto to his teacher, Stefan Wolpe. He later removed the dedication from the score after a series of disagreements virtually ended their long professional relationship.¹³⁵

Shapey went further in the Concerto than he did in *Ontogeny* in his attempt to create a music of rotating sound objects. The orchestra is similarly divided into seven groups. Shapey relies on groups A and C, which include instruments with dramatic registral contrasts, to outline the wide pitch space of the work. All of the percussion instruments are placed near the front of the ensemble in groups B, D and F, while a large collection of strings is spread out across the back of the stage in group G. Shapey provides a diagram of the spatial arrangement of the orchestra at the front of the score (see Figure 3.8).

¹³⁴ The “Invocation” Concerto for Violin and Orchestra is available from the Theodore Presser Co. Rental Library.

¹³⁵ See Shapey, “Remembrances,” 27. Shapey Papers, Box 136. I have examined a copy of the conductor’s score of the “Invocation” Concerto in which the dedication seems to have been ripped off the thick paper, leaving a large thin spot. Wolpe’s name is still faintly perceptible, however.

Figure 3.8 Ralph Shapey, “Invocation” Concerto for Violin and Orchestra (1958), seating plan. Groups D and F mirror each other, and group G has a symmetrical arrangement. © 1959 Theodore Presser Co. Used by permission.

In an unpublished discussion of the concerto, Shapey described his new approach to the orchestra:

Each [instrumental] group is a homogeneous self-sufficient entity. . . . Instead of growing from within, its growth is from without because of the multiple relationships forced upon it. It would be like the placing of several diversified objects in varied organizational relationships. . . . The properties of each musical “object” must have a finite construction, a “graven image,” and yet be only a small individual factor in the infinite structure.

The displacement of the orchestra as a series of individual entities causes a desegregation of color sound. Time and space both become an inherent factor of all sound.

- A. In my two latest orchestral works [*Ontogeny* and “Invocation” Concerto], I dealt with a totally different concept of sound -
Organized sound of our musical language-heritage
Sound in a new element of time

Sound as space
Redistribution of the orchestra¹³⁶

In other comments about the genesis of the concerto, Shapey struck a more personal note: “To evolve an incantation–VI. Conc. [Violin Concerto] on principle of religious reading between cantor & congregation (remembrance from childhood).”¹³⁷

While the descending C–G fourths in the solo violin line may have been envisioned by Shapey as an imitation of synagogue cantillation, his incorporation of the gestural language of the nineteenth-century virtuoso violin concerto is a far more important component of the musical language of the work. Shapey’s transformation of the conventions of the virtuoso tradition in the solo violin line extends his modernist vocabulary, providing the musical discourse with both a vividly communicative eloquence and a linear dialectic that it would otherwise lack (see Ex. 3.41).

Example 3.41 Beginning of cadenza, in Ralph Shapey, “Invocation” Concerto for Violin and Orchestra (1958), I, mm. 10–4. © 1959 Theodore Presser Co. Used by permission.

Cadenza:

Violin solo

10

mf

13

f

The first movement of the “Invocation” Concerto opens with a brief introduction for the solo violin and the instruments of group A (see Ex. 3.42a), in which the violin establishes its

¹³⁶ Ralph Shapey, typescript draft for Fulbright grant application, 1959. Shapey Papers, Box 93. See also “Exposition” of “Project,” in Guggenheim Fellowship application for 1960. By permission of the J. S. Guggenheim Memorial Foundation.

¹³⁷ Ralph Shapey, handwritten manuscript [thoughts about musical structure], ca. 1958. Shapey Papers, Box 11.

dominance within the musical narrative by a series of abrupt, assertive gestures. The ensemble writing in the opening measures is reminiscent of the beginning of Schoenberg's Violin Concerto (1936) (see Ex. 3.42b), the work that Shapely had so admired when he attended one of its premiere performances as a young student in 1940.¹³⁸ The stepwise figures played by the bass clarinet and cello at the beginning of Shapely's piece echo the figures played by the solo violin and the uppermost of the *divisi* cellos at the beginning of Schoenberg's Concerto. Both composers pair these figures with ics 5 and 6 in the orchestral accompaniment.

Example 3.42a Ralph Shapey, "Invocation" Concerto for Violin and Orchestra (1958), I, mm. 1-4. © 1959 Theodore Presser Co. Used by permission.

Sounds as written except for 8va transposing instruments

$\text{♩} = 52$

Picc.

Bs. Cl.

Cbn.

A

Hn.

Gtr.

Vc.

Vn. solo

p f

¹³⁸ See chapter 1, note 11.

Example 3.42b Arnold Schoenberg, Violin Concerto, op. 36 (1936), I, mm. 1-4. © 1939 G. Schirmer, Inc. Copyright © 1939 (Renewed) by G. Schirmer, Inc. (ASCAP). International Copyright Secured. All Rights Reserved. Reprinted by Permission.

Poco Allegro (♩ = 64)

The musical score for measures 1-4 of Arnold Schoenberg's Violin Concerto, op. 36, I, is presented for Solo Violin and Violoncello. The time signature is 3/2, and the key signature has one flat (B-flat). The Solo Violin part begins with a forte (f) dynamic and a half note G4, followed by a series of eighth and sixteenth notes. The Violoncello part enters in measure 2 with a piano (p) dynamic and a half note G2, followed by a series of eighth and sixteenth notes. The music is characterized by its complex, atonal harmonic language and rhythmic patterns.

The main body of the movement is divided into three sections, each of which is inaugurated by the return of group A, playing the motives it originally stated in the opening measures. This procedure provides the movement with an easily discernable form. In the first section, the violin is accompanied by the instruments of group C. Shapey emphasizes the extremes of the wide registral space encompassed by the instruments of the group. The music proceeds in even successions of eighth notes, leavened periodically by beats with added values (see Ex. 3.43). The percussion instruments accompany the soloist in the second section, while the rest of the orchestra falls silent. Shapey carefully differentiates the percussion instruments (tom-toms, bass drum, timpani, gamolin and cymbals), both timbrally and registrally. The complex rhythms of Shapey's percussion writing contrast markedly with the simpler rhythms of the first section (see Ex. 3.44).

Example 3.43 Smooth rhythmic motion, in Ralph Shapey, “Invocation” Concerto for Violin and Orchestra (1958), I, mm. 37-9. © 1959 Theodore Presser Co. Used by permission.

$\text{♩} = 104$

37

Fl.

Bb Cl.

C

Bn.

Va.

Cb.

Vn. solo

mf

4/8 3/16 1/8 3/8 5/8

Example 3.44 Complex rhythms, in Ralph Shapey, “Invocation” Concerto for Violin and Orchestra (1958), I, mm. 79-81 (cf. Ex. 3.43). © 1959 Theodore Presser Co. Used by permission.

The musical score for measures 79-81 of "Invocation" by Ralph Shapey is presented in four staves. The top staff (B) is for the T-t. H, M, L, B.D. section, featuring complex rhythmic markings such as $4+\frac{3}{32}$, $4+\frac{1}{32}$, and $4+\frac{1}{8}$. The second staff (D 5 Timp.) includes markings for *mf*, *f*, and *p*. The third staff (F Gam. H L) shows markings for *mf*, *f*, and *mp*. The bottom staff (Vn. solo) includes markings for *f*, *gliss.*, *sul G*, *sul pont.*, and *ord.*. The score is characterized by complex rhythmic patterns, including trills and triplets, and dynamic markings ranging from *p* to *f*.

Shapey employs the full ensemble to produce an explosion of sound in the opening measures of the brief final section (mm. 107-8, not shown). He concludes the movement symmetrically with a second cadenza for the violin soloist (mm. 132-47, not shown), similar in length and musical content to the first cadenza.

Shapey handles musical time and space in contrasting ways in the second and third movements. In movement II, entitled “Recitative,” the rhapsodic rhythms and sparse textures of the opening and concluding sections (rehearsal letters A-E, J-N) contrast with the clearly defined rhythms and thicker textures of the first and third movements. Movement II is bisected by a passage for the full ensemble (rehearsal letters F- H) that culminates in a repetition of the thunderous first movement climax at an even higher dynamic level (rehearsal letter H). The percussion writing in the final measures recalls the boisterous central section of movement I.

The structure of movement III inverts that of movement II. The thin textures in the

opening and closing sections of movement II contrast with the full textures in the central episode. The thickly scored opening and closing sections of movement III are separated by a more sparsely orchestrated accompanied cadenza for solo violin. The simultaneous multiple “rotating” musical stables in the concluding pages of the Concerto create a blurring effect reminiscent of electronic works that use a tape loop, such as Alvin Lucier’s *I Am Sitting in a Room* (1970), in which the cumulative reverberation obscures the details of the sounds.

Shapey left forty-four sheets of sketches for a *Rhapsody* for Violin and Orchestra among his papers.¹³⁹ These sketches are dated 1 March 1956, less than a month after the cancellation of the premiere of *Challenge: The Family of Man*. Shapey dated the music twice, on the first page of a group of sketch sheets and on the opening page of the full score, which breaks off on page four.

Shapey habitually wrote the date of inception, and that of completion, of his work on an orchestral score on the title page. He often inserted this information at the top of the first page of music as well. Shapey did not, however, record the date that he began working on the sketches for an orchestral piece. For example, he began to sketch *Ontogeny* in January 1958, but the title page and the first page of the score bear the inscription “6/18/58-8/20/58,” which encompasses the period in which he wrote out the full score. It is therefore plausible to suggest that Shapey began to sketch the *Rhapsody* shortly after he finished *Challenge: The Family of Man* in October 1955. He apparently began to write out a full score of the piece on 1 March 1956, but quickly changed his mind.

An inspection of the sketches reveals that they belong to the “Invocation” Concerto. Shapey never admitted that he had planned this work before the *Challenge* fiasco. The sketches

¹³⁹ Ralph Shapey, *Rhapsody* for Violin and Orchestra. Shapey Papers, Box 25.

for the *Rhapsody* include a complete continuity draft for the first movement of the Concerto, which Shapey used with little alteration in the final version of the piece. The continuity draft breaks off at the beginning of the second movement. The sketches also include a carefully notated full score for the first thirty-one measures of the opening movement, written in pencil. The score breaks off in the middle of a page. Shapey began to enter the notes for m. 32, but erased the measure and never returned to this draft. In addition to the first movement materials, the sketches include fragmentary notations for ideas that Shapey employed in the finale of the Concerto, including the dramatic passage that begins in m. 64.

Shapey conducted the premiere of the “Invocation” Concerto at a concert presented by the Chicago Symphony at the University of Chicago on 24 May 1968. Esther Glazer, wife of Irwin Hoffman, associate conductor of the Chicago Symphony, was the violin soloist. The exceptionally demanding program also included the first Chicago performance of Elliott Carter’s Piano Concerto (1965), and Luigi Dallapiccola’s *Variazioni per Orchestra* (1953-54), both conducted by Jean Martinon. In the *Chicago Daily News*, Bernard Jacobson wrote,

Esther Glazer gave a superb account of the solo part, and even with the intermittent orchestral bloopers, the quality of the music came across. Here the proliferating textures serve to further the communication of a vibrant, white-hot lyricism. . . . The Concerto is full of stimulating ideas and new, exciting beautiful sounds.¹⁴⁰

In the *Chicago Tribune*, Thomas Willis gave a more detailed description of Shapey’s orchestral techniques:

The violin part is expressive and interesting, and some of the echoes from the seven antiphonies of instruments were exceptional. In the middle, there is a Varèse-like segment which enfolds the soloist with gently whispering percussion. Some nonsense remains, including putting the violins at the back of the stage where they were almost inaudible and attempting ecstasy with a lumpy cyclic jumble of tipped over musical toys. But that, one suspects, is under par for the contemporary course.¹⁴¹

¹⁴⁰ Bernard Jacobson, “A Spate of Musical Premieres,” *Chicago Daily News*, 27 May 1968: 37.

¹⁴¹ Thomas Willis, “Carter Concerto: ‘A Tangle of Tendrils,’” *Chicago Tribune*, 25 May 1968: 14.

Searching for New Solutions

In both *Ontogeny* and the “Invocation” Concerto, Shapey’s intent was clearly to emulate Varèse’s creation of an ensemble of sound sources in *Déserts*, a work in which the electronically produced noises are integrated seamlessly into the aural fabric, and in which texture, timbre, register and dynamics are as important as pitch. After he completed *Ontogeny* and the “Invocation” Concerto, Shapey applied for a grant to work at the electronic music studio in Milan with Bruno Maderna.¹⁴² His desire to investigate the possibilities of the new medium of electronic music was closely linked to the concept of orchestral sound that he had attempted to realize in the two big orchestral works of 1958. He was also undoubtedly motivated to investigate the possibilities of electronic music by Varèse’s triumphant return to New York from the Brussels World Fair of 1958, where his *Poème électronique* had been played continuously at the Philips Pavilion, designed by Le Corbusier and Xenakis. Like Varèse, Shapey professed the belief that the possibilities of the modern orchestra had been exhausted. He wrote, “In my latest works, I have reached the limit in the use of [the] normal orchestral body in varied sound and spatial ways.”¹⁴³

Shapey outlined his program for work in Italy as a synthesis of his compositional aspirations:

I wish to do a two-fold project.

A. Continue composing using the new ideas as formulated in my new works.

¹⁴² Shapey made his grant application after John Cage worked at the Studio di Fonologia, the electronic music studio in Milan. Cage came to the Studio at the invitation of Luciano Berio in November 1958. See James Pritchett, *The Music of John Cage* (Cambridge, UK: Cambridge University Press, 1993), 128; Nicola Scaldaferri, *Musica nel laboratorio elettroacustico: Lo Studio di Fonologia di Milano e la ricerca musicale negli anni Cinquanta* (Lucca: Libreria Musicale Italiana, 1997); Ralph Shapey, draft for Fulbright grant application, 1959. Shapey Papers, Box 93.

¹⁴³ Ralph Shapey, draft for Fulbright grant application, 1959. Shapey Papers, Box 93.

B. Investigate and do research in the possibilities of electronic music: considering it as a new instrument, being an entity in itself; also a synthesis with our already existing instruments. . . .

The constantly new forces in the world are re-shaping the concepts of our musical language. Approximately 50 years ago, Schoenberg freed the “dissonance.” Today due to the ever growing need for a greater means of expression, more diversified sound structures, greater fluctuations of timbres and intensities,¹⁴⁴ composers are searching for new instruments. “Music Concrete;” tape music; electronic music—are some of the new possibilities afforded a contemporary composer. . . .

. . . I wish to work in electronic music and to create a synthesis between the past and future concepts.¹⁴⁵

Shapey’s application for a grant to study in Italy was successful. He did not travel to Europe, however, because his wife, artist Vera Klement, had also applied for a grant, and her application was rejected. Since Shapey did not wish to travel to Italy without his wife, he turned down his award.¹⁴⁶ He never made another attempt to study electronic music, nor did he ever seek another grant for travel to Europe.

In Shapey’s works of the late 1950s, he successfully emulated Varèse’s creation of an ensemble of sound sources, writing music in which “fluctuations of timbres and intensities” took precedence over pitch organization and the traditional concept of compositional narrative.

Shapey eventually felt compelled to incorporate additional elements into his approach to composition, however. In subsequent years, he created a new synthesis, more fully assimilating

¹⁴⁴ Shapey’s discussion of “timbres and intensities” echoes the language of Varèse, Messiaen (*Modes de valeurs et d’intensités* for Piano [1949]) and Boulez.

¹⁴⁵ Ralph Shapey, draft for Fulbright grant application, 1959. Shapey Papers, Box 93. There are several drafts for this statement. One is marked “Guggenheim,” but this is cancelled on the page. Another is marked, “G.” A third is marked, “Fulbright.”

¹⁴⁶ In a letter of 30 September 1959, Congressman Ludwig Teller wrote to Shapey, “I have just been advised that you have been awarded a grant to study Composition at the Giuseppe Verdi Conservatory of Music in Milan, Italy, under the International Educational Exchange Program of the Department of State.” Shapey Papers, Box 1. In a letter to David Ewen, Shapey stated that he received an Italian government grant for travel in 1959-60, but that he did not use it, because his wife, artist Vera Klement, also applied for a grant, and her application was rejected. Letter to David Ewen, 27 May 1980. Shapey Papers, Box 2.

the lessons of the music of both Wolpe and Varèse. In works like *Movements* for Woodwind Quintet (1959–60) and the Piece for Violin and Instruments (1961–62), he employed more complex pitch structures and created more subtly differentiated event structures than he had used in the music of 1957–58. These pieces differ from Shapey's earlier works, such as the Concerto for Clarinet and Chamber Group, in the fragmentation and spatialization of their musical language, their more radical use of timbre as a compositional element, and their abandonment of traditional continuity strategies. Shapey's achievement in these works would not have been possible without the transformative experience of the late 1950s.

**RALPH SHAPEY AND THE SEARCH FOR A NEW CONCEPT OF MUSICAL
CONTINUITY, 1939-66**

by

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VOLUME II

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CHAPTER 4:

ARTICULATING AN INDIVIDUAL AESTHETIC, 1959-61

Shapey completed two orchestral works in the second half of 1958. At the end of the year, he applied simultaneously for a Guggenheim Fellowship and a Fulbright grant in order to pursue studies in Europe. These activities, considered together, mark a turning point in Shapey's career. Shapey seems to have felt that he had overcome artistic and emotional crises, solved compositional problems to his satisfaction, and reached a certain level of professional accomplishment. He wanted to explore new horizons.

When Shapey applied for a Guggenheim Fellowship, he added a letter of recommendation from Elliott Carter to his Guggenheim file.¹ The letter reflects some of Carter's central compositional preoccupations, which he later discussed at greater length in his essay, "The Orchestral Composer's Point of View:"

Merely to consider the possibility of writing orchestral music of any quality as a field of endeavor for a composer in the United States calls up a barrage of contradictory problems, each of which would seem to militate against any kind of new, vital, or original music being produced. . . . The fact that such music has been written here, though not often, amid miserable circumstances, at great human cost to its creators, and in almost utter neglect—that Edgard Varèse, Charles Ives, Carl Ruggles, Stefan Wolpe, and others fought this desperate battle—means that these composers had such a strong inner vision that they were able to overlook the preposterous circumstances that surrounded them in our musical society, particularly in the orchestral field.²

Although Shapey had a "strong inner vision," he lacked sufficient experience as a composer to remain completely unaffected by the repeated disappointment of his orchestral aspirations during the 1950s. Nevertheless, he did not abandon the hope that conductors,

¹ Elliott Carter, letter of recommendation for Ralph Shapey, 22 December 1958, in Ralph Shapey, Guggenheim Fellowship application for 1959.

² Elliott Carter, "The Orchestral Composer's Point of View" (1970), in *Elliott Carter: Collected Essays and Lectures, 1937-1995*, ed. Jonathan W. Bernard (Rochester: University of Rochester Press, 1997), 235-50, especially 235.

orchestras and audiences would eventually embrace his innovative musical message. At the end of 1958, however, there was still considerable hostility to Shapey's work among his colleagues, along with growing recognition for his accomplishments, both as a composer and conductor.

Table 4.1 Ralph Shapey: Chronology, 1959-60

<i>Evocation No. 1</i> for Violin, with Percussion and Piano	January–April 1959
<i>Form</i> for Piano	26 April–10 May 1959
Wolpe-Shapey Concert, Carl Fischer Hall, NY	22 May 1959
<i>Soliloquy</i> for Narrator, String Quartet and Percussion	6 July–18 July 1959
<i>Rituals</i> for Symphony Orchestra	25 July–15 August 1959
<i>Movements</i> for Woodwind Quintet	23 Dec. 1959–14 Jan. 1960
<i>This Day</i> for Soprano and Piano	3 February–9 February 1960
<i>De Profundis</i> for Solo Double Bass and Instruments	22 February–14 June 1960
<i>Five</i> for Violin and Piano	15 June–3 July 1960
<i>Dimensions</i> for Soprano and 23 Instruments	7 July–3 October 1960

***Evocation No. 1* (1959) and the Concept of the “Graven Image”**

Question [Cole Gagne and Tracy Caras]: Your 1957 piece *Ontogeny* has been described as marking a break from your earlier approach to your concept of “it is,” “the graven image.” . . .

Shapey: I don't think there's a break. The “it is” business that you're talking about was clearly formulated at the time, but I was always interested in “it.” I had never formulated it that clearly for myself. But historically, somebody else will do a better job than I.

I find a constant line throughout my music. Looking backwards, I was always struggling with that formulation. The whole idea of the graven image has always been pertinent to me.³

³ Cole Gagne and Tracy Caras, *Soundpieces: Interviews with American Composers* (Metuchen, NJ; London: Scarecrow Press, 1982), 369-70.

Between 1959 and 1961, Shapey wrote a series of pieces in which he realized his new ideas about composition in a didactic manner. He also began to verbally articulate his new compositional philosophy, both in program notes and interviews. Perhaps inevitably, he used his newly developed compositional techniques—including the exploitation of timbre and texture, as well as the use of repetition, a wide pitch space and a wide physical space—in a more formulaic manner than in his later music.

Evocation No. 1 for Violin, with Percussion and Piano (1959)⁴ represents Shapey's pragmatic attempt to replicate the timbres and textures of the "Invocation" Concerto for Violin and Orchestra (1958) while employing a compact ensemble. Shapey shrank the orchestral forces of the Concerto to a chamber group. The violinist often acts as a "soloist," with several cadenzas comparable to those in the Concerto. The percussion writing of *Evocation* likewise evokes that of the Concerto, most notably in the tom-tom rhythms of the third movement (not shown).

The work begins with Shapey's presentation of ideas for the violinist, percussionist and pianist. The violinist states a series of brief gestures, while the percussionist plays unpitched rhythmic figures, which it quickly fragments and repeats. Dramatic piano cluster chords in the treble and bass accompany the violin and percussion (see Ex. 4.1). The violin follows its initial series of gestures by repeating the first three in a modified retrograde, creating a free palindrome. D4 is added to the D#5/E5 dyad in the thirty-second-note quintuplet, while the eighth-note dyad, B/C, is transposed upward by an octave (see Ex. 4.2).

⁴ Theodore Presser Co. publishes the score of *Evocation No. 1*: #414-41161. Originally entitled *Evocation*, it was numbered when Shapey wrote *Evocation No. 2* in 1979.

Example 4.2 Free palindrome, in Ralph Shapey, *Evocation No. 1* for Violin, with Percussion and Piano (1959), I, beginning, violin only. © 1984 Theodore Presser Co. Used by permission.

While the violin presents its retrograde, the original series of percussion figures is stated in retrograde order, although the gestures are not modified. The coupled percussion riffs and piano cluster chords at the beginning of *Evocation* recall both the opening of the Concerto for Clarinet and Chamber Group and the second section of the orchestral *Ontogeny* (1958).

The beginning of *Evocation* represents Shapey's first deliberate construction of a "graven image." Whereas Shapey had employed motives and themes as the building blocks of his earlier music, he often used groups of linked gestures in their place in his new manner. He gave the name "images" to these collections of musical ideas. Shapey's term, "space-time image,"⁵ reflects his creation, in both *Evocation* and the following work, *Form* for Piano (1959), of linked gestures that are repeated verbatim, or with small changes, throughout the piece. Shapey sometimes described these collections of ideas as "preset constellations."⁶

An examination of Shapey's writings and interviews shows that the meaning of the concept of the "graven image" or "space-time image" evolved over several decades. When

⁵ Ralph Shapey, "Some Basic Concepts about My Work," 29 November 1960. Shapey Papers, Box 93. See also Ralph Shapey, jacket notes, Shapey, *Evocation [No. 1]* for Violin, with Percussion and Piano, CRI 141 (1961).

⁶ Shapey, sketches for *Ontogeny*. Shapey Papers, Box 35. See chapter 3, notes 112 and 113.

Shapey discussed his “Invocation” Violin Concerto in 1958, he wrote, “Each group [of the orchestra] becomes a new homogenous unit. . . . To each unit is given a preset musical entity; fixed, memorable, graven in time and space; its splatterings off are only momentary diffusions. . . Its changes occur through juxtaposed relationships.”⁷ In his 1959 grant application for study at the electronic studio in Milan,⁸ Shapey elaborated on his conception: “The properties of each musical ‘object’ must have a finite construction, a ‘graven image,’ and yet be only a small individual factor in the infinite structure.”⁹ Shapey’s program note for *Evocation*, “Some Basic Concepts about My Work,” defines the “graven image” in different, more comprehensive terms, however. A “graven image” is no longer to be considered as a “small individual factor” of the structure:

In my music, the initial space-time image generates through expansions of itself all textures and a structural totality. . . . The very freedom and diffuseness of sound combinations have led me to the use of a focal ‘image’ which I choose to call the ‘graven image,’ it being a state of ‘it is’ as opposed to a state of constant abstruse development.¹⁰

Shapey has reconceived his description of the interaction of a large group of juxtaposed elements, so that their initial presentation together, now defined as a “graven image,” is to be considered as the central focus of a piece of music. This definition was repeated by Shapey’s friend, composer Charles Whittenberg,¹¹ in his brief essay, “Ralph Shapey: A Brief Appraisal of

⁷ Ralph Shapey, handwritten manuscript [thoughts about musical structure], ca. 1958, Shapey Papers, Box 11.

⁸ See chapter 3, notes 142 and 145.

⁹ “Exposition” of “Project,” in Ralph Shapey, Guggenheim Fellowship application for 1960. By permission of the J. S. Guggenheim Memorial Foundation.

¹⁰ Ralph Shapey, “Some Basic Concepts About My Work.” Shapey Papers, Box 93. See also Ralph Shapey, jacket notes, Shapey, *Evocation* [No. 1] for Violin, with Percussion and Piano, CRI 141 (1961).

¹¹ Charles Whittenberg (1927-84), composer and professor at the University of Connecticut. He was heavily influenced by the music of Varèse.

the Music,” apparently employed as a pre-concert talk before a performance of *Evocation*.

Whittenberg wrote,

What occurs in [Shapey]’s work is that which I can only describe, not without some trepidation, as a sculptured expansion and contraction of some huge, multi-partitioned event which presents itself in the NOW of our experience.¹²

Despite Shapey’s insistence on the centrality of the “graven image” in his comments about *Evocation*, he seemingly returned to his initial definition of an “image” in the program note that he used for many of his works during the early 1960s. Shapey wrote of “related, interrelated and unrelated images organized into an organic whole,” and “varied phases resulting from the juxtapositions of designs.”¹³ Similarly, when Vivian Perlis interviewed Shapey in 1983, he discussed his aversion to traditional methods of musical development, and described his manipulation of fully realized “objects:” “I want to deal with the fact that is here already. Not with the seed any longer, but the object is here. This is it. Now what happens? Well, the most important thing is that it, whatever it is, begins to go to different relationships with its surroundings.”¹⁴ Shapey related the movement of musical objects in space to the movement of the planets in the solar system:

The so-called, if you will, cosmology idea is that--that too has something to do with it, you know. The incredible wonder, you know, of nature and where we are, and the stars, the moon, whatever, you know, and that each thing has its particular place, each thing is doing its particular thing, okay? . . . And I brought--try to bring all that into the music, into my music.¹⁵

¹² Charles Whittenberg, “Ralph Shapey: A Brief Appraisal of the Music” (ca. early 1960s). Shapey Papers, Box 93.

¹³ “Remarks by the Composers,” program note for a concert at The New School for Social Research, New York, 13 May 1962. Shapey Papers, Box 93. Arrand Parsons, program notes for the Chicago Symphony Orchestra concerts of 12 and 13 May 1966, Chicago Symphony Orchestra concert program, 11. Shapey Papers, Box 93.

¹⁴ Vivian Perlis, interview with Ralph Shapey, Chicago, 16-17 April 1983, transcript, 99. Oral History American Music, Yale University.

¹⁵ *Ibid.*, 100.

In a 1984 interview with composer Robert Cogan,¹⁶ Shapey repeated this description of an “image” as a component of a larger discourse, rather than as Whittenberg’s “huge, multi-partitioned event.” He described *Evocation* as composed of “different images and/or gestures. I present each one by itself for the moment as slowly, more and more, they do fuse into one showing that they belong together, that they are part of the whole.”¹⁷ Nevertheless, theorist Mee-Eun Jeon has more recently described the opening section of *Evocation* as a single “graven image,” returning to Shapey’s definition of the term during the early 1960s.¹⁸ Jeon attempts to distinguish between “images” and “graven images,” discussing both “specific pitch and rhythmic images” and the “unified opening graven image” of *Evocation*.¹⁹ She also describes the prime-retrograde relationship within the opening section of *Evocation* as an integral aspect of the “graven image” of the work.²⁰

Jeon’s distinction between “pitch and rhythmic images,” and a “unified opening graven image,” creates an unnecessary layer of analytical complication in the analysis of *Evocation*. I would like to propose a different approach to the definition of “images” in the work that aligns it with many other compositions by Shapey. The linked violin gestures, percussion figures and piano chords at the outset can be perceived as individual instrumental “images” that interact and occasionally fuse as the piece progresses, rather than manifestations of separate “pitch” and “rhythmic” elements. Even if Whittenberg’s concept of a “huge, multi-partitioned event” is

¹⁶ Robert Cogan (b. 1930), composer and professor at the New England Conservatory.

¹⁷ Robert Cogan, “Thou Shalt Make Graven Images: An Interview With Ralph Shapey,” *Sonus* 5, no. 1 (Fall 1984): 1-13, especially 3.

¹⁸ Mee-Eun Jeon, “Ralph Shapey’s ‘Unforgettable Moments’ in *Evocation I*, Movement I,” *Sonus* 24, no. 1 (Fall 2003): 1-22, especially 2-4. See Ralph Shapey, “‘A Composer Is An Architect in Sound, Time, and Space’ (Questions Submitted to Shapey by Wolpe, March-1960),” *Sonus* 21, no. 1 (Fall 2000): 1-5, especially 3.

¹⁹ Jeon, “Ralph Shapey’s ‘Unforgettable Moments’,” 2.

²⁰ *Ibid.*, 6.

retained, I suggest that the identification of the opening “graven image” of *Evocation* be limited to the first statement of the group of linked gestures. The immediately following retrograde presentation of these gestures would then be considered an outgrowth, rather than an integral component, of the “image.” By eliminating the element of formal extension and balance within the definition of a “graven image,” the term can be applied to works in which Shapey employs event structures of a different type from those in *Evocation*.

In this study, I have adopted Shapey’s most broadly conceived definition of a “graven image,” while noting the applicability of his more restrictive—and in some ways antithetical—definition, when appropriate. The inconsistencies in Shapey’s use of terms can never be completely reconciled, however.

The Structure of *Evocation* and Shapey’s Approach to Serialism

Shapey modifies traditional forms in *Evocation*, rather than creating new narrative structures. The first movement presents an extended, multi-sectional musical argument. The periodic return of the opening ideas produces a rondo-like arrangement. The second movement is a scherzo, while the third movement begins with the “slow movement” of a sonata cycle. It ends with a section linking together the structure of the entire piece. Shapey presents a truncated version of the ideas of the first movement, before concluding *Evocation* with a violin cadenza.

The first movement has five episodes, distinguished by contrasts of instrumentation, articulation and rhythm, as well as by Shapey’s use of motivic development. The sustained textures, reiterative rhetoric and free rhythms of the opening music are succeeded by a contrasting episode (rehearsal letter C, m. 3–letter G), in which the piano’s cluster chords are replaced by rhythmically even non-legato patterns (see Ex. 4.3).

Example 4.3 Contrasting episode with non-legato piano patterns, in Ralph Shapey, *Evocation No. 1* for Violin, with Percussion and Piano (1959), I, rehearsal letters C–D. © 1984 Theodore Presser Co. Used by permission.

The musical score is divided into two systems, each starting with a rehearsal letter in a box. The first system begins with a Violin Solo staff, followed by a Percussion staff (Pfte.) and a Piano staff (Pfte.). The Violin Solo part features a series of notes with dynamic markings like *f* and *mp*. The Piano part has a non-legato pattern with dynamic markings like *f* and *mp*. The Percussion part includes staves for Gong L., H., TT. M., L., B.D., Cymb. H., L., W.B., Gam. M., and S.D. The second system continues the Violin Solo and Piano parts, with the Violin Solo part featuring a series of notes with dynamic markings like *mp*, *mf*, and *p*. The Piano part continues the non-legato pattern with dynamic markings like *f* and *mp*. The Percussion part includes staves for Gong L., H., TT. M., L., B.D., Cymb. H., L., W.B., Gam. M., and S.D. A note in the Piano part of the first system reads: "Non legato (d.)" and "each note to receive equal strength and equal value".

After the return of the opening music at rehearsal letter H, Shapey again employs drier instrumental colors to create contrast. The violin states a series of brief motives, derived from the

opening music (see Exx. 4.4a and b), before repeating them, accompanied first by percussion, then by both percussion and piano.

Example 4.4a Brief motives, in Ralph Shapey, *Evocation No. 1* for Violin, with Percussion and Piano (1959), I, rehearsal letter J. The motives are labeled A–C in the example. © 1984 Theodore Presser Co. Used by permission.

Example 4.4b Opening violin line, in Ralph Shapey, *Evocation No. 1* for Violin, with Percussion and Piano (1959), I, beginning, violin only. The source sets of motives A–C in Ex. 4.3a are correspondingly labeled in the example. © 1984 Theodore Presser Co. Used by permission.

Shapey transfers a slightly modified version of the initial piano pattern of the second episode to the violin in the following section (rehearsal letters M–N) (not shown). This is followed by the concluding restatement of the opening music (letters O–P). The two episodes create a kind of palindromic symmetry that supplements the rondo-like elements of the movement's structure.

Shapey continuously circulates the aggregate in the first movement of *Evocation*. At the beginning of the work, the violin's melodic line presents eleven of the twelve pcs of the aggregate in a series of six chromatic dyads, with one pc repetition, G: {C#, D}, {B, C}, {D#, E}

{G, G#}, {A, Bb}, {F#, G}.²¹ The aggregate is completed by the piano's F6 in its repeated cluster chords (see Ex. 4.1). Conversely, at the beginning of the second episode, the piano's even non-legato patterns are coupled with the violin's whole-note F# double octave (echoed by the piano's F#s at the end of the same measure) and its repeated F4s in the following measure to complete the aggregate (see Ex. 4.3). Shapey's presentation of the aggregate as an ordered succession of pcs at the beginning of the second episode suggests his use of a twelve-tone series, in which the first ten pcs are stated by the piano, and the final F# and F are added by the violin: (Db–D–B–C–E–Eb–G–G#–A–Bb–F#–F). Shapey often omits one of the pcs of the aggregate when he presents the "series," employing Wolpe's technique of "chromatic circulation."²²

At the end of the second episode, Shapey creates formal symmetry by introducing a statement of the first eleven pcs of the "series" by the violin at rehearsal letter G. The violin duplicates both the order and the registral position of the pitches in the first of the piano's two related patterns at the beginning of the episode, as well as the register of its own subsequent F#6 harmonic. Beginning with F#6, the violin immediately repeats this statement of the "series" in retrograde form (modified both with respect to pc order and rhythm), echoing its presentation of the chromatic segments, followed by their retrograde, at the beginning of the movement (see Ex. 4.5).²³ The violin creates additional formal symmetry by fusing its pitch palindrome with the series of rhythms presented by the percussion instruments at the beginning of *Evocation*.²⁴

²¹ Ibid., 5.

²² For a discussion of Wolpe's concept of "chromatic circulation," see chapter 1, notes 29-32.

²³ For a detailed analysis of movement I, see Jeon, "Ralph Shapey's 'Unforgettable Moments'."

²⁴ Robert Cogan, "Thou Shalt Make Graven Images: An Interview With Ralph Shapey," 3.

Example 4.5 Freely palindromic statement of “series,” in Ralph Shapey, *Evocation No. 1* for Violin, with Percussion and Piano (1959), I, rehearsal letter G (cf. Exx. 4.2 and 4.3). © 1984 Theodore Presser Co. Used by permission.

Vn. solo

pp *sotto voce*

The busy textures of the second movement scherzo contrast sharply with those of the first movement. The histrionic gestures of the violin soloist are accompanied by an ostinato, stated continuously by the piano in even sixteenth notes (see Ex. 4.6).

Example 4.6 Piano ostinato, in Ralph Shapey, *Evocation No. 1* for Violin, with Percussion and Piano (1959), II, beginning. © 1984 Theodore Presser Co. Used by permission.

♩ = 76
with humor

Violin Solo

Gong Low

Tom-Toms { High, Medium, Low

Bass Drum

Cymbals { High, Low

Wood Block H. (*Sticks B*)

Gamelon Med.

Snare Drum

Piano/forte

mp

p

Leggiero

tr

The ten-pc ostinato sequence (C–E–C#–D–Ab–A–Eb–B–F–F#) is supplemented by the violin's G and Bb, which complete the aggregate. The sequence recalls the piano's non-legato patterns in the first movement, preserving three pc pairs from those patterns, (C–E, C#–D and Ab–A), while reordering the “series.”

Shapey varies both register and texture in his repetition of the ostinato. He continuously alters the registral arrangement of the pcs, and inserts octaves into the steady stream of sixteenth notes as well. In addition, Shapey reshuffles the pc content of the ostinato in order to generate dyads and trichords (rehearsal letter C, m. 3, not shown). As in the analogous episodes of the first movement, Shapey emphasizes the least resonant percussion instruments in movement II, matching the timbral dryness of the piano writing. At the climax, he instructs the percussion instruments to “let ring,” while the piano plays at its registral extremes (not shown). The musical narrative gradually disintegrates in the final pages of the movement.

In movement III, the violin takes precedence over the other members of the ensemble, playing a lyrical, widely spaced line, while the piano quietly repeats a single trichord. Shapey concludes *Evocation* with a brief section that serves as a coda to the entire cycle. After a literal repetition of the first three lines of the work, he presents a violin cadenza that recalls several episodes in the opening movement. The final lines of the cadenza successively present direct quotations from the violin line of the opening measures, the violin solo at rehearsal letter G and the piano pattern that begins the second episode (see Ex. 4.7).

Example 4.7 Cadenza, in Ralph Shapey, *Evocation No. 1* for Violin, with Percussion and Piano (1959), III, conclusion. Annotations have been added to the score, indicating passages quoted from movement I (cf. Exx. 4.2 [A], 4.5 [B] and 4.3 [C]). © 1984 Theodore Presser Co. Used by permission.

The musical score is for the Violin Solo part of the conclusion of the Cadenza. It consists of five staves. The first staff begins with a *p* dynamic and includes a boxed section labeled 'A'. The second staff features a *mp* dynamic, a *mf* dynamic, and a boxed section labeled 'B'. The third staff includes a *f* dynamic and a *sotto voce* instruction. The fourth staff starts with a *ff* dynamic, includes a boxed section labeled 'C', and has a *pizz.* instruction. The fifth staff includes *pizz.* and *arco* instructions, and ends with a *ppp* dynamic and a *Non vib. sotto voce* instruction. A footnote at the bottom left states: $\ast) \text{ } \flat = \frac{1}{4} \text{ tone down (c}\flat\text{)}$.

On 26 March 1960, *Evocation* was premiered at the Third Street Music School Settlement in New York by pianist Yehudi Wyner, percussionist Paul Price, and violinist Matthew Raimondi, to whom Shapey dedicated the score. *Evocation* became one of Shapey's most popular pieces. It was the first of his compositions to receive a commercial recording, CRI 141, played by the artists who had performed at the premiere. The LP was issued in 1961 with jacket notes by Shapey, articulating his compositional philosophy. Despite Shapey's repeated expressions of admiration for Beethoven and Brahms, his description of the "graven image" and its variation seems to echo the compositional procedures of the nineteenth-century New German

School, in which forceful, strongly characterized motives are continuously transformed throughout a piece without losing their original identity:

Through permutations of [the initial space-time] image I continue, rather than destroy, its state of being. . . . The expansion of the image is achieved through diminutions of itself. . . . The changed focusing of the image preordains changed proportions, i.e., dissolutions of organic sound-units (which are each a part of the image), reestablishing themselves as modified reflections of the original unit.²⁵

Shapey was aware of the historical origins of his technique, as he admitted to Carol K.

Baron in 1975:

Shapey: The *idée fixe* is--supposedly started by Berlioz--the idea, the fixed idea, alright, which carried through Wagner and then other composers to Varèse. And I have carried it even further, you see? There's no question of that.

Baron: An idea that comes back.

Shapey: Oh, constant repetition. Oh, yes. Oh, yes. Constant repetition.

Baron: And these are structurally reinforcing?

Shapey: Right. They make up the whole piece, you see.²⁶

Critic Eric Salzman lauded *Evocation* when he reviewed the CRI recording in *The New*

York Times:

The Shapey "Evocation for Violin, Piano and Percussion" seems built up in juxtaposed, vertical planes. The basic material, direct and clear in its stark, "dissonant" character, comes around again and again; yet each time the sense is different, the context changed. It is a structure that has been solidly blocked out and then viewed from all possible points of view. . . .

The piano, with its big tone clusters, often operates as a percussion instrument and, in a sense, one could even say that the violin operates percussively and the percussion melodically. The sheer effect and dynamism of all this are exciting just in terms of sound projected almost spatially. Yet the effect is by no means purely abstract. Within a strong austere frame, there is a kind of scherzo as well as a spun-out arioso for violin that leads to the remarkable final page for violin alone, a closing curve of condensation and

²⁵ Ralph Shapey, jacket notes, Shapey, *Evocation [No. 1]* for Violin, with Percussion and Piano, CRI 141 (1961).

²⁶ Carol K. Baron, interview with Ralph Shapey, transcript, 115. Wolpe/Baron Archive.

recapitulation.²⁷

In *The Musical Quarterly*, Vincent Persichetti gave the recording of *Evocation* an equally enthusiastic response:

In *Evocation* [Shapey] creates a many-sided musical image, a fat tonal prism reflecting familiar “avant-garde” sound patterns. . . . He achieves structural totality with skill; he is clever with the instruments and handy with the atonal kit.²⁸

The Twinned *Forms* and the Wolpe-Shapey Concert of 22 May 1959

Shapey and Wolpe jointly presented a concert of their music at Carl Fischer Hall on 22 May 1959 (see Fig. 4.1). The ambitious concert, at which Shapey conducted two chamber works by Wolpe, was a defining moment in his early career.²⁹ At Wolpe’s initiative, both composers wrote short piano pieces for the occasion, entitled *Form* for Piano.³⁰ The two compositions were premiered by David Tudor.³¹ Wolpe devised a pitch collection that served as the basis for both works. A comparison of the *Forms* by Wolpe and Shapey illustrates the similarities and differences between Shapey’s style and that of his teacher.

²⁷ Eric Salzman, “Disks: Wyner, Shapey and Antheil,” *The New York Times*, 4 March 1962: 115. Salzman’s record review made amends for his ambivalent review of the premiere of *Evocation*. See Eric Salzman, “Program at 3d Street Music Settlement,” *The New York Times*, 28 March 1960: 35.

²⁸ Vincent Persichetti, “Reviews of Records,” *The Musical Quarterly* 48, no. 2 (April 1962): 271-4, especially 273.

²⁹ The concert is discussed in Patricia Morehead, “Analysis of *Form for Piano* by Ralph Shapey,” *Perspectives of New Music* 40, no. 2 (Summer 2002): 68-79.

³⁰ Theodore Presser Co. publishes Shapey’s *Form* for Piano: #110-40692. It has also been published in *Perspectives of New Music* 40, no. 2 (Summer 2002): 80-90. Wolpe’s *Form* for Piano was published in 1962 by Edition Tonos, Darmstadt [Germany] (#7103).

³¹ Eric Salzman, “Music: An Involved Style,” *The New York Times*, 23 May 1959: 19. Salzman’s review of the concert omitted a discussion of Shapey’s *Form* for Piano, which he was unable to hear, due to his need to leave in order to meet his newspaper deadline.

Figure 4.1 Ralph Shapey and Stefan Wolpe. Photo by Sam Falk, *The New York Times*, 17 May 1959: X8.

Wolpe's *Form* for Piano is a "late" work in which the structural function of each note is carefully delineated, a pure play of dialectic in the manner of his Symphony No. 1 (1955-56) and the works of the 1960s.³² Wolpe was aware of his own mortality as he approached his sixtieth birthday. In a 1960 letter to Shapey from Vienna, he wrote, "If you care still look at me nearing 60. This is a graves presentencing [*sic*: presentiment]." He closed the letter: "I am happy little Max [Shapey's newborn son] grows so well. I envy His³³ long life's while."³⁴

Wolpe controls his musical resources with great economy. He uses abrupt contrasts of dynamics as a structural tool, moving rapidly between dynamic extremes. Similarly, he oscillates

³² In a 1961 review, Eric Salzman wrote, "Stefan Wolpe's 'Form' is a universe expanding, a world gathered up into a piece, not a small piece carved out of the world." Eric Salzman, "Music: Modern Stirrings," *The New York Times*, 15 May 1961: 34.

³³ Wolpe's anomalous use of capitalization reflects his imperfect command of the English language.

³⁴ Stefan Wolpe, letter to Shapey, dated, "Vienna (beloved city) 1960." Wolpe was in Vienna during the summer of 1960. Shapey Papers, Box 147, Wolpe Material (Restricted).

between long and short note values. His characteristic pulse, nevertheless, is the eighth note, to which he returns throughout his piece.

In contrast to Wolpe's compressed discourse, Shapey's *Form* displays the exuberance of a young composer. Shapey delineates the structure of his composition by means of changes of tempo and texture, rather than through subtle permutations of ideas within a continuously evolving musical dialectic. In his essay, "Sensibility Defined: Set Projection in Stefan Wolpe's *Form* for Piano," Martin Brody quotes Wolpe's essay, "Thinking Twice:" "The form must be ripped endlessly open and self-renewed by interacting extremes of opposites. There is nothing to develop because everything is already there in reach of one's ears."³⁵ While Wolpe employs these concepts on the syntactic level in his *Form*, Shapey uses them on the level of overall design. Shapey's *Form* consists of a series of six episodes that alternate between slow and rapid music, and between closely spaced and widely dispersed textures: the "interacting extremes of opposites." Each episode of Shapey's piece has a radically different look on the page from the preceding music. The slow, conjunct motion of the opening section is contrasted with the fourth episode, "with wild elation," which presents the fastest music and the most widely spaced textures of the piece. Leading to and from the central panel of the structure are the stuttering discourse of the third episode and the even rhythms of the fifth episode.

The pianistic idiom of Shapey's *Form* is indebted, not to Wolpe's *Form*, but to his *Enactments* for Three Pianos (1950-53). The profuse, virtuosic figuration of *Enactments* contrasts strongly with the idiom of Wolpe's *Form*, while paralleling certain aspects of the pianistic language of Shapey's *Form* (see Exx. 4.8a and b). Three movements of *Enactments*

³⁵ Martin Brody, "Sensibility Defined: Set Projection in Stefan Wolpe's *Form* for piano," *Perspectives of New Music* 15, no. 2 (Spring-Summer 1977): 3-22, especially 3.

(“Chant,” “Held In” and “Inception”) were premiered at the 1959 Wolpe-Shapey concert, with Shapey’s *Form* as the following piece on the program.

Example 4.8a Rapid figuration, in Stefan Wolpe, *Enactments* for Three Pianos (1950-53), IV, “Inception,” m. 24. © 1984 Southern Music Publishing Co. Inc. International Copyright Secured. All Rights Reserved. Used by permission of Peermusic Classical.

Example 4.8a is a musical score for three pianos (I, II, III) in 2/4 time. The score is marked with a 24-measure rehearsal mark. The key signature has one flat (B-flat). The dynamics range from *mp* (mezzo-piano) to *ff* (fortissimo). The score includes various articulations such as accents, slurs, and triplets. The tempo is marked *molto* at the end of the system.

Example 4.8b Rapid figuration, in Ralph Shapey. *Form* for Piano (1959), p. 3, system 1. In Ralph Shapey, “*Form* for Piano,” *Perspectives of New Music* 40, no. 2 (Summer 2002): 80-90, especially 83 (cf. Ex. 4.8a). © 1978 Theodore Presser Co. Used by permission.

Example 4.8b is a musical score for a single piano in 2/4 time. The score is marked with a 10-measure rehearsal mark. The key signature has one flat (B-flat). The dynamics range from *p* (piano) to *f* (forte). The score includes various articulations such as accents, slurs, and triplets. The tempo is marked *molto* at the end of the system.

Patricia Morehead has labeled Shapey's *Form* as a set of variations.³⁶ It can also be described as a combination of variation and rondo form, in which Shapey presents a series of statements of an "image," separated by contrasting episodes in which its components are developed. The opening "image" of *Form* consists of several linked gestures: a chord, a thirty-second-note triplet, a downward leap and an eighth-note quintuplet figure (see Ex. 4.9).

Example 4.9 Opening "image," in Ralph Shapey, *Form* for Piano (1959), p. 1, system 1. In Ralph Shapey, "Form for Piano," *Perspectives of New Music* 40, no. 2 (Summer 2002): 80-90, especially 81. © 1978 Theodore Presser Co. Used by permission.

♩ = 60 with Tender Majesty

The musical score is written for piano. The right hand (treble clef) begins with a piano (p) chord, followed by a thirty-second-note triplet (marked '3'), a downward leap, and an eighth-note quintuplet (marked '5'). The right hand then has a series of rapid sixteenth-note figures, including a ten-measure run (marked '10'). The left hand (bass clef) begins with a piano (p) chord, followed by a series of chords and single notes, including a forte (f) section. The score ends with a double bar line and a * symbol.

When Shapey attempted to trace the origins of his new style in 1958, he mentioned *Mutations I* (1956) as a significant landmark in his development.³⁷ Shapey's use of the opening "image" of *Form* as a refrain is reminiscent of his recurrent use of the opening motives of *Mutations* (see Ex. 3.16). The two pieces are structured similarly as well. The climactic fourth episode of *Form*, like movement VI of *Mutations*, is characterized by the insistent reiteration of brief, rapid figures. In both episode five of *Form* and movement VII of *Mutations*, Shapey

³⁶ Morehead, 70.

³⁷ "The line does start, however, in the past; perhaps only vaguely, I can see it in the Clar[inet] Con[certo]. More positive, starting with the *Mutations* (perhaps a new form), to the Vla. Duo, to the *Songs of Eternity*, the Qt. No. 5!" Ralph Shapey, handwritten manuscript [thoughts about musical structure], ca. 1958. Shapey Papers, Box 11.

employs a “walking” figure with a steady pulse. Both works conclude with a slightly curtailed repetition of the opening episode/movement.

Shapey and Wolpe take somewhat different approaches to the use of the aggregate in their twinned *Forms*.³⁸ Wolpe partitions the aggregate into two unordered hexachords, {E, F, G, Ab, A, Bb} and {B, C, C#, D, Eb, F#}. He arranges his first complete statement of the second hexachord around an axis of symmetry centered on C#4. Wolpe first slows his discourse to a single point, a C#4 grace note, in m. 5. He symmetrically unfolds the surrounding pitches in mm. 5-6, introducing the two pcs, B and Eb, as part of the chord, D3/B3/C4/Eb4: C#4–C4–D4–B3–Eb4. Wolpe then presents the entire hexachord, divided between the two-note Eb4–C#4 figure on the following sixteenth note and the reiterated B4/C5/D5/F#5 chord, which registrally balances the D3/B3/C4/Eb4 chord (see Ex. 4.10).

³⁸ For a discussion of pitch organization in Wolpe’s *Form*, see Edward Levy, “Stefan Wolpe: For His Sixtieth Birthday,” *Perspectives of New Music* 2, no. 1 (Autumn-Winter 1963): 51-65; Brody, “Sensibility Defined;” Antokoletz, 413-5.

Example 4.10 Successive presentation of hexachords, in Stefan Wolpe, *Form* for Piano (1959), mm. 1-6. Original publisher © 1962 Tonos Music oHG, Engen, Germany.

In m. 22, Wolpe states the hexachords simultaneously, with the left hand playing hexachord 1, and the right hand hexachord 2 (see Ex. 4.11). Beginning in m. 29, Wolpe transposes the two hexachords by T_5 (not shown).

Example 4.11 Simultaneous statement of hexachords, in Stefan Wolpe, *Form* for Piano (1959), m. 22. Original publisher © 1962 Tonos Music oHG, Engen, Germany.

In contrast to Wolpe's procedure, Shapey partitions the aggregate into three segments. Two pentachords, {E, F, G, A, Bb} and {B, C, C#, D, Eb}, are separated by a mediating dyad, {F#, G#} (see Ex. 4.9). Shapey does not transpose pitch sets within his *Form*, and generally avoids the operation of transposition in his music. While Wolpe sometimes states hexachords in isolation, Shapey continually juxtaposes or interleaves the three aggregate segments throughout his piece. In the fifth episode, Shapey presents the aggregate segments as a linear succession of pitches, creating a twelve-tone series.³⁹ He partitions the series by two dashed bar lines to define the three subsets that preserve the pc content of the aggregate segments. Shapey then divides the subsets between the treble and bass (see Ex. 4.12). While the bass presents the first and second subsets (the first pentachord [E–G–A–Bb–F] and the mediating dyad [Ab–F#]), the treble presents a retrograde version of the third subset (the second pentachord), along with one pc, F#, from the second subset (the mediating dyad) and the final pc, F, of the first subset (the first pentachord) (B/Eb–C/D–C#–[D#(Eb)]–F#–F). A simpler manner of describing Shapey's procedure is to identify the succession of pcs in the bass as order numbers 1-7 of the prime form

³⁹ Morehead, 72.

of the series, and the treble succession as order numbers 1-6 and 8 of its retrograde.

Example 4.12 Series statement, followed by simultaneous presentation of series subsets, in Ralph Shapey, *Form for Piano* (1959), p. 7, systems 3-4 (cf. Ex. 4.11). In Ralph Shapey, “*Form for Piano*,” *Perspectives of New Music* 40, no. 2 (Summer 2002): 80-90, especially 87. © 1978 Theodore Presser Co. Used by permission.

The musical score is for a piano piece. It features a treble and bass staff. The tempo is marked as quarter note = 120 with joy. The key signature has one sharp (F#). The score includes dynamic markings: *p* (piano), *f* (forte), and *leggiere* (light). There are also articulation marks like accents (^) and slurs. A bracket labeled '5' indicates a quintuplet. The bass staff has a *p* marking. The treble staff has a *f* marking. The score is divided into measures by vertical dashed lines.

Like Wolpe, Shapey creates an axis of symmetry in pitch space around C#4 at the beginning of his *Form*. He uses the axis of symmetry to construct the eighth-note quintuplet figure that introduces the mediating dyad, {F#, G#}, and the second pentachord, {B, C, C#, D, Eb}. C#4 bisects the three successive dyads, F#3–G#4, C3–D5 and B1–Eb7, in pitch space. The pitch class, C#, also bisects the dyads, C–D and B–Eb, within pc space (see Ex. 4.9).

The young American pianist, Howard Lebow,⁴⁰ a student of Irma Wolpe, was a strong advocate of Shapey's music. He played *Form* in both America and Europe, repeatedly pairing it with the *Klavierstücke* of Stockhausen. Lebow performed *Form* at Darmstadt in 1961.⁴¹ After he

⁴⁰ Howard Miles Lebow (1935-1968). He studied with Eduard Steuermann at Juilliard and became an assistant professor of piano at the University of Massachusetts in 1965. He died in an auto accident at the age of 32. See “Howard Lebow, Concert Pianist: Professor at Massachusetts Dies After Auto Crash,” *The New York Times*, 15 January 1968: 47; “Howard Lebow Collection, 1947-1983,” accessed 27 October 2011, <http://scua.library.umass.edu/umarmot/lebow-howard/>.

⁴¹ Lebow performed *Form* on 31 August 1961, at a concert entitled, “Junge Komponisten – Studiokonzert I.” It was the only piece that Lebow played at the concert, which also included works by Jan van Vlijmen, Renato de Grandis, Franco Evangelisti, Norma Beecroft, Ernstalbert Stiebler, Robert Taylor, Henri Pousseur and Gilbert Amy. See *Im Zenit der Moderne: Die Internationalen Ferienkurse für Neue Musik, Darmstadt 1946-1966: Geschichte und*

returned to America, he wrote to Shapey,

The Shapey “Form” was unappreciated in Darmstadt. Rather curiously – or perhaps not? – your greatest defender was the Great Man himself, Karlheinz Stockhausen. He felt, although he didn’t talk to me about this, that the composer really had some ideas in his head, even though he found the piece too long.⁴²

Shapey prepared a program note for performances of *Form* by Lebow. Revealingly, he used the word, “mutations,” to describe the transformational operations within the piece, echoing the title of his earlier piano work. He emphasized the static harmonic and thematic qualities of the music, and pointed to his manipulation of the parameters of tempo, rhythm and density of texture:

On a succession of inexorably fixed pitch classes, allowing no permutations, merely octave transference, a series of mutations occurs along the time axis. . . . The harmonic unit is the aggregate weighted in various ways. . . . Rhythm in the large progresses from initial tempo through 5:3 to 2:1 ratio which serves as functionally equivalent to original tempo and prepares its return for the finale.

Variation of vertical density derives from initial association within the subgroups. The climax of horizontal density occurs in the faster 5:3 section.⁴³

A few weeks after Lebow’s letter to Shapey, the two musicians participated in the Conference on Contemporary Arts at Vassar College, part of the centennial celebrations at the school.⁴⁴ Lebow played a concert on 4 November in which he juxtaposed Stockhausen’s *Klavierstücke I-IV* and Shapey’s *Form*. He interspersed his performance with remarks comparing the music of the two composers. On 5 November, Shapey and Lebow participated in a

Dokumentation in vier Bänden, ed. Gianmario Borio and Hermann Danuser (Freiburg im Breisgau: Rombach Verlag, 1997), 3: 609.

⁴² Howard Lebow, letter to Shapey, 10 October 1961. Shapey Papers, Box 3, Folder L + M.

⁴³ Ralph Shapey, program note, *Form* for Piano (ca. 1961). Shapey Papers, Box 93.

⁴⁴ See “Contemporary Arts Conference, 1961,” accessed 28 May 2013, <http://chronology.vassar.edu/records/1961/1961-11-1-Contemporary-Arts-conference.html>.

roundtable discussion. In a review of the conference, Constance Mersel, a Vassar student, recounted Lebow's comments about the music of Shapey and Stockhausen:

The Shapey "Form" has in common with the Stockhausen "Pieces" the technique of proceeding from initial patterns. What Mr. Shapey likes to call the "profile" of his composition appears on the first page. Whatever else appears after that is derived from it, even though subsequent moods may differ from the original one.⁴⁵

Shapey's music had been ignored when David Tudor performed Stockhausen's *Klavierstücke* in New York in 1956. By 1961, however, Shapey had achieved sufficient recognition to be perceived as an important American composer of radical tendencies, a counterweight to the leading European radical, Stockhausen.

Rituals for Symphony Orchestra (1959)

After the Wolpe-Shapey concert of 22 May 1959, Shapey went to the MacDowell Colony in New Hampshire, where he composed *Rituals* for Symphony Orchestra, the third and final work of his *Trilogy* for Orchestra (*Testament to Man*).⁴⁶ In the two movements of *Rituals*, Shapey enacted the order/freedom dichotomy central to his music. Shapey employs his idiosyncratic techniques of pitch organization and motivic development in the first movement. According to Shapey, the movement represents society's externally imposed strictures on the individual. The second movement represents the individual's desire to express him/herself freely without artificial constraints. It includes controlled improvisation, reminiscent of free jazz, which Shapey associated musically with the liberation of the human personality. The title page of the score bears an epigraph by Shapey's wife, Vera Klement: "With silver mallet/against bone/I chisel/at the calcified/truth/of gained maturity."

⁴⁵ Constance Mersel, "Howard Lebow Exhibits New Directions in Music," *Vassar Miscellany News*, 8 November 1961: 2.

⁴⁶ The score of *Rituals* is available from the Theodore Presser Co. Rental Library.

Shapey gave a detailed explanation of the meaning of the title, *Rituals*, in his 1975 interview with Carol K. Baron:

Shapey: And I became very involved and interested in the whole concept of ritualism . . . that for man . . . to understand the unknown, he ritualizes his fears, his loves, and his hates. Through the act of ritual, the unknown becomes known to him. Whether it's really known is not the point. Man thinks--I use "man," I mean "humankind"--thinks he now knows the known because he has ritualized it. So it's become his. He's made it his own. You see what I mean. And by doing that, he has now, he's now in control of the unknown. The fact that it's not, that it's untrue, is beside the point. That's what he thinks: that he has made the unknown known to himself. And he does it through ritualism. And yes, you can be silly about it. The ritual of brushing your teeth in the morning. It's the same thing. That all life really has become a system of rituals. And that's why I wrote *Rituals* as a testament against the concept of "rituals," you see. That the saxes [saxophones], especially in the second movement, and the piano are supposed to be activated as the free spirits who are fighting against the rigidity of ritual; and that man will never be free and never mature as long as he keeps up with his ritualisms. . . .

. . . The orchestra in the second movement are [*sic*] playing "the rituals," which was all already worked out in the first movement. And they are blocks. They are like huge blocks blasting against the free spirits who want to fly and soar out into the universe.⁴⁷

In his jacket notes for the LP release of *Rituals*, Shapey wrote that its musical language is based on "a post-Webern practice decidedly tempered by a tendency toward romantic expression." The work is composed of motives and gestures that constantly interact in fresh ways, so that the music displays continuous variation: "The principle of repetition with variation dominates the construction." The key to Shapey's synthesis of static and developmental techniques is his statement that "changes in color, texture and motive-shape are continuous."⁴⁸

As in his other orchestral works of the 1950s, Shapey uses the spatial arrangement of the ensemble as a structural tool in *Rituals*. He divides the orchestra into eight groups, providing a diagram for the seating arrangement of the performers at the front of the score (see Fig. 4.2).

⁴⁷ Carol K. Baron, interview with Ralph Shapey, transcript, 131-2. Wolpe/Baron Archive.

⁴⁸ Ralph Shapey, jacket notes, Shapey, *Rituals* for Symphony Orchestra, CRI SD 275 (1972).

Orchestra Seating Plan

- A 1 Flute, 1 Oboe, 1 Bb Clarinet, 1 Bassoon
 B Viola, Anvil, Iron, Cowbell (no clapper), Violin I
 C Tom-Toms (high, med., low), 1 Piccolo, 1 Trombone, 1 Tuba, 1 Bb Trumpet,
 1 F Horn, Piano, Timpani, Bass Drum
 D 1 English Horn, 1 Bass Clarinet, 1 Flute, 1 Contrabassoon
 E Cello, Woodblocks (high, med., low), Violin II
 F 1 Eb Alto Saxophone, 1 Bb Tenor Saxophone, 1 Eb Baritone Saxophone, Xylophone
 G 1 Trombone, 1 Oboe, 2 F Horns, 1 Bb Clarinet, 1 Bb Trumpet, 1 Bassoon
 H String Bass, 1 Tenor Drum, 1 Gong (low), 1 Snare Drum, Cymbals (high, med., low)

Figure 4.2 Ralph Shapey, *Rituals* for Symphony Orchestra (1959), seating plan. © 1977 Theodore Presser Co. Used by permission.

Shapey subdivides the winds between four groups, three of which are positioned at or near the front of the stage. The violins, violas and cellos are divided between the left and right sides of the stage, with the peculiarity that the violas and cellos are placed at the front, separated by wind instruments, while the violins are pushed towards the back. The bass players sit at the

rear, between drums, cymbals and gongs. The brass instruments are positioned in the middle of the stage, divided between groups C and G, which also include the piano, several percussion instruments and some wind instruments. The saxophones, which play an important role in movement II, are placed at the center of the orchestral layout (group F), immediately behind the piano (group C). Shapey's arrangement of the instruments seems primarily designed to emphasize the importance of the "jazz ensemble" central to movement II: the piano, brass instruments and drums of group C, the saxophones and xylophone of group F, and the basses and percussion instruments of group H.

While the orchestral seating plan has a special significance in movement II, the arrangement of timbral sources within physical space is less significant in movement I than in *Ontogeny* and the "Invocation" Concerto for Violin and Orchestra. Shapey's continuous recombination of motives in movement I takes on correspondingly greater importance within a scheme that can seem, at times, to be formulaic. In his jacket notes for the CRI recording of *Rituals*, Shapey indicated that this formulaic quality was intended to be programmatic: "A series of concrete acts in repetition are bound into a tight formal structure . . . resulting in a ritualistic formulation of sound."⁴⁹

Shapey's approach to motivic manipulation in *Rituals* is similar to the technique that he employs in the *Duo* for Viola and Piano (1957). Some motives are constantly varied, while others are usually repeated without altering their rhythm or shape. At the beginning of movement

⁴⁹ Ralph Shapey, jacket notes, Shapey, *Rituals* for Symphony Orchestra, CRI SD 275.

I, Shapey presents a “space-time image” consisting of four motives that are circulated throughout the entire work⁵⁰ (see Ex. 4.13):

- a) the opening fanfare
- b) a rapid neighbor-note figure
- c) a chorale-like peroration
- d) a held note, to which string harmonics give an eerie timbre

⁵⁰ “The two movements are based on the same material—motives which are heard at the opening of the first movement.” Ralph Shapey, jacket notes, Shapey, *Rituals* for Symphony Orchestra, CRI SD 275.

The first movement of *Rituals* is divided into three sections. The “exposition” is followed by a slow, thin-textured middle section, in which Shapey presents fresh motivic material. The movement concludes with a brief recapitulation of the ideas of the opening section. Formal transitions within movement I are demarcated by the interjection of proclamatory motives. The spatial arrangement of the orchestra reinforces the musical discourse. The divided winds, brass and strings circulate motives back and forth between the two sides of the stage, and between the front and back of the orchestra (see Ex. 4.14).

Example 4.14 Antiphonal exchanges, in Ralph Shapey, *Rituals* for Symphony Orchestra (1959), I, p. 7, mm. 1-2. © 1977 Theodore Presser Co. Used by permission.

2 1
+
4 16

3 1
+
16 4
div.

B

Vla. *mf* *f* *div.*

Vn. I *mf* *mf* *f* *div.*

Picc. *f*

Tbn.

C

Tuba

Tpt.

Hn.

D

Cbn. *pizz. /*

Vc. *f* *f* *pizz. /*

E

Vn. II *n.v.* *(f)*

G

Tbn. *mf* *mf*

Ob. *mf*

2 Hns. *mf* *a2*

Cl. *mf*

Tpt. *mf*

Bsn. *mf*

Shapey repeatedly denied that his music was serial. On occasion, however, he asserted that specific works were serial, such as *String Quartet No. 5* (1958) and *Seven for Piano Four Hands* (1963). Shapey unequivocally identifies *Rituals* as a serial work in his jacket notes for the CRI recording.⁵¹ The “Improvisation material for Sax’s & Piano: Movement II,” included as an appendix to the score of *Rituals*, provides the key to Shapey’s interpretation of the concept of serialism in this piece.⁵² It consists of nine sets of musical ideas,⁵³ of which the first corresponds to the five-voice “chorale-like peroration” (motive “c”) presented at the beginning of movement I (see Ex. 4.15).

Example 4.15 “Improvisation material for Sax’s & Piano: Movement II,” Fig. I, in Ralph Shapey, *Rituals* for Symphony Orchestra (1959), p. 68 (cf. motive “c” in Ex. 4.13). © 1977 Theodore Presser Co. Used by permission.

Three pcs are duplicated within the fourteen pitches of Ex. 4.15: F#(Gb), D and Eb. In the “chorale-like peroration,” the pc, G, is duplicated as well (tuba, group C; trombone, group G). The initial horn motto of *Rituals*, “the opening fanfare” (motive “a”) shares two pcs (D and F) with chord 2 of Ex. 4.15 and the “chorale,” and three pcs with chord 1 (C#[Db], C and F#[Gb]).

⁵¹ “The music is serial.” Ralph Shapey, jacket notes, Shapey, *Rituals* for Symphony Orchestra, CRI SD 275.

⁵² For a survey of the wide variety of approaches to serialism among American composers, see Joseph N. Straus, *Twelve-Tone Music in America* (New York: Cambridge University Press, 2009).

⁵³ Shapey employs these ideas in a manner that has similarities to the aleatory procedures used during the 1950s by Stockhausen and Boulez.

One pc, Bb, is omitted from the aggregate in Ex. 4.15. It is not stated in *Rituals* until m. 7, when it is introduced simultaneously by the bassoon and contrabassoon.

Shapey also presents a second “chorale” in the first movement of *Rituals*, played by four brass instruments (see Ex. 4.16).

Example 4.16 Introduction of “chorale II,” in Ralph Shapey, *Rituals* for Symphony Orchestra (1959), I, p. 6, m. 3, group C, trombone, tuba, trumpet and horn only. © 1977 Theodore Presser Co. Used by permission.

$$\begin{matrix} 3 & 1 & 1 \\ 4^+ & 8^+ & 32 \end{matrix}$$

C

Since the tuba duplicates the trombone line, the “chorale” has only three voices. Bb, the only pc missing from the aggregate in the first “chorale,” is included in the nine-pc set of the second “chorale,” which has no pc duplications. The three chords of the second “chorale” correspond to the treble trichords of Fig. II of the “improvisation material” (see Ex. 4.17).

Example 4.17 “Improvisation material for Sax’s & Piano/Movement II,” Fig. II, in Ralph Shapey, *Rituals* for Symphony Orchestra (1959), p. 68 (cf. Ex. 4.16). © 1977 Theodore Presser Co. Used by permission.

Shapey employs “chorale I” both as a motive, subject to permutation, and as a source set. He rotates the “chorale,” and also horizontalizes its pc content to create fresh motivic material.⁵⁴ For example, on p. 7, m. 1, the first chord of the triplet figure played by group G comprises the pc content, {C, Db, Gb, G}, of the first chord of “chorale I.” Two measures later (p. 7, m. 3), the horns introduce a new motive, C4–Db4–G3–F#4, that is a horizontalized statement of the first chord of “chorale I,” with F2 added from the bass line of the second chord of the “chorale” to produce the dyad, F/F# (see Ex. 4.18).

⁵⁴ The top line of the three-chord “chorale I” progression (Example 4.15) can retrospectively be perceived as a motive (Gb–A–Ab) with associated chords, an early form of the “Mother Lode.” The “Mother Lode” is a twelve-tone series, coupled with “assigned aggregates,” that served as the basis of almost all of Shapey’s works written after 1980. The concept of the “Mother Lode” can be perceived as a formalization of procedures that Shapey used earlier in his career. For a discussion of the “Mother Lode,” see Patrick Finley, *A Catalogue of the Works of Ralph Shapey* (Stuyvesant, NY: Pendragon Press, 1997), 65-92; Amelia S. Kaplan, “The ‘Mother Lode,’ the *Gottlieb Duo*, and Ralph Shapey’s Compositional Strategy in the Early 1980s,” *Contemporary Music Review* 27, nos. 4/5 (August-October 2008): 511-29.

Example 4.18 Vertical and horizontal presentations of the first chord of “chorale I,” in Ralph Shapey, *Rituals* for Symphony Orchestra (1959), I, p. 7, mm. 1-3, group G only. Presentations of the pc set are labeled, “X,” and circled in the example. © 1977 Theodore Presser Co. Used by permission.

$$\begin{matrix} 2 & 1 \\ 4^+ & 16 \end{matrix} \qquad \begin{matrix} 3 & 1 \\ 16^+ & 4 \end{matrix} \qquad \begin{matrix} 3 & 1 & 3 \\ 4^+ & 16^+ & 32 \end{matrix}$$

G

The musical score for group G consists of six staves: Tbn., Ob., 2 Hns., Cl., Tpt., and Bsn. Each staff begins with a triplet of eighth notes, marked *mf*. A vertical oval encompasses the first chord across all staves. In the 2 Hns. staff, a horizontal oval highlights a specific chord, labeled 'X' and circled. The pc set presentations are shown at the top of the page: $\begin{matrix} 2 & 1 \\ 4^+ & 16 \end{matrix}$, $\begin{matrix} 3 & 1 \\ 16^+ & 4 \end{matrix}$, and $\begin{matrix} 3 & 1 & 3 \\ 4^+ & 16^+ & 32 \end{matrix}$.

Like the motive on p. 7, m. 3, the thematic idea introduced on p. 8, m. 3 (see Ex. 4.19) may also be intended as a horizontalization of “chorale I,” now slightly rearranged and used in a manner resembling a serial matrix (see Exx. 4.20a and b).

Example 4.19 Horizontalization of “chorale I,” in Ralph Shapey, *Rituals* for Symphony Orchestra (1959), I, p. 8, mm. 3-4, clarinet, group A; trumpet, group C; clarinet, group D. The melodic succession of pcs is numbered in the example. © 1977 Theodore Presser Co. Used by permission.

Example 4.20a “Chorale I” (Fig. I, p. 68), displayed as a serial matrix (cf. Ex. 4.15). Ralph Shapey, *Rituals* for Symphony Orchestra (1959). © 1977 Theodore Presser Co. Used by permission.

Gb	A	Ab
Db	D	Eb
C	Eb	E
G	B	D

Example 4.20b “Chorale I” (Fig. I, p. 68), rearranged and displayed as a serial matrix. Lines 1 and 2 of Ex. 4.20a are reversed. Ralph Shapey, *Rituals* for Symphony Orchestra (1959). The thematic idea introduced on p. 8, m. 3, begins with the pc, E (marked by bold italics and numbered as 1), in column 3. The other pcs are also italicized and numbered in the matrix chart (cf. Exx. 4.15, 4.19 and 4.20a). © 1977 Theodore Presser Co. Used by permission.

<i>Db</i> 6	<i>D</i> 7	<i>Eb</i> 8
Gb	<i>A</i> 5, 8	<i>Ab</i> 8
C	<i>Eb</i> 4	<i>E</i>1
G	<i>F</i> 3	<i>F#</i> 2
G	B	D

The succession of pcs within the thematic idea is numbered in both Exx. 4.19 and 4.20b. Pitch classes 1 and 2 (E–F#) can be derived from adjacencies in column 3 of Ex. 4.20b, pcs 3–5 (F–Eb–A) from column 2. The path of the thematic idea then moves upward and diagonally to the left in order to reach pc 6. Pitch classes 6 and 7 (Db–D) are adjacencies in the top lines of columns 1 and 2, while the concluding trichord simultaneity, Eb/Ab/A, consists of adjacencies in columns 2 and 3.

On pages 14–15, Shapey demarcates a formal transition by linking three of the central motives of movement I: the opening fanfare, “a,” the chorale-like peroration, “c,” and a new motto, motive “e.” Two repetitions of the opening fanfare frame a horizontalized statement by the full orchestra of the first chord of “chorale I:” C–F#–G–Db (see Ex. 4.21). The first two notes of this figure are identical to the last two notes of the opening fanfare.

Example 4.21 Horizontalization of the first chord of “chorale I,” in Ralph Shapey, *Rituals* for Symphony Orchestra (1959), I, p. 14, m. 5–p. 15, m. 2, oboe, group A, only (cf. Exx. 4.13, 4.15 and 4.20a). © 1977 Theodore Presser Co. Used by permission.

The second statement of the opening fanfare is rounded off by a motto, motive “e,” G–F–Db–F# (see Ex. 4.22), derived from the bass line of Fig. IX of Shapey’s “improvisation material” chart (see Ex. 4.23). This motto includes three of the four pcs of the first chord of “chorale I” (Db, F#[Gb] and G), as well as the three pcs of the bass line of “chorale I” (F, F# and G).

Example 4.22 Motto, motive “e,” in Ralph Shapey, *Rituals* for Symphony Orchestra (1959), I, p. 15, mm. 4-6, contrabassoon, group D, and contrabass, group G. © 1977 Theodore Presser Co. Used by permission.

Example 4.23 “Improvisation material for Sax’s & Piano/Movement II,” Fig. IX, in Ralph Shapey, *Rituals* for Symphony Orchestra (1959), p. 68 (cf. Ex. 4.22). © 1977 Theodore Presser Co. Used by permission.

Shapey introduces an additional motive, “f,” at the beginning of the middle section of movement I (see Ex. 4.24).

Example 4.24 Motive “f,” in Ralph Shapey, *Rituals* for Symphony Orchestra (1959), I, p. 16, m. 3–p. 17, m. 1, flute and oboe. The melodic succession of pcs is numbered in the example. © 1977 Theodore Presser Co. Used by permission.

Like other motives in *Rituals*, motive “f” can be perceived as an arrangement of pcs derived from “chorale I,” created by moving both vertically and horizontally through the “serial matrix” for the “chorale” (see Ex. 4.25). The first three pcs (C#[Db]–C–G) are taken from column 1, the fourth (A) from column 2, and pcs 5 and 6 (Ab–Eb) from column 3. Beginning with pc 6 (Eb), motive “f” moves horizontally across the chart from right to left: Eb–D–Db.⁵⁵

Example 4.25 “Chorale I” (Fig. I, p. 68), displayed as a serial matrix (cf. Exx. 4.20a and 4.24). Ralph Shapey, *Rituals* for Symphony Orchestra (1959). The pcs of motive “f” are italicized and numbered, with the initial pc marked by bold italics. © 1977 Theodore Presser Co. Used by permission.

Gb	<i>A4</i>	<i>Ab5</i>
<i>Db1, 8</i>	<i>D7</i>	<i>Eb6</i>
<i>C2</i>	Eb	E
<i>G3</i>	B	D
G	F	F#

The motive has a circular structure, ending on Db(C#), its opening pc. In addition to his introduction of fresh motivic material, Shapey distinguishes the middle section of the movement by restricting his palette of instrumental colors. The first part of the middle section is almost entirely confined to the winds, the second to the strings.

Shapey brings together four motives at the end of the movement. “Chorale I” (motive “c”) is stated in both its original and retrograde forms, together with unaltered presentations of motives “a” (the opening fanfare) and “b” (the rapid neighbor-note figure). Shapey also reintroduces the motto, motive “e,” previously stated at the conclusion of both the opening and middle sections of the movement.

⁵⁵ It is preferable to derive the pc, D, from column 2 rather than column 3, due to its mediating position between Eb and Db within the motive.

The brief, improvisatory second movement has a much simpler form than the multi-sectional opening movement. According to Shapey, “the second movement is built on an ostinato in the percussion. The entire movement is a grand crescendo, beginning softly and culminating with a triple forte.”⁵⁶ Shapey’s assertion that the same musical ideas are presented in both movements is confirmed by the application of the improvisation chart for movement II to the analysis of movement I. The difference between the two movements in Shapey’s handling of motivic material is a realization of the order/freedom dichotomy central to *Rituals*. Shapey was not interested in free improvisation, however. During the preparations for the initial performances of the work,⁵⁷ and its later recording on the CRI label,⁵⁸ Shapey carefully supervised the rehearsals of the improvising instrumentalists as they interpreted the chart of “improvisation material” that he had appended to the score.

The primary orientation of the spatial movement of sound within the orchestra shifts between movements I and II. While sound usually moves between the left and right sides of the stage in movement I, it moves between the front and back of the stage throughout movement II. The saxophones of group F and the piano of group C are positioned at the center of the ensemble, symbolizing their pivotal role in the musical discourse. The sonorous, unpitched percussion instruments of group H (gong, tenor drum, cymbals and snare drum), silent in movement I, are given a leading role in movement II. They are linked to the percussion instruments (bass drum, tom-toms and timpani) of group C, which flank the piano. Shapey also pairs the anvil, iron and cowbell of group B and the woodblocks of group E, positioned at opposite sides of the stage.

⁵⁶ Ralph Shapey, jacket notes, Shapey, *Rituals* for Symphony Orchestra, CRI SD 275.

⁵⁷ Barry Wiener, telephone interview with William Allaudin Mathieu, 6 February 2008. Mathieu was pianist for the 1966 world premiere of *Rituals* with the Chicago Symphony.

⁵⁸ Carol K. Baron, interview with Ralph Shapey, transcript, 131. Wolpe/Baron Archive.

Rituals is a polemical work, not just because of Shapey's use of elements of free jazz, but also because of his use of his own version of serialism as a contrast to controlled improvisation. Shapey's musical enactment of the social control/freedom dichotomy in *Rituals*⁵⁹ paralleled the compositional paths taken at the time by many of his European contemporaries, including Stockhausen, Berio and Ligeti, who abandoned serialism in the late 1950s to write a different, more gestural kind of music. His assertion that free jazz represented a higher synthesis between two different cultural forms, avant-garde classical music and jazz, was echoed by other commentators.⁶⁰ When William Allaudin Mathieu interviewed Shapey about jazz, he was frustrated by Shapey's refusal to characterize free jazz as "merely" a variety of jazz.⁶¹

Shapey conducted the premiere of *Rituals* in a concert presented by the Chicago Symphony at the University of Chicago on 12 May 1966. In the *Chicago Tribune*, Thomas Willis vividly described the piece:

Both of the new works [including George Perle's *Three Movements* for Orchestra], not unexpectedly, were serial. . . . Somewhat in the manner of Gunther Schuller's "Spectra,"⁶² the orchestra [of *Rituals*] is split and repositioned into eight large and small chamber ensembles. . . .

In the second movement, a repeated figure mainly heard in the timpani organizes the variations into a rugged outline and a wild, jazzy quartet of saxophones stirs the pot to a bubbling boil of a din. It takes about 12 minutes . . . and makes a lot of strong, colorful noise in a short time.⁶³

When the CRI recording of *Rituals* was released in 1971, Donal Henahan perceptively summarized the elements of Shapey's style:

⁵⁹ Shapey's attitude towards society's control over the individual is typical of liberal discourse about society during the late 1950s. See William H. Whyte, Jr., *The Organization Man* (New York: Simon and Schuster, 1956).

⁶⁰ Wilfred Mellers, "The Avant-Garde in America," *Proceedings of the Royal Musical Association*, 90th Sess. (1963-64): 1-13, especially 7.

⁶¹ Barry Wiener, telephone interview with William Allaudin Mathieu, 6 February 2008.

⁶² Schuller composed *Spectra* in 1958, a year before Shapey composed *Rituals*.

⁶³ Thomas Willis, "Guests of Symphony Play Colorful Works," *Chicago Tribune*, 13 May 1966: C13.

Shapey, in “Rituals” as well as several other major pieces, achieves the improbable in merging post-Webern ideals of delicacy, serialism and economy with Varèse’s counter-Webern penchant for using sounds in block form, and for blowing the roof off periodically with percussive climaxes.⁶⁴

A New Synthesis

In the three-part *Movements* for Woodwind Quintet (1960),⁶⁵ Shapey explores not only the integration of stasis and developing variation, but also pitch space, timbre, texture and the acoustic properties of instruments. He employs extreme registers both simultaneously and singly, creating piercing acoustic effects in a manner that recalls the orchestral works of 1958.

Like *Rituals*, *Movements* can be described by Shapey’s term, a “one-fabric work.”⁶⁶ Shapey creates an interlocking formal structure by periodically reinserting ideas from the beginning of the piece throughout the musical narrative. The first movement, *Adagio*, opens with four presentations of an arching motive, paired (in all but one case) with a descending leaping dyad. The first three are followed by an ascending leaping figure, the last by simultaneous ascending and descending figures (see Ex. 4.26).⁶⁷ This sequence can also be characterized as successive statements of an “image,” varied by transposition, near repetition and rhythmic augmentation.

⁶⁴ Donal Henahan, “Schoenbergwebernberg – Do They Still Matter?” *The New York Times*, 31 October 1971: D26.

⁶⁵ Theodore Presser Co. publishes *Movements* for Woodwind Quintet: score (11440563S) and parts (11440563P).

⁶⁶ Shapey: “There’s another thing that’s important to me, and I believe in the past great composers: that a work is a one-fabric work, that the last movement comes right out of the first movement, if there are movements.” Carol K. Baron, interview with Ralph Shapey, transcript, 171. Wolpe/Baron Archive.

⁶⁷ Shapey employs dashed bar lines as an aid to the performers, but does not number the measures. He uses rehearsal letters throughout the score. I use hypothetical measure numbers, together with Shapey’s rehearsal letters, in order to identify passages in the score.

Example 4.26 Initial “image,” in Ralph Shapey, *Movements* for Woodwind Quintet (1960), I, mm. 1-3. Note that only the beginning of m. 3 is included in the example. © 1960 Theodore Presser Co. Used by permission.

The musical score is for a woodwind quintet, featuring Flute, Oboe, Clarinet, Bassoon, and Horn. The tempo is marked as quarter note = 52. The key signature has one sharp (F#). The Flute part starts with a forte (f) dynamic and a long arching line. The Oboe part has a mezzo-forte (mf) dynamic and a short arching line. The Clarinet part has a mezzo-forte (mf) dynamic and a short arching line. The Bassoon part has a mezzo-forte (mf) dynamic and a short arching line. The Horn part has a forte (f) dynamic and a short arching line. The score includes various musical notations such as notes, rests, and dynamic markings.

The flute adds a rocking figure to the arching lines at rehearsal letter B (not shown). At rehearsal letter D, Shapey begins a new episode, introducing a second “image,” centered around the tetrachord, {D-Eb-G-Ab}. He presents the tetrachord using a combination of simultaneities and ip11 ({Ab4, G5}) dyad gestures. Shapey decorates his insistent repetition of the tetrachord with tremolo ip4 and ip14 dyads that together comprise a second tetrachord, {Gb, G, A, Bb} (see Ex. 4.27).

Example 4.27 “Image” including two tetrachords, in Ralph Shapey, *Movements* for Woodwind Quintet (1960), I, rehearsal letter D, mm. 1-3. © 1960 Theodore Presser Co. Used by permission.

D

The musical score is written for five woodwind instruments: Flute, Clarinet, Saxophone, Oboe, and Bassoon. The key signature has one flat (B-flat). The score is marked 'p' (piano). The first measure (mm. 1-3) shows the following notes: Flute (B-flat, quarter note), Clarinet (B-flat, quarter note), Saxophone (B-flat, quarter note), Oboe (B-flat, quarter note), and Bassoon (B-flat, quarter note). The second measure shows the following notes: Flute (B-flat, quarter note), Clarinet (B-flat, quarter note), Saxophone (B-flat, quarter note), Oboe (B-flat, quarter note), and Bassoon (B-flat, quarter note). The third measure shows the following notes: Flute (B-flat, quarter note), Clarinet (B-flat, quarter note), Saxophone (B-flat, quarter note), Oboe (B-flat, quarter note), and Bassoon (B-flat, quarter note).

Shapey begins the final section of the movement with an altered statement of the initial “image,” adding grace notes to the arching motive and changing its rhythms (not shown). The clarinet then introduces an ascending septuplet motive, while the flute presents a modified retrograde version of the arching motive, in which two dyads, F#–B and Eb–E, retain their original ordering (see Ex. 4.28).

Example 4.28 Ascending septuplet motive, in Ralph Shapey, *Movements* for Woodwind Quintet (1960), I, rehearsal letter E, mm. 2-3 (cf. Ex. 4.26). © 1960 Theodore Presser Co. Used by permission.

At the end of the movement, Shapey transforms the tetrachord, {D-Eb-G-Ab}, into the pentachord, {Db, D, Eb, G, Ab}. He presents the pentachord as a simultaneity, widening the registral span of the tetrachord's presentation at rehearsal letter D, and altering its dynamics. Shapey's use of the registral extremes of the quintet, together with *ff* dynamics, produces a shrill, startling sonic outburst (see Ex. 4.29).

Example 4.29 Transformed tetrachord, in Ralph Shapey, *Movements* for Woodwind Quintet (1960), I, rehearsal letter F, mm. 7-11 (cf. Ex. 4.27). © 1960 Theodore Presser Co. Used by permission.

The musical score consists of five staves. The first four staves are for woodwinds (flute, oboe, clarinet, and bassoon) and the bottom staff is for the bass. The music features a transformed tetrachord motif. Dynamics include *mf*, *ff*, *f*, and *mf*. The score is divided into measures by vertical dashed lines.

In addition to his modification and combination of motives, Shapey uses aggregate completion as a structural device in *Movements*. The first of the four statements of the initial “image” (see Ex. 4.26) comprises the eight-pc chromatic set, B–F#. The bassoon supplies two additional pcs, Bb and A, in the second statement of the “image.” The final two pcs of the aggregate, Ab and G, are introduced as part of the horn’s presentation of the “image,” the third of the series (not shown). After Shapey concludes the initial statements of the “image,” the oboe presents a thematic idea that complements the arching motive, developing the motive and extending its length. This complementary idea includes a complete statement of the aggregate, along with one pc repetition, E (see Ex. 4.30).

Example 4.30 Complementary thematic idea, in Ralph Shapey, *Movements* for Woodwind Quintet (1960), I, rehearsal letter A, m. 4. © 1960 Theodore Presser Co. Used by permission.

Movement II opens with two motives that produce axial symmetry around D4. Shapey begins the movement with the bassoon's descending motive, followed by the clarinet's presentation of the ascending septuplet motive, first stated in movement I. The descending motive begins on F4, while the ascending motive begins on D4. Nevertheless, since the first pitch of the descending motive may be perceived as a decorative flourish, D4 can be considered as the initial pitch of both motives (see Ex. 4.31a). Later in the movement, Shapey presents a permutation of the ascending motive (see Ex. 4.31b). He preserves its initial shape, but reorders its pc content:

Movements, II, m. 3, clarinet (Ex. 4.31a)

D–E–D#–B–Bb–C#–C

Movements, II, rehearsal letter A, m. 3, oboe (Ex. 4.31b)

Bb–B–D#–C–D–C#–E

Example 4.31a Axial symmetry around D4, in Ralph Shapey, *Movements* for Woodwind Quintet (1960), II, mm. 1-3 (cf. Ex. 4.28). D4 is circled in both the ascending and descending motives. © 1960 Theodore Presser Co. Used by permission.

♩ = 72

The musical score for Example 4.31a consists of five staves. The top three staves (flute, oboe, and clarinet) are mostly empty with rests. The bassoon staff (fourth from top) features a descending melodic line starting with a circled D4 (D4), followed by notes G#3, F#3, E3, D3, and C#3. A dynamic marking of *mf* is present below this staff. The double bass staff (bottom) features an ascending melodic line starting with a circled D4 (D4), followed by notes E4, F#4, G#4, A4, and B4. A dynamic marking of *f* is present below this staff. The tempo is marked as ♩ = 72.

Example 4.31b Permutation of ascending motive, in Ralph Shapey, *Movements* for Woodwind Quintet (1960), II, rehearsal letter A, m. 3, oboe (cf. Ex. 4.31a). © 1960 Theodore Presser Co. Used by permission.

Oboe

The musical score for Example 4.31b shows a single staff for the oboe. It features a permutation of an ascending motive, starting with a circled D4 (D4), followed by notes E4, F#4, G#4, A4, and B4. A dynamic marking of *f* is present below the staff.

At rehearsal letter B, Shapey reintroduces the “image” that includes two tetrachords (see Ex. 4.27). He omits one of the two dyads of the second tetrachord, however. Shapey links the G–Ab leaping gesture of the first tetrachord to the initial F4–D4–C#3 gesture of the opening

bassoon motive of movement II by creating the three-note motive, G5–Ab4–F4. Both motives include ics 1 and 3. Shapey employs the new variant of the G–Ab gesture repeatedly throughout the second movement (see Ex. 4.32).

Example 4.32 Motivic variant, in Ralph Shapey, *Movements* for Woodwind Quintet (1960), II, rehearsal letter B, m. 2 (cf. Ex. 4.31a). © 1960 Theodore Presser Co. Used by permission.

Movement III presents a synthesis of ideas derived from the first two movements (see Ex. 4.33). At the inception of the third movement, the clarinet plays a decorated version of the opening motive of movement I. Shapey combines it with the twisting figure, Eb5–F#5–E5–G5, first presented during his reintroduction of the dual tetrachord “image” in the second movement (see Ex. 4.32). This figure imitates the bassoon’s flourish, C#3–E3–Eb3–F#3, part of its descending motive at the beginning of the second movement (see Ex. 4.31a). The bassoon’s counterpoint to the opening clarinet gestures of movement III, the leaping, descending figure, Db4–D3–Bb1, similarly recalls its descending motive at the beginning of the second movement.

Example 4.33 Contrapuntal development of first and second movement motives, in Ralph Shapey, *Movements* for Woodwind Quintet (1960), III, beginning (cf. Exx. 4.31a and 4.32). © 1960 Theodore Presser Co. Used by permission.

♩ = 132

Woodwind Quintet score, beginning of Movement III. The score is in 3/4 time with a tempo of 132 beats per minute. It features five staves: two for woodwinds (flute and oboe) and three for reeds (clarinet, bassoon, and contrabassoon). The woodwinds play a melodic line with triplets and slurs, while the reeds provide harmonic support with chords and triplets. Dynamics range from mezzo-forte (mf) to forte (f).

Continuation of the musical score. This section includes a first ending marked 'A'. The woodwinds continue their melodic development with triplets and slurs. The reeds play a more active role, with the clarinet and bassoon featuring triplets and slurs. The contrabassoon has a more rhythmic part with triplets. Dynamics range from mezzo-forte (mf) to forte (f).

In the third movement, Shapey employs instrumental techniques that accentuate the brilliant, sometimes deliberately shrill sound of the ensemble. Horn glissandi (marked, “rip”), first presented at rehearsal letter A, mm. 1-2 (see Ex. 4.33), are used with increasing frequency as the movement progresses. Shapey provides contrast with a brief *dolce* episode, built upon the complementary thematic idea first presented in movement I (see Ex. 4.30). At rehearsal letter F, Shapey introduces a modified version of the opening “image” of the third movement, initiated dramatically by a horn glissando. He then segues smoothly into a truncated recapitulation of movement I, which lacks a true recapitulation. *Movements* ends with a series of forceful statements of parts of the opening “image” of the third movement, each of which begins dramatically with a horn glissando. Shapey first repeats the opening elements of the “image,” then its final gesture (see Ex. 4.34a). He concludes the movement with a widely spaced *ff* chord in which he employs the registral extremes of the ensemble. The music strongly recalls the closing pages of Messiaen’s *Oiseaux exotiques* (1956) (see Ex. 4.34b).

Example 4.34a Repetition of the final gesture of the opening “image,” in Ralph Shapey, *Movements* for Woodwind Quintet (1960), III, rehearsal letter H, mm. 9-12. Note that there is no bar line at the conclusion of the piece. © 1960 Theodore Presser Co. Used by permission.

The musical score consists of five staves. The first staff is in treble clef and features a melodic line with a half note and a quarter note, followed by a half note and a quarter note, and finally a half note and a quarter note. The second staff is in treble clef and features a melodic line with a half note and a quarter note, followed by a half note and a quarter note, and finally a half note and a quarter note. The third staff is in treble clef and features a melodic line with a half note and a quarter note, followed by a half note and a quarter note, and finally a half note and a quarter note. The fourth staff is in bass clef and features a melodic line with a half note and a quarter note, followed by a half note and a quarter note, and finally a half note and a quarter note. The fifth staff is in treble clef and features a melodic line with a half note and a quarter note, followed by a half note and a quarter note, and finally a half note and a quarter note. The score includes various musical notations such as eighth notes, quarter notes, and half notes, as well as dynamic markings (f, ff) and articulation marks (accents, 'rip' marks). A 'rit.' (ritardando) marking is placed above the first staff in the third measure. The piece concludes with a final note in the third measure, marked with a fortissimo (ff) dynamic.

The Concert Arts Wind Quintet premiered *Movements* at the University of Virginia on 17 February 1960. In *The Richmond Times-Dispatch*, John White expressed his astonishment at what he had heard:

There was one more piece, and I feel quite helpless about it. Ralph Shapey's "Movements 1959" was receiving its first performance anywhere. This almost unplayable piece was the most arousing, the most surprising item of the forum and it must be heard again. The general effect is that of hearing five brilliant musicians simultaneously warming up their instruments and concentrating on the least explored registers, the ones other composers do not use.⁶⁸

In 1964, Barney Childs reviewed the score of *Movements* in *Music Educators Journal*. He juxtaposed Shapey and Stockhausen, calling *Movements* "savagely difficult. . . . With the Stockhausen [*Zeitmasse Nr. 5*], probably the hardest wind piece we have found, but musically well worth the time."⁶⁹

Reprise I: *Five* for Violin and Piano (1960)

Five for Violin and Piano (1960)⁷⁰ is linear in a way that *Evocation*, its immediate predecessor among Shapey's works for violin, is not, due to the absence of percussion. Shapey used contrasts of texture, timbre, register and density to build a musical structure, lacking the opportunity to manipulate sound within physical space that would have been provided by the spatial arrangement of a larger ensemble.

Five has five movements, which presumably give the work its name: "Recitative," "Capriccio," "Canto," "Scherzo" and "Dialogue." The symmetrical arrangement of the

⁶⁸ John White, "The Full Score: Jury Is Still Out On Newest Music," *The Richmond Times-Dispatch*, 21 February 1960.

⁶⁹ Barney Childs, "Young Performers & New Music," *Music Educators Journal* 51, no. 1 (September-October 1964): 40-42, especially 42.

⁷⁰ *Five* for Violin and Piano is unpublished. Copies of *Five* are housed in the Shapey Papers, Box 28, the circulating collection of the University of Chicago Library, and the American Music Collection of the Performing Arts Research Collections, New York Public Library.

Example 4.35b Piano chords, accompanied by leaping string figures, in Ralph Shapey, Trio for Violin, Cello and Piano (1953-55), I, mm. 1-2 (cf. Ex. 4.35a). © 1958 Theodore Presser Co. Used by permission.

Maestoso ♩ = 42 (♩ = 84)

The musical score for Example 4.35b consists of three staves: Violin, Cello, and Piano. The Violin and Cello parts are written in treble and bass clefs respectively, with a key signature of one flat (B-flat). The Piano part is written in grand staff (treble and bass clefs). The tempo is marked 'Maestoso' with a quarter note equal to 42 beats (half note = 84). The time signature is 3/4, with a change to 2+3/16 in the second measure. The Violin and Cello parts are marked 'f' (forte) and '(legato - detached)'. The Piano part is marked 'f' (forte). The score shows the first two measures of the piece, with a change in time signature from 3/4 to 2+3/16 in the second measure.

After Shapey presents the opening “image”⁷¹ of “Recitative,” he immediately restates it in altered form. The discourse quickly arrives at a point of complete stasis, a long-held diatonic cluster chord (not shown).

The centerpiece of the movement is a cadenza for violin, in which Shapey rearranges the opening music of both instruments. He employs transposition, and makes changes of register and order. In the cadenza’s concluding lines, Shapey presents a modified repetition of the violin music of page 1, systems 2-4 (see Ex. 4.36), that leads to the return of the thick, weaving piano chords originally presented at the beginning of “Recitative.” Shapey’s repetition of ideas from

⁷¹ This music can also be considered as the first half of the initial “image,” with the completed “image” resolving on the diatonic cluster chord in page 1, system 4.

the beginning of the movement in the cadenza recalls his use of a similar procedure in the concluding violin cadenza of *Evocation*.

Example 4.36 Modified repetition of the violin line of the opening “image” in the cadenza, in Ralph Shapey, *Five* for Violin and Piano (1960), I, “Recitative,” p. 3, systems 3-4 (cf. Ex. 4.35a). © 1961 Ralph Shapey. By permission of Elsa Charlston Shapey.

At the end of “Recitative,” Shapey frames the movement by reintroducing the opening “image” (not shown). Despite his use of repetition, and his technique of circling back to ideas rather than proceeding in a logical progression, Shapey fashions a structure with many traditional features in “Recitative.” He contrasts solo and ensemble writing, employs motivic development, and creates a symmetrical form.

Like “Recitative,” “Capriccio,” the second movement of *Five*, displays a structure that combines both repetition and motivic development in a manner that permits the listener to perceive a logical progression of ideas. Both the violin and piano employ varied ostinati. Shapey’s use of ostinati recalls the piano’s ostinato in the second movement of *Evocation I*, composed in the previous year. Shapey’s technique in “Capriccio” is less straightforward, however. He inserts brief windows of stasis into the musical narrative, repeatedly interpolating an ascending, leaping two-chord gesture into the piano part (see Ex. 4.37).

Example 4.37 Interpolated chordal gesture, in Ralph Shapey, *Five* for Violin and Piano (1960), II, “Capriccio,” mm. 4-5. The chordal gesture is circled in the example. © 1961 Ralph Shapey. By permission of Elsa Charlston Shapey.

4

mf *leggiero (spiccato)* *f*

leggiero mf *f*

mf *f*

8va

Windows of stasis appear with increasing frequency in the piano part as the movement progresses, gradually affecting the violin's discourse. Eventually, the violin abandons its own ostinato, and presents a sequence of short figures to accompany the piano's repetitions of a descending, leaping two-chord gesture (see Ex. 4.38).

Example 4.38 Window of stasis in the piano part, in Ralph Shapey, *Five* for Violin and Piano (1960), II, “Capriccio,” mm. 19-23. © 1961 Ralph Shapey. By permission of Elsa Charlston Shapey.

The musical score for Example 4.38 shows measures 19-23 of "Capriccio" from Ralph Shapey's *Five* for Violin and Piano. The score is in 2/4 time. The violin part (top staff) begins with a measure rest, followed by a series of eighth and sixteenth notes, including a quintuplet and a triplet. The piano part (bottom staves) consists of chords and single notes, with dynamic markings of *mf* and *f*. The bass line includes octave markings (*8va* and *8va1*).

The movement ends with a dramatic series of modular repetitions by both violin and piano that employ the ostinato patterns of both instruments, as well as the piano's ascending, leaping chordal gesture, which is reiterated seven times at the conclusion (see Ex. 4.39).

In the fourth movement scherzo, Shapey creates a mosaic-like design. The musical ideas are deprived of any developmental “dynamism,” rhythmic or thematic. The discourse proceeds by way of additive and subtractive processes. At the center of the movement are two presentations of contrary motion figures by the piano. They are first staggered rhythmically between the treble and bass of the piano by an eighth rest (m. 21), and then coordinated between the hands (mm. 24-5). The violin interjects its own statements of the piano’s descending figure as well (not shown).

The parallel between the symmetrical arch form of *Five* and Bartók’s formal strategies is reinforced by Shapey’s use of typically Bartókian articulations in the Scherzo. The violin frequently employs snap pizzicato, while the piano plays marcato chord patterns (see Ex. 4.40).

Example 4.40 Snap pizzicati and marcato chords, in Ralph Shapey, *Five* for Violin and Piano (1960), IV, “Scherzo,” mm. 37-8. © 1961 Ralph Shapey. By permission of Elsa Charlston Shapey.

The two scherzos of *Five* are separated by the central movement, “Canto,” the shortest and least musically significant of the cycle. Slowly moving gestures related to the musical ideas of the first movement, “Recitative,” are rotated around each other. The motive, Eb4–Db4–E4, provides a clear example of Shapey’s use of “Recitative” as a source for the musical ideas of

“Canto.” Shapey presents the motive in the piano part of “Canto,” coupled with the violin’s pizzicato D5, and followed by the violin’s arco E7 (see Ex. 4.41a). This passage echoes the violin’s Eb4–Db4–E4 triplet figure at the beginning of movement I, and is also related to a series of permutations of the unordered pc set, {Db, D, Eb, E}, employed by Shapey in the first movement (see Ex. 4.41b).

Example 4.41a Ralph Shapey, *Five* for Violin and Piano (1960), III, “Canto,” beginning. The Eb–Db–E motive is circled in the example (cf. Ex. 4.35a, line 2). © 1961 Ralph Shapey. By permission of Elsa Charlston Shapey.

Example 4.41b Permutations of the unordered pc set, {Db, D, Eb, E}, in Ralph Shapey, *Five* for Violin and Piano (1960), I, “Recitative,” p. 3, systems 3-4. Successive reorderings of the set are circled in the example (cf. Exx. 4.35a, 4.36 and 4.41a). © 1961 Ralph Shapey. By permission of Elsa Charlston Shapey.

The fifth movement finale is a “Dialogue” between the violin and the piano, in which ideas similar to those of the first movement are continuously reiterated. Shapey modifies these ideas by fragmenting and reordering their elements. The work ends symmetrically with the repetition of the opening page of the first movement. Shapey frames this repetition by sonorous diatonic cluster chords in the bass of the piano, which he had previously employed in both the first and last sections of movement I, and at the conclusion of movement II.

Five seems to have been bypassed by performers during Shapey’s lifetime. Violinist Miranda Cuckson and pianist Blair McMillen premiered this unknown work in 2007, recording it for the Centaur label,⁷² and playing it in concert as well.⁷³ In his review of the Shapey “portrait” concert that Cuckson presented in 2009 at Miller Theatre, Columbia University, in New York, Anthony Tommasini perceived the humor in *Five*:

Parts of the piece reveal Shapey’s plucky humor; imagine, in the Capriccio movement, that a Paganini showpiece, full of virtuosic arpeggios, has awakened confused and angry from some bad dream and erupts with sputtering violin riffs and fractured piano chords.⁷⁴

Reprise II: *Dimensions* for Soprano and 23 Instruments (1960)

Dimensions for Soprano and 23 Instruments (1960)⁷⁵ was commissioned by the Paul Fromm Foundation. The work requires an ensemble of sixteen, including a soprano, six wind and brass players, a pianist, and eight percussionists. The soprano stands at the center of the back of the stage, grouped together with the piano, tenor saxophone and contrabass in a kind of core

⁷² Ralph Shapey, *Five* for Violin and Piano. Miranda Cuckson, violin, and Blair McMillen, piano, Centaur CRC 2900 (2007).

⁷³ Miranda Cuckson played the concert premiere of *Five* with pianist Blair McMillen at the Greenwich House Music School in New York on 7 February 2008. Miranda Cuckson, email to Barry Wiener, 8 December 2012.

⁷⁴ Anthony Tommasini, “Exulting in the Orneriness of a Composer’s Composer,” *The New York Times*, 19 November 2009: C3.

⁷⁵ The score of *Dimensions* is available from the Theodore Presser Co. Rental Library.

“jazz combo.” The large array of percussion instruments, with their contrasting timbres, relates *Dimensions* to works of 1957-59 in which Shapey used percussion extensively.

Shapey provides an elaborate spatial diagram for the layout of the ensemble at the beginning of the score, similar to those that he prepared for other large ensemble and orchestral works during the late 1950s and early 1960s. The performers are divided into nine groups, positioned around the stage in a semicircle (see Fig. 4.3). Groups of percussionists are placed at the sides of the front of the stage, paired with the trumpet and French horn. The flute and oboe flank the “jazz combo,” together with the bass drums, at the back of the stage. Four additional groups of percussion instruments are divided between the left and right sides of the stage, placed in an intermediate position.

C₁, C₂, D₁, D₂ – one man each

1 Soprano

7 Instruments

8 Percussion Men

Figure 4.3 Ralph Shapey, *Dimensions* for Soprano and 23 Instruments (1960), seating plan.
© 1977 Theodore Presser Co. Used by permission.

The name, “Dimensions,” embodies Shapey’s conception of the music, which explores multiple “dimensions” of physical space, pitch space, timbre, texture and perhaps even the “inner space” of the psyche.⁷⁶ Shapey differentiates several planes of sound by timbral and spatial

⁷⁶ “[Philip Guston]’s questioning existentialist attitude . . . is described in his abstractions – physical symbols of his own relentless probing for the essence or definition of interior life. Not his own life only, but life itself.” Dore Ashton, *The Unknown Shore: A View of Contemporary Art* (Boston: Little, Brown, 1962), 65.

means (both in physical space and pitch space).⁷⁷ For example, the percussion writing explores timbral contrasts between sustained sounds and those that are not sustained, resonant and non-resonant sounds, high and low sounds, and pitched and unpitched sounds, as well as contrasts between instruments dispersed around the stage. Shapey's handling of timbre, texture and physical space in *Dimensions* is more important than specific musical ideas.

Although *Dimensions* is divided into three movements, the work actually comprises a single large form, ending with the "cadenza" for voice that comprises movement II, and a closing peroration for percussion that comprises movement III. The first movement is divided into seven episodes (see Table 4.2).

Table 4.2 Ralph Shapey, *Dimensions* for Soprano and 23 Instruments (1960): Form. Parentheses are employed when a member of the ensemble plays a minor role.

<u>Movement: Episode</u>	<u>Measure Nos.</u>	<u>Instrumentation</u>
I: 1	1-42	sop. cb., winds, brass, piano perc.
I: 2	42-65	sop. perc.
I: 3	66-92	(sop.) cb., winds [fl. solo], brass, piano perc.
I: 4	92-106	cb., sax., pno. perc.
I: 5	106-130	picc., ob., hn., tpt.
I: 6	130-148	sop. fl., E.h.
I: 7	148-162	(sop.) (cb., sax., pno.) perc.
II		sop. solo
III		sop. perc.

⁷⁷ David Gable, "Boulez's Two Cultures: The Post-War European Synthesis and Tradition," *Journal of the American Musicological Society* 43, no. 3 (Autumn 1990): 426-56.

In the first episode (mm. 1-42), all of the members of the ensemble participate in a discourse akin to that of free jazz. The musical narrative is centered around the soprano, trumpet and tenor saxophone. At the beginning of *Dimensions*, they introduce motives with which they are identified throughout the work. The tenor saxophone plays in a style that might be described as cool jazz, rather than free jazz (see Ex. 4.42).

Example 4.42 continued

3
16
 2
4
 2 1 1 3
4⁺ 16⁺ 4⁺ 16

Sop. *eh lee tzee su eh ee*
 Ten. Sax. *f*
 Pno. *f*
 Cb. *f*
 Picc.
 Ob.
 Vib. (on) *mf*
 Gongs *p*
 Tpt.
 T.-t. B.D.
 Hn.
 Timp. *p*

Musical score for Example 4.42 continued, showing vocal and instrumental parts across three measures. The score includes parts for Soprano (Sop.), Tenor Saxophone (Ten. Sax.), Piano (Pno.), Contrabass (Cb.), Piccolo (Picc.), Oboe (Ob.), Vibraphone (Vib.), Gong (Gongs), Trumpet (Tpt.), Trombone/Tuba (T.-t. B.D.), Horn (Hn.), and Timpani (Timp.). The vocal line features lyrics: "eh lee tzee su eh ee". The instrumental parts include various rhythmic patterns and dynamics such as *f*, *mf*, and *p*. Above the staff, there are complex rhythmic notations: 3/16, 2/4, and a sequence of 2, 1, 1, 3 over 4+, 16+, 4+, 16.

In the second episode (mm. 42-66), the soprano sings without the other members of the “jazz combo,” varying and elaborating the trumpet’s original motive. The soprano is accompanied by a large number of percussion instruments, positioned around the stage (see Ex. 4.43).

Example 4.43 Ralph Shapey, *Dimensions* for Soprano and 23 Instruments (1960), I, mm. 55-6 (cf. Ex. 4.42). © 1977 Theodore Presser Co. Used by permission.

The musical score for Example 4.43 consists of six staves, each representing a different instrument or voice part. The staves are labeled as follows:

- A Sop.**: Soprano voice part. It begins with a treble clef and a key signature of one sharp (F#). The melody is written in a 2/4 time signature. The lyrics are: "ay tū peh eh yeh ee ū ee yu wah ah ay la del bu sec yol". The dynamics range from *mf* to *pp*.
- B₂ B. D. M L**: B2 B.D. M L. It begins with a treble clef and a key signature of one sharp (F#). The melody is written in a 2/4 time signature. The dynamics range from *mp* to *pp*.
- C₁ Cym. H M L**: C1 Cym. H M L. It begins with a treble clef and a key signature of one sharp (F#). The melody is written in a 2/4 time signature. The dynamics range from *pp* to *mp*.
- C₂ Gong H M L**: C2 Gong H M L. It begins with a treble clef and a key signature of one sharp (F#). The melody is written in a 2/4 time signature. The dynamics range from *mp* to *p*.
- E₁ T.-t. H M L B. D.**: E1 T.-t. H M L B. D. It begins with a treble clef and a key signature of one sharp (F#). The melody is written in a 2/4 time signature. The dynamics range from *p* to *mp*.
- E₂ Timp.**: E2 Timp. It begins with a bass clef and a key signature of one sharp (F#). The melody is written in a 2/4 time signature. The dynamics range from *fp* to *mf*.

The score includes various musical notations such as notes, rests, triplets, and dynamic markings. The dynamics are indicated by *mf* (mezzo-forte), *pp* (pianissimo), *mp* (mezzo-piano), *p* (piano), and *fp* (fortissimo). The time signature is 2/4 for all parts.

The percussion instruments have only a limited role in the third episode (mm. 66-92). Within a chamber music-like texture, the other members of the ensemble again play in a style comparable to free jazz. The episode concludes with a lengthy solo for flute, the longest solo episode in *Dimensions* apart from the brief movement II, written for soprano alone.

Shapey also employs chamber music-like textures in episodes five and six (mm. 106-48). In contrast, he combines the instrumentalists of group A (tenor saxophone, piano and contrabass) with percussion in the brief fourth episode (mm. 92-106), which serves as a formal landmark within movement I. After this short passage, the percussion instruments are silent (with the exception of their momentary punctuation of the end of episode five) until the final episode of the movement.

After m. 153 of the first movement, the winds, brass and piano drop out of the ensemble for the rest of *Dimensions*. The percussionists alternate with the soprano throughout the remainder of the work. The first movement ends with a dramatic passage for the percussion instruments (mm. 154-62). They play ostinati in a long decrescendo, beginning *fff* and ending *ppp*, as the music fades into silence. After the soprano solo interlude of the second movement, the percussion instruments return in movement III to conclude *Dimensions*, with a brief postscript for soprano that recalls the end of movement II. Shapey shifts between percussion at the front and back of the stage, before employing all of the percussion instruments simultaneously in the final measures. The last two-fifths of the twenty-one minute work are thus devoted to the percussion instruments, interrupted only by the soprano solo interlude of movement II. This block-like conception of form contrasts dramatically with the structure of the first three-fifths of the work, in which all members of the ensemble participate, with contrasting passages for large ensemble, small chamber groups and percussion alone.

Although motives are associated with specific instruments in *Dimensions*, they are occasionally shared between instruments as well. Shapey creates timbral variation by reassigning motives from both pitched instruments and non-pitched percussion to the voice. He also reassigns motives from non-pitched percussion instruments to wind and brass instruments. For

example, the saxophone's characteristic motive, repeated throughout the initial episode of movement I, is transferred to the soprano in m. 39 (see Ex. 4.44). Similarly, in mm. 42-9, the bass drums of groups B₁ and B₂ repeatedly present a motive that is transferred to the soprano in m. 52 (see Exx. 4.45a and b).

Example 4.44 Saxophone motive, presented by the soprano, in Ralph Shapey, *Dimensions* for Soprano and 23 Instruments (1960), I, mm. 37-9, soprano only (cf. Ex. 4.42, tenor saxophone). © 1977 Theodore Presser Co. Used by permission.

Sop.

37 $\frac{3}{4}$ $\frac{1}{16}$ $\frac{2}{4}$ $\frac{2}{4}$ $\frac{1}{16}$ $\frac{2}{4}$ 3 3

ū tzi gah gu lah ay

mp *mf*

Example 4.45a Bass drum motive, in Ralph Shapey, *Dimensions* for Soprano and 23 Instruments (1960), I, m. 49, group B₁, bass drums only. © 1977 Theodore Presser Co. Used by permission.

B.D. H VL

49 $\frac{2}{4}$ $\frac{1}{16}$ $\frac{2}{4}$ 3 3 tr

p

Example 4.45b Bass drum motive, transferred to the soprano, in Ralph Shapey, *Dimensions* for Soprano and 23 Instruments (1960), I, m. 52, soprano only (cf. Ex. 4.45a). © 1977 Theodore Presser Co. Used by permission.

Sop.

52

2/4

3

1 16 2/4

3

yah ū peh eh yeh es yee pu wu ū

In mm. 91-2, the flute line employs the rhythmic pattern of the motive associated with the tom-toms and bass drum (see Ex. 4.46). In *Evocation I*, Shapey had used the same technique, transferring a rhythmic pattern from the percussion to the violin (see Ex. 4.5).

Example 4.46 Flute figure based on drum motive, in Ralph Shapey, *Dimensions* for Soprano and 23 Instruments (1960), I, mm. 91-2, flute only (cf. Ex. 4.42, m. 2, group E₁, tom-toms and bass drum). © 1977 Theodore Presser Co. Used by permission.

Flute

91

3/4

9

3

1 16 4/4

3

mf *mp* *mp* *mp*

┐ = quarter-tone down

Shapey does not treat his motives as fixed, unvarying figures, but modifies and develops his initial ideas as the music evolves. In m. 102, he presents a highly decorated variant of the saxophone motive that begins with the thirty-second-note triplet, Db4–Bb3–E4, part of the closing flourish in its initial statement (see Ex. 4.47).

Example 4.47 Variant of saxophone motive, in Ralph Shapey, *Dimensions* for Soprano and 23 Instruments (1960), I, mm. 102-3, tenor saxophone only (cf. Ex. 4.42, m. 5). © 1977 Theodore Presser Co. Used by permission.

102

Ten. Sax.

f

1/8 2/4 1/32 1/8 2/4 3/32 3/16

Shapey also fuses elements of different motives. In mm. 71-3, he presents a saxophone phrase that opens with an allusion to the beginning of the saxophone motive. It continues, however, with the soprano motive, in a version that concludes with the falling gesture, C5–G4 (see Ex. 4.48). The soprano had introduced this falling gesture moments before, in mm. 64-5.

Example 4.48 Fusion of saxophone and soprano motives, in Ralph Shapey, *Dimensions* for Soprano and 23 Instruments (1960), I, mm. 70-3, tenor saxophone only (cf. Ex. 4.42). © 1977 Theodore Presser Co. Used by permission.

70

Ten. Sax.

f

2/4 1/32 1/8 3/8 2/4 6/16 2/4 1/16

Despite Shapey's sophisticated and, in some ways, conventional use of motivic development, the structure of *Dimensions* is based primarily on the periodic recurrence of timbrally specific, highly recognizable motives, as well as on global contrasts of texture and timbre between clearly defined episodes. Shapey carefully juxtaposes instrumental combinations, alternating between solo, chamber and "large ensemble" textures, and rotating his sound sources around the stage. The structure of *Dimensions* represents a synthesis, in which Shapey combines

the timbral and textural contrast strategies of *Ontogeny* (1958) with the motivic variation that he employs in movement I of *Rituals* (1959).

On 13 May 1962, Shapey conducted the premieres of both *Dimensions* and Wolpe's *Piece in Three Parts* for Piano and Sixteen Instruments (1961) at the New School in New York, in a concert presented by the League of Composers-ISCM.⁷⁸ This concert was one of the most important events of Shapey's early career. In *The Musical Quarterly*, Richard F. French⁷⁹ commented,

Merely in terms of the physical energies needed to produce the noise, Shapey has written a work of enormous, primitive power whose superficial appeal is undeniable. Formally, too, the work is primitive, being a kind of frozen improvisation . . . phrases whose beginnings are clear and impulsive but whose terminations are unpredictable. The vocal line, which utilizes an "abstract" series of consonants and vowels, taxes to the full the singer's capacities for intonational and rhythmic precision, and the exertions demanded of the players are equally complex and strenuous. In the context of this program, however, the work's virtue – the comparative simplicity of its conception – began to sound like a fault, possibly because of a disproportion between the technique and the tasks it was asked to perform. It is risky, for example, to disregard the contribution that the movement of harmonies might make to the vitality of texture – or, to put it another way, absence of harmonic movement creates a kind of anti-movement that no amount of frenzy in other departments can overcome.⁸⁰

In his review, French showed little sympathy for Shapey's fundamentally Varésian orientation, focused on musical space and timbre rather than harmony. In a later issue of *The*

⁷⁸ The League of Composers and the American chapter of the International Society of Contemporary Music merged in 1954. After a hiatus of several years, the revitalized League-ISCM began to present concerts in New York in 1961. See Eric Salzman, "Music: At New School: Organization for Contemporary Works Opens Series of Concerts Here," *The New York Times*, 7 October 1961: 15; Ross Parmenter, "The World of Music: I.S.C.M. Concert 'Under the Lippolds' Will Benefit Its Downtown Series," *The New York Times*, 9 February 1964: X11; League of Composers/ISCM, "History and Past Seasons," accessed 26 May 2013, <http://leagueofcomposers.org/history/>.

⁷⁹ Richard F. French (1915-2001), musicologist, professor at Harvard, Union Theological Seminary and Yale. See "Richard French, musicologist who supported music libraries," *Yale Bulletin & Calendar* 29, no. 32 (15 June 2001), accessed 26 May 2013, <http://www.yale.edu/opa/arc-ybc/v29.n32/story20.html>.

⁸⁰ Richard F. French, in Martin Boykan, Richard F. French and Lawrence Morton, "Current Chronicle," *The Musical Quarterly* 48, no. 3 (July 1962): 385-96, especially 391.

Musical Quarterly, Donal J. Henahan described the same musical phenomena, but gave the work a much more enthusiastic reception:

Dimensions . . . is another of [Shapey's] canny excursions into sophisticated primitivism. . . . Like most of Shapey's later music, *Dimensions* disposes its instruments in satellite ensembles, each with its own character and function, and builds on a mosaic principle, first spelling out brief germinal ideas, such as the rising triplet figure by the trumpet that opens the piece, then stirring these chunks together in a variety of colorful ways. Several other triplet-obsessed figures appear over and over in new guises but intact in shape and innocent of development, sequential or otherwise. Parallel lines often are being played at different tempos, so that the music develops a sense less of fluid linearity than of rigid stratification.⁸¹

For the premiere of *Dimensions*, Shapey provided a program note that summarized the salient elements of his emerging compositional philosophy, presenting many ideas that he had discussed repeatedly during the previous years. Shapey employed a vocabulary that synthesized terminology derived from Varèse and from contemporary art. He handed out a similar sheet for all of his works of the period, including *Rituals* for Orchestra (1959) and *Incantations* for Soprano and Ten Instruments (1961):

Dimensions (1960)

. . . is one of a series of recent works dealing with my concepts of:

Music as an object in Time and Space.

Aggregate sounds structured into concrete sculptured forms.

Images existing as a totality from their inception, each a self-involved unit of individual proportions.

Related, inter-related and unrelated images organized into an organic whole.

Permutations occurring only within each self-contained unit.

Varied phases resulting from the juxtapositions of designs.

Imposed discipline by ritualistic reiteration.

⁸¹ Donal J. Henahan, in Donal J. Henahan, Arthur Custer, John S. Weissmann and Wolf-Eberhard von Lewinski, "Current Chronicle," *The Musical Quarterly* 53, no. 2 (April 1967): 246-69, especially 249-50.

The voice projected as an instrument, using syllables in organized sound-structures.⁸²

A few weeks after the concert, *New York Times* chief music critic Harold C. Schonberg⁸³ gently satirized Shapey's statement of principles:

Up to now composers writing about their own work have generally avoided the fantastic prose encountered in art magazines and exhibition catalogues. But the rapprochement is at hand, and the commonwealth of art interlocks all the more sturdily.⁸⁴

Schonberg's teasing indicated that Shapey had finally gained recognition as an important figure within the American music world.

From Private Thoughts to Public Statements

At the end of 1958, Shapey felt compelled to put his compositional philosophy into words, even if those words were meant only for his own use. During the years 1959 to 1965, he produced a series of statements about his compositional technique that were meant for public consumption. Among these documents are the brief declaration of his compositional principles discussed above, used in program notes for several pieces of the period, including *Rituals*, *Incantations* and *Dimensions*;⁸⁵ the program note for *Form* for Piano;⁸⁶ the statement, "Some Basic Concepts About My Work," used in Shapey's CRI jacket notes for *Evocation*;⁸⁷ the answers to questions about his compositional ideas posed by Stefan Wolpe in March 1960, later

⁸² "Remarks by the Composers," program notes, concert at The New School for Social Research, New York, Sunday 13 May 1962; Arrand Parsons, program notes for the Chicago Symphony Orchestra concerts of 12 and 13 May 1966, Chicago Symphony Orchestra concert program, 11. See chapter 4, note 13.

⁸³ Harold C. Schonberg (1915-2003), chief music critic of *The New York Times* from 1960-80. See Allan Kozinn, "Harold C. Schonberg, 87, Dies; Won Pulitzer Prize as Music Critic for The Times," *The New York Times*, 27 July 2003: N29.

⁸⁴ Harold C. Schonberg, "Words, Words," *The New York Times*, 1 July 1962: 67.

⁸⁵ It was later employed in Shapey's jacket notes for the recording of *Rituals* for Symphony Orchestra (1959), CRI SD 275 (1972).

⁸⁶ Ralph Shapey, program note, *Form* for Piano. Shapey Papers, Box 93.

⁸⁷ Ralph Shapey, *Evocation* [No. 1] for Violin, with Percussion and Piano, CRI 141 (1961); Shapey, "Some Basic Concepts About My Work," 29 November 1960. Shapey Papers, Box 93.

published in *Sonus*;⁸⁸ a lecture on rhythm, presented at Yale;⁸⁹ and William Mathieu's interview with Shapey about free jazz, part of which was published in *Down Beat's Music '66*.⁹⁰ In these documents, Shapey discusses his ideas about pitch organization, rhythm, pitch space, physical space and form.

“‘A Composer is an Architect in Sound, Time and Space’ (Questions Submitted to Shapey by Wolpe, March-1960)”⁹¹ is a statement of Shapey's compositional principles more detailed than anything that he had previously attempted. It illustrates Shapey's subtle shift from a stress on the repetition of unchanging motives to a new conception of dynamic developmental processes, a change manifest in *Movements* for Woodwind Quintet (1959-60), completed two months earlier. Shapey's use of strongly defined motives enabled him to produce innumerable variations of his ideas that were clearly related, generating both contrast and coherence in his music.

Wolpe's provocative question, “Are you tired of pitch structures, loose or fixed ones?”⁹² permitted Shapey to discuss his interest in the spatial manipulation of sound masses and his de-emphasis on the parameter of pitch:

Up to now I have dealt with them through several means: forced them into unholy alliances, destroyed their individuality into a mass and proceeded to work on the basis of a group of pitches or non-pitches as a prior situation of masses; rotated them within themselves in order to “freeze” them into space.⁹³

⁸⁸ Ralph Shapey, “‘A Composer is an Architect in Sound, Time and Space’ (Questions Submitted to Shapey by Wolpe, March-1960),” *Sonus* 21, no. 1 (2000): 1-5.

⁸⁹ Ralph Shapey, “Lecture on Rhythm Given at Yale University,” undated (ca. 1963). Shapey Papers, Box 10.

⁹⁰ William Mathieu, “Point of Departure: A Discussion Between Composers Ralph Shapey and Bill Mathieu,” *Down Beat's Music '66* (1966): 32-4, 37, 106.

⁹¹ Ralph Shapey, “A Composer is an Architect in Sound, Time and Space.”

⁹² Shapey, “A Composer is an Architect in Sound, Time and Space,” 2. Wolpe's terminology, “loose or fixed ones,” refers to unordered and ordered pitch structures, respectively.

⁹³ Ibid.

Shapey's language evokes the use of sound masses in contemporaneous works such as Ligeti's *Atmosphères* (1961) and Penderecki's *Threnody to the Victims of Hiroshima* (1960). A careful reading of Shapey's responses to Wolpe's questions indicates that he was deeply interested in traditional techniques of pitch manipulation, however:

By extending, contracting, verticalizing, inverting, redeploing, refocusing of the materials, the same state of being and its varied phases can move on diverse time and space differentials.⁹⁴

Shapey explained this seeming contradiction by insisting that all musical ideas in each of his compositions are merely "permutations" of an "initial 'image.'"⁹⁵ Consequently, he denied that his music embodies traditional processes of "development."⁹⁶

Shapey connected his ideas about motivic manipulation to his belief that sound, as a compositional parameter, cannot be isolated from the parameters of time and space:

"Sound to me is closely related to its time factor and spatial relationships as expressed in its organic design."⁹⁷ This concept was of such overriding importance to Shapey that he inserted it into the title that he chose for his dialogue with his teacher.

The tension within Shapey's philosophy unerringly reflects his use of an unstable mixture of language and compositional concepts derived from Wolpe and Varèse. Shapey's discussion of sound masses, space and time can be traced to the polemical verbal formulations of Varèse, while his description of the manipulation of motives employs language characteristic of Wolpe.⁹⁸ The document as a whole faithfully reflects the trend of Shapey's thought.⁹⁹ In the following

⁹⁴ Shapey, "A Composer is an Architect in Sound, Time and Space," 3.

⁹⁵ Ibid.

⁹⁶ Ibid., 4.

⁹⁷ Ibid., 1.

⁹⁸ See Clarkson, "Ralph Shapey's Apprenticeship."

⁹⁹ Shapey drew heavily on this text in the slightly later statement, "Some Basic Concepts About My Work."

years, Shapey would attempt to create a synthesis of the ideas and compositional techniques of Wolpe and Varèse.

CHAPTER 5: COMPOSITIONAL SYNTHESIS, 1961-63

In the early 1960s, Shapey combined concepts derived from disparate sources into a coherent and masterly style. Shapey's use of Wolpe's compositional procedures provided the framework for his fusion of Varèse's spatial and timbral ideas, the loose give-and-take of free jazz, Messiaen's rhythmic techniques and melodic gestures, and Schoenberg's harmonic structures. In the works of this period, Shapey created a subtle, flexible and powerful language, in which all of the elements of his compositional vocabulary, including his use of pitch, timbre, space (both physical space and pitch space) and form are mutually reinforcing. Shapey's reintegration of traditional techniques of motivic development into his overall conception of "objects" or "images" that move in musical and physical space – already visible in *Movements* for Woodwind Quintet (1960) – provided the final element of his grand compositional synthesis (see Table 5.1).

Table 5.1 Ralph Shapey: Chronology, 1961-63

<i>Incantations</i> for Soprano and Ten Instruments	4 Jan.–27 Feb. 1961
Premiere: <i>Incantations</i> , Shapey, cond., Composers Forum, Donnell Library Auditorium, NY	22 April 1961
<i>Discourse I</i> for Four Instruments	12 July–11 Aug. 1961
Recording: <i>Evocation No. 1</i> (1959), CRI 141	1961
<i>Convocation</i> for Chamber Group	26 Jan.–16 Feb. 1962
Piece for Violin and Instruments	16 Dec. 1961–20 Mar. 1962
Brandeis University Creative Arts Citation	18 Mar. 1962
Recording: Milton Babbitt, Comp. for Twelve Instr., Shapey, cond., Son-Nova LP	1962
Premieres: <i>Dimensions</i> (1960) and Wolpe, Piece for Pno. and Sixteen Instr., Shapey, cond., New School, NY	13 May 1962
Chamber Symphony for Ten Solo Players	15 July–29 Sept. 1962
<i>Birthday Piece for Stefan Wolpe</i> for Piano	7 Nov.–5 Dec. 1962
Premiere: <i>Dichotomy</i> , choreographic work by Pearl Lang; music: Shapey, <i>Evocation No. 1</i>	20 April 1963
<i>Seven</i> for Piano Four Hands	10 June–7 July 1963
Brass Quintet	30 June 1962–22 July 1963
String Quartet No. 6	26 July–21 Aug. 1963

Shapey's professional progress as a composer was matched by his growing career as a conductor of new music. In 1961, he became the conductor of the League of Composers-ISCM (known informally as the League-ISCM), a development hailed by Paul Henry Lang in his *New York Herald Tribune* review of a concert conducted by Shapey that included performances of Webern's Concerto, Op. 24, Babbitt's Composition for Twelve Instruments (1948; 1954) and Varèse's *Octandre*:

The International Society for Contemporary Music (U. S. branch) is back in business. Led by an able and enthusiastic group of fine musicians, it should add zest to our musical life. . . .

The concert introduced a musician in the person of Ralph Shapey, the conductor, who impressed with a musicianship one does not often encounter. His knowledge of these difficult scores was as extraordinary as it was absolute; Mr. Shapey is a man to watch—who said that there are no American conductors who can rival their European colleagues?¹

Shapey's performance of Milton Babbitt's Composition for Twelve Instruments led to his recording of the work on a Son-Nova LP in 1962.² The LP was Shapey's first recording as a conductor. It was only the second recording by a conductor of an ensemble piece by Babbitt.³

Shapey's accomplishments as a composer and conductor led to other professional opportunities. In November–December 1962, he presented a series of lectures under the auspices of The Fine Arts Workshop, Inc., entitled, "Motivations of Twentieth Century Music." According to his press release for the lectures, Shapey intended to "give the music lover an approach [to] and further understanding of contemporary music," covering topics including "discussion of general aesthetics," "historical viewpoint," and "music from Wagner to the

¹ Paul Henry Lang, "Music: Contemporary Society: The Hartt Chamber Players," *The New York Herald Tribune*, 7 October 1961: 5.

² *Music of Mel Powell and Milton Babbitt*, Bethany Beardslee, soprano, Robert Helps, piano, Ralph Shapey, cond., Son-Nova Records (no catalogue no.) (1962).

³ The first commercial recording of a work by Milton Babbitt was a performance of *All Set*, conducted by Gunther Schuller, in *Modern Jazz Concert: Brandeis Jazz Festival*, Columbia WL 127 (1957), with jazz ensembles conducted by Schuller and George Russell.

electronic composers.”⁴ In addition, dancer and choreographer Pearl Lang⁵ employed Shapey’s *Evocation No. 1* for Violin, with Percussion and Piano (1959), in her work, *Dichotomy*,⁶ premiered by the Pearl Lang Dance Theater at the Fashion Institute of New York on 20 April 1963.⁷ Lang seems to have used the new CRI recording of *Evocation I* (at the time the only recording of a work by Shapey) for her performances of *Dichotomy*, rather than live music.⁸ In *Dance Magazine*, Marcia Marks differentiated between the three sections of *Dichotomy*, “Exterior,” “Interior I” and “Interior II.” She commented, “[T]he jangle of a telephone bell seemed to echo now and then through Ralph Shapey’s clangorous ‘Exterior’ score, but a solo violin alternating with percussion created a new texture for ‘Interior.’”⁹ Music and dance critic Robert Sabin¹⁰ provided an enthusiastic evaluation of Shapey’s contribution to *Dichotomy* in *Dance Observer*, writing, “Ralph Shapey’s music -- piano, percussion and violin -- mirrors the

⁴ Press release for lecture series presented by Shapey, entitled, “Motivations of Twentieth Century Music.” Shapey Papers, Box 93.

⁵ Pearl Lang (1921-2009), dancer and choreographer. She was a student of Martha Graham and danced in her company. Lang founded the Pearl Lang Dance Theater in 1952. See Jack Anderson, “Pearl Lang, 87, Dancer and Choreographer,” *The New York Times*, 27 February 2009: A21.

⁶ Lang alternately entitled her choreographic work *Dichotomy* and *Broken Dialogues*. The program and reviews of the 1963 premiere labeled the work as *Dichotomy*. On the title, see Library of Congress Name Authority File, “Broken dialogues (Choreographic work: Lang),” accessed 30 July 2013, <http://id.loc.gov/authorities/names/n97820739.html>.

⁷ Allen Hughes, “The Dance: Pearl Lang/She Leads Troup of 12 in ‘Dichotomy’ and ‘Persephone’ at Fashion Institute.” *The New York Times*, 22 April 1963: 22.

⁸ Thanks to Arlene Yu, Specialist, Archive of the Recorded Moving Image, Jerome Robbins Dance Division, The New York Public Library for the Performing Arts, for providing reviews by dance critics of the premiere of *Dichotomy*, permitting me to identify the recording of Shapey’s music employed by Pearl Lang.

⁹ Marcia Marks, “Pearl Lang; Fashion Institute [New York], April 20, 1963.” *Dance Magazine* 37, no. 6 (June, 1963): 64-5, especially 64.

¹⁰ As a young man, Sabin studied music at the Eastman School and the University of Leipzig. He also studied dance with Martha Graham. He was later chief editor of the magazine, *Musical America*, and an editor of *Dance Observer*. See “Robert Sabin, Critic and Music Editor, 57,” *The New York Times*, 20 May 1969: 47.

wild fantasy of the movement, not literally but in a subtler and more organic way. The flickering wisps of tone take on weird shapes, just as the dancers get into equally weird positions.”¹¹

“Objects Moving in Space” I:

***Incantations* for Soprano and Ten Instruments (1961) and the Piece for Violin and Instruments (1962)**

Incantations (1961), a four-movement work for soprano, cello, trumpet, alto saxophone, French horn, piano and two percussionists,¹² can be perceived as a smaller and more intimate companion piece to *Dimensions* for Soprano and 23 Instruments (1960). It is dedicated to soprano Bethany Beardslee,¹³ one of the leading new music performers of the 1950s, 1960s and 1970s. On 22 April 1961, Beardslee premiered *Incantations* with Shapey conducting, at McMillin Theater, Columbia University, in New York.

The instrumentation of *Incantations*, like that of *Rituals* for Orchestra (1959) and *Dimensions*, is reminiscent of free jazz ensembles. In comparison to the earlier works, Shapey’s use of the timbres, rhapsodic rhythms and improvised polyphonic interplay of free jazz is more sophisticated, and more carefully integrated into his compositional vocabulary. The music is organized around the parameters of pitch space, physical space, timbre and texture. Shapey creates the perception of a vast musical space by his use of free, often rhapsodic rhythms, as well as by his use of the vivid timbres of percussion instruments, including cymbals and gongs. The soprano acts as a member of the instrumental ensemble, singing wordless vocables rather than a text.¹⁴ As in the earlier *Dimensions*, Shapey may have intended to evoke jazz by his use of

¹¹ Robert Sabin, “Pearl Lang and Company; New York, Fashion Institute, April 20, 1963,” *Dance Observer* 30, no. 7 (August/September 1963): 106.

¹² The score of *Incantations* is available from the Theodore Presser Co. Rental Library.

¹³ Bethany Beardslee (b. 1925). Beardslee is particularly associated with the music of Schoenberg and Babbitt.

¹⁴ The “voice [is] projected as an instrument, using syllables in organized sound-structures.”

wordless vocables for the soprano. Shapey's use of a wordless text in *Incantations* may also be a reaction to his lack of success when he employed Hamlet's soliloquy in *Soliloquy* for Narrator, String Quartet and Percussion (1959).¹⁵

In *Incantations*, the soprano is paired with the cello both onstage and in the musical discourse. The trumpet, alto saxophone, French horn and piano are positioned across the back of the stage. Percussion instruments are positioned on both sides of the stage: five timpani and cymbals to the right, tom-toms, irons and two gongs to the left. Like the core ensemble of *Dimensions*, the ensemble of *Incantations* can be perceived as an expanded jazz group, not only because of the composer's choice of instruments, but because of the interaction of the voice, "horns" and percussion in the work within a rhythmically free and spatially (within physical space) wide context (see Fig. 5.1).

Ralph Shapey, quoted in Carter Harman, jacket notes, Shapey, *Incantations* for Soprano and Ten Instruments (1961), Easley Blackwood, piano, Bethany Beardslee, soprano, Contemporary Chamber Players of the University of Chicago, Ralph Shapey, conductor, CRI 232 (1969).

¹⁵ "That Mr. Shapey intended a deep interpretation of the text is beyond doubt, but it didn't work. The over-familiar words have been underscored enough for us without the pounding of a tympani to punctuate them at irregular intervals." Eric Salzman, "Musical Query Raises Question: 'To Be or Not to Be?' Read With Strings, Percussion Backing at 'Y' Concert," *The New York Times*, 19 November 1959: 43.

Figure 5.1 Ralph Shapey, *Incantations* for Soprano and Ten Instruments (1961), seating plan. © 1977 Theodore Presser Co. Used by permission.

The formal shape of *Incantations* is unbalanced, with the first of the four movements comprising fully half the work. The opening movement is divided into three main sections, of which the second is the most elaborate and dramatic. The middle movements may be characterized as a brief intermezzo and scherzo. They are followed by the quiet, lyrical finale. The first movement is the only one in which Shapey employs the full ensemble. In the boisterous third movement, the voice is omitted, while the trumpet plays in a “quasi-improvisatory”

manner, accompanied by ostinati. Delicate percussion sounds accompany the humming of the soprano in the fourth, final, movement.

The spatial arrangement of the ensemble reflects the structure of *Incantations*. Musical activity radiates outward from the paired soprano and cello. Movement I exhibits a carefully planned arrangement of sound blocks. The movement can be divided into three loosely defined episodes, or “waves of activity,” each of which begins with a passage in which the soprano and cello take a leading role (see Table 5.2).

Table 5.2 Instrumental Groupings in Ralph Shapey, *Incantations* for Soprano and Ten Instruments (1961), I: Three “Waves” of Activity

<u>Measure Nos.</u>	<u>Instrumentation</u>
1-23	Soprano and cello, with piano, saxophone, horn, trumpet and percussion
24-9	Piano, saxophone, trumpet and percussion
30-4	Soprano and cello
35-44	Piano solo
45-60	Gradual expansion of ensemble
61-7	Dramatic climax: saxophone, horn, trumpet and percussion (see mm. 24-9)
68-77	Soprano and cello
78-93	Piano and percussion added to ensemble; cello silent after m. 82
94-9	Percussion alone
100-1	Soprano and piano

Incantations opens with a low-pitched gong tremolo that continues throughout the first nine measures. The gong tremolo serves as the backdrop for a dialogue between the soprano and cello, in which the soprano sings a highly melismatic motive, while the cello plays a motive that includes multiple-stop chords (see Ex. 5.1). This dialogue is interrupted in mm. 10-1 by an

ensemble consisting of the low gong, irons and piano (playing cluster chords in the low bass) as well as the trumpet, which introduces one of the central motives of *Incantations* (see Ex. 5.2). The combination of piano cluster chords with the timbres of the gong and irons produces a soundscape reminiscent of section II of the orchestral *Ontogeny* (1958), which had not yet been performed when Shapey composed *Incantations*.

Example 5.1 Soprano-cello dialogue, in Ralph Shapey, *Incantations* for Soprano and Ten Instruments (1961), I, mm. 1-4. © 1977 Theodore Presser Co. Used by permission.

Sounds as written

$\text{♩} = 44$

Rear Alto Sax

Piano

Left Horn in F

Tom-toms H
M
L

I Man Irons H
M
L

Gongs H
L

Right Trumpet in B $\flat$

5 Timpani

I Man Cymbals H
L

Front Soprano

Cello

ah ah ah bah lah dah bee del li ee ay yay i u oh ah

mp *f* *p* *n.v.*

~ = upbeat
/ = downbeat

Example 5.2 Trumpet motive, embedded within a percussive soundscape, in Ralph Shapey, *Incantations* for Soprano and Ten Instruments (1961), I, mm. 10-1 (cf. Ex. 3.39). © 1977 Theodore Presser Co. Used by permission.

A

10 $\frac{1}{4}$ $\frac{3}{16}$ $\frac{1}{4}$

Pno.

8va

8va

Lea.

Irons

Gongs

ff $\circ \rightarrow$

Tpt.

f

Sop.

f ee

Vc.

f

Slow gliss. of "c" str. peg - - - - -

$\circ \rightarrow$ = Let ring

Example 5.2 continued

11 $\frac{3}{4}$ **1**
16

Pno. $(8^{va})^{-1}$ (Let die out)

Irons $\ast$

Gongs $\frac{3}{4}$ **f** (ϕ) $\frac{1}{16}$

Tpt. 5 3

Sop.

Vc. ϕ

to loosen "c" str. with enough tension to sound $\longrightarrow$ -----

In *Incantations*, Shapey creates large structures by repeating motives, often with subtle changes. He does not treat the motives as unchanging “objects.” Rather, they are continually modified throughout the work. For example, the original version of the cello motive has two parts. A leaping gesture is followed by an arching succession of single notes and chords (see Ex. 5.3a). Halfway through the first movement, Shapey presents a variant of the motive in which some details of the opening gesture are changed, while the second part retains only a general resemblance to its original form. This resemblance is based on the presence of triplets and the prominence of the pcs, C, D, and A, in both variants of the motive (see Ex. 5.3b).¹⁶

Example 5.3a First statement of cello motive, in Ralph Shapey, *Incantations* for Soprano and Ten Instruments (1961), I, m. 4, cello only. © 1977 Theodore Presser Co. Used by permission.

Example 5.3b Variant of cello motive, in Ralph Shapey, *Incantations* for Soprano and Ten Instruments (1961), I, mm. 56-7, cello only. © 1977 Theodore Presser Co. Used by permission.

¹⁶ For a detailed discussion of Shapey’s use of modified repetition in *Incantations*, see chapter 7.

The stentorian motive introduced by the trumpet in m. 10 (see Ex. 5.2) functions as an identifiable “image,” undergoing less development than the soprano and cello motives over the course of *Incantations*. Like the opening gesture of the cello motive, the first half of the trumpet motive is sometimes presented independently. Shapey often rearranges the order of pcs within its descending triplet. He does not transpose the figure or change its rhythm. Shapey does not alter the pc content of the first half of the motive, except to make the kinds of small changes that can be subsumed under the rubric of near repetition. In contrast, Shapey never repeats the soprano motive in its original form, subjecting it to development throughout the first movement. The trumpet, horn and saxophone, along with the soprano soloist, present variants of the soprano motive. For example, in m. 27, the trumpet and timpani divide the trumpet motive. The timpani reorder the descending triplet that closes the first half of the trumpet motive, transforming the pc sequence, D–C–F#, into D–F#–C. The saxophone plays a series of improvisatory gestures based on the soprano motive. In addition, the piano states the three-chord motive, C4/C#4/Eb4–B3/D4/Eb4–C4/C#4/Eb4 (see Ex. 5.4).

Example 5.4 Superimposed motives, in Ralph Shapey, *Incantations* for Soprano and Ten Instruments (1961), I, m. 27. © 1977 Theodore Presser Co. Used by permission.

27

A. Sax

Pno.

T.-t.

Gongs

Tpt.

Timp.

gliss. gliss. gliss. gliss.

f $\frac{1}{8}$ $\frac{3}{16}$ $\frac{2}{4}$ $\frac{3}{16}$ $\frac{1}{4}$ $\frac{1}{16}$

f $\frac{5}{4} + \frac{1}{16}$ $(cresc.)$ f

$\text{quarter-tone trill; wide vibrato } (\uparrow = \text{up}; \downarrow = \text{down})$

$\circ \rightarrow = \text{Let ring}$

$\emptyset = \text{Cut sound off}$

In mm. 35-44, the piano develops the three-chord motive (see Ex. 5.5). This passage is the only piano solo in *Incantations*. Its unique timbre helps to delineate the form of movement I, and highlights the structural importance of the piano motive within the four-movement work.

Example 5.5 Development of the three-chord piano motive, in Ralph Shapey, *Incantations* for Soprano and Ten Instruments (1961), I, mm. 35-6. © 1977 Theodore Presser Co. Used by permission.

(in a languid manner)

Pno. *p*

8va
sempre legato

* do not conduct

After the piano solo, the soprano is paired successively with the trumpet and cello before Shapey reintroduces the percussion instruments, creating a dramatic climax that concludes the second episode. The saxophone, horn and trumpet play variants of the soprano motive (see Ex. 5.6). The saxophone's extended "riff" on the soprano motive in this passage is reminiscent of its music in the climax at the end of the first episode.

Example 5.6 Saxophone, horn and trumpet variants of the soprano motive, in Ralph Shapey, *Incantations* for Soprano and Ten Instruments (1961), I, m. 63 (cf. Ex. 5.4). © 1977 Theodore Presser Co. Used by permission.

The musical score for Example 5.6 consists of seven staves, each representing a different instrument or percussion part. The staves are labeled on the left: A. Sax., Hn., Irons, Gongs, Tpt., Timp., and Cym. The score is written in 2/4 time, with measures 63, 16, 24, and 16 indicated above the staves. The A. Sax. staff begins with a rest, followed by a series of notes and rests, including a triplet. The Hn. staff features a triplet of eighth notes, a 'rip' marking, and a triplet of eighth notes. The Irons staff has a rest, followed by a triplet of eighth notes, and a 'rip' marking. The Gongs staff shows a triplet of eighth notes, a 'rip' marking, and a triplet of eighth notes. The Tpt. staff starts with a rest, followed by a triplet of eighth notes, a 'rip' marking, and a triplet of eighth notes. The Timp. staff has a rest, followed by a triplet of eighth notes, a 'rip' marking, and a triplet of eighth notes. The Cym. staff shows a triplet of eighth notes, a 'rip' marking, and a triplet of eighth notes. The score includes various musical notations such as rests, notes, triplets, and dynamic markings like *mf* and *f*.

Shapey reinforces the formal parallel at the conclusion of the second episode by an additional formal parallel in the following measures. The third episode begins, like the second, with music for soprano and cello (mm. 70-7). The movement ends with a passage for percussion alone (mm. 94-9), followed by the pairing of soprano and piano (mm. 100-1). The soprano states a variant of its motive, while the piano echoes the widely spaced figures and irregular rhythms of its extended solo (see Ex. 5.7).

Example 5.7 Juxtaposition of soprano and piano motives, in Ralph Shapey, *Incantations* for Soprano and Ten Instruments (1961), I, mm. 100-1. © 1977 Theodore Presser Co. Used by permission.

100

Piano

Soprano

mp

p

p (c)

5/4 4/4

8va

ū ū ū ū oh ū

In the second movement, the soprano, cello and piano serve as the core ensemble. The movement has an ABA form. Shapey begins by repeating the piano solo passage of movement I, verbatim (see Ex. 5.5), but now accompanied by the soprano and cello. The cello combines the upward leap of the opening gesture of its motive with the arching lines of the soprano motive (see Ex. 5.8).

Example 5.8 Melding of the opening gesture of the cello motive with the soprano motive, in Ralph Shapey, *Incantations* for Soprano and Ten Instruments (1961), II, m. 2, cello only (cf. Exx. 5.1 and 5.3a). © 1977 Theodore Presser Co. Used by permission.

Cello

mf *dolce*

3/8 1/4 3/16

In the central episode, Shapey presents a static construction. The piano music of the opening measures of movement II is reduced to its essence, the three-chord piano motive.

Shapey employs the motive as an ostinato, presented (to recall the title of the work) in an “incantatory” manner. It is accompanied by cymbals, gong and saxophone, which also play ostinati (see Ex. 5.9).

Example 5.9 Static construction, in Ralph Shapey, *Incantations* for Soprano and Ten Instruments (1961), II, mm. 18-20. © 1977 Theodore Presser Co. Used by permission.

The musical score for Example 5.9 consists of four staves: A. Sax., Pno., Gongs, and Cym. The time signature is 3/4. The score is divided into three measures: 18, 19, and 20. Measure 18 shows the A. Sax. staff with a whole rest, the Pno. staff with a triplet of eighth notes, and the Gongs and Cym. staves with whole rests. Measure 19 shows the A. Sax. staff with a whole rest, the Pno. staff with a triplet of eighth notes, and the Gongs and Cym. staves with a triplet of eighth notes. Measure 20 shows the A. Sax. staff with a triplet of eighth notes, the Pno. staff with a triplet of eighth notes, and the Gongs and Cym. staves with a triplet of eighth notes. The score includes dynamic markings such as *f*, *mf*, and *mf*. Performance instructions for cymbals and gongs are provided at the bottom: *1 = choke cym. after each stroke, and *2 = slap reed with tongue.

*1 = choke cym. after each stroke.
 *2 = slap reed with tongue.

The soprano and cello are silent during the third movement. Perhaps evoking a jam session, Shapey produces a raucous polyphony of ostinati for the horns, piano and percussion, while the trumpet plays an evolving melodic line. The piano ostinato is based on the initial presentation of the three-chord motive in movement I. The saxophone employs an abbreviated version of its first movement “riff” on the soprano motive (see Ex. 5.10).

Example 5.10 Trumpet solo accompanied by ostinati, in Ralph Shapey, *Incantations* for Soprano and Ten Instruments (1961), III, m. 4 (cf. Ex. 5.4). © 1977 Theodore Presser Co. Used by permission.

The musical score is for Example 5.10, a trumpet solo accompanied by ostinati. The score is written for the following instruments: A. Sx. (Alto Saxophone), Pno. (Piano), Hn. (Horn), T.-t. (Trombone), Irons (Ironing Board), Gongs, Tpt. (Trumpet), Timp. (Timpani), and Cym. (Cymbal). The score is in 3/16 time, with a key signature of one flat (B-flat). The tempo is marked 'A' and the meter is 5/16. The score is divided into two systems. The first system includes the A. Sx., Pno., Hn., T.-t., Irons, and Gongs. The second system includes the Tpt., Timp., and Cym. The score includes various musical notations such as notes, rests, and articulation marks. The A. Sx. part is marked with a forte 'f' dynamic and includes the instruction 'intensity but less sound – do not cover tpt.' The Pno. part is marked with a forte 'f' dynamic and includes the instruction 'intensity but less sound – do not cover tpt.' The Hn. part is marked with a forte 'f' dynamic and includes the instruction 'intensity but less sound – do not cover tpt.' The T.-t. part is marked with a forte 'f' dynamic and includes the instruction 'intensity but less sound – do not cover tpt.' The Irons part is marked with a forte 'f' dynamic and includes the instruction 'intensity but less sound – do not cover tpt.' The Gongs part is marked with a forte 'f' dynamic and includes the instruction 'intensity but less sound – do not cover tpt.' The Tpt. part is marked with a forte 'f' dynamic and includes the instruction 'intensity but less sound – do not cover tpt.' The Timp. part is marked with a forte 'f' dynamic and includes the instruction 'intensity but less sound – do not cover tpt.' The Cym. part is marked with a forte 'f' dynamic and includes the instruction 'intensity but less sound – do not cover tpt.' The score also includes various musical notations such as notes, rests, and articulation marks. The A. Sx. part is marked with a forte 'f' dynamic and includes the instruction 'intensity but less sound – do not cover tpt.' The Pno. part is marked with a forte 'f' dynamic and includes the instruction 'intensity but less sound – do not cover tpt.' The Hn. part is marked with a forte 'f' dynamic and includes the instruction 'intensity but less sound – do not cover tpt.' The T.-t. part is marked with a forte 'f' dynamic and includes the instruction 'intensity but less sound – do not cover tpt.' The Irons part is marked with a forte 'f' dynamic and includes the instruction 'intensity but less sound – do not cover tpt.' The Gongs part is marked with a forte 'f' dynamic and includes the instruction 'intensity but less sound – do not cover tpt.' The Tpt. part is marked with a forte 'f' dynamic and includes the instruction 'intensity but less sound – do not cover tpt.' The Timp. part is marked with a forte 'f' dynamic and includes the instruction 'intensity but less sound – do not cover tpt.' The Cym. part is marked with a forte 'f' dynamic and includes the instruction 'intensity but less sound – do not cover tpt.'

A. Sx. **f** intensity but less sound – do not cover tpt.

Pno. **f** intensity but less sound – do not cover tpt.

Hn. **f** intensity but less sound – do not cover tpt.

T.-t. **f** intensity but less sound – do not cover tpt.

Irons **f** intensity but less sound – do not cover tpt.

Gongs **f** intensity but less sound – do not cover tpt.

Tpt. **f** intensity but less sound – do not cover tpt.

Timp. **f** intensity but less sound – do not cover tpt.

Cym. **f** intensity but less sound – do not cover tpt.

Quasi improvisatory (in a talking manner)

(No 3)

Example 5.10 continued

The musical score for "The Great Wall" by John Williams is presented for a full orchestra. The score is divided into two systems. The first system includes the Saxophone (A. Sx.), Piano (Pno.), Horn (Hn.), Trombone (T.-t.), Irons, Gongs, Trumpet (Tpt.), Timpani (Timp.), and Cymbals (Cym.). The second system includes the Saxophone (A. Sx.), Piano (Pno.), Horn (Hn.), Trombone (T.-t.), Irons, Gongs, Trumpet (Tpt.), Timpani (Timp.), and Cymbals (Cym.). The score features various musical notations, including notes, rests, and articulation marks. The tempo is marked as 5/16 and 6/8. The dynamics are marked as 8va and 3. The score includes a "rip" articulation mark on the Horn part. The Cymbals part includes a "No 3" marking. The score is written for a full orchestra, including strings, woodwinds, brass, and percussion.

In contrast to the cacophony of the third movement, the fourth and final movement of *Incantations* is both dynamically and timbrally restrained, with the soprano often humming rather than singing. Quiet touches of cymbals, gongs and tom-toms evoke a spatially wide soundscape. Shapey uses the gongs in movement I to create a “sustaining pedal” that underpins the ensemble. In the final movement, he uses both cymbals and gongs to give the music a floating quality (see Ex. 5.11). The beginning and end of *Incantations* are linked by Shapey’s use of quiet percussion sounds as a background for the soprano soloist.

Example 5.11 Soprano “recitative” with percussion accompaniment, in Ralph Shapey, *Incantations* for Soprano and Ten Instruments (1961), IV, beginning. © 1977 Theodore Presser Co. Used by permission.

♩ = 44

T.-t.

Gongs

Cym.

Sop.

Recitative (in a thoughtful, dream-like manner)

mp (*sotto voce*)
(hum)m m m

sempre mp to mf

* + = closed mouth; o = open mouth

* Conduct cues

The resonant, shimmering sounds of the gongs and cymbals define some of the climactic moments of *Incantations*. Shapey’s vivid timbres do not, however, define the musical discourse

of the work as a whole. In *Incantations*, Shapey achieves a balance between the elements of texture, timbre, rhythm and register, together with the logical unfolding of ideas.

The premiere of *Incantations* earned Shapey some of the most enthusiastic reviews of his entire career. In *The New York Times*, Allen Hughes responded to the work in an overtly emotional manner:

One of the most searing, terrifying and altogether extraordinary compositions this listener has ever heard was played in the Donnell Library Auditorium on Saturday night in the final concert of the Composers Forum 1960-61 series. . . .

What Mr. Shapey has produced is a composition of abstract expressionism that seems to lay bare the most secret and elemental doubts, yearnings, torments and despairs of the human soul trapped in the chaos of the urban jungle. . . .

The shattering blare of street and machine, the crazy din of the cabaret, the frenzied rush that won't slow down—all are there. And against all, a lone human voice cries out—wondering, questioning, imploring. . . .

These “Incantations,” so overwhelming in their impact, rise above all questions of style and technique. They may, or may not, be serial compositions; nothing could matter less.¹⁷

The sounds of *Incantations* are in some ways reminiscent of Luciano Berio's *Circles* (1960).¹⁸ Shapey's former student, Joan Franks Williams, apparently perceived a stylistic kinship between the two composers. In a letter to Shapey of 30 November 1963, she wrote:

The main reason I want to write to you, at this time, is because of something Berio said about you. . . . He has a tape of your “Incantations.” . . . He said that you are the most original American composer that he has heard. He wants to meet you & I gave him your address. He asked all about you & your ideas, & I did the best I could to tell him. It was not the most intricate description. He asked me to send him scores of yours. . . .

. . . At the moment I feel kind of good about the fact that, at least, I will bring you two together, as I feel that, in many ways, you travel the same route. . . .

P.S. One of the other things Berio said about you was that your music was truly “American,” not only just original!!!¹⁹

¹⁷ Allen Hughes, “Shapey's ‘Incantations’ in Debut at Finale of Composers Forum,” *The New York Times*, 24 April 1961: 38.

¹⁸ For female voice, harp and two percussionists.

¹⁹ Joan Franks Williams, letter to Shapey, 30 November 1963. Shapey Papers, Box 5, Folder W. Joan Franks Williams (1930-2003) was an American composer who studied privately with Shapey and Berio before moving to Israel, where she lived for almost twenty years before returning to the United States. She helped to arrange for Shapey's visits to Israel in the 1970s.

“Objects Moving in Space” II: Piece for Violin and Instruments (1962)

The Piece for Violin and Instruments²⁰ is a three-movement work for large chamber ensemble, with the soloist accompanied by cello, oboe, clarinet, bassoon, trumpet, French horn, trombone and percussion. It was composed for violinist Max Pollikoff. Pollikoff gave the premiere, with Shapey conducting, at the 92nd St. Y in New York on 9 May 1962. The concert was part of the contemporary music series, “Music of Our Time,” presented by Pollikoff at the 92nd St. Y.

Not surprisingly, Shapey’s structural methods in the Piece for Violin and Instruments strongly resemble those that he employs in *Incantations*. In addition to pitch class, Shapey uses the parameters of pitch space, physical space, timbre, texture and resonance as building blocks. His use of contrasting timbres produces multiple timbral planes within physical space. The listener’s differentiation of these timbral planes is reinforced by the spatial separation of the different timbral groups in the seating plan. Shapey places the winds to the left and the brass to the right of the conductor. The cellist faces the conductor, centered behind the winds and brass, while the percussion instruments are arranged at the back of the stage. The violin soloist, as is customary, stands in front of the conductor, to the left (see Fig. 5.2).

²⁰ The score of the Piece for Violin and Instruments is available from the Theodore Presser Rental Library.

Figure 5.2 Ralph Shapey, *Piece for Violin and Instruments* (1962), seating plan. © 1962 Theodore Presser Co. Used by permission.

Shapey employs four motives, for violin, trumpet, xylophone and percussion (including xylophone), in the *Piece for Violin and Instruments*. The violin motive is composed of a rapid, ascending flourish and a series of heavy bow strokes, including a dotted figure. The trumpet motive begins with a triplet, and continues with a series of proclamatory gestures, idiomatic to the instrument. The xylophone motive consists of two widely spaced gestures: a descending, leaping quintuplet figure and a triplet, followed by a dyad. By way of contrast, the xylophone acts as a non-pitched percussion instrument within the percussion motive, repeating a single note to conclude the flurry of brief figures that comprises the motive.

The *Piece for Violin and Instruments* begins with Shapey's introduction of the four motives. Rather than interacting contrapuntally, they act as "graven images" or "objects moving in space," creating the kind of "musical mobile" that Shapey conceptualized when he described his music (see Ex. 5.12).

Example 5.12 Introduction of motives, in Ralph Shapey, Piece for Violin and Instruments (1962), I, mm. 1-3. The xylophone motive is labeled, “A,” the trumpet motive, “B,” the violin motive, “C,” and the percussion motive, “D.” © 1962 Theodore Presser Co. Used by permission.

The musical score is for the first three measures of the piece. The tempo is 2/4, and the key signature has one sharp (F#). The score includes the following parts:

- Xylophone:** Measures 1 and 2 contain motive A, a five-note descending scale (F#, E, D, C, B). Measure 3 contains motive D, a complex rhythmic pattern with triplets and a quintuplet.
- Tom-toms Medium / Bass Drum Low:** Measure 3 contains motive D.
- Gong Low:** Measure 3 contains motive D.
- Iron Medium / Wood Block Medium:** Measure 3 contains motive D.
- Cymbal Low:** Measure 3 contains motive D.
- Cello:** Measure 1 has a lower "C" string to "A" instruction. Measures 2 and 3 contain motive C, a five-note ascending scale (G, A, B, C, D).
- Bassoon:** Measure 3 contains motive C.
- * Clarinet in Bb:** Measure 3 contains motive C.
- Oboe:** Measure 3 contains motive C.
- Trombone:** Measure 3 contains motive C.
- * Horn in F:** Measure 3 contains motive C.
- * Trumpet in Bb:** Measure 1 contains motive B, a five-note ascending scale (F#, G, A, B, C). Measures 2 and 3 contain motive C.
- (Solo) Violin:** Measure 1 contains motive B. Measures 2 and 3 contain motive C.

Measure numbers 1, 2, and 3 are indicated at the top of the score. The score is marked with *mf* (mezzo-forte) and *f* (forte) dynamics. The score is marked with "A", "B", "C", and "D" to identify the motives. The score is marked with "10" and "8" to indicate the number of measures for motives A and B respectively.

* Sounds as written

The xylophone and trumpet motives are composed of pc sets that intersect with the pc content of the violin's initial ascending figure. The xylophone motive includes four pcs (C, F, A and B) not present in the violin figure. Both the xylophone motive and the violin figure include the five pcs, Db, D, F#, G#(Ab) and Bb. C#(Db) and G# are included in the trumpet motive as well. This prioritizing of certain pcs generates a kind of pitch centrality that is sustained throughout the *Piece for Violin and Instruments*, given Shapey's limited use of transposition. It also facilitates Shapey's creation of interrelationships between the motives as the piece unfolds.

Shapey continuously modifies the motives by transposition, rearrangement of pitch order, change of register and alteration of pc content. The motives are frequently restated by instruments other than those to which they were originally assigned. For example, in m. 7, the cello presents the xylophone motive, changing its pitch order, pc content and shape (see Ex. 5.13).

Example 5.13 Xylophone motive, in Ralph Shapey, *Piece for Violin and Instruments* (1962), I, m. 7, cello only (cf. Ex. 5.12, m. 1, xylophone). © 1962 Theodore Presser Co. Used by permission.

The full ensemble enters in m. 11. The violin and percussion repeat their motives, while the trombone and horn play glissandi. The clarinet plays widely spaced figures derived from the xylophone motive, and the trumpet plays a figure that combines the pc content of its own motive with the shape of the xylophone motive (see Ex. 5.14). In the following measures, the trumpet takes over the violin motive, as Shapey juxtaposes the timbres of the wind and brass instruments.

creating an antiphonal exchange of ideas that reflects the spatial arrangement of the ensemble
(see Ex. 5.15).

Example 5.14 Superimposed motives, in Ralph Shapey, Piece for Violin and Instruments (1962), I, mm. 11. The xylophone motive is labeled, “A,” the trumpet motive, “B,” the violin motive, “C,” and the percussion motive, “D” (cf. Ex. 5.12). © 1962 Theodore Presser Co. Used by permission.

The musical score for Example 5.14, mm. 11, features several instruments with superimposed motives labeled A, B, C, and D. The score is written in 3/16 time, with a key signature of one sharp (F#).

Instruments and Motives:

- Xyl. (Xylophone):** Motive A (labeled "A") is a triplet of eighth notes (F#, A, C#) followed by a quarter note (D#). Motive D (labeled "D") is a triplet of eighth notes (F#, A, C#) followed by a quarter note (D#).
- T.-t. B. D. (Trumpet):** Motive B (labeled "B") is a triplet of eighth notes (F#, A, C#) followed by a quarter note (D#).
- Gong:** Motive D (labeled "D") is a triplet of eighth notes (F#, A, C#) followed by a quarter note (D#).
- Iron W. B. (Iron Whistle):** Motive D (labeled "D") is a triplet of eighth notes (F#, A, C#) followed by a quarter note (D#).
- Cym. (Cymbal):** Motive D (labeled "D") is a triplet of eighth notes (F#, A, C#) followed by a quarter note (D#).
- Vc. (Violoncello):** Motive C (labeled "C") is a triplet of eighth notes (F#, A, C#) followed by a quarter note (D#).
- Bsn. (Bassoon):** Motive A (labeled "A") is a triplet of eighth notes (F#, A, C#) followed by a quarter note (D#).
- Cl. (Clarinet):** Motive A (labeled "A") is a triplet of eighth notes (F#, A, C#) followed by a quarter note (D#).
- Ob. (Oboe):** Motive A (labeled "A") is a triplet of eighth notes (F#, A, C#) followed by a quarter note (D#).
- Tbn. (Trombone):** Motive A (labeled "A") is a triplet of eighth notes (F#, A, C#) followed by a quarter note (D#).
- Hn. (Horn):** Motive A (labeled "A") is a triplet of eighth notes (F#, A, C#) followed by a quarter note (D#).
- Tpt. (Trumpet):** Motive B (labeled "B") is a triplet of eighth notes (F#, A, C#) followed by a quarter note (D#).
- Vn. (Violin):** Motive C (labeled "C") is a triplet of eighth notes (F#, A, C#) followed by a quarter note (D#).

Annotations:

- Motive A:** Labeled "A" in the xylophone, bassoon, clarinet, oboe, trombone, horn, and violin staves.
- Motive B:** Labeled "B" in the trumpet and trombone staves.
- Motive C:** Labeled "C" in the cello and violin staves.
- Motive D:** Labeled "D" in the xylophone, gong, iron whistle, and cymbal staves.
- Other annotations:** "gliss." (glissando) and "rip" (rhythmic pattern) are marked in the trombone and horn staves. "mf" (mezzo-forte) and "f" (forte) dynamics are indicated throughout the score.

Example 5.15 Juxtaposition of wind and brass timbres, in Ralph Shapey, *Piece for Violin and Instruments* (1962), I, mm. 13-4. © 1962 Theodore Presser Co. Used by permission.

13

Bsn. $\frac{1}{8} + \frac{1}{32}$ $\frac{3}{16}$ $\frac{3}{16}$ $\frac{1}{8}$ $\frac{3}{16}$ $\frac{2}{16}$ $\frac{1}{32}$

Cl.

Ob.

Tbn.

Hn.

Tpt.

Vn.

mf *f* *mf* *f*

f

mf *f*

f

f

f

f

At the end of the movement, Shapey presents a slightly modified version of the opening trumpet-violin dialogue (not shown), followed by a violin cadenza in which he develops all four motives in alternation. Although he preserves their rhythmic identities, he frequently alters pc content as well as register, and often reorders or repeats motivic gestures. For example, he presents variants of the trumpet and percussion motives in the second line of the cadenza (see Ex. 5.16).

Example 5.16 Motivic development, in Ralph Shapey, *Piece for Violin and Instruments* (1962), I, violin cadenza, p. 13, line 1. © 1962 Theodore Presser Co. Used by permission.

In the slow second movement, the violin develops the trumpet motive, modifying and rearranging its components (see Exx. 5.17a and b). Shapey also introduces a new timbral element by using mutes for the winds and brass until the last few measures of the movement (see Ex. 5.17b). During the second half of the movement, the violin stops playing, while other members of the ensemble present fragments of the trumpet motive in a contrapuntal interchange (see Ex. 5.18).

Example 5.17a Trumpet motive, in Ralph Shapey, *Piece for Violin and Instruments* (1962), I, mm. 1-3, trumpet only. © 1962 Theodore Presser Co. Used by permission.

Example 5.17b Development of the trumpet motive, in Ralph Shapey, Piece for Violin and Instruments (1962), II, mm. 1-2 (cf. Ex. 5.17a). © 1962 Theodore Presser Co. Used by permission.

Example 5.17b shows the development of the trumpet motive in measures 1-2. The score includes parts for Tbn., Hn., and Vn. in 3/4 time. The Tbn. and Hn. parts are marked 'Sordino' and 'p' (piano). The Vn. part features triplets and a 3/4 time signature change.

Example 5.18 Contrapuntal interchange employing the trumpet motive, in Ralph Shapey, Piece for Violin and Instruments (1962), II, mm. 19-20. © 1962 Theodore Presser Co. Used by permission.

Example 5.18 shows contrapuntal interchange in measures 19-20. The score includes parts for Vc., Bsn., Cl., Ob., Tbn., and Hn. in 3/8, 6/16, and 4/8 time signatures. The Vc. part is marked 'mf' (mezzo-forte). The Cl. part is marked 'mp' (mezzo-piano). The Tbn. and Hn. parts are marked 'p' (piano).

In the final measures, Shapey frames the movement by presenting the opening measures of the violin part in slightly altered form. The violin is accompanied by non-pitched percussion instruments that play a simplified version of the percussion motive (not shown). The percussion motive acts as a “boundary figure,” signaling the end of movement II. It is also stated at the end of the opening section of movement III, which is repeated to conclude the Piece for Violin and Instruments.

In movement III, the violin plays variants of the xylophone and percussion motives. The winds play figures derived from a fusion of the trumpet and xylophone motives. Shapey simultaneously employs the trichord, {F, F#, B}, derived from the opening gesture of the xylophone motive, in both vertical and horizontal configurations. In mm. 1-4, the violin presents the xylophone motive, twice stating the leaping figure that includes the {F, F#, B} trichord. The clarinet also presents the trichord horizontally, divided between consecutive gestures. The brass instruments play a chord comprising the trichord, F#4/B4/ F5 (see Ex. 5.19).

Example 5.19 Vertical and horizontal presentation of the trichord, {F, F#, B}, in Ralph Shapey, *Piece for Violin and Instruments* (1962), III, mm. 1-4 (cf. Ex. 5.12, m. 1, xylophone). Instances of the set are circled. © 1962 Theodore Presser Co. Used by permission.

$\text{♩} = 80$

$\frac{1}{4}$ $\frac{3}{8}$ $\frac{1}{4}$ $\frac{4}{8}$ $\frac{1}{4}$ $\frac{2}{4}$ $\frac{1}{8}$

Vc.

Bsn.

Cl.

Ob.

Tbn.

Hn.

Tpt.

Vn.

sempre marcato

When Max Pollikoff and Shapey premiered the *Piece for Violin and Instruments*, *New York Times* reviewer Alan Rich wrote,

Among the brand new pieces, two works for chamber ensemble merit special attention. . .

The Ralph Shapey “Piece” is for violin, with winds, brass and percussion. It is somewhat farther-out in harmonic style [than Billy Jim Layton’s Septet, which was also on the program], but consistently attractive and lively. It also has a moving and atmospheric slow section full of fascinating quiet sounds.²¹

In the *New York Herald Tribune*, Martin Bernheimer was less enthusiastic about Shapey’s music:

Ralph Shapey’s intricate Piece for Violin and Instruments employed Mr. Pollikoff as soloist, but managed to bury his playing in a bizarre, playfully explosive tonal fabric much of the time. A lengthy violin solo in the middle section provided relief, but it also disrupted the stylistic unity somewhat.²²

The attention that the Piece for Violin and Instruments received from the critics was only one manifestation of a growing appreciation of Shapey’s accomplishments within the musical world. On 18 March 1962, Shapey received a Brandeis University Creative Arts Citation.²³ On 27 April 1962, his String Quartet No. 5 was programmed on a League-ISCM concert, presented at the New School in New York. It was treated with the attention reserved for the work of eminent composers (see Fig. 5.3). In *The New York Times*, Raymond Ericson wrote,

Mr. Shapey’s String Quartet No. V seemed almost violently expressive and self-assertive (“I am,” the soprano kept reiterating at the end of the piece). But the composer’s feelings ring true. They are stated powerfully by the strings weaving around held tones, and by the evocative vocal line, and it is impossible not to be stirred by the work.²⁴

Similarly, Paul Henry Lang wrote in the *New York Herald Tribune*,

²¹ Alan Rich, “Music: Series at ‘Y’ Ends: Pollikoff’s ‘Music in Our Time’ Presents Interesting and Well-Planned Program,” *The New York Times*, 10 May 1962: 32.

²² Martin Bernheimer, “Music in Our Time Series Ends With 4 Premieres,” *New York Herald Tribune*, 10 May 1962: 14.

²³ Edgard Varèse and Alexander Calder received Brandeis Creative Arts Medals at the same ceremony in New York. See “Brandeis Lists Awards,” *The New York Times*, 11 February 1962: 21.

²⁴ Raymond Ericson, “U. S. Section of Music Society offers 4 Works at New School,” *The New York Times*, 28 April 1962: 14.

Ralph Shapey's Fifth String Quartet instantly changed the climate. The piece has structure and purpose, real chamber music sound and texture. It was fascinating to watch an ostinato consisting of a single tone, always played *messa di voce*,²⁵ meander through all parts until it ends in a rousing unison. In the second part or movement a singing voice joined the quartet, and to my surprise the vocal part was not speech-song but honest-to-goodness singing superbly executed by Valerie Lamoree. This is a fine piece, though I could not quite grasp the second half.²⁶

LOOKING OVER THE SCORES—Mel Powell, Roger Sessions and Ralph Shapey, whose works will be performed at the New School Friday under the auspices of the I. S. C. M., U. S. Section, are seen with Felix Greissle, right, executive secretary of the section.

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Figure 5.3 Composers featured on the League-ISCM concert of 27 April 1962. *The New York Times*, 22 April 1962: X11.

²⁵ "The singing or playing of a long note so that it begins quietly, swells to full volume, and then diminishes to the original quiet tone." Ellen T. Harris, "Messa di voce," *Grove Music Online*, *Oxford Music Online*, Oxford University Press, accessed July 7, 2014, <http://www.oxfordmusiconline.com/subscriber/article/grove/music/18491>.

²⁶ Paul Henry Lang, "Music: Contemporary Works," *New York Herald Tribune*, 28 April 1962: 6.

Recapitulations: Chamber Symphony for Ten Solo Players (1962) and *Birthday Piece for Stefan Wolpe* (1962)

During the second half of 1962, Shapey went through a period of technical consolidation and systematization. He wrote two works, the Chamber Symphony for Ten Solo Players and *Birthday Piece for Stefan Wolpe*, in which he drew on the repertoire of compositional techniques that constituted the basis of his “new style.” Despite their somewhat formulaic character, both works embody Shapey’s powerful expressiveness and creative originality.

Shapey wrote the Chamber Symphony for Ten Solo Players²⁷ for a new ensemble, the Group for Contemporary Music, founded at Columbia University by flutist/composer Harvey Sollberger, cellist Joel Krosnick and pianist/composer Charles Wuorinen.²⁸ He dedicated the piece to his baby son, Max Shapey. The instrumentation of the Chamber Symphony is that of a small chamber orchestra, reflecting the work’s title: flute, oboe, English horn, trumpet, French horn, piano, percussion, violin, cello and contrabass.

In a letter to Paul Turok, Shapey provided a brief analytical description of the work. Despite his concern with musical space and timbre, Shapey employed nineteenth-century concepts of sonata theory and motivic development when he discussed his own music:

The work is in three movements. The basic material for all three movements is exposed in the first three measures of the piece, namely, the cello–violin opening, the counterpoint between flute and oboe in measure two, and a third figure between violin, English horn, and cello. These five diverse “graven image” figures constitute the prime materials throughout the entire work.

The first movement is, in a sense, the exposition of a sonata form. However, within this exposition are slow but florid developmental ideas of each individual basic idea.

²⁷ The score of the Chamber Symphony for Ten Solo Players is available from the Theodore Presser Rental Library.

²⁸ On the history of the Group for Contemporary Music, see Susan Elizabeth Deaver, “The Group for Contemporary Music, 1962-1992” (D.M.A. diss., Manhattan School of Music, 1993).

The second movement is conceived in a cadenza form. Each instrument takes one of the original ideas and exposes it in a cadenza-like manner.

The third movement is a very slow pastoral movement based completely on the first measure of the piece, which acts as a kind of coda to the entire work.

As described in the title, *10 Solo Players*, the *Chamber Symphony* is constructed with the idea that although there are ten performers in an ensemble group, they are all soloists. In each case each instrument is explored in its fullest potential by the performer. The knitting together is through the use of the musical material as exploited through the individual instrumental development. The work exploits my concern with the immobility of the “graven image.”²⁹

While the syntax of the *Chamber Symphony* relies on the reiteration and elaboration of motives, Shapey’s formal strategy is based on the seating plan for the ensemble, a technique reminiscent of *Dimensions* and *Incantations*. As in many other works of the period, Shapey positions a “jazz group” at the back of the stage, and a combination of winds and strings, labeled here as the “front group,” in a semicircle around the conductor at the front of the stage. The “jazz group” is centered around the percussionist. The piano is paired with the French horn on the left, and the contrabass is paired with the trumpet on the right (see Fig. 5.4).

²⁹ Ralph Shapey, letter to Paul Turok, 9 November 1966. Shapey Papers, Box 5.

Figure 5.4 Ralph Shapey, Chamber Symphony for Ten Solo Players (1962), seating plan. © 1962 Theodore Presser Co. Used by permission.

Shapey delineates the structure of the first movement by the spatialized arrangement of musical ideas, alternating between the “front group” positioned at the front of the stage, and the “jazz group” in the back (see Table 5.3).

Table 5.3 Ralph Shapey, Chamber Symphony for Ten Solo Players (1962), I: Form. Performers listed under “instrumentation” take a leading role in the presentation of musical ideas.

<u>“Sonata Form”</u>	<u>Section</u>	<u>Instrumentation</u>	<u>Measure Nos.</u>
Exposition	Episode 1	“Front group”	1-6
		“Jazz group”	7-10
	Boundary figure	Full ensemble w/o perc.	11-3
	Episode 2	“Jazz group”	14-21
	Boundary figure	“Front group”	21
		“Front group”	22-30
		“Jazz group”	31-4
	Boundary figure	“Jazz group”	34-6
Development	Episode 3	Full ensemble	37-50
	Boundary figure	Full ensemble w/o perc.	51
Recapitulation	Episode 4	“Front group”	52-60
	Boundary figure	Full ensemble w/o perc.	61-64

Shapey also employs motivic repetition and development to unify the movement. Some motives are repeated with little or no alteration, while others are subjected to extensive development, although they always retain recognizable features. The motives are not associated with particular instruments, contrary to Shapey’s practice in other works. The work opens with simultaneous rising and falling intervals, paired gestures that are repeated throughout movements I and III in many variations. They function as a “boundary figure” at the end of episodes, demarcating formal divisions within the Chamber Symphony.³⁰

In mm. 2 and 3, Shapey introduces three motives. The oboe plays an ascending pattern, which is answered by the violin’s descending quintuplet. In tandem with the oboe motive, the flute plays a figure consisting of linked triplets, followed by a rising dyad (see Ex. 5.20). The oboe and flute motives are related through the use of a common hexachord, {C#, D, E, F, F#, G},

³⁰ On Shapey’s use of cadential “boundary figures,” see chapter 2.

which furnishes the pc content of the flute motive, and all but the first and last pcs of the oboe motive (henceforth described as the “leaping motive”).

Example 5.20 Introduction of motives, in Ralph Shapey, Chamber Symphony for Ten Solo Players (1962), I, mm. 1-3. “A” identifies the “boundary figure” motive, “B” the oboe’s ascending motive, and “C” the violin’s quintuplet figure. “D” identifies the flute motive. © 1962 Theodore Presser Co. Used by permission.

$\text{♩} = 56$

$\frac{2}{4} \quad \frac{1}{8} \quad \frac{2}{4} \quad \frac{3}{4} \quad \frac{1}{8}$

Center rear 3 Timp. *mf*

Gong

Cym.
W. Blk.
S.D.

B.D.

Left rear *Hn. in F *mp* *mf*

Pno.

Right rear *Tpt. in B $\flat$ *mp* *mf*

Cb.

Left front Vn. *p* *f* *sonorous*

Ob. *mf* *sonorous*

Center front *E.H. *mf* *f*

Right front Fl. *mf* *f*

Vc. *p* *f*

A

B

C

D

* Sounds as written

While the violin motive functions as an unchanging refrain throughout the Chamber Symphony, Shapey uses the rhythmic template of the “leaping motive” as the source for musical ideas presented by the piano and percussion when they function as members of the “jazz group,” which makes its first appearance in m. 7 (see Ex. 5.21).

Example 5.21 Entrance of the “jazz group,” in Ralph Shapey, Chamber Symphony for Ten Solo Players (1962), I, m. 7. Variants of the “leaping motive” are circled (cf. Ex. 5.20). © 1962 Theodore Presser Co. Used by permission.

The musical score for Example 5.21 is presented in 4/4 time. It features five staves: Cym., W. Blk., S.D., B.D., Pno., Vn., E.H., and Fl. The percussion staves (Cym., W. Blk., S.D., B.D.) show a rhythmic pattern with a circled section. The piano (Pno.) part features a circled section with a 'leaping motive' and a 'sempre marcato' marking. The violin (Vn.), English horn (E.H.), and flute (Fl.) parts also show the 'leaping motive' in a circled section. The score includes various musical notations such as dynamics (*f*, *sfz*), articulation (accents), and phrasing (breath marks, slurs).

In mm. 11-3, the ensemble presents consecutive statements of the “boundary figure,” rounding off the initial episode (see Ex. 5.22).

Example 5.22 Reiteration of the “boundary figure,” in Ralph Shapey, *Chamber Symphony for Ten Solo Players* (1962), I, mm. 11-3 (cf. Ex. 5.20). © 1962 Theodore Presser Co. Used by permission.

Hn. *pp* (Mute)
 Pno. *pp*
 Tpt. *pp* (Mute)
 Cb. *p* pizz.
 Vn. *p* n.v.
 Ob. *p*
 E.H. *p*
 Fl. *mp* n.v.
 Vc. *p*

In the second episode, Shapey alternates between the “jazz group” and the “front group.” The episode concludes with a cadential passage that includes repeated statements of the “boundary figure” (not shown). The entire ensemble plays together at length for the first time in the third episode, in which the “leaping motive” is subjected to extensive development by the oboe, violin, piano and percussion (see Ex. 5.23).

Example 5.23 Development of the “leaping motive,” in Ralph Shapey, Chamber Symphony for Ten Solo Players (1962), I, mm. 43-4 (cf. Ex. 5.20, oboe, m. 2). Variants of the motive are circled. © 1962 Theodore Presser Co. Used by permission.

5/4

43

Hn. *mf* *sonorous* *f*

Pno. *f*

Tpt. *f* 3 5

Cb.

Vn. *f* 5 3 3

Ob. *f* 3 3 3 *sonorous*

Picc.

Vc. *f* *simile* *f*

The brief final episode is primarily devoted to the presentation of the “front group.” It concludes with consecutive statements of the “boundary figure,” in a passage that reproduces mm. 11-3 with minor changes. This structurally significant repetition provides the movement with formal symmetry.

The first movement of the Chamber Symphony can be analyzed as a three-section form. It is possible to divide the movement into an “exposition” (the first and second episodes), “development” (the third episode) and “recapitulation” (the fourth episode). Episode 2 (mm. 14-36) can also be considered a section separate from episode 1, elaborating on its ideas (see Table 5.3). This perspective highlights the musical parallels between episodes 1 and 4.

In his discussion of the Chamber Symphony, Shapey stressed the importance of cadenza-like passages in the second movement, but neglected to mention the movement’s symmetrical form. The movement opens with solos for both percussion and violin, in which Shapey develops the “leaping motive” (see Ex. 5.24). At the end of the movement, Shapey truncates the two solos and reverses their order. Shapey likewise presents an abbreviated version of mm. 5-8 in mm. 20-2.

Example 5.24 Solos employing the “leaping motive,” in Ralph Shapey, *Chamber Symphony for Ten Solo Players* (1962), II, mm. 1-2 (cf. Ex. 5.20). © ?1962 Theodore Presser Co. Used by permission.

$\text{♩} = 72$ Cadenzas
 Sempre *f*, in a bravura cadenza-like manner

The musical score is divided into two systems. The first system includes staves for Timp., Gong, Cym., W. Blk., S.D., B.D., and Vn. The Timp. staff shows a leaping motive with triplets and a fermata. The Gong staff shows a leaping motive with triplets and a fermata. The Cym. staff shows a leaping motive with triplets and a fermata. The W. Blk. staff shows a leaping motive with triplets and a fermata. The S.D. staff shows a leaping motive with triplets and a fermata. The B.D. staff shows a leaping motive with triplets and a fermata. The Vn. staff shows a leaping motive with triplets and a fermata. The second system includes staves for Timp., Gong, Cym., W. Blk., S.D., B.D., and Vn. The Timp. staff shows a leaping motive with triplets and a fermata. The Gong staff shows a leaping motive with triplets and a fermata. The Cym. staff shows a leaping motive with triplets and a fermata. The W. Blk. staff shows a leaping motive with triplets and a fermata. The S.D. staff shows a leaping motive with triplets and a fermata. The B.D. staff shows a leaping motive with triplets and a fermata. The Vn. staff shows a leaping motive with triplets and a fermata.

In the central episode of the movement, Shapey employs a trio consisting of the piano, horn and contrabass, all members of the “jazz group.” The piano varies a four-chord progression,

a simplified version of the piano motive first stated when Shapey introduces the “jazz group” in movement I. Shapey reorders the chord progression, and uses additive and subtractive rhythmic processes. He also combines the two procedures, interpolating the first chord of the progression before the final chord in order to generate an additive process (see Ex. 5.25). While the piano modifies the four-chord progression, the contrabass presents a motive that Shapey alters in a similar way, interpolating an additional pitch before its final note.

Example 5.25 “Jazz group” employing additive rhythms, in Ralph Shapey, *Chamber Symphony for Ten Solo Players* (1962), II, 13-5 (cf. Ex. 5.21, piano). “A” identifies the original form of the piano motive. “B” identifies Shapey’s reordering of the motive. “C” identifies the original form of the contrabass motive, “D” its altered form, with an interpolated pitch. © 1962 Theodore Presser Co. Used by permission.

The final movement is divided into two halves. As Shapey noted, the movement is based on the “boundary figure” motive. In the first half of the movement, Shapey develops the motive, employing the “front group.” He simplifies his ideas in the second half of the movement, employing the entire ensemble, except for the percussion instruments (not shown).

Taken on its own merits, the Chamber Symphony is a compelling, successful work. It exhibits Shapey at his most formulaic in the application of his compositional procedures, however: the use of brief motives (“images”), some of which are repeated without alteration, while others are subjected to development; the division of the ensemble into small groups placed around the stage; and the alternating presentation of musical ideas by performers positioned at the front and back of the stage.

Shapey conducted the premiere of the Chamber Symphony at the inaugural concert of the Group for Contemporary Music on 22 October 1962. Shapey considered the performance to be a fiasco.³¹ Later performances of the Chamber Symphony proved to be far more successful. When Arthur Weisberg conducted the work at the Coolidge Auditorium of the Library of Congress on 25 November 1966, the critic of the *Washington Evening Star* was deeply impressed by Shapey’s music:

A very severe, three-movement work, it is entirely in dissonant counterpoint, much of it in a state of chaos, with extremely concentrated thematic ideas made up of minute motives. Shapey does not use many trick effects here, such as flutter-tonguing, glissandos, etc., that one has come to expect of the avant-garde. His emphasis is rather on wide spacing of chords and dark instrumental colors.³²

In November 1962, Shapey composed a short work for piano solo at the request of Stefan Wolpe. Pianist Howard Lebow premiered *Birthday Piece for Stefan Wolpe* (1962)³³ at a celebratory concert in honor of Wolpe’s sixtieth birthday, presented at Carnegie Recital Hall on

³¹ See Shapey’s handwritten note in the box holding the reel-to-reel tape of the premiere of the Chamber Symphony. Shapey Papers, Box 15. In *The New York Times*, Howard Klein grouped Shapey with Peter Westergaard and Karlheinz Stockhausen, two other composers whose works were on the program. He labeled them as “traditional serialists” and avoided any specific discussion of their music. See Howard Klein, “Ensemble Plays First Program: Group for Contemporary Music in Columbia Debut,” *The New York Times*, 23 October 1962: 42.

³² Contributing Critic [unsigned], “News of Music: Contemporary Players Superb,” *The Evening Star* [Washington, D. C.] 26 November 1966: A9.

³³ Theodore Presser Co. publishes *Birthday Piece for Stefan Wolpe*: #110-40699.

18 December 1962. The concert also included works by several other friends and former students of Wolpe, including Milton Babbitt, Earle Brown, Morton Feldman, Gunther Schuller, Nettie Simons,³⁴ Harvey Sollberger, Edgard Varèse, Beatrice Witkin³⁵ and Charles Wuorinen. Shapey conducted a new cantata by Wolpe, written especially for the event: *Street Music: A Counter Offering to the Musical Offerings of Ten Composers on my 60th Birthday* for baritone, narrator, flute, oboe, clarinet, cello and piano. The concert did not receive a review, due to the New York newspaper strike that had begun on 8 December 1962.³⁶

Both the musical ideas and the structure of *Birthday Piece* recall Shapey's *Mutations I* for Piano (1956). *Birthday Piece* opens with a musical "image" that includes three gestures, the first two descending and the last ascending. These gestures incorporate three separate musical ideas (henceforth labeled as "elements" of the "image"), the first two of which are interleaved in their initial presentation. The three elements of the "image" combine to present the aggregate. Element "A" comprises the chromatic segment, B–Eb, element "B," the chromatic segment, F#–Bb, and element "C," the dyad, E–F (see Ex. 5.26). Shapey's division of the aggregate into chromatic segments reflects Wolpe's practice.³⁷

³⁴ Nettie Simons (1913-94). See the Finding Aid for The Netty [Nettie] Simons Papers, Performing Arts Research Collections, New York Public Library, accessed 26 May 2010, <http://www.nypl.org/sites/default/files/archivalcollections/pdf/mussimon.pdf>.

³⁵ Beatrice Witkin (1917-90). See "Beatrice Witkin, 73; Electronic Composer," *The New York Times*, 9 February 1990: D18.

³⁶ "Talks to Resume in Papers' Strike: Publishers and Printers Will Meet With Mediator Today—Wirtz Asked to Act." *The New York Times*, 10 December 1962: 1.

³⁷ See Elliot Antokoletz, *Twentieth-Century Music* (Englewood Cliffs, New Jersey: Prentice Hall, 1992), 413-5.

Example 5.26 “Image” including three gestures, in Ralph Shapey, *Birthday Piece for Stefan Wolpe* for Piano (1962), “simply,” p. 1, system 1. The elements of the “image” are labeled “A,” “B” and “C.” © 1978 Theodore Presser Co. Used by permission.

♩ = 58 simply

mf A *f* B *p* C

8va - 1

The six main sections of *Birthday Piece* are framed by five presentations of the initial “image:” a prologue (not so labeled), brief interludes at the end of sections 1, 3 and 5, and an epilogue. In the first section, “of varied motions,” Shapey develops the “image” by conventional methods of motivic development: augmentation, diminution, inversion, transposition, verticalization (turning linear patterns into chords) and horizontalization (turning chords into linear patterns). For example, the first three pcs of element “B” of the “image,” A–G#–Bb, are presented vertically as the simultaneity (a quarter-note trichord together with a sixteenth note), Bb1/Bb3/A4/G#5, near the beginning of line 2. At the end of line 2, Shapey presents element “B” in its original configuration, but with augmented note values. At the same time, he presents a chord in the treble that comprises three pcs of element “B:” F#, G, and G#. In line 3, Shapey juxtaposes verticalized and inverted forms of element “B.” The rapid ascending figure, Bb3–G#4–A4–E5–G5–F#5–F7, includes the pc content of element “C” (the dyad, {E, F}) as well (see Ex. 5.27).

Example 5.27 Development of elements of the initial “image,” in Ralph Shapey, *Birthday Piece for Stefan Wolpe* for Piano (1962), “of varied motions,” p. 1, systems 2-3. Variants of elements “A,” “B,” and “C” are circled in the example (cf. Ex. 5.26). © 1978 Theodore Presser Co. Used by permission.

♩ = 58 of varied motions

The musical score consists of two systems of piano music. The first system (top) shows a treble and bass staff. The treble staff has a forte (f) dynamic. Circled elements include a triplet labeled 'A', a quintuplet labeled 'B', and a long note labeled 'C'. The bass staff has a circled triplet labeled 'A' and a long note labeled 'C'. The second system (bottom) continues the development. The treble staff has a circled triplet labeled 'A' and a circled quintuplet labeled 'B + C'. The bass staff has a circled triplet labeled 'A' and a long note labeled 'C'. The tempo is marked as ♩ = 58 of varied motions.

Birthday Piece alternates between vigorous activity and stasis. In section 2, “with repose,” Shapey frequently uses the sustaining pedal, creating clouds of sound. The impressionistic textures recall the second movement of *Three Essays on Thomas Wolfe* (see Ex. 5.28). Shapey develops the ideas of section 2 in section 4, “as a song.” The whispered dynamics, widely spaced textures and glacial tempo of section 4 make it the still center of the entire work.

Example 5.28 Impressionistic effects, in Ralph Shapey, *Birthday Piece for Stefan Wolpe* for Piano (1962), “with repose,” p. 2, systems 3-4 (cf. Ex. 1.63). © 1978 Theodore Presser Co. Used by permission.

♩ = 58 with repose

The musical score for Example 5.28 is presented in two systems. The right hand (r.h.) and left hand (l.h.) are both active. The right hand features a mix of staccato and sustained textures, with dynamics ranging from piano (p) to fortissimo (ff). The left hand features a mix of staccato and sustained textures, with dynamics ranging from piano (p) to fortissimo (f). The score includes triplets, slurs, and dynamic markings like 'mf', 'f', 'ff', 'mp', and 'p'. The bottom of the page has a series of markings: 'Led.', '*', 'Led.', '*', 'Led.', '*', and 'Led.'.

The dry staccato textures, rapid alternation between registers, and simultaneous use of extreme registers in section 3, “with brilliance,” create a dramatic contrast to the slow, sustained music of the preceding and following sections. Shapey uses repetition to exploit the novelty of the timbres and textures. At the same time, he propels the musical argument by reshuffling a two-chord progression that shares the two pcs, D#(Eb) and E: Eb5/E6/C#7/D7, F5/F#5/G5/D#6/E6 (see Ex. 5.29). Shapey interrupts the narrative to insert a brief reminiscence of section 1, “of varied motions,” before concluding section 3 (not shown).

Example 5.29 Reshuffling of a two-chord progression, in Ralph Shapey, *Birthday Piece for Stefan Wolpe* for Piano (1962), “with brilliance,” p. 3, systems 1-2. The elements of the two-chord progression are labeled “A” and “B.” © 1978 Theodore Presser Co. Used by permission.

♩ = 58 with brilliance

The musical score consists of two systems of piano music. The first system contains measures 1-4, and the second system contains measures 5-8. The key signature has one sharp (F#), and the time signature is 3/4. The tempo/mood is marked "♩ = 58 with brilliance" and the dynamics are marked "ff".

Two specific chord progressions are highlighted with ovals and labeled:

- Progression A:** Occurs in measures 2 and 4. It consists of a treble clef chord (F#4, A4, C#5) and a bass clef chord (B2, D3, F#3).
- Progression B:** Occurs in measure 5. It consists of a treble clef chord (F#4, A4, C#5) and a bass clef chord (B2, D3, F#3).

Measure 7 shows a combination of elements from A and B, labeled "A + B". The score includes various rhythmic markings such as triplets (3), eighth notes (8va), and sixteenth notes.

In the fifth section, “with great gesture,” Shapey reorders the ideas of section 1 (see Ex. 5.30) and subjects them to development by permuting their pc content (not shown). He alternates between lengthy trills and *ppp* octave progressions in the final section, “vibrant movement and stillness.”

Example 5.30 Rearrangement of the ideas of section 1, in Ralph Shapey, *Birthday Piece* for *Stefan Wolpe* for Piano (1962), “with great gesture,” p. 5, systems 2-3 (cf. Ex. 5.27). © 1978 Theodore Presser Co. Used by permission.

The musical score for Example 5.30 is presented in two systems. Each system contains a treble and a bass staff. The notation includes eighth and quarter notes, rests, and various dynamic and articulation markings. In the first system, the treble staff begins with a melodic line marked with a '5' and a '3', while the bass staff has a similar pattern. The second system continues this pattern with more complex rhythmic groupings and dynamic markings like '8va' and '8va-1'.

Howard Lebow performed *Birthday Piece* during the “22nd American Music Festival” at the National Gallery of Art in Washington, D. C., on 2 May 1965. In the *Washington Evening Star*, John Vinton commented perceptively, “By tying the piece end to end with the frequent reiteration of a single rhythmic pattern, [Shapey] was able to employ a wide variety of melodic sizes and shapes, dynamic levels, and textural densities, all without losing a sense of direction and cohesion.”³⁸

³⁸ John Vinton, “Medium Hurts Lebow Recital,” *The Evening Star*, Washington, D.C., 3 May 1965: A15.

The Lecture Notes on Rhythm

As a student of Stefan Wolpe and an advocate of his music, Shapey had learned to create rhythms of great complexity. It is therefore not surprising that Shapey took an interest in Olivier Messiaen's rhythmic techniques, as presented in the influential book, *The Technique of My Musical Language*. In lecture notes compiled during the early 1960s, Shapey discussed Messiaen's rhythmic concepts and related them to his own practice.

There are two sets of related, undated notes in the Shapey Papers for lectures on rhythm, both probably written around 1963 and entitled, "Structural Functions of Rhythm." The first set, a group of handwritten sheets, is described in the Finder's Aid for the Shapey Papers as "Lecture on Rhythm Given at Yale University."³⁹ It includes several pages of scribbled musical examples. The other set of notes is a typescript, described in the Finder's Aid as "Lecture Notes on Rhythm and Aesthetics, n.d."⁴⁰ The typescript is accompanied by musical examples that are neatly copied in ink, unlike the examples included in the handwritten notes. The neatly copied musical examples may have been prepared for use as a handout. The typescript includes a series of definitions, an outline of rhythmic concepts and a list of recordings. The list of recordings included in both sets of notes provides a tentative date for their genesis, due to Shapey's use of the CRI LP of George Rochberg's String Quartet No. 2 (1961), issued in 1963.⁴¹ Shapey

³⁹ Ralph Shapey, "Lecture on Rhythm Given at Yale University," undated (ca. 1963). Shapey Papers, Box 10.

⁴⁰ Ralph Shapey, "Lecture Notes on Rhythm and Aesthetics, n.d." (ca. 1963). Shapey Papers, Box 143.

⁴¹ George Rochberg, String Quartet No. 2 with Soprano (1961), Philadelphia String Quartet, Janice Harsányi, soprano, CRI 164 (1963).

annotated the typed list of recordings in ink, writing, “Philadelphia St. Qt. CRI 164,” next to the name of Rochberg’s piece.⁴²

The typed notes present a general survey of rhythmic practice. Shapey includes “basic definitions” for fourteen terms, including meter, pulse, accent, stress, pitch, duration, time and rhythm. In his enumeration of “basic techniques,” Shapey focuses on contemporary procedures, such as the use of variable meters, additive and subtractive processes, and rhythmic serialization. As an example of variable meters, Shapey cites mm. 60-3 of the second movement of Hans Werner Henze’s String Quartet No. 2 (1952). He also names German composers Boris Blacher⁴³ and Karl Amadeus Hartmann⁴⁴ in connection with his discussion of variable meters, without mentioning any examples from their works. For his discussion of the serialization of rhythm, Shapey relies on György Ligeti’s analysis of Pierre Boulez’s *Structures 1a* in *Die Reihe* 4.⁴⁵

Shapey outlines several of Messiaen’s most fundamental rhythmic concepts in the typed notes. He describes additive and subtractive rhythms as “multiplicity (additive) change through addition of note, rest, dot” and “contractions, elimination of note, rest, dot; twice as fast etc.” In the accompanying sheets of musical examples, Shapey provides short, pitchless illustrations of additive and subtractive rhythms that are keyed to the text. To illustrate the term, “retrograde,” Shapey presents a non-retrogradable rhythmic pattern, pointing out the “pivot point” at its center. He contrasts it with a rhythmic retrograde (see Ex. 5.31).

⁴² Ralph Shapey, “Lecture Notes on Rhythm and Aesthetics.” Shapey Papers, Box 143.

⁴³ Boris Blacher (1903-1975).

⁴⁴ When Shapey visited Germany in 1953-54, he engaged in a lengthy discussion with Hartmann about the latter’s use of variable meters. See chapter 2, note 86.

⁴⁵ György Ligeti, “Pierre Boulez: Decision and Automatism in Structure 1a,” trans. Leo Black, *Die Reihe* 4 (1960): 36-62, especially 39-40. See also Reginald Smith Brindle, *The New Music: The Avant-garde Since 1945* (London: Oxford University Press, 1975), 27-8; Lynden DeYoung, “Pitch Order and Duration Order in Boulez’ *Structure 1a*,” *Perspectives of New Music* 16, no. 2 (Spring–Summer 1978): 27-34, especially 27. Shapey cites *Die Reihe* 4 in the bibliography for his lecture.

Example 5.31 Contrast between non-retrogradable rhythm and rhythmic retrograde, in Ralph Shapey, “Lecture Notes on Rhythm and Aesthetics, n.d.” (ca. 1963). Shapey Papers, Box 143. By permission of the Special Collections Research Center, University of Chicago Library.

Although Shapey gives a detailed exposition of Messiaen’s rhythmic ideas in his lecture notes, he does not cite any works by Messiaen, nor are there any works by the French composer in his list of recordings. Instead, Shapey uses examples taken from Webern’s *Concerto*, op. 24 (1934) and *Cantata No. 1*, op. 29 (1938-39), Varèse’s *Ionisation* (1929-31), and his own *Discourse I* (1961)⁴⁶ and *Evocation No. 1* (1959). The only contemporary works included in the sheets of music examples are Shapey’s *Discourse I* and *Evocation No. 1*. Messiaen’s book is listed in Shapey’s bibliography, along with several other recent books and journal articles.⁴⁷

Shapey discusses Messiaen’s rhythmic techniques in greater detail in the handwritten notes. As in the typescript, Shapey focuses on additive and subtractive rhythms, retrogrades and non-retrogradable rhythms. His detailed discussion of these rhythmic procedures confirms the

⁴⁶ *Discourse I* has never been recorded commercially, so Shapey necessarily employed a concert recording of the piece in his lecture.

⁴⁷ Shapey refers to *The Rhythmic Structure of Music* by Grosvenor Cooper and Leonard B. Meyer (Chicago: University of Chicago Press, 1960) in both sets of notes. In the typed notes on rhythm (Shapey Papers, Box 143), he also cites Edward T. Cone’s essay, “Analysis Today,” *The Musical Quarterly* 46, no. 2 (April 1960): 172-88, and Milton Babbitt’s essay, “Twelve-Tone Rhythmic Structure and the Electronic Medium,” *Perspectives of New Music* 1, no. 1 (1962): 49-79, in addition to *Die Reihe* 4.

hypothesis that their presence in his own music stems from his interest in the music of Messiaen, a surmise suggested by his occasionally explicit stylistic imitation of the French composer beginning in the late 1950s.

The handwritten notes are divided into two parts. One is a discussion of rhythmic techniques phrased in terms of Shapey's own rhythmic practice. For example, Shapey describes "polyphony" as "no longer deal[ing] with [a] linear line but 2 or more opposing forces." He writes of "the interreaction of individual parts acting together under a simultaneous action: the relationships set up; inferred; acted out, conscious or unconscious, are placed into action as opposing forces. . . . Rhythmic relationships resulting from similar or dissimilar activated forces." To illustrate his conception, Shapey draws a diagram with multiple crisscrossing vectors (see Fig. 5.5).

Figure 5.5 Crisscrossing vectors depicting polyphony, in Ralph Shapey, "Lecture on Rhythm Given at Yale University," undated (ca. 1963). Shapey Papers, Box 10. By permission of the Special Collections Research Center, University of Chicago Library.

Shapey's description of rhythmic forces within a polyphonic texture recalls his description of his music as "an object in Time and Space."⁴⁸

The rest of the handwritten notes are a description of, and occasional commentary on, Messiaen's rhythmic concepts. Shapey seems to have planned to interleave his discussion of

⁴⁸ See chapter 4, note 82.

Messiaen's techniques within his overview of rhythmic practice. He divided the first three pages of his discussion of Messiaen into a series of ideas, numbered from 1 to 14, and indicated where they should be inserted during the lecture.

Shapey insisted on the clarity of Messiaen's rhythmic procedures. He prefaces his discussion of the French composer by asserting, "Messiaen: The values are always notated very exactly hence, whether it is a question of barred passages or not, the reader or performer have only to read and execute 'exactly the values marked.'" He describes the basis of Messiaen's practice as the "replace[ment] of 'measure' and 'beat' by short note value (sixteenth note) and its free multiplications (augmentation and diminution)." Messiaen's music is "ametical," with "free but precise rhythmic patterns—opposed to 'measured' (equally barred)."

Shapey discusses Messiaen's use of additive and subtractive rhythmic processes at length. He points to Messiaen's "simple mechanism of rhythmic change through addition of: note, rest, dot," citing an excerpt from "Les Anges" [The Angels], the sixth movement of Messiaen's *La Nativité du Seigneur* [The Birth of the Savior] for Organ (1935), employed by Messiaen as Ex. 10 in vol. 2 of *The Technique of My Musical Language*⁴⁹ (see Ex. 5.32). Messiaen identifies crosses over notes in the example as indicators of added values within the rhythmic patterns.⁵⁰

⁴⁹ Olivier Messiaen, *The Technique of My Musical Language*, trans. John Satterfield, 2 vols. (Paris: Alphonse Leduc, 1956), 2:1.

⁵⁰ Messiaen, *The Technique of My Musical Language*, 1:16.

Example 5.32 Added rhythmic values, Ex. 10, vol. 2, p. 1 in Olivier Messiaen, *The Technique of My Musical Language*. Translated by John Satterfield. Text with musical examples. © 1944 & © 1956 & © 1966 by Alphonse Leduc for the English translation.

Commenting on his own practice, Shapey writes, “added values also fall into line of subdivisions of original design (also subtractive).” He gives an example to illustrate this concept, the first two beamed groupings of which display an additive process, generated by the addition of a dot to the first note of the second beamed grouping. In the third beamed grouping, Shapey removes the dot, illustrating a subtractive process. He also reorders the note values of the first beamed grouping, placing the sixteenth note first. The consecutive sixteenth notes in the fourth beamed grouping represent a process of rhythmic diminution (see Ex. 5.33).

Example 5.33 Additive and subtractive processes, in Ralph Shapey, “Lecture on Rhythm Given at Yale University,” undated (ca. 1963). Shapey Papers, Box 10. By permission of the Special Collections Research Center, University of Chicago Library.

normal

Shapey follows the example with the explanation, “all ex[amples] of added and subtractive elements (augmentation and diminution) fall into category of subdivision or breaking apart a basic idea into its own manifold parts.” In conjunction with this remark, Shapey refers to

Messiaen's table of forms of rhythmic augmentation and diminution, Ex. 24 in vol. 2 of *The Technique of My Musical Language* (see Table 5.4).

Table 5.4 "Table of Some Forms of Augmentation or Diminution of a Rhythm," Ex. 24, vol. 2, p. 3 in Olivier Messiaen, *The Technique of My Musical Language*. Translated by John Satterfield. Text with musical examples. © 1944 & © 1956 & © 1966 by Alphonse Leduc for the English translation.

24 TABLEAU DE QUELQUES FORMES D'AUGMENTATION OU DIMINUTION D'UN RYTHME		24 TABELLE EINIGER FORMEN DER VERGRÖßERUNG ODER VERKLEINERUNG EINES RHYTHMUS	
24 TABLE OF SOME FORMS OF AUGMENTATION OR DIMINUTION OF A RHYTHM		24 TABELLE EINIGER FORMEN DER VERGRÖßERUNG ODER VERKLEINERUNG EINES RHYTHMUS	
Augmentation	Vergrößerung	Diminution	Verkleinerung
a) ajout du quart des valeurs: addition of a quarter of the values: Hinzufügung eines Viertels der Werte:		a) retrait du cinquième des valeurs: withdrawal of a fifth of the values: Wegnahme eines Fünftels der Werte:	
b) ajout du tiers des valeurs: addition of a third of the values: Hinzufügung eines Drittels der Werte:		b) retrait du quart des valeurs: withdrawal of a quarter of the values: Wegnahme eines Viertels der Werte:	
c) ajout du point: (ou ajout de la moitié des valeurs) addition of the dot: (or addition of half the values) Hinzufügung des Punktes: (oder Hinzufügung der Hälfte der Werte)		c) retrait du point: (ou retrait du tiers des valeurs) withdrawal of the dot: (or withdrawal of a third of the values) Wegnahme des Punktes: (oder Wegnahme eines Drittels der Werte)	
d) augmentation classique: (ou ajout des valeurs à elles-mêmes) classic augmentation: (or addition of the values to themselves) Klassische Vergrößerung: (oder Hinzufügung der Werte zu sich selbst)		d) diminution classique: (ou retrait de la moitié des valeurs) classic diminution: (or withdrawal of half the values) Klassische Verkleinerung: (oder Wegnahme der Hälfte der Werte)	
e) ajout du double des valeurs: addition of twice the values: Hinzufügung des Doppelten der Werte:		e) retrait des 2/3 des valeurs: withdrawal of two-thirds of the values: Wegnahme von zwei Dritteln der Werte:	
f) ajout du triple des valeurs: addition of three times the values: Hinzufügung des Dreifachen der Werte:		f) retrait des 3/4 des valeurs: withdrawal of three-fourths of the values: Wegnahme von drei Vierteln der Werte:	
g) ajout du quadruple des valeurs: addition of four times the values: Hinzufügung des Vierfachen der Werte:		g) retrait des 4/5 des valeurs: withdrawal of four-fifths of the values: Wegnahme von vier Fünfteln der Werte:	

Shapey emphasizes the significance of non-retrogradable rhythms, drawing on Messiaen's own words in his discussion. In *The Technique of My Musical Language*, Messiaen writes, "the symmetry of the rhythmic groups is a retrograde symmetry."⁵¹ According to Shapey,

⁵¹ Messiaen, *The Technique of My Musical Language*, 1:21.

“M[essiaen]: Rhythmic symmetry is established not by metrical or measured pulsation but by rhythmic retrograde action.”⁵²

Given that Shapey entitles his lecture, “Structural Functions of Rhythm,” it is not surprising that he posits a large-scale structural function for rhythmic configurations:

S[hapey]: Last notes of rhythmic design are usually activated as pivot points through common value factor, akin to common note or tone concept in harmonic progressions: vs. Rhythm of its own accord can be used in a harmonic sense by applying rules of harmony to rhythmic structures.

S[hapey]: Thus we arrive at a M[essiaen] structural unit. A comparison to an educated listener’s ability in hearing harmonic structures in similar music, the listener can perceive the same unity of movement, the same structural forces at work in the rhythmic plan in a given piece of music.⁵³

Shapey concludes his examination of Messiaen’s rhythmic techniques by subsuming them within his own compositional methods, asserting, “a lot of this falls into my concept of ‘it is’ instead of ‘becoming.’”⁵⁴

Shapey’s interest in Messiaen’s ideas about rhythm is indicative of what Jonathan Cross identifies as “a challenge to our understanding of time through a new attitude to rhythm and meter, the consequences of which range from local additive and symmetrical rhythms to large-scale repetitions, simultaneities and innovative block and verse-refrain structures.”⁵⁵ Despite Shapey’s lack of sympathy for the music of many of his European contemporaries, his understanding of rhythm and its relationship to structure closely paralleled the thinking of members of the international avant-garde such as Messiaen, Boulez and Stockhausen. According to Eric Smigel,

The principal *compositional* concern of the post-war avant-garde was the component of

⁵² Ralph Shapey, “Lecture on Rhythm Given at Yale University.” Shapey Papers, Box 10.

⁵³ Ibid.

⁵⁴ Ibid.

⁵⁵ Jonathan Cross, *The Stravinsky Legacy* (Cambridge, UK: Cambridge University Press, 1998), 46-7.

rhythm and its natural correlates, form and time: how to organize temporal relationships. . . . This “new set of rhythmic premises,” according to Ernst Krenek, “caused fundamental changes in the structure, appearance, perceptibility, and meaning of music.”⁵⁶ The new sound world created by the young composers was not so much due to the use of new pitch collections, but largely the result of a new manner of organizing the placement of these collections in musical time.⁵⁷

Similarly, Elliott Carter wrote in 1953,

True novelty and progress in music now reside not in inventing new harmonies, new irregularities of rhythm, and all the rest, but in incorporating these into new patterns. . . . It is primarily from this point of view that composers of very recent vintage seem to be working.⁵⁸

Seven for Piano Four Hands (1963)

During the summer of 1963, Shapey composed two new works, *Seven for Piano Four Hands* and *String Quartet No. 6*. He also completed the *Brass Quintet*, which he had begun in the summer of 1962. During the previous four years, Shapey had written many compositions for broken consort and large ensemble, permitting him to employ the parameters of timbre and physical space as major structural components of his music. In contrast, *Seven*, *String Quartet No. 6* and the *Brass Quintet* are all works for small, timbrally homogeneous ensembles. Inasmuch as the parameters of timbre and physical space play a lesser role in these three pieces, Shapey’s manipulation of the parameter of pitch assumes greater importance. One might also suggest that the terms of this equation can be reversed. Shapey may have written a series of pieces for timbrally homogeneous ensembles because of his renewed interest in the creation of varied pitch structures.

⁵⁶ Ernst Krenek, “Extents and Limits of Serial Techniques,” *The Musical Quarterly* 46, no. 2 (April 1960): 210-32, especially 211, quoted in Smigel, 82-83.

⁵⁷ Eric Smigel, “Alchemy of the Avant-garde: David Tudor and the New Music of the 1950s” (Ph.D. diss., University of Southern California, 2003), 82-83.

⁵⁸ Elliott Carter, “To Be a Composer in America” (1953/94), in Carter, *Collected Essays and Lectures, 1937-1995*, ed. Jonathan W. Bernard (Rochester: University of Rochester Press, 1997), 201-10, especially 206.

*Seven for Piano Four Hands*⁵⁹ was commissioned by duo-pianists Milton and Peggy Salkind.⁶⁰ It was premiered by the Salkinds in 1963, and recorded by them in 1965 on the Friends of Four-Hand Music label.⁶¹ The title of *Seven* refers to Shapey's use of a series of five heptachords as structural elements. Shapey described the series of heptachords as a "7-note circular row of 7's." The first heptachord is transposed once, inverted twice and repeated at the end of the "circular row." The last note of the third heptachord overlaps with the first note of the fourth heptachord. Similarly, the last note of the fourth heptachord overlaps with the first note of the fifth heptachord. Shapey included the series of heptachords in his analytical chart of pitch and rhythmic structures for *Seven*. He partitioned each heptachord into a tetrachord and a trichord, marked by brackets. Below the line of heptachords, Shapey included a second line in which he verticalized the tetrachords and trichords (see Ex. 5.34).⁶²

⁵⁹ Theodore Presser Co. publishes the score of *Seven for Piano Four Hands*: #110-40693.

⁶⁰ Milton Salkind (1916-98), president of the San Francisco Conservatory from 1966-90. See [San Francisco] Examiner Staff Report, "Milton Salkind," SFGate.com, 10 December 1998, accessed 14 July 2013, <http://www.sfgate.com/bayarea/article/Milton-Salkind-3054983.php>. Peggy Salkind (b. 1925) was chair of the keyboard division of the San Francisco Conservatory of Music.

⁶¹ *Music for Piano Four-Hands by Schubert, Hindemith and Shapey*, Milton and Peggy Salkind, piano; jacket notes by Andrew Imbrie (Berkeley, CA: Friends of Four-Hand Music, 1965).

⁶² Ralph Shapey, "Lecture Notes on Rhythm and Aesthetics." Shapey Papers, Box 143.

Table 5.5 Ralph Shapey, *Seven for Piano Four Hands* (1963): Form. The music is identified by page number and system, since Shapey does not employ bar lines.

<u>Section</u>	<u>Page, System</u>
<i>Refrain</i>	1, 1
Episode 1	1, 2–4, 2
Episode 2	4, 2–7, 1
<i>Refrain</i>	7, 2
Episode 3	8, 1–12, 1
Episode 4	12, 2–15, 1
<i>Refrain</i>	15, 1–15, 2
Episode 5	15, 2–18, 2

As *Seven* unfolds, Shapey gradually synthesizes material that is initially divided between the two pianos. The opening refrain contains three musical “images,”⁶⁴ superimposed in dissonant counterpoint.⁶⁵ Piano II presents a rhythmically irregular theme in the low bass that employs the unordered pc set, heptachord I: {A, Bb, B, C, C#, Eb, F}.⁶⁶ Piano II accompanies the theme with a complementary idea: a succession of forceful chords in the mid-bass. Piano I simultaneously plays a chord progression in the treble (see Ex. 5.35). In his sketches for *Seven*, Shapey introduced the term, “montage,” to describe his compositional procedure:

making a composite pic[tur]e bringing together into a single comp[osition] a # of diff[erent] pic[tur]es or p[ar]ts & arranging these by superimposing one on another so they form a blended whole yet remain distinct.⁶⁷

Shapey’s definition of “montage” aptly describes the vigorous and multifaceted opening refrain.

⁶⁴ For a discussion of Shapey’s musical “images,” see “*Evocation No. 1* (1959) and the Concept of the ‘Graven Image’” in chapter 4.

⁶⁵ Ramon Satyendra identifies “four superimposed parts.” See Satyendra, “Montage and Block Form in Ralph Shapey’s *Seven for Two Pianos*,” *Contemporary Music Review* 27, nos. 4/5 (August–October 2008): 477–87, especially 478.

⁶⁶ Satyendra, 480–1.

⁶⁷ Ralph Shapey, *Seven for Piano Four Hands*, sketches. Shapey Papers, Box 29. See Satyendra, 477.

Shapey uses the highest and lowest registers of the piano in the refrain, reaching both D7 and A0. For example, the opening C#4/D4/Bb4 trichord and its variants are presented in three different registers. C#4, the lowest pitch of the opening trichord, acts as the spatial axis for the widely dispersed events of the refrain. At the end, Shapey restates C#4(Db4), underlining the music's spatial symmetry.

Example 5.35 Opening refrain, in Ralph Shapey, *Seven* for Piano Four Hands (1963), p. 1, system 1. "A," "B" and "C" identify the initial trichord and its variants. "D" identifies the bass theme that employs heptachord I (cf. Ex. 5.34). © 1978 Theodore Presser Co. Used by permission.

$\text{♩} = 48$

Piano I

f *sfz* *sfz* *sfz* C

A

Sost.

Sost. [Take l.h. off keys]

* Sight picture, play as written

Piano II

f B

D

8^{va} loco

8^{va} loco

8^{va} loco

8^{va} loco

rhythmic e marcato

In episode 1, Shapey creates motivic figures that synthesize elements of the three “images” introduced in the refrain. Piano I plays the opening gesture of the episode, just as it begins *Seven* with the C#4/D4/Bb4 trichord. The initial pc of the gesture, B, is also the first pc of piano II’s theme. Shapey also introduces a new motive derived from the second half of piano II’s theme into the music of piano I (see Exx. 5.36a and b). A few beats later, Shapey links a variant of the new motive to the initial trichord of *Seven* (see Ex. 5.37).

Example 5.36a Motivic figures in episode 1, in Ralph Shapey, *Seven* for Piano Four Hands (1963), p. 1, system 2. “A” identifies the opening gesture. “B” identifies the new motive based on piano II’s theme (cf. Ex. 5.35). © 1978 Theodore Presser Co. Used by permission.

♩ = 48

The musical score is for four hands, consisting of two staves for each piano. The tempo is marked as quarter note = 48. The key signature has one sharp (F#). The score includes various musical notations such as triplets, slurs, and dynamic markings like *f* and *loco*. Two specific motifs are circled and labeled: "A" in the upper left and "B" in the upper right. The score also includes markings like *Sost.*, *8va -1*, and *loco*.

Example 5.36b Piano II theme and new, related motive, in Ralph Shapey, *Seven* for Piano Four Hands (1963), p. 1, systems 1 and 2. The second half of piano II's theme is circled in the example (cf. Exx. 5.35 and 5.36a). © 1978 Theodore Presser Co. Used by permission.

Refrain

Pno. II

8va loco

Episode 1

Pno. I

Example 5.37 Linked motivic figures, in Ralph Shapey, *Seven* for Piano Four Hands (1963), p. 2, system 1. “A” identifies a variant of the new motive derived from piano II’s theme. “B” is a variant of the initial trichord of *Seven* (cf. Exx. 5.35 and 5.36a). © 1978 Theodore Presser Co. Used by permission.

Pno. I

A

B

In the middle of the episode, Shapey separates and juxtaposes the music of pianos I and II (see Ex. 5.38).

Example 5.38 Juxtaposition of pianos I and II, in Ralph Shapey, *Seven* for Piano Four Hands (1963), p. 2, system 2. © 1978 Theodore Presser Co. Used by permission.

The musical score for Example 5.38 is written for four staves, representing two pianos (I and II) in a four-hand arrangement. The top two staves (Piano I) are in treble clef, and the bottom two staves (Piano II) are in bass clef. The key signature is one sharp (F#), and the time signature is 4/4. Piano I plays a melody with triplets and a forte (f) dynamic. Piano II plays a more complex, rhythmic accompaniment with triplets, a forte (f) dynamic, and a 'loco' marking. The score includes a 'Sost. (Take l.h. off keys)' instruction and a 'sfz' (sforzando) marking. The piece is from Ralph Shapey's *Seven* for Piano Four Hands (1963), p. 2, system 2.

When the two pianos briefly play in dissonant counterpoint, the musical “images” of *Seven* intersect to produce a new pc set. Piano II adds the pc, A, to the closing tetrachord, {A#, C#, D, Eb}, of piano I’s initial “image,” creating the unordered set, {A, A#(Bb), C#, D, Eb}. The set includes both piano I’s initial trichord, {Bb, C#, D}, and the last four pcs of heptachord I, which serves as the basis of piano II’s theme. Episode 1 ends with the first statement of the newly-constructed set as a chord, in music that recalls a passage in the orchestral *Ontogeny* (1958) (see Ex. 5.39).

Example 5.39 Creation of a new pc set, in Ralph Shapey, *Seven* for Piano Four Hands (1963), p. 3, system 2–p. 4, system 2. “A” identifies the intersection of pianos I and II to create the new set. “B” identifies the set’s verticalization, producing a new chord (cf. Exx. 5.34 and 5.35). Note that the apparent bar line demarcates the end of a section. © 1978 Theodore Presser Co. Used by permission.

The image shows a musical score for four hands (two staves per piano). The score is in 3/4 time and features a key signature of one sharp (F#). The notation includes various musical symbols such as notes, rests, and dynamic markings like *f* (forte). Annotations 'A' and 'B' are used to identify specific musical elements. 'A' is placed above the first staff of the first piano, and 'B' is placed below the second staff of the second piano. The score also includes a bar line and a 'loco' marking. The notation is complex, with many notes and rests, and includes a 'loco' marking and a '8va-1' marking.

In his analytic chart for *Seven*, Shapey employs the term, “extension,” to describe the new chord as an outgrowth of the pc set employed by piano I in the refrain (see Ex. 5.40). The new chord is forcefully reiterated throughout episode 4, and concludes the entire work.

Example 5.40 Table of “extensions” of piano I chords in the analytic chart created by Ralph Shapey for Shapey, *Seven* for Piano Four Hands (1963). Shapey places a frame around the last three chords in the table. The “concluding chord” of *Seven* is circled in the example. Shapey Papers, Box 143. By permission of the Special Collections Research Center, University of Chicago Library.

Episode 2 functions as a static parenthesis within the form of *Seven*. The essentially repetitive nature of the music is reinforced by its restrained mood, sparse textures and quiet dynamics. Shapey presents several permutations of a rhythmically varied version of piano I’s “image” (not shown). At the same time, he states three of the five linked heptachords of the title, nos. I, IV and V, illustrating the circularity of the row of “sevens.” The first and third of four heptachord statements in the episode serve as slow-moving cantus firmi underlying piano I’s figures. While piano I is silent, Shapey presents heptachord I as a succession of even eighth notes within a septuplet, bisecting the episode (see Ex. 5.41).

Example 5.41 Presentation of heptachords, in Ralph Shapey, *Seven* for Piano Four Hands (1963), p. 5, system 2–p. 6, system 1. Heptachord 1 (H/I) and the first four notes of heptachord 4 (H/IV) are circled in the example (cf. Ex. 5.34). © 1978 Theodore Presser Co. Used by permission.

The musical score consists of four staves. The top two staves are for the right hand, and the bottom two are for the left hand. The music features complex rhythmic patterns with triplets and sixteenth notes. Heptachord 1 (H/I) is circled in the first system, and the first four notes of heptachord 4 (H/IV) are circled in the second system. Dynamics include *p*, *mp*, and *mf*. A note marked with an 'x' is indicated as a pizzicato on the contrabass.

* x = should sound like pizzicato on contrabass

A repetition of the refrain divides the slow, quiet music of episode 2 from the rapid and dramatic music that follows. In episode 3, Shapey first develops piano II's theme, elaborating on the music of the contrapuntally linked pianos at the beginning of episode 1. The writing for piano II employs thirty-second-note figures that alternate between the hands and echo each other in contrary motion (see Ex. 5.42).

Example 5.42 Contrary motion figures, in Ralph Shapey, *Seven* for Piano Four Hands (1963), p. 8, system 1. © 1978 Theodore Presser Co. Used by permission.

♩ = 104-108

The musical score consists of four staves. The top two staves are in treble clef, and the bottom two are in bass clef. The music is written for four hands. The bottom left staff has a 'mf' dynamic marking and a 'loco' marking. The score includes various musical notations such as notes, rests, and slurs.

Staccato (clearly articulated up and downbeats)

∪ = upbeat

∩ = downbeat

At the beginning of the episode, Shapey superimposes the radically different musical ideas of the two pianos, with piano I stating variants of its “image.” He briefly unifies the textures and rhythms of the two pianos during the second half of the episode. Shapey reintroduces piano I’s “image” as the episode concludes. Like episode 1, episode 3 ends with a complete statement of the chord, Bb/C#/D/Eb/A, divided between pianos I and II. Shapey places Bb, the lowest note of the chord, in the low bass for the first time. The thunderous *ff* tolling of Bb0 emphasizes the chord’s structural significance. The “concluding chord” is followed by Db4, the pitch that ends the first statement of the refrain at the beginning of the work. It serves here both as a response to the Bb/C#/D/Eb/A chord, and as the initial pitch of episode 4 (see Ex. 5.43).

In episode 4, Shapey continues the ongoing process of motivic development and structural synthesis within *Seven*. He presents a series of contrapuntal variants of piano I's "image," imitating its general shape while incorporating the dotted figures and sixteenth-note triplets of piano II's theme. Shapey rounds off each of these motivic syntheses with the "concluding chord," followed by Db4 (see Ex. 5.43).

Example 5.43 End of episode 3 and beginning of episode 4, in Ralph Shapey, *Seven* for Piano Four Hands (1963), p. 12, systems 1-2 (cf. Exx. 5.35 and 5.39). Note that the line separating the first chord from the following music is not a bar line, but serves to demarcate the end of a section. © 1978 Theodore Presser Co. Used by permission.

♩ = 42

cantabile mp *mf* *p*

mp *mf* *mp* *mp*

ff *ff*

8va *8va*

* hold – but no break to next note

Shapey repeats the last of these linked "concluding chords" and Db4s for emphasis in order to signal a major structural event. While episode 2 includes an incomplete presentation of Shapey's five-part "circular row of sevens" (see Ex. 5.41), episode 4 closes with a complete *ppp* statement by piano II of the entire cycle of heptachords (not shown).

In the fifth and final episode, Shapey employs motivic figures originally presented in episode 1. At the end of the episode, piano II again presents heptachord I as a cantus firmus, first in retrograde form, then in its original ordering. The work ends with the structurally significant “concluding chord” (not shown).

The Salkinds premiered *Seven* at a concert of the San Francisco Chamber Music Society on 18 November 1963. The work received uniformly enthusiastic reviews. In the *San Francisco Chronicle*, Alfred Frankenstein wrote, “‘Seven for Four Hands’ packs an enormous lot of color, rhythmic zest, and melodious freedom into the seven minutes for which it is named. It confirms one’s idea that Shapey is one of the young men destined to restore the blandishments of listenability to modern American music.”⁶⁸ In the *San Francisco Examiner*, Alexander Fried wrote,

The piece, in 12-tone idiom, alternates between a Webern type of atmospheric, elusive softness and a Schoenberg type of dissonant splash.

With all the dissonance . . . “Seven for Piano” was interesting, even expressive from many viewpoints – coloristic, impressionistic, energetic, emotionally declamatory. And despite its intentional lack of disciplinary regular barlines, it held its interest as a consistent unit.⁶⁹

String Quartet No. 6 (1963)

String Quartet No. 6⁷⁰ was composed during the summer of 1963. It is dedicated to art critic Harold Rosenberg⁷¹ and his wife, May Tabak. Like *Seven*, String Quartet No. 6 is a work in which Shapey employs musical “objects” or “images” and clearly identifiable pc

⁶⁸ Alfred Frankenstein, “Four Hands with Spirit,” *The San Francisco Chronicle*, 20 November 1963: 43.

⁶⁹ Alexander Fried, “The Salkinds’ Enjoyable Four-Hand Piano Concert,” *San Francisco Examiner*, 20 November 1963: 36.

⁷⁰ Theodore Presser Co. publishes the score of String Quartet No. 6: #114-40573.

⁷¹ Harold Rosenberg (1906-78). Primarily known as an art critic, Rosenberg was professor of social thought in the art department of the University of Chicago from 1966 to his death. See

collections. In his sketches for the quartet, Shapey used the Hegelian dialectic of thesis, antithesis and synthesis to describe the music:

Thesis: in logic – an unproved statement assumed as a premise/an essay or dissertation presented – as evidence of knowledge of and individual research on a subject
 Antithesis: the second part – a contrast or opposition, the exact opposite
 Synthesis – A whole made up of parts or elements put together⁷²

The Quartet has six sections, divided by double bars but otherwise unlabeled. All of the sections share motivic material. Shapey contrasts rapid music with slow, timeless episodes to create satisfying contrasts within a symmetrical formal scheme (see Table 5.6).

Table 5.6 Formal Symmetry in Ralph Shapey, String Quartet No. 6 (1963)

<u>Section</u>	<u>Measure Nos.</u>
1-2: four-part dissonant counterpoint	1–11; 12–23
3: slow, timeless	24–34
4: frenetic activity, dissonant counterpoint	35–50
5: slow, timeless; resembles section 3	51–65
6: return to opening ideas; resembles end of section 1	66–75

String Quartet No. 6 begins with Shapey’s introduction of four “images” that orbit around each other, each associated with a specific member of the ensemble. The cello plays a wide-ranging, swaying theme, while violin II presents a series of chords. The viola adds a widely spaced quintuplet figure. Violin I alternates between a sustained A7 harmonic, a rapid *ff* sixty-

John Russell, “Harold Rosenberg Is Dead at 72/Art Critic for *The New Yorker*,” *The New York Times*, 13 July 1978: D16.

⁷² Ralph Shapey, String Quartet No. 6, sketches. Shapey Papers, Box 34. Shapey evidently derived his definitions of “thesis,” “antithesis” and “synthesis” from *Webster’s New World College Dictionary*. See <http://www.yourdictionary.com/thesis> and <http://www.yourdictionary.com/synthesis>, accessed 22 July 2013.

fourth-note septuplet figure, and a trichord, stated in two versions, D4/Eb4/C5 and D4/Eb4/C#5 (see Ex. 5.44).

Example 5.44 Introduction of “images,” in Ralph Shapey, *String Quartet No. 6* (1963), mm. 1-4. Shapey writes in the score, “barlines are only for the convenience of eye division (as small units) not to be interpreted under any of the existing barline concepts.” © 1977 Theodore Presser Co. Used by permission.

[illegible]

* Lower "C" string to "B." All notes on lowered strings sound as written.

****non-emotional (in a straight matter of fact manner [like steps], using enough vibrato for a good sound.**

Example 5.44 continued

The musical score consists of four staves. The top staff is in treble clef and contains a septuplet of eighth notes marked *ff* and a dynamic marking *brilliant*. The second staff is in treble clef and contains a series of chords marked *broad* and *f*, with a dynamic marking *fp < f*. The third staff is in bass clef and contains a series of notes marked *non-emotional* and *f*, with a dynamic marking *f*. The bottom staff is in bass clef and contains a series of notes marked *f*, with a dynamic marking *f* and a triplet of eighth notes marked *3*. The score is divided into two measures by a dashed vertical line.

The seemingly disparate musical gestures presented by the four instruments are unified by their related pc content. Violin I's septuplet employs the same pc set as violin II's series of chords. The septuplet first states the pc content of chord 4 of violin II's figure, then that of chord 1 (see Ex. 5.45). Similarly, the opening dyad of the cello theme, C#2–C4, is immediately echoed by two of the four pcs of violin II's first chord, D4/C#5/E5/C6.

Example 5.45 Motives with related pc content, in Ralph Shapey, String Quartet No. 6 (1963) (cf. Ex. 5.44). © 1977 Theodore Presser Co. Used by permission.

The image shows musical notation for two violins. Violin I's staff begins at measure 2 (labeled 'm. 2') with a treble clef and a key signature of one flat. It contains a series of eighth notes: Bb, C#, D, Eb, E, F, G, Ab, A, Bb. Violin II's staff begins at measure 1 (labeled 'm. 1') with a treble clef and a key signature of one flat. It contains a chord of Bb, C#, and D. Below the staves, 'Chord 4' is labeled under the first measure and 'Chord 1' is labeled under the second measure. A bracket connects the two measures, and a '7' is written below it.

Shapey rarely transposes themes or motives. He does, however, use transposition within the opening cello theme. The theme is divided into two variants of the same idea, the second beginning on Bb2, a diminished seventh higher than the opening pitch, C#2 (see Ex. 5.44). Both variants have the same general shape. Both include a triplet figure that contains the tetrachord, {D, Eb, G, G#(Ab)}. By employing these two variants, Shapey is able to complete the aggregate within the cello theme. The first part of the theme comprises the ten-pc chromatic collection, B–Ab. The second, shorter part provides the previously omitted pcs, Bb and A. The structural significance of these pcs is underlined by their position at the beginning and end of the second part of the theme.

Shapey also uses the concept of aggregate completion in his expansion of violin I's septuplet. The septuplet contains the chromatic segments, C–E and G#–A (see Ex. 5.45). In m. 7, violin I introduces a related twelve-pitch thirty-second-note motive that comprises the aggregate (see Ex. 5.46).

Example 5.46 Aggregate presentation in a twelve-note motive, in Ralph Shapey, String Quartet No. 6 (1963), m. 7, violin only (cf. Ex. 5.45). © 1977 Theodore Presser Co. Used by permission.

The bipartite cello theme evolves continuously throughout section I. Shapey successively presents three complete versions of the theme, followed by two additional variants of its first part (not shown). He transforms the theme by rhythmic augmentation, as well as the reordering of its pc content (see Ex. 5.44, mm. 2-4).⁷³ Shapey transfers the third complete statement of the theme to the treble, in the cello's expressive tenor register, beginning on C#5 (see Ex. 5.47).

Example 5.47 Treble version of the cello theme, in Ralph Shapey, String Quartet No. 6 (1963), mm. 7-9, cello only. The theme begins with C#5 (cf. Ex. 5.44). © 1977 Theodore Presser Co. Used by permission.

⁷³ See Fig. 3 in Andrew Mead, "How to Be, What to Do: Character and Action in Ralph Shapey's String Quartet No. 6," *Contemporary Music Review* 27, nos. 4/5 (August-October 2008): 489-509, especially 495.

Shapey's presentation of the cello theme and its variants in section 1 serves as a foundation for the structure of the entire Quartet. The theme and its variants are repeated in their entirety in section 2, and are divided between sections 4 and 6 as well.⁷⁴

As he had done in *Seven*, Shapey orders pitch space in a symmetrical manner. In m. 1, violin I sustains an A7 harmonic at the same time as the cello presents B1 (produced by retuning its C string). The huge pitch space, A7–B1, is bisected by violin II's A4/B4 dyad, the second chord of its opening figure. Shapey repeats the dyad at the beginning of m. 2 (see Ex. 5.44). In the slow, "timeless" music of sections 3 and 5, Shapey employs the highest register of the violins. Violin I plays C8 and D#8, exceeding the upper registral boundary created at the beginning of the Quartet (see Ex. 5.48).⁷⁵

⁷⁴ Mead, 499, 502, 504.

⁷⁵ Shapey adds a note in section 3: "Please: The composer realizes how difficult these & similar passages are, but under no conditions should harmonics be substituted unless so specified in the score!!!!"

Example 5.48 Treble registral extreme, in Ralph Shapey, String Quartet No. 6 (1963), mm. 30-1. © 1977 Theodore Presser Co. Used by permission.

N = normal
NE = non-emotional

While Shapey frequently asks the violins to play at or near the top of their range, he instructs the cellist to lower the tuning of the C string by an additional half step at the end of section 1. This permits the cellist to conclude both sections 1 and 6 with the otherwise unavailable pitch, Bb1 (see Ex. 5.49). Shapey's use of the extremes of pitch space in a manner acoustically challenging for the listener is comparable to his practice in the orchestral *Ontogeny* (1958) (see Ex. 3.38).

Example 5.49 Bass registral extreme, in Ralph Shapey, String Quartet No. 6 (1963), m. 11.
 © 1977 Theodore Presser Co. Used by permission.

11

ff sfz

*Turn "B" peg simultaneously with bow attack

In section 2, Shapey uses the techniques of fragmentation and rearrangement to transform the “images” associated with the four members of the ensemble. The “images” are shifted to different instruments and occasionally fused together. In addition, the viola “image” and the cello theme are shifted to different registers.

Shapey’s transfer of the cello theme to the instrument’s treble register near the end of section 1 serves as a bridge to section 2. In the first measure of the new section, violin I presents a rearranged version of the cello theme in the high treble, while violin II merges the viola “image” with a fragment of its own “image.” The viola plays a version of the first part of the cello theme, an octave higher than that of its initial appearance (see Ex. 5.50).

Example 5.50 Transformation of “images,” in Ralph Shapey, String Quartet No. 6 (1963), m. 12. © 1977 Theodore Presser Co. Used by permission.

♩ = 54 with intense movement

12

mf *f* *f*

mp *f*

f *mp* *p* *fmp*

sostenuto *sostenuto*

A D D G A

N NE

3 3 5

In the following measures, Shapey restates the cello theme and all of its variants in their original form, with a short digression that includes repetition of the second part of the theme. The other three members of the ensemble simultaneously play modified versions of the cello theme, interleaved with the other “images.” Both violin II and the viola play the treble version of the cello theme. Violin II and the cello present this version in a canon at the unison (not shown).

Violin II’s widely spaced motivic figure in the penultimate measure of section 2 (see Ex. 5.51) is a variant of its music in m. 12, the opening measure of the section. The new figure serves as the basis of sections 3 and 5. In these sections, Shapey creates a slow-moving dialogue

Example 5.52 Development of the twelve-note version of violin I's rapid figure, in Ralph Shapey, String Quartet No. 6 (1963), m. 40 (cf. Ex. 5.46). © 1977 Theodore Presser Co. Used by permission.

The brief final section recapitulates the end of section 1. Shapey concludes the quartet with a dramatic statement of the beginning of the cello theme that underlines both his use of a single set of ideas throughout the work, and his use of register as a formal device. All of the members of the ensemble play the opening gesture of the quartet, a sustained C#, followed by the dyad, C–D#.⁷⁶ The cello states the opening pitches of its theme, C#2, C4 and D#4. The violins leap from C#4 to the dyad, C8–D#8, the upper registral boundary of sections 3 and 5. The first violin's leap from C#4 to the C8–D#8 dyad in sections 3 and 5 is now revealed as a registally

⁷⁶ Mead, 504.

shifted statement of the opening notes of the cello theme.⁷⁷ Shapey's thematic statement in octaves distantly echoes his early String Quartet No. 1 (1946) and his first model for quartet writing, Schoenberg's String Quartet No. 4 (1936) (see Exx. 1.43 and 1.44).

String Quartet No. 6 ends with Shapey's simultaneous presentation of the treble and bass registral extremes of the ensemble in a chord that spans more than six octaves. The violins sustain D#8, while the cello unfolds the same descending figure that concludes section 1, ending on Bb1, the lowest note of its range (see Ex. 5.53).

⁷⁷ Mead, 502.

Example 5.53 Simultaneous use of treble and bass registral extremes, in Ralph Shapey, String Quartet No. 6 (1963), mm. 74-5 (cf. Exx. 5.44, 5.48, and 5.49). © 1977 Theodore Presser Co. Used by permission.

$\text{♩} = 46$ with intense majesty

The musical score shows four staves for a string quartet. Measures 74 and 75 are marked with a forte (*ff*) dynamic. Above the staves, there are bowing instructions: 'V.' for bow up and '*' for bow down. A triplet of eighth notes is indicated in measures 74 and 75. A vertical dashed line separates measure 74 from measure 75. In measure 75, the Cello/Double Bass staff has a sforzando (*sfz*) dynamic marking at the end.

* Change bows as much as needed in order to keep a vibrant sound.

The overall structure of String Quartet No. 6 has many similarities to that of String Quartet No. 5, written five years earlier. Both works contrast busy counterpoint with passages of “timeless” music, in which repetitive motivic figures move over a background of sustained chords (see Ex. 5.54).

Example 5.54 “Timeless” music, in Ralph Shapey, String Quartet No. 5 with Female Voice (1958), I, mm. 19-20 (cf. Ex. 5.48). © 1958 Theodore Presser Co. Used by permission.

19

f *mf* *mp*

$\frac{5+3+1}{8+16+8}$ *mf* *mp*

$\frac{4+3+2}{8+16+8}$ *mp*

Both quartets also include passages that serve as interpolations within the dominant musical narrative. String Quartet No. 6 differs from its predecessor in that this procedure is projected on a larger scale. Shapey interrupts the presentation of the cello theme at the end of section 4 in order to reintroduce the slow, static music of section 3. The cello resumes the narrative of section 4 at the beginning of section 6, continuing with the original sequence of variants of its theme to conclude the Quartet (not shown).⁷⁸

⁷⁸ Mead, 504.

The Composers String Quartet⁷⁹ premiered String Quartet No. 6 at New York University in 1966. The new work received detailed reviews by attentive critics. In *The New York Times*, Theodore Strongin wrote,

Last night's only complete first performance was of Ralph Shapey's 10-minute String Quartet No. 6, written in 1963. For it, the members of the Composers' Quartet . . . stood up to play, rather than sit close together in conventional fashion. . . . All were spread out roughly in a line across the stage, more or less facing the audience.

Each instrument of Mr. Shapey's quartet has music to play that is at times quite independent of the others, and the unconventional stage setting helped the ear keep the elements apart.

Played without interruption, the quartet is highly poetic in nature and very lyrical, with beautiful quiet, sustained episodes during which the viola and cello sustain a dissonant interval very softly, while the two violins stroke soft, separated, almost inaudible notes, many of them upper harmonics.

Piece Has Personality

In its more active passages, each instrument is given motto-like material. By repeating and fragmenting each motto, Mr. Shapey keeps his piece well-knit and with a strong sense of direction. Post-Webern the quartet may be in derivation, but its personality is definitely Shapey.⁸⁰

Continuities

By the time that Shapey presented his rhythm lecture at Yale – presumably during the 1963-64 academic year – his interest in Messiaen's rhythmic irregularities and symmetries had already peaked. The sharp-edged rhythms of many pieces that Shapey composed during the 1950s harmonize well with Messiaen's rhythmic procedures, and his music occasionally displays intriguing similarities to the French composer's compositions. In contrast, Shapey's works of the

⁷⁹ The Composers String Quartet was founded in 1966, and specialized in music by contemporary composers. See Dennis K. McIntire, "Composers String Quartet," *Grove Music Online, Oxford Music Online*, Oxford University Press, accessed 2 September 2013, <http://www.oxfordmusiconline.com:80/subscriber/article/grove/music/06215>.

⁸⁰ Theodore Strongin, "Composers' Showcase Begins Season with a Varied Concert," *The New York Times*, 29 November 1966: 50.

early 1960s are distinguished by a carefully crafted rhythmic amorphousness irreconcilable with Messiaen's rhythmic concepts.

The rhythmic freedom of Shapey's String Quartet No. 6 may have been inspired by Stefan Wolpe's ten-measure String Quartet fragment (1950-51),⁸¹ written at a time when the two men were close collaborators. Wolpe's brief sketch exemplifies his concept of simultaneous musical actions, which reached its fullest expression in *Enactments* for Three Pianos (1950-53). In a conversation with critic Eric Salzman, Wolpe articulated his vision of musical multiplicity:

So that kind of idea, where the ideas live within a multidimensional space and behave that way, behave discontinuous, behave abrupt, behave collapsing, behave cohering, coalescing. That was a new experience to me. And, really, I found for the first time in my life an adequate technique to present material in use.⁸²

Wolpe's Quartet fragment is characterized by arhythmic, multidimensional textures. It begins with two trichords, followed by a P5 (ip7) dyad, D4–A4. In m. 2, the viola and cello interject rapid turn figures, derived from the opening trichord, while violin II sustains the D4–A4 dyad. Wolpe develops the two contrasting ideas in m. 4, creating an opposition between highly differentiated musical events. Violin I and the viola present expanded versions of the turn figures in a contrapuntal interchange, while the cello and violin II rapidly reiterate D–A dyads in alternation (see Ex. 5.55).

⁸¹ Stefan Wolpe, String Quartet [Fragment] (1950-51), in Stefan Wolpe, *Twelve Pieces for String Quartet* (1950); *String Quartet Fragment* (1951) (The Stefan Wolpe Society, 1998).

⁸² Austin E. Clarkson, "Stefan Wolpe in Conversation with Eric Salzman," *The Musical Quarterly* 83, no. 3 (Autumn 1999): 378-412, especially 400.

Example 5.55 Contrasting ideas, in Stefan Wolpe: String Quartet [Fragment] (1950-51), mm. 1-4. © 1998 The Stefan Wolpe Society, Inc. Used by permission.

The musical score is divided into two systems. The first system (measures 1-4) features Violin I, Violin II, Viola, and Cello. Violin I has a whole rest in measure 1 and a half note in measure 2. Violin II plays a half note in measure 1, a half note in measure 2, and a half note in measure 3. Viola plays a half note in measure 1, a half note in measure 2, and a half note in measure 3. Cello plays a half note in measure 1, a half note in measure 2, and a half note in measure 3. The second system (measures 5-8) features Violin I, Violin II, Viola, and Cello. Violin I plays a half note in measure 5, a half note in measure 6, and a half note in measure 7. Violin II plays a half note in measure 5, a half note in measure 6, and a half note in measure 7. Viola plays a half note in measure 5, a half note in measure 6, and a half note in measure 7. Cello plays a half note in measure 5, a half note in measure 6, and a half note in measure 7. The score includes various musical notations such as dynamics (*mf*, *f*, *ff*, *fp*), articulation (*pizz.*, *spring bow*), and phrasing (*non dim.*, *molto*).

In mm. 7-10 of the ten-measure fragment, Wolpe again divides the ensemble into two duos, creating rapid, rhythmically intricate counterpoint. Violins I and II echo each other, while the viola and cello play in contrary motion. The obvious performance difficulties of the music,

particularly at the time of its composition, may have prompted Wolpe to abandon the sketch (see Ex. 5.56).

Example 5.56 Instrumental duos, in Stefan Wolpe, String Quartet [Fragment] (1950-51), m. 9. © 1998 The Stefan Wolpe Society, Inc. Used by permission.

Shapey took the better part of a decade to assimilate Wolpe's new rhythmic and textural concepts. During the early 1950s, his style differed widely from that of Wolpe's most recent works. Nevertheless, Shapey's musical ideas continued to reflect those of his teacher. At the beginning of the first movement of Shapey's Trio for Violin, Cello and Piano (1953-55), composed in 1953, he presents a weaving treble piano motive that resembles the five-note motivic figures played by both violin I and the viola in m. 4 of Wolpe's Quartet fragment. Unlike his teacher, however, Shapey coordinates the parts by means of a rigid rhythmic grid, creating music very different from Wolpe's fluid discourse (see Ex. 5.57).

Example 5.57 Interlocking rhythmic patterns, in Ralph Shapey, *Trio for Violin, Cello and Piano* (1953-55), I, mm. 1-2. © 1958 Theodore Presser Co. Used by permission.

Maestoso ♩ = 42 (♩ = 84)

The musical score for Example 5.57 consists of three staves: Violin, Cello, and Piano. The time signature is 3/4, which changes to 2/4 + 3/16 in the second measure. The key signature has one sharp (F#). The Violin and Cello parts are marked 'f' (forte) and '(legato - detached)'. The Piano part is marked 'f' (forte). The score shows interlocking rhythmic patterns between the instruments.

As his career progressed throughout the 1950s and 60s, Shapey often employed similar motivic material, but treated it with progressively greater gestural freedom. In the first movement, “Recitative,” of *Five* for Violin and Piano (1960), the piano repeatedly plays a weaving chordal gesture, reminiscent of the piano motive in the opening measures of the *Trio* for Violin, Cello and Piano. The violin simultaneously plays a large leap, recalling the string leaps that accompany the piano’s weaving motive in the *Trio*. Although the two pieces employ similar motivic ideas, the rhythms of “Recitative” are more fluid. Unlike the *Trio*, “Recitative” lacks barlines. Despite Shapey’s desire to free his rhythmic structures from predictable organizational patterns, the shadow of his early style is still discernable, however. Shapey coordinates the violin part with the piano’s treble and bass lines, so that the two instruments

begin and end their gestures together. It would be possible to insert barlines without doing any violence to the music (see Ex. 5.58).

Example 5.58 Opening gestures, in Ralph Shapey, *Five* for Violin and Piano (1960), I, “Recitative,” p. 1, lines 1-2 (cf. Ex. 4.35a). © 1961 Ralph Shapey. By permission of Elsa Charlston Shapey.

The musical score for the opening of Ralph Shapey's *Five* for Violin and Piano, I, "Recitative," is shown. The tempo is marked as $\text{♩} = 46$ ($\text{♩} = 92$). The Violin part begins with a *mf* dynamic and a *dolce* marking, featuring a long, sweeping melodic line with a triplet of eighth notes. The Piano part begins with a *mf* dynamic and a *loco* marking, featuring a complex, rhythmic pattern with a triplet of eighth notes. The score includes various musical notations such as dynamics (*mf*, *f*), articulations (*dolce*, *loco*), and performance instructions (e.g., *8va*, *8va⁻¹*). The score is divided into measures by barlines, which are noted as being inserted purely for convenience.

Shapey again uses a weaving chordal motive in String Quartet No. 6 (1963). The chords, first played by violin II, contrast with the cello's melodic leaps (see Ex. 5.44), which are comparable to the violin's melodic leaps at the beginning of *Five*. In the quartet, the members of the ensemble play independently to a far greater degree than in *Five*, although their lines occasionally converge. Although Shapey employs barlines in the score of the Quartet, they are inserted purely for convenience, and have no rhythmic significance. Both the motivic ideas and the unmeasured rhythms of the opening measures of String Quartet No. 6 recall Wolpe's Quartet fragment, written a dozen years earlier (compare Exx. 5.44 and 5.55). At long last, Shapey had

fully integrated the compositional concepts that Wolpe developed during the early 1950s into his own distinctive style.

By the end of 1963, Shapey had become a major figure in the New York new music world, both as a composer and as a conductor of new music. In the previous four years, he had written a series of acclaimed works, one of which had been recorded (*Evocation No. 1*). In addition, Shapey had made his first recording as a conductor (Babbitt's *Composition for Twelve Instruments*), performing music that other conductors avoided because of its technical difficulty. Shapey was now about to step onto the national stage.

CHAPTER 6:

MASTERY AND NATIONAL RECOGNITION, 1964-1966

Career Advancement: University Positions

By 1963, Shapey's activities as both composer and conductor had brought him considerable recognition within the new music world. He was now offered professional opportunities that had been unavailable to him in the past (see Table 6.1).

Table 6.1 Ralph Shapey: Chronology, 1963-66

Conductor, University Orchestra and Choral Society, University of Pennsylvania	1963-64 academic year
<i>Sonance</i> for Carillon	25 February 1964–13 March 1964
Appointed to the faculty of the U. of Chicago	June 1964
<i>Configuration</i> for Flute and Piano	15 June 1964–11 September 1964
Inaugural Concert, Contemporary Chamber Players	1 December 1964
Varèse 80 th Birthday Concert, Carnegie Hall, NY	31 March 1965
Repeat of Varèse 80 th Bday. Concert, U. of Chicago	11 May 1965
String Trio	6 May 1965–27 May 1965
Death of Varèse	6 November 1965
Partita for Violin Solo	9 November–29 November 1965
Partita for Violin and Thirteen Players	5 January–30 August 1966
Prem. of the Partita for Vn. and Thirteen Players	25 January 1967

For the 1963-64 academic year, Shapey was simultaneously offered a one-year position as a guest conductor and lecturer at Princeton, and a part-time position as conductor of the orchestra and choral society of the University of Pennsylvania. According to Shapey, his friend, Henry Weinberg,¹ a member of the Penn faculty, convinced George Rochberg,² chairman of the

¹ Henry Weinberg (b. 1931), composer, professor of music at the University of Pennsylvania and the City University of New York (retired).

² George Rochberg (1918-2005), composer, professor of music at the University of Pennsylvania.

music department, to offer him the position at Penn. Shapey decided to accept the job at Penn, due to the possibility that it might eventually become a full-time position.³ Shapey's student assistant, composer Andrew Rudin,⁴ recalled the rehearsals for the first concert of the Penn orchestra and chorus:

He was indeed precise, but his rehearsals were surprisingly a lot of fun. He'd sometimes take the violin from the concertmaster and show what he wanted. He was a quite good violinist. He also enjoyed clowning around and imitating the conducting mannerisms of people like Reiner, Bernstein, etc. . . . It surprised me how much Ralph loved the Chausson [*Poème*], and he had fun in rehearsals playing parts of the solo line himself . . . just to mess with Charlie [violinist Charles Castleman].⁵

On 4 December 1963, Shapey conducted Varèse's *Offrandes* (1921) and Webern's Concerto, op. 24 (1934), along with Chausson's *Poème* and works by Haydn and J. S. Bach.⁶

Andrew Rudin recalled the concert:

I played the piano in the Webern Concerto and cello in the other pieces. . . . Unknown to us, Ralph had invited Varèse and he came. . . . To our great astonishment, Varèse appeared after *Offrandes*, kissed the soprano's hand, then went back to the percussion section and put his arms around the players.⁷

On 4 March 1964, Shapey conducted Webern's Cantata No. 1, op. 29 (1938-39), Roger Sessions' Mass for Unison Choir and Organ (1955) and Henry Weinberg's choral *Vox in Rama* (1956), as well as works by Mozart and Beethoven.⁸ On 29 April 1964, Shapey conducted the university orchestra and choral society in excerpts from Mendelssohn's *Elijah* at Temple Adath

³ Ralph Shapey, "Remembrances of My Life in Music," 36. Shapey Papers, Box 136.

⁴ Andrew Rudin (b. 1939), composer, professor of music (retired) at the University of the Arts in Philadelphia, PA.

⁵ Andrew Rudin, Facebook exchange, 8 January 2012.

⁶ The concert had originally been scheduled for 22 November 1963, but was postponed due to the assassination of President Kennedy. See Daniel Webster, "At the University Museum: Penn Renditions Please Varèse," *The Philadelphia Inquirer*, 5 December 1963: 42; Daniel Webster "Pioneering Varèse," *The Philadelphia Inquirer*, 8 December 1963: D5.

⁷ Andrew Rudin, Facebook exchange, 8 January 2012.

⁸ Daniel Webster, "University Museum: Shapey Leads Chorus in Debut of Three Works," *The Philadelphia Inquirer*, 5 March 1964: 29.

Israel of the Main Line, a synagogue in the Philadelphia area. In addition to his work at the university, Shapey conducted the Sinfonietta of Philadelphia on 8 December 1963 in a concert of works for chamber orchestra from the Soviet Union. The concert included music by Nikolai Rakov (1908-90) and Revol Bunin (1924-76), as well as the First Piano Concerto, op. 35 (1933), of Shostakovich.⁹

In the spring of 1964, the music department of the University of Chicago decided to hire a composer/conductor. At the same time, the University of Chicago applied to the Rockefeller Foundation for two grants: one to create a new music ensemble, and the second to enable the Chicago Symphony to perform contemporary American works for orchestra at Mandel Hall, the concert hall of the university. Both grants were approved, the first of \$250,000 on “a part-matching basis,” for a “program to foster the composition and performance of contemporary music, through June, 1967,” and the second, of \$15,000, for “premiere performances of symphonic works by American composers.”¹⁰

At the urging of Henry Weinberg, Shapey applied for the faculty opening at the University of Chicago. Years later, he recalled his predicament:

⁹ On cultural exchange programs with the Soviet Union, see Yale Richmond, *Cultural Exchange and the Cold War: Raising the Iron Curtain* (University Park, PA: Pennsylvania State University Press, 2003).

¹⁰ *The Rockefeller Foundation: Annual Report for 1964*, 129, accessed 4 December 2013, <http://www.rockefellerfoundation.org/uploads/files/3c97a37d-7c73-4db4-b395-7168edf9d0ed-1964.pdf>. In 1965, the Rockefeller Foundation awarded the University of Chicago an additional \$60,000 grant to host concerts of new American orchestral music by the Chicago Symphony in 1966-68. See University of Chicago, Office of Public Relations press release, 2 December 1965. Leonard B. Meyer Papers, Box 15, Folder 12: Rockefeller Foundation Grant, 1965, Special Collections Research Center, University of Chicago Library. Thanks to Barbara Gilbert, Reading Room Coordinator, and Christine Colburn, Reader Services Manager, Special Collections Research Center, for providing me with a copy of this document.

I get this letter from the University of Chicago, that there's a search committee, and they're looking for a composer. . . . In the meantime, Leonard [Meyer],¹¹ who was the Chairman, had made application to the Rockefeller Foundation for a grant to create the CCP [Contemporary Chamber Players]. . . . Finally they [the University of Chicago] did make the offer. . . . Now Rochberg was the chairman at Philly, and he got up and tried to counter it . . . he said, "I will try to get you in as a composer via the back door."¹² . . . Because here in Chicago, [I was] coming in the front door, as a composer. . . . Then, about a week or so after I had accepted the job here [in Chicago], Lenny [Meyer] calls me . . . and he says, "Congratulations." I said, "That's nice, for what?" He said, "Well, you got the Rockefeller grant." I said, "I didn't have anything to do with the Rockefeller grant." "It makes no difference, you got it, and it's your money, and you create the CCP."¹³

In his handwritten 1998 memoir, "Remembrances of my Life in Music," Shapey gave additional details:

Then I got a call that Easley Blackwood¹⁴ was in town (NYC) & wanted to meet & have a talk. It never occurred to me that this was a preliminary interview re: Univ. of Chicago. . . . A short while later, I was called to come to Chicago for the formal interview, which to my complete surprise went extremely well. The now-famous interview with Dean [Robert E.] Streeter, where getting fed up with the academic

¹¹ Leonard B. Meyer (1918-2007), professor of music at the University of Chicago (1946-75), and professor of music and the humanities at the University of Pennsylvania (1975-88). He studied composition privately with Stefan Wolpe after World War II, at the same time as Shapey.

¹² On 19 May 1964, Rochberg wrote: "Let's assume you decide to stay at Penn. . . . [He then discusses Shapey's work as conductor of the university orchestra and chorus.] Then there is the teaching of composition, a very important element in the whole picture as it affects the future should you stay at Penn. Next year I expect there will be approximately 10 composition students on the graduate level, 7 of them new to Penn. As I told you, I need help very badly. I cannot teach all these people privately, conduct a seminar & do all the administrative work & committee work that I know lies ahead. . . . In future years you might want a crack at the composition seminar. You're welcome to it. I will need a rest from it at some point. . . .

Now, what about Chicago? . . . [I]t suddenly dawned on me – & perhaps it has on you – that your going to Chicago . . . is essential to the success of whatever program they are planning with the grant money should it come through. . . . [W]ithout someone like yourself, without a conductor with your experience & capacity, the project they plan cannot be successfully expedited. . . . [I]f the grant does not come through, they could let the whole offer lapse. . . . If it should, you have no problem of choice any longer & your situation at Penn still is assured." George Rochberg, letter to Shapey, 19 May 1964. Shapey Papers, Box 4.

¹³ Vivian Perlis, interview with Ralph Shapey, 16-7 April 1983, transcript, 113. Oral History American Music, Yale University. For a similar account, see Patrick Finley, *A Catalogue of the Works of Ralph Shapey* (Stuyvesant, NY: Pendragon, 1997), 11-2.

¹⁴ Easley Blackwood (b. 1933), pianist and composer, professor emeritus of music at the University of Chicago, where he has taught since 1958.

nonsense, I blurted out, “Look, gentlemen (Leonard Meyer, chairman of the Music Department, was present), let’s get one thing straight. I have no intentions of becoming a dusty book on one of your shelves. I’m a revolutionary.” . . . Seeing their looks of surprise staring at me, I took a deep breath and added, “Well, I guess I just talked myself out of this job,” when suddenly Dean Streeter doubled up his fist, banged it on the table, exclaiming, “That’s what we stand for!” . . . A short time later, I was appointed. The result was deep agonizing. Should I or not leave NYC, impossible. . . . [All] agreed that I would be a fool not to accept. Also in the plans was to create for the first time in its history, a professional chamber players ensemble that I would conduct as its music director. . . .

Before leaving New York [before I left New York], Norman Lloyd, then head of the Rockefeller Foundation,¹⁵ called me in for a talk whose main point was “Ralph, we’re sending you to Chicago because as far as contemporary music is concerned, it’s a desert. Your job is to make it bloom!”¹⁶

On 5 July 1964, *The New York Times* reported that Shapey had been appointed to the faculty of the University of Chicago.¹⁷

Sonic Explorations (I): *Sonance* for Carillon (1964)

When Shapey visited Chicago to be interviewed for the faculty position, he was commissioned by Daniel Robins, carillonneur of Rockefeller Memorial Chapel at the University of Chicago, to write a piece for the Laura Spelman Rockefeller Memorial Carillon.¹⁸ Shapey composed *Sonance* for Carillon¹⁹ between 25 February and 13 March 1964. Due to the nature of the carillon, Shapey worked directly with sounds in *Sonance*. The reverberative haze and rich overtones produced by the instrument in *Sonance* cannot be fully captured by notation. The

¹⁵ Shapey’s memory was inaccurate. Norman Lloyd (1909-80) was not “head of the Rockefeller Foundation.” He was appointed to the new position of director for arts for the Rockefeller Foundation on 8 October 1964. See “Foundation Names Director of Arts,” *The New York Times*, 9 October 1964: 29; Jill Smolowe, “Norman Lloyd, 70; Composer-Teacher,” *The New York Times*, 1 August 1980: B4.

¹⁶ Ralph Shapey, “Remembrances of My Life in Music,” 39-41. Shapey Papers, Box 136.

¹⁷ Theodore Strongin, “The World of Music: The Metropolitan Opera Will Spend More Than \$200,000 on Education,” *The New York Times*, 5 July 1964: X9.

¹⁸ Finley, 36.

¹⁹ Theodore Presser Co. publishes the score of *Sonance* for Carillon: #114-40534.

compositional structure of the piece is determined by the resonance of the carillon, as well as by theories of pitch organization and form.

Shapey's interest in working with the very substance of sound had been a recurring feature of his music since *Challenge: The Family of Man* (1955). The timbres of *Sonance* are particularly indebted to Shapey's exploration of percussion sonorities in *Dimensions* (1960), *Incantations* (1961) and the Piece for Violin and Instruments (1962). *Sonance* also recalls the chimes of Varèse's *Déserts* (1954) and the bell sounds of his *Poème électronique* (1958).

In *Sonance*, Shapey carefully stratifies the sounds of the carillon by register. The highest sounds are brilliant but have little resonance, while the actual pitch of the lowest sounds is sometimes obscured by the lower partials. Shapey employs the middle register as the primary vehicle of the musical narrative.

Sonance has nine brief sections. The sections are not numbered, but are clearly demarcated by double bars. Each of the sections ends with sustained, reverberant chords, except for section 8. Sections 1, 2, 5 and 6 all conclude with an E3/F4 dyad (see Table 6.2).

Table 6.2 Ralph Shapey, *Sonance* for Carillon (1964): Form

<u>Title</u>	<u>Section</u>	<u>Measure Nos.</u>	
stately with varied motions tempo with bravura	1	1-9	Introduction of central “image.”
	2	10-23	(a) Development of central “image.”
	3	24-35	(b) Elaboration of section 2.
	4	36-56	Bass ostinati. Treble figure is derived from central “image.”
with delicacy	5	57-66	(a) Further development, as well as direct quotation, from sections 2 and 3.
with sensitive motions	6	67-79	(b) Development of triplet motive, previously employed in sections 2, 3 and 5.
	7	80-3	“Fantasy on one note,” followed by brief recall of central “image.”
with joy			Development of ideas of section 4.
with majesty	9	84-105 106-12	Recall of central “image” at conclusion.

Sections 1, “stately,” and 9, “with majesty,” frame *Sonance* by presenting the central “image” of the work (see Ex. 6.1).

Example 6.1 Ralph Shapey, *Sonance* for Carillon (1964), mm. 1-2. © 1990 Theodore Presser Co. Used by permission.

♩ = 44 stately

The musical score for Example 6.1 consists of three staves. The tempo is marked as '♩ = 44 stately'. The score is divided into measures by vertical dashed lines. The first staff (treble clef) begins with a half note G4 (sharp), followed by a quarter rest, then a quarter note A4 (sharp), and a quarter note B4 (sharp). The second staff (middle clef) begins with a half note G3 (flat), followed by a quarter rest, then a quarter note A3 (flat), and a quarter note B3 (flat). The third staff (bass clef) begins with a half note G2 (flat), followed by a quarter rest, then a quarter note A2 (flat), and a quarter note B2 (flat). The score includes dynamic markings of *mf* and *f*, and articulation such as accents and slurs. A triplet of eighth notes is marked in the first staff of the second measure.

Two sets of paired sections, sections 2/3 and sections 5/6, develop similar musical ideas. In section 2, Shapey introduces a descending triplet motive, which he restates in sections 3 and 5. He devotes section 6 almost exclusively to the descending triplet motive (see Exx. 6.2 and 6.3). The descending motive contrasts with the ascending gestures that conclude the central “image” of *Sonance* (see Ex. 6.1).

Example 6.2 Descending triplet motive, in Ralph Shapey, *Sonance* for Carillon (1964), mm. 16-7. © 1990 Theodore Presser Co. Used by permission.

16

mf *f*

mf *f*

mf

Example 6.3 Development of descending triplet motive, in Ralph Shapey, *Sonance* for Carillon (1964), mm. 67-8 (cf. Ex. 6.2). © 1990 Theodore Presser Co. Used by permission.

with sensitive motions

67

pp *mf* *pp* *mf* *mf* *pp*

pp *poco a poco cresc.*

In section 4 (“with bravura”), paired ostinati are presented in the bass and middle registers. At the same time, the rhythmic position of a third, treble ostinato, gradually shifts relative to the other voices, as it undergoes a process of rhythmic augmentation (see Ex. 6.4).

Example 6.5 Development of paired bass and middle register ostinati of section 4, in Ralph Shapey, *Sonance* for Carillon (1964), mm. 84-5 (cf. Ex. 6.4). © 1990 Theodore Presser Co. Used by permission.

♩ = 72 (♩ = 144) with joy

The musical score for Example 6.5 shows measures 84 and 85. Measure 84 begins with a treble clef staff marked *ff*, containing a triplet of eighth notes. The middle and bass staves have half notes. Measure 85 continues the melodic lines with various dynamics like *f* and *mf*, including more triplet markings.

Shapey's development of the ideas of section 4 in section 8 parallels his development of the ideas of sections 2/3 in sections 5/6. The symmetries between sections 2/3 and 5/6, and sections 4 and 8, prevent the listener from perceiving a single focal point within the overall structure of *Sonance*, and draw attention back to the periodic restatements of the initial "image" throughout the piece. One of these restatements concludes the short, almost parenthetical, section 7. The section is a "fantasy on one note," in which Shapey creates a crescendo and decrescendo on Db4, a very idiomatic gesture for the carillon. Shapey seemingly underlines the position of section 7 within the form of *Sonance* by stating Db4 seven times before presenting a truncated version of the initial "image."

Shapey varies the "tempo of chromatic circulation" throughout *Sonance*. At the beginning of the work, he completes the aggregate only gradually, with the E3 in m. 5 (not shown). Later in the piece, Shapey speeds up the circulation of the aggregate. In section 4, the ostinati in the two lowest staves combine to present the aggregate in each measure (see Ex. 6.4). In the rhythmic sphere, Shapey repeatedly employs additive and subtractive processes as a

thematic device, reflecting his interest in Messiaen's rhythmic procedures.²⁰ For example, in mm. 59-60, Shapey first presents a subtractive series consisting of a dotted quarter note, a quarter note, a dotted eighth and a sixteenth note. Beginning with the C4 at the end of m. 59, he presents an additive series consisting of a sixteenth note, an eighth and a quarter note. The quarter note serves as a pivot, with Shapey again reversing direction to present a subtractive series. It is followed by a dotted eighth, an eighth note and a sixteenth note (see Ex. 6.6).

Example 6.6 Additive and subtractive rhythms, in Ralph Shapey, *Sonance* for Carillon (1964), mm. 59-60. © 1990 Theodore Presser Co. Used by permission.

Daniel Robins gave the premiere of *Sonance* on 1 July 1964.²¹

Sonic Explorations (II): *Configuration* for Flute and Piano (1964)

Configuration for Flute and Piano²² was the first piece that Shapey composed when he arrived in Chicago in the summer of 1964. It is dedicated to flutist Sue Ann Kahn, who premiered the work in 1966. In *Configuration*, Shapey juxtaposes frenetic music with timeless,

²⁰ See "The Lecture Notes on Rhythm" in chapter 5.

²¹ Finley, 36.

²² Theodore Presser Co. publishes the score of *Configuration* for Flute and Piano: 11440599S.

floating textures in a manner that recalls his String Quartets Nos. 5 and 6, but within a structurally simpler context. The name, *Configuration*, precisely describes Shapey's method of development. Shapey employs several motives or "images," musical gestures that are permuted throughout the piece and juxtaposed in constantly changing "configurations." Shapey's use of the resonance of the sustaining pedal to underline his use of a static construction in the piano part throughout the second movement of *Configuration* is undoubtedly indebted to his experience in writing *Sonance* for Carillon.

Shapey divides the twelve pcs of the aggregate between the initial three "images" of *Configuration*. In the opening measure, the flute presents two "images" that can be analyzed as pc collections. "A₁" consists of the trichord, Db–Eb, while "B" consists of the pentachord, E–G#, and the dyad, B–C. "A₁" and "B" together include ten of the twelve pcs of the aggregate, omitting only A and Bb. In m. 2, Shapey completes the aggregate by stating a third collection, the dyad, A–Bb, in the piano. I label this collection "C."

In m. 3, Shapey presents an expanded version of "A₁," which I label "A₂." "A₂" consists of the hexachord, B–E, which is divided between the piano's treble and bass. One pc, D, is duplicated between the two staves. The treble presents a leaping, ascending gesture, while the bass presents an arching figure. The ascending gesture in the treble parallels the shape of "B." The piano restates "C," both before the first presentation of "A₂" by the piano, and after the repetition of "B" by the flute (see Ex. 6.7).

Example 6.7 Initial presentation of “images,” in Ralph Shapey, *Configuration* for Flute and Piano (1964), I, mm. 1-3. © 1977 Theodore Presser Co. Used by permission.

♩ = 52 with intense gesture

The musical score is for Flute (Fl.) and Piano (Pno.). The tempo is marked as ♩ = 52 with intense gesture. The key signature has one flat (B-flat). The time signature is 4/4.

First System (Measures 1-3):

- Flute:** Measure 1 contains image A₁ (mf). Measure 2 contains image B (f). Measure 3 contains image A₁ (mf). A circle labeled '3' spans measures 1 and 2.
- Piano:** Measure 1 is silent. Measure 2 contains image C (p). Measure 3 contains image A₁ (f). A circle labeled '3' spans measures 2 and 3.

Second System (Measures 4-6):

- Flute:** Measure 4 contains image A₁ (mf). Measure 5 contains image B (f). Measure 6 contains image A₁ (mf). A circle labeled '3' spans measures 4 and 5.
- Piano:** Measure 4 contains image A₁ (continued from m. 2) (mf). Measure 5 contains image C (mf). Measure 6 contains image C (f). A circle labeled '3' spans measures 4 and 5.

* sight picture

In an early sketch for *Configuration*, Shapey wrote out preliminary versions of “A₁” and “B,” together with pitch charts in which he identifies the A/Bb dyad as an independent element within the pitch structure of the work. In the second line of the sketch, Shapey circles the dyad,

A4/Bb4, within the chromatic scale from C4–B4. In lines four and five, Shapey presents the dyad as a chord, labeled III (see Fig. 6.1).

Figure 6.1 Pitch-class sets, in Ralph Shapey, *Configuration* for Flute and Piano (1964), sketches (cf. Ex. 6.7). Shapey Papers, Box 29. By permission of the Special Collections Research Center, University of Chicago Library.

During the first movement, Shapey frequently redistributes the “images”/pc sets between the parts. At the beginning of m. 18, the piano plays “B” and “C,” while the flute plays the upper voice of “A₂” (see Ex. 6.8).

Example 6.8 Redistribution of “images” between the parts, in Ralph Shapey, *Configuration* for Flute and Piano (1964), I, m. 18. © 1977 Theodore Presser Co. Used by permission.

The musical score for Example 6.8 shows measures 18-28 of 'Configuration' for Flute and Piano. The score is in 1/8 and 6/4 time. The flute part (top staff) and piano part (bottom staff) are shown. The flute part has measures 18-28, with measures 18-20 circled and labeled A2, B, and C. The piano part has measures 18-28, with measures 18-20 circled and labeled B, C, A2, and C. The score includes dynamic markings (f, mf, f, mf) and articulation (accents, slurs). The piano part has a 'Sost.' marking at the end of measure 28.

In addition to his use of motivic recombination (juxtaposition and superimposition of “images” in changing configurations), Shapey employs large-scale formal strategies in *Configuration* that he had not previously used. Movement I is subdivided by the insertion of three flute cadenzas, after mm. 9, 20 and 28 (see Ex. 6.9).

Example 6.11 Piano ostinato, in Ralph Shapey, *Configuration* for Flute and Piano (1964), I, m. 29 (cf. Ex. 6.10). © 1977 Theodore Presser Co. Used by permission.

29 (*poco a poco rit.*)

The musical score for Example 6.11 consists of three staves. The top staff is for the Flute, the middle staff is for the Piano right hand, and the bottom staff is for the Piano left hand. The time signature is 4/4. Measure 29 is marked with a tempo instruction '(poco a poco rit.)'. The Flute part has a sustained note in measure 29 with a forte (*f*) dynamic. The Piano right hand has a repeating eighth-note pattern starting in measure 30, with dynamics *ff*, *pp*, *ff*, and *ff*. The Piano left hand has a bass line with dynamics *p* and *p*. A 3-measure rest is indicated in measure 30. The score includes various articulation marks such as accents, slurs, and a 3-measure rest.

In the third movement, Shapey both knits together and breaks apart the components of his discourse. In mm. 9-10, he presents “B” and “A₂” successively in the flute line, while stating “A₂” and “C” in the piano part (see Ex. 6.12). In m. 34, he presents “A₂,” “B” and “C” successively in the piano part (see Ex. 6.13). Shapey’s rapid presentation of all three “images”/pc sets in movement III creates a synthesis of the musical elements of *Configuration*, and intensifies the “speed of chromatic circulation” as well.

Example 6.12 Pairing of “A₂” and “B” in the flute line, while the piano states “A₂” and “C,” in Ralph Shapey, *Configuration* for Flute and Piano (1964), III, mm. 9-10. © 1977 Theodore Presser Co. Used by permission.

Example 6.12 shows measures 9 and 10 of the piece. The flute part (top staff) begins with a trill in measure 9, followed by a sequence of notes in measure 10. The piano part (bottom staves) features a sequence of notes in measure 9, with a circled section labeled 'A₂', and a sequence of notes in measure 10, with a circled section labeled 'C'. The piano part includes a trill in measure 10. The score is marked with a forte 'f' dynamic and includes various musical notations such as trills, triplets, and eighth notes.

Example 6.13 Successive statements of “A₂,” “B” and “C” in the piano part, in Ralph Shapey, *Configuration* for Flute and Piano (1964), III, m. 34. © 1977 Theodore Presser Co. Used by permission.

Example 6.13 shows measure 34 of the piece. The flute part (top staff) is mostly silent, with a single note in measure 34. The piano part (bottom staves) features a sequence of notes in measure 34, with circled sections labeled 'A₂', 'B', and 'C'. The piano part includes a trill in measure 34. The score is marked with a forte 'f' dynamic and includes various musical notations such as trills, triplets, and eighth notes.

In the final section, Shapey dissolves the narrative structures of the work rather than bringing it to a triumphant conclusion. The piano's extended solo is followed by a cadenza for the flute. The piece ends with a reminiscence, *ppp*, of the floating music of movement II (not shown).

The conclusion of *Configuration* underlines the important structural role of texture, timbre and pitch space in Shapey's compositions. In movements I and III, the music continuously oscillates between the extreme registers of both the piano and flute. Shapey's repeated use of the very top of the flute's range creates an acoustic effect that strains the limits of auditory perception, a technique reminiscent of the violin writing in sections 3 and 5 of String Quartet No. 6 (compare Exx. 5.48 and 6.7). Shapey contrasts the alternating flurries of rapid figures for both instruments in movement I with the busy ensemble writing in movement III, the cadenzas for flute and piano in movements I and III, and the "meditative,"²³ rhapsodic²⁴ music in movement II.

Sue Ann Kahn and Robert Miller premiered *Configuration* at a concert in Max Pollikoff's "Music in Our Time" series at the 92nd St. Y in New York on 23 March 1966. Writing in the *New York Herald Tribune*, Eric Salzman was enthusiastic about the new work:

Six pieces on last night's Max Pollikoff Music in Our Time 92nd St. "Y" modern-music concert, one stand-out: Ralph Shapey's "Configurations" for flute and piano.

This is one of Shapey's great static periodic pieces that revolve rather than evolve. Big sonorous shapes are spread over and right to the edges of the audible and performable range. . . . these are framed in a complex, set, overlapping rhythmic cycle—a kind of fixed, resonant solar system turning on its own axis and illuminated with a great central intensity and vision.²⁵

In *The New York Times*, Theodore Strongin was similarly enthusiastic:

²³ In the score, Shapey writes, "Move II with meditation."

²⁴ See note, *Configuration*, p. 8, bottom: "fl.[ute] must be free!"

²⁵ Eric Salzman, "Music in Our Time: 1 of 6 Pieces Clicks," *New York Herald Tribune*, 24 March 1966: 15.

The Shapey is extreme in the demands it makes on its players, but the over-all impression is poised and sure, sometimes ebullient and always carefully in balance.²⁶

The Contemporary Chamber Players

Shapey's first task when he arrived in Chicago was to organize his new contemporary music group, the Contemporary Chamber Players of the University of Chicago. Shapey made ambitious plans for the first season of the new ensemble. The inaugural concert took place on 1 December 1964. It included performances of Webern's Concerto, op. 24 (1934), Pozzi Escot's *Cristos* for Ensemble²⁷ (1963), Mario Davidovsky's Electronic Study No. 2 (1962) and Varèse's *Octandre* (1923). In the *Chicago Daily News*, Donal Henahan focused on Shapey's role in making difficult contemporary works accessible to the non-specialist listener:

[T]he satisfaction of this program (the first in a Rockefeller Foundation-financed series of five) came in discovering how lucid once-controversial scores seemed. Much of the thanks goes to Shapey, a genius at conducting this type of music . . .

Shapey led the ensemble in Webern's Concerto for Nine Instruments, Op. 24, and Varèse's *Octandre*, clarifying the former to an especially remarkable extent. It has been a long time since we have heard a more expertly played contemporary program of local origin, or a better balanced one.²⁸

In the second concert, on 26 January 1965, Shapey presented Stravinsky's Septet (1953), George Perle's *Serenade* for Viola and Seven Instruments (1962), Donald Martino's Trio for Violin, Clarinet and Piano (1959), Henry Weinberg's *Five Haiku* (1958) and Schoenberg's *Phantasy* for Violin and Piano, op. 47 (1949). The third concert of the season took place only three weeks later, on 16 February 1965. Shapey conducted Babbitt's Composition for Twelve

²⁶ T. M. S. [Theodore M. Strongin], "Concert At 'Y': But Is It Music?: Thigh-Slapping by Players 'Scored' for One Selection," *The New York Times*, 24 March 1966: 48.

²⁷ Pozzi Escot (b. 1933), American composer, born in Peru. She is a member of the faculty of the New England Conservatory, and is editor-in-chief of the journal *Sonus*.

²⁸ Donal J. Henahan, "New Music Series: Unplugging Our Ears," *Chicago Daily News*, 2 December 1964: 70.

Instruments (1948, rev. 1954), as well as his own *Incantations* for Soprano and Ten Instruments (1961).

Shapey's demanding concert schedule served as preparation for his most important project of the year: a series of concerts to celebrate the eightieth birthday of Edgard Varèse. When Shapey arrived in Chicago during the summer of 1964, he initiated plans to honor Varèse in New York, Chicago and Philadelphia during the following year. On 31 March 1965, Shapey conducted the Contemporary Chamber Players at Carnegie Hall in performances of *Intégrales* (1925), *Octandre* (1923) and *Déserts* (1954). In *The New York Times*, Theodore Strongin gave accolades to both Varèse and Shapey:

The Contemporary Chamber Players of the University of Chicago paid tribute to that towering prophet of 20th Century music, Edgard Varèse, in a concert at Carnegie Hall last night.

This year is Mr. Varèse's 80th. Two of his earlier works were played, "Octandre" (1924) and "Intégrales" (1926), and two recent ones, "Poème Electronique" (1958) and "Déserts" (1954). They showed again as in the past the immense vitality of his universe, undimmed, unspoiled, completely his own creation, as thrusting with life 30 years ago as now, and as pertinent. . . .

Ralph Shapey conducted the Chicago group. He is its music director. Under a Rockefeller Foundation grant, skilled musicians sympathetic to contemporary music were chosen for the group. . . .

The effects of talent and ample rehearsal were very evident last night. Shapey led careful performances²⁹ that were not at all precious and at times were surpassing.³⁰

The concert represented a culminating point for both Shapey and Varèse. The still-youthful, ambitious Shapey had finally reached the main stage of Carnegie Hall, while the elderly Varèse had his greatest American triumph. Many years later, Shapey recalled Varèse's

²⁹ Composers Chou Wen-chung and Peter Westergaard both commented that Shapey's conducting technique was very cautious. He subdivided the beat with his left hand in a way that the players considered unnecessarily detailed. As a result, they were somewhat constrained in their performances. Barry Wiener, interview with Chou Wen-chung, New York, NY, 27 July 2010; Wiener, interview with Peter Westergaard, Princeton, NJ, 17 January 2011.

³⁰ Theodore Strongin, "Concert Tribute to Varèse at 80: Chicago Chamber Players Heard in Carnegie Hall," *The New York Times*, 1 April 1965: 30.

poignant words as they stood together on stage at the conclusion of the concert: “[W]e were standing together, he had his arm around me. . . . He turns to me and he says, ‘Ralph, now I can die. I have finally heard my music.’ One year later he died.”³¹

Shapey repeated the all-Varèse program at the Ethical Society Auditorium in Philadelphia on 2 April 1965. In the *Philadelphia Evening Bulletin*, James Felton reaffirmed Varèse’s status as one of the twentieth century’s greatest composers:

At the age of 80 Edgar Varèse remains one of the commanding composers of the twentieth century. . . .

Four of his works were heard last night at the Ethical Society auditorium, three of them played by The Contemporary Chamber Players of the University of Chicago, Ralph Shapey conducting. They covered the major span of Varèse’s activity and the earliest – “Octandre” (1924) – sounded as vital and non-dated as if it had been written yesterday. . . .

“Déserts” (1954) . . . simmered in stunning volumes of energy unleashed like fury in the wilderness. . . . The hall was filled and the audience responded with strong applause. Long live Varèse.³²

After the concerts in New York and Philadelphia, Varèse and his amanuensis, Chou Wen-chung,³³ took stock of the performances of his orchestral music during the previous decade by conductors including Frederic Waldman,³⁴ Jacques Monod,³⁵ Robert Craft,³⁶ Gunther Schuller³⁷ and Shapey. They judged Shapey to be the finest conductor of the music of Varèse.³⁸

³¹ Varèse died on 6 November 1965, seven months after the concert. See Vivian Perlis, interview with Ralph Shapey, 16-17 April 1983, transcript, 51. Oral History American Music, Yale University.

³² James Felton, “Varèse Music Strikes Like A Hurricane,” *Philadelphia Evening Bulletin*, 3 April 1965: 4.

³³ Chou Wen-chung (b. 1923), Chinese-American composer, professor of music at Columbia University.

³⁴ Frederic Waldman (1903-95), conductor. See Allan Kozinn, “Frederic Waldman, Conductor And Teacher, Is Dead at 92,” *The New York Times*, 5 December 1995: D25.

³⁵ Jacques-Louis Monod (b. 1927), conductor and composer.

³⁶ Robert Craft (b. 1923), conductor, amanuensis of Stravinsky.

³⁷ Gunther Schuller (b. 1925), composer, conductor, horn player, historian of jazz and administrator.

³⁸ Barry Wiener, interview with Chou Wen-chung, New York, NY, 27 July 2010.

On 1 April 1965, Shapey conducted the Contemporary Chamber Players at Carnegie Recital Hall in a concert that concluded with his own *Incantations* (1961). Harold Schonberg's review in *The New York Times* celebrated Shapey's new status as a central figure in the American new music establishment:

The third and last program³⁹ of the Contemporary Chamber Music Players of the University of Chicago was given last night in Carnegie Recital Hall. In a way it was the most interesting of all, as it gave an insight into the orientation of the group and of its musical director, Ralph Shapey. . . .

The Shapey work [*Incantations*] . . . presented a new world of sound treated in an individual manner. . . . Mr. Shapey has bent the materials to his own service, creating a work that has strength and tonal imagination.

Like all music of its kind, it is not easy listening. And, like all music of its kind, it pushes instrumental and vocal resources as far as they currently can go. . . .

But the purpose is not to shock. A fine musical mind is operating behind all this. Mr. Shapey . . . is 44 years old, is an important theorist, a conductor who specializes in new music and a composer whose own music is highly admired in the post-Webern group.⁴⁰

Shapey performed the all-Varèse program again at the University of Chicago on 11 May 1965, with the composer in attendance (see Fig. 6.2). After he returned to New York, Varèse wrote to Shapey, "I cannot repeat enough how wonderful it is to hear my music purely and simply recreated. You not only understand – you penetrate the spirit of the works, and the players respond to you as if they had been playing under you for years instead of months."⁴¹

³⁹ On Tuesday, 30 March 1965, Easley Blackwood played a piano recital at Carnegie Recital Hall, the first of the three concerts presented at Carnegie Hall and Carnegie Recital Hall under the auspices of the Contemporary Chamber Players. Blackwood's program consisted of Pierre Boulez's Piano Sonata No. 2 (1947-48) and the Piano Sonata No. 2, "Concord, Mass., 1840-1860" (ca. 1916-19, revised 1947) by Charles Ives. Shapey conducted the Contemporary Chamber Players in the other two concerts.

⁴⁰ Harold C. Schonberg, "Music: Chicago Group Ends Series; Webern Work Played—Choice is Fitting; Leader's Composition at Close Impresses," *The New York Times*, 2 April 1965: 27.

⁴¹ Edgard Varèse, letter to Shapey, 14 May 1965. Shapey Papers, Box 4.

Figure 6.2 Ralph Shapey and Edgard Varèse, after the dress rehearsal for the all-Varèse concert at Mandel Hall, The University of Chicago, 11 May 1965. © 1965 The University of Chicago. By permission of the Special Collections Research Center, University of Chicago Library.

Closing the Circle (I): String Trio (1965)

In 1965-66, Shapey wrote three works for strings that served to summarize many of his compositional preoccupations during the preceding two decades. In the *String Trio* (1965), Shapey recycled some of the ideas that he had employed in *String Quartets Nos. 5* (1958) and 6

(1963), including the use of static constructions and extreme registers. In the *Partita for Violin Solo* (1965), he recalled *Etchings for Solo Violin* (1945) by his use of variation form and dotted rhythms. In the *Partita for Violin and Thirteen Players* (1966), Shapey revisited his “Invocation” *Concerto for Violin and Orchestra* (1958), reconceiving his ideas within smaller, more practical dimensions, and incorporating compositional concepts that he had developed during the late 1950s, including the circulation and juxtaposition of “images.”

Shapey wrote the grim two-movement *String Trio*⁴² between 6 May and 27 May 1965. The work was commissioned by, and dedicated to, the Kindler Foundation of Washington, D.C.⁴³ Shapey began the *Trio* a few days before the arrival of Edgard Varèse in Chicago on 10 May 1965⁴⁴ to attend a repeat performance of the Carnegie Hall all-Varèse program on the following day, and to give a lecture about originality in twentieth-century music at the University of Chicago.⁴⁵ It would be reasonable to posit that the music of Varèse was very much on Shapey’s mind when he composed the *String Trio*, and this hypothesis is borne out by the

⁴² Theodore Presser Co. publishes the *String Trio*: #11440516S.

⁴³ The Kindler Foundation was established in memory of cellist and conductor Hans Kindler (1892-1949), founder and first conductor of the National Symphony Orchestra [Washington, D.C.]. It commissioned chamber works and supported concerts at the Textile Museum in Washington, which was founded in 1925 by George Hewitt Myers, later Kindler’s father-in-law. See “The Textile Museum: Mission & History,” Textile Museum, Washington, D.C., accessed 21 December 2013, <http://www.textilemuseum.org/about/history.htm>; “Kindler Concert Series Revives Museum Founder’s Tradition,” Textile Museum, Washington, D.C., accessed 21 December 2013, www.textilemuseum.org/PDFs/Kindler_Concert_Series.PDF; “Kindler, Hans,” *Grove Music Online*, *Oxford Music Online*, Oxford University Press, accessed 21 December 2013, <http://www.oxfordmusiconline.com/subscriber/article/grove/music/44820>.

⁴⁴ Itinerary for Varèse’s trip to Chicago, in Ralph Shapey, letter to Edgard Varèse, 5 May 1965. Shapey Papers, Box 4.

⁴⁵ Olivia Mattis suggests that Varèse delivered the lecture on 12 May. Shapey’s letter of 5 May, however, seems to indicate that Varèse’s activities at the university would end with the reception after the 11 May concert. This would suggest that Varèse gave his lecture on the morning of 11 May. The Paul Sacher Stiftung in Basel, Switzerland holds Varèse’s text. Thanks to Olivia Mattis for information about the subject matter of the lecture. Olivia Mattis, email to Barry Wiener, 19 November 2009.

massive, block-like style of the work. Shapey requested that the viola tune down the C string to B2, and that the cello tune down the C string to Ab1. These retunings give the Trio a distinctive dark timbre, which is accentuated by Shapey's constant repetition of the cello's Ab1.

The first movement of the Trio begins with an untitled "introduction," followed by three distinct, unlabeled sections in which Shapey develops its ideas. At the end of each section, Shapey employs the ideas of the "introduction" as a refrain, repeating them in abbreviated form. These refrains function in a manner analogous to Shapey's periodic repetition of a "motto" or theme as a unifying device in many of his works. The "introduction" and section 1 comprise more than half of the 78-measure movement. The refrains, as well as sections 2 and 3, have the character of brief episodes, with sections 2 and 3 serving the purpose of providing rhythmic and timbral variety within the formal structure. Formal divisions within the movement are demarcated by double bars, except for the beginning of the first and third refrains (see Table 6.3).

Table 6.3 Ralph Shapey, String Trio (1965), I: Form. Parentheses indicate that the beginnings of refrains 1 and 3 are not demarcated by double bars.

<u>Section</u>	<u>Measure Nos.</u>
"Introduction"	1–8
1	9–38
(Refrain 1)	39–47
2	48–56
Refrain 2	57–61
3	62–70
(Refrain 3)	71–8

The entire first movement of the Trio revolves around the cello's constant repetition of its thunderous low Ab1. Shapey emphasizes the intensity of the sound of the cello's Ab1 as well as

his use of a maximally wide pitch space by simultaneously presenting the violin's C7 and the cello's Ab1 four times within the opening eight-measure "prologue" (see Ex. 6.14). The viola's Bb3–Db4 dyad bisects the registral extremes unevenly, serving as a chordal "axis,"⁴⁶ three octaves below C7, and two octaves above Ab1.

⁴⁶ See Ex. 1.25, which illustrates "direct balance through immediate acceptance of space centers."

Example 6.14 Use of a wide pitch space, in Ralph Shapey, String Trio (1965), I, mm. 1-8. Motivic variants are circled and labeled. © 1993 Theodore Presser Co. Used by permission.

$\text{♩} = 44$ Molto legato e sonore

The score consists of two systems. The first system features Violin, Viola (non transposed), and Cello (non transposed) parts. The Violin part has two circled motifs: A₁ (first measure) and A₂ (second measure). The Viola part has two circled motifs: B₁ (first measure) and B₂ (second measure). The Cello part has two circled motifs: X₁ (first measure) and X₂ (second measure). The second system features Violin (Vln.), Viola (Vla.), and Cello (Vc.) parts. The Violin part has a circled motif X₂ in the first measure. The Viola part has a circled motif C₁ in the first measure. The Cello part has a circled motif X₂ in the first measure. The score includes dynamic markings such as *f*, *ff*, *mf*, and *f*, and articulation markings like accents and slurs. The tempo is marked 'Molto legato e sonore' with a quarter note equal to 44.

*¹ Lower "C" string to B *² Lower "C" string to Ab

Example 6.14 continued

The musical score for Example 6.14 continued features three staves: Violin (Vln.), Viola (Vla.), and Cello (Vc.). The Violin staff begins with a treble clef and a key signature of one flat. It contains a triplet of eighth notes marked *f*, followed by a descending line and a sustained dyad marked *mf*. The Viola staff, in alto clef, has a sustained dyad marked *f* and another marked *mf*. The Cello staff, in bass clef, starts with a sustained Ab1, then leaps to an F4–G#3 dyad marked *mf*, and later has a circled section labeled C2 containing a triplet of eighth notes marked *f* and *mf*. Vertical dashed lines align measures across the staves.

The violin's opening C7 serves as the initial pitch of a descending motive that spans three and a half octaves (labeled as "A₁" in Ex. 6.14). The motive begins with a concave arc, C7–B3–A4, before ending with the sustained dyad, G3/F#4 (labeled as "X₁" in Ex. 6.14). The violin motive is echoed by the cello's mirroring motive ("B₁"), which has a convex shape. The cello begins with a sustained Ab1, and leaps to an F4–G#3 descending dyad ("X₂"). Shapey varies the violin and cello motives by exchanging their concluding pitches in m. 2. The violin substitutes Ab3/F4 for its original G3/F#4 dyad, while the cello substitutes the descending leap, F#4–G3, for its original F4–G#3 gesture. In m. 3, Shapey introduces an ascending cello motive ("C₁"), in opposition to the opening violin and cello motives, which both conclude with a descent. The new motive covers the two and a half octave span, E2–B4. Shapey couples the cello's B4 dotted quarter note with the violin's F5/Ab6 double stop, creating the diminished trichord, B4/F5/Ab6. The pc content of the violin's F5/Ab6 double stop replicates that of the "X₂" dyad.

When the diminished trichord is restated in m. 7, the accompanying "ascending" cello motive is placed after, rather than before it. Shapey reverses the direction of the concluding leap

of the motive. He creates a motivic variant (“C₂” in Ex. 6.14) that mirrors the first statement of the “ascending” motive. The new motivic variant descends to the low bass, ending with the final C#2 of the “prologue.” By inverting the direction of the concluding leap of the “ascending” cello motive, Shapey creates a structural parallelism between the two versions of the motive (“C₁” and “C₂”) and the mirroring “A” and “B” motives in mm. 1-2, linking three of the compositional ideas that serve as building blocks for the “introduction,” and for the first movement as a whole.

In section 1, Shapey interleaves the ideas of the “introduction” in short polyrhythmic passages and develops them. In the second half of m. 9, he transposes the triplet figure that begins the “ascending” cello motive by ip +3, and links it to the cello’s Ab1, the first pitch of its “B₁” motive (see Ex. 6.15). Shapey also presents the “ascending” cello motive in an altered configuration while preserving its original pc content. On the second beat of m. 9, the viola states “C₁” in a permutation, E3–Eb5–Bb4–B2, that includes the registral descent at the end of “C₂” (see Ex. 6.15).

Example 6.15 Motivic fusion, in Ralph Shapey, *String Trio* (1965), I, m. 9. Motivic variants are circled. © 1993 Theodore Presser Co. Used by permission.

The image shows a musical score for three staves: Treble, Alto, and Bass. The music is in 3/4 time, with a key signature of one flat (B-flat). The score begins with a measure marked '9'. The Treble staff has a melody starting with a half note G4, followed by a quarter note A4, and then a quarter note B4. The Alto staff has a melody starting with a half note F4, followed by a quarter note G4, and then a quarter note A4. The Bass staff has a melody starting with a half note E3, followed by a quarter note F3, and then a quarter note G3. There are several circled motifs: A1 in the Treble staff (G4-A4-B4), B1 in the Bass staff (E3-F3-G3), C2 in the Alto staff (F4-G4-A4), and B1 in the Bass staff (E3-F3-G3). The score includes dynamic markings such as *mp*, *mf*, *f*, *sfz*, and *mf*. There are also triplet markings and a measure with a 3/4 time signature change.

In the succeeding measures, Shapey broadens his presentation of the “ascending” cello motive by halving its tempo, transforming eighth-note triplets into quarter-note triplets through the rhythmic device of augmentation.⁴⁷ In mm. 31-2, he also lengthens the original “C₁” version of the motive (E2–Eb4–Bb3–B4), incorporating two additional pitches, including the cello’s structurally significant Ab1 (see Ex. 6.16).

⁴⁷ Shapey employs a similar technique in *String Quartet No. 6* (1963). See Ex. 7.3, which reproduces Fig. 3, p. 495, from Andrew Mead, “How to Be, What to Do: Character and Action in Ralph Shapey’s *String Quartet No. 6*,” *Contemporary Music Review* 27, nos. 4/5 (August-October 2008): 489-509.

Shapey accompanies these figures by insistently repeating fragmentary variants of motive “A” in the viola and cello (not shown). The cello’s transposed motivic figure, A3-Ab1, is particularly noticeable because of Shapey’s reiteration of Ab1.

Shapey uses the technique of motivic development with increasing subtlety during the latter part of the movement. In section 2, the violin presents a subtractive rhythmic series that begins with a quarter note and ends with a thirty-second note. Shapey combines the rhythmic series with a veiled statement of motive “A₁.” The final two trichords and the concluding dyad of the rhythmic series together include four of the five pitches of “A₁.” B3, A4, G3 and F#4 (see Ex. 6.18).

Example 6.18 Subtractive rhythmic series, in Ralph Shapey, String Trio (1965), I, m. 48. Motives are circled. © 1993 Theodore Presser Co. Used by permission.

Values in thirty-second notes:

8 6 4 2 1

The musical score consists of three staves. The top staff is in treble clef and contains a circled motive labeled A₁. The middle staff is in alto clef and contains a circled motive labeled C₁. The bottom staff is in bass clef and contains a circled motive labeled "B". Above the staves, the values of the notes in thirty-second notes are indicated: 8, 6, 4, 2, and 1. The score is marked with a piano (*p*) dynamic and a measure number of 48. The cello/bass staff also includes "arco" markings.

While the violin introduces its subtractive rhythmic series in mm. 48-9, the viola plays two- and three-note leaping figures (Eb5–Bb3 and Eb5–Bb3–B2) that include three of the four pcs of motive “C₁.” The cello completes the motive by stating E2, its opening pitch. As a counterpoint to the violin and viola figures, the cello also plays a new variant of the “B” motive (see Ex. 6.18).

All three members of the trio employ mutes throughout section 2, producing an eerie timbre that contrasts with the full-bodied ensemble sound of section 1. In section 3, the viola and cello accompany a violin melody by playing linked ostinati. The whispering timbres of the section are produced by Shapey’s instruction that the two instruments play *flautando*, connecting the music timbrally to section 2, and contrasting with the intervening refrain.

The violin melody of section 3 employs the upper registral boundary of the ensemble. It recalls Shapey’s use of the highest register of the violin in sections 3 and 5 of String Quartet No. 6. The violin melody fuses the pc content of the cello’s motives, “B₁”/“B₂” {F, F#, G, G#(Ab)} and “C₁” {Bb, B, Eb, E}. It concludes with the diminished trichord, B–F–Ab, originally stated as a simultaneity at the conclusion of the first statement of “C₁” in m. 3 (see Ex. 6.19).

Example 6.19 Treble registral extreme, in Ralph Shapey, String Trio (1965), I, mm. 63-5, violin I only (cf. Exx. 5.49 and 6.14). Motives/pc sets are circled. © 1993 Theodore Presser Co. Used by permission.

Violin

63

p

B₂

(G) (F#) (F)

C₁

(Eb) (Bb) (B)

producing glissandi (not shown). Shapey later reused the beginning of the second movement in the opening section of the Sonata for Solo Violin (1971).

Violinist Allen Ohmes, violist William Preucil, and cellist Joel Krosnick, all members of the Iowa String Quartet, premiered Shapey's String Trio at the Textile Museum in Washington, D. C., on 10 January 1966. In *The Washington Post*, Paul Hume wrote,

The Shapey Trio is a tough business. Its outer movements are marked "molto legato," while the middle movement, taking no chances on Italian, says, "In a bravura cadenza-like manner." During one moment of purposeful monotony, the cellist tunes his C string down a minor third, bowing all the while. It is an interesting device that permits the remainder of the work to use lower notes than ordinarily come out of the cello.

The style is tormenting in its insistent repetitions. In that the stringed instruments are allowed to play sustained lines and phrases there is a kind of lyricism. How much the music says, I find it hard to say after a single performance, yet I cannot find it easy to ask for a second.⁴⁸

Closing the Circle (II): Partita for Violin Solo (1965)

The Partita for Violin Solo⁴⁹ was composed in November 1965 for violinist Max Pollikoff. Shapey began composing the Partita three days after the death of Edgard Varèse on 6 November 1965,⁵⁰ and shortly after the death of his mother as well.⁵¹ Despite the events

⁴⁸ Paul Hume, "Iowa Quartet Performs New Works Skillfully," *The Washington Post*, 12 January 1966: C7. When members of the Arditti quartet performed the String Trio in Chicago in 1988, John von Rhein wrote, "Amid a program almost evenly divided between the older and younger generations of European avant-gardists—the former represented by Scelsi's Quartet No. 5, Ligeti's Quartet No. 2 (the 'classic' of the bunch) and Xenakis' 'Tetras'; the latter by Ferneyhough's Third Quartet and Rihm's Quartet No. 3—it was perhaps not surprising that Chicagoan Shapey's 1965 String Trio, with its typically tough, resonant power, should have held its own so well." John von Rhein, "Arditti Conquers in Debut Concert," *Chicago Tribune*, 8 March 1988: 9.

⁴⁹ Theodore Presser Co. publishes the Partita for Violin Solo: #11440482.

⁵⁰ There was no funeral. Varèse was cremated. See Fernand Ouellette, *Edgard Varèse*, trans. Derek Coltman (New York: The Orion Press, 1968), 218.

⁵¹ Ralph Shapey, letter to Ursula Mamlok, 25 October 1965. Ursula Mamlok Papers. By permission of Ursula Mamlok.

surrounding its composition,⁵² the style and technique of the Partita have little overt connection with the music of Varèse, much less so than most of the music that Shapey had written over the preceding decade.

Max Pollikoff premiered the Partita on a concert in the new music concert series, “Music in Our Time,” presented at Town Hall in New York on 30 January 1967. According to *New York Times* critic Theodore Strongin, Pollikoff “played it as though it belonged to him. It is full of bravura double stops and large melodic skips, and comes out as though through clenched teeth, it is so intense.”⁵³ In Carol K. Baron’s interview with Shapey, he discussed Alan Rich’s review of the concert for *New York Magazine*, recalling both Rich’s praise of the work and criticism of Pollikoff’s playing, and mentioned approvingly Rich’s suggestion that the piece was “on the borderline of tonality.”⁵⁴

Although Shapey had written several works for his own instrument during the 1950s and early 1960s, the three-movement Partita was his first piece for solo violin since *Etchings* (1945). Despite the twenty-year gap between *Etchings* and the Partita, the two compositions have notable similarities that underline the essential originality of Shapey’s style. The first movement of the Partita, like *Etchings*, is a set of variations. Shapey conspicuously employs dotted rhythms in

⁵² Varèse briefly came out of a coma and spoke of his wish that Shapey should conduct *Ecuatorial* (1934). Olivia Mattis, interview with Ralph Shapey, Chicago, 11 November 1991. Oral History American Music, Yale University. Partial transcript prepared by Barry Wiener, January 2010.

⁵³ Theodore Strongin, “Music: ‘In Our Time’ Goes Downtown,” *The New York Times*, 31 January 1967: 53.

⁵⁴ Carol K. Baron, interview with Ralph Shapey, Chicago, 5-9 July 1975, transcript, 67. Wolpe/Baron Archive.

both works.⁵⁵ The violinistic requirements for both pieces are similar as well: large intervals, leaps and chords.⁵⁶

In the Partita, Shapey synthesizes variation form and symmetrical structures. The first movement consists of an “introduction” and five variations. Neither the “introduction” nor the variations are labeled. Shapey demarcates each of the internal divisions of the movement by a caesura, however.

As in the first movement of the String Trio, Shapey employs the ideas of the “introduction” as a refrain. He presents an abbreviated statement of the “introduction” at the end of each of the first four variations. The first movement is framed by the “introduction” and its modified, full-length repetition in the second half of variation 5. At the conclusion of movement III, Shapey again restates the first movement “introduction” in truncated form as a refrain.

Shapey presents an “image” consisting of three linked motivic elements at the beginning of the Partita. He divides the “introduction” into three parts by forceful statements of the opening Bb3/D4 half-note dyad, motivic element “A.” A brief flourish, “B,” and a descending closing gesture, “C,” complete the “image.” Shapey places a virtuosic expansion of motivic elements “B” and “C” at the center of the “introduction.” The elaboration of motivic elements “B” and “C” includes two tremolandi, followed by a series of variants of the closing gesture. The “introduction” ends with a modified version of the opening “image” (see Ex. 6.21).

⁵⁵ See Miranda Cuckson, “Ralph Shapey’s Dotted Rhythms: a Violinist’s Point of View,” accessed 22 December 2013,

<http://www.mirandacuckson.com/2013/06/15/ralph-shapeys-dotted-rhythms/>.

⁵⁶ Cuckson, 6-7, 8-10.

Example 6.21 “Introduction,” in Ralph Shapey, *Partita for Violin Solo* (1965), I, p. 1, lines 1-3. © 1978 Theodore Presser Co. Used by permission.

The image displays a musical score for the "Introduction" of Ralph Shapey's *Partita for Violin Solo*. It consists of three staves: Violin, Vn. (Violoncello), and Vn. (Violoncello). The tempo is marked as ♩ = 60. The Violin staff begins with a circled motif A (marked *f*), followed by a circled motif B (marked *mf*), then a circled motif C (marked *f*), and ends with another circled motif A (marked *f*). The first Vn. staff features a circled motif B (marked *mf*), a large circled motif B (marked *f*), and a circled motif C (marked *f*). The second Vn. staff contains a circled motif C (marked *mf*), a circled motif C (marked *sonorous*), a circled motif C (marked *mf*), a circled motif A (marked *mf*), a circled motif B (marked *f*), and a circled motif C (marked *ff*). The motifs are labeled A, B, and C, and are circled to highlight their structure. The score includes various musical notations such as treble clefs, key signatures, and dynamic markings.

Shapey divides the six sections of the first movement into three pairs. He links the “introduction” and variation 1 by employing similar motivic figures. In variation 1, Shapey often inverts the direction of motivic elements “B” and “C,” while preserving their general shape and pc content (see Ex. 6.22).

Example 6.22 Inversion of motivic direction, in Ralph Shapey, *Partita for Violin Solo* (1965), I, variation 1, p. 1, line 4 (cf. Ex. 6.21). © 1978 Theodore Presser Co. Used by permission.

Shapey also couples together variation 2 with variation 4, and variation 3 with variation 5. In variation 2, Shapey transforms motivic element “B,” employing it exclusively in the compressed, verticalized form of chords. The chords of “B” imitate those of the originally chordal motivic element “C,” with which they alternate throughout the variation (see Ex. 6.23). Shapey again employs the chordal conceit in the energetic variation 4, described as “march-like” in the score. The vigorous dotted rhythms of the variation recall both the early *Etchings* for Solo Violin (1945) and Beethoven’s *Grosse Fuge*, Shapey’s favorite composition (see Ex. 6.24).⁵⁷

⁵⁷ Cuckson, “Ralph Shapey’s Dotted Rhythms”; for Shapey’s comments on the *Grosse Fuge*, see Robin Holloway, *On Music: Essays and Diversions 1963-2003*, vol. 1 (Brinkworth Wilts, UK: Claridge Press, 2003), 378.

Example 6.23 Verticalization of motivic elements, in Ralph Shapey, *Partita for Violin Solo* (1965), I, variation 2, p. 2, line 3. © 1978 Theodore Presser Co. Used by permission.

Example 6.24 Dotted rhythms, in Ralph Shapey, *Partita for Violin Solo* (1965), I, variation 4, p. 4, lines 1-2 (cf. Exx. 1.15 and 6.23). © 1978 Theodore Presser Co. Used by permission.

♩ = 80

* suggested fingerings

In variations 3 and 5, Shapey creates widely spaced lines, in which he repeatedly links dotted figures with triplets. Shapey achieves harmonic and structural contrast with the thickly-textured variation 2 by limiting the violin to single notes and dyads in variation 3 (see Ex. 6.25), except for the brief concluding refrain. In variation 5, Shapey echoes the melodic gestures of variation 3. In particular, he repeats a Bb6–C#4–G#5–A3–C#7–C5 figure (“A”), grouped within a half-note triplet (see Ex. 6.26). Shapey also presents dotted eighth-note chains of dyads,

trichords and tetrachords (“B” in Ex. 6.26), recalling the series of eighth-note chords in variation 4 (not shown).

Example 6.25 Widely spaced theme, in Ralph Shapey, *Partita for Violin Solo* (1965), I, variation 3, p. 3, lines 1-2. A melodic gesture that recurs in variation 5 is circled in line 2. © 1978 Theodore Presser Co. Used by permission.

$\text{♩} = 72$

mf delicate

mf

Example 6.26 Widely spaced theme, in Ralph Shapey, *Partita for Violin Solo* (1965), I, variation 5, p. 5, lines 2-3. “A” and its permutation, “A₁,” echo the circled melodic figure at the end of line 2 in Ex. 6.25 (cf. Ex. 6.25). The succession of dotted eighth-note dyads at the end of the line is circled and labeled, “B.” © 1978 Theodore Presser Co. Used by permission.

$\text{♩} = 60$

mf *f* *mf* *f* *mf*

A

A₁

B

Shapey creates additional symmetries between the first movement and movements II and III. Lyrical successions of expanding dyads, first employed in variation 5 of movement I, punctuate the polyphonic texture of the slow, legato outer sections of movement II (see Ex. 6.27).

Example 6.27 Polyphonic texture, in Ralph Shapey, *Partita for Violin Solo* (1965), II, p. 7, line 1. The expanding succession of dyads is circled (cf. “B” in Ex. 6.26). © 1978 Theodore Presser Co. Used by permission.

$\text{♩} = 50$ *sempre legato*

mf *mf*

* ↓ = pressure point or downbeat
 ↗ = upbeat to pressure point

The vigorous dotted rhythms of the first movement's variation 4 return in movement III (see Ex. 6.28).

Example 6.28 Dotted rhythms, in Ralph Shapey, *Partita for Violin Solo* (1965), III, p. 11, lines 1-2 (cf. Ex. 6.24). © 1978 Theodore Presser Co. Used by permission.

$\text{♩} = 144$ ($\text{♩} = 72$)

The image displays two staves of musical notation for a violin solo. The first staff contains measures 1 through 4, and the second staff contains measures 5 through 8. The music is characterized by dotted rhythms and dynamic markings. The first staff begins with a 4/4 time signature, followed by a 5/4 time signature, and ends with a 4/4 time signature. The second staff begins with a 4/4 time signature, followed by a 3/8 time signature, and ends with a 4/4 time signature. Dynamic markings include *sfz* (sforzando) and *senpre f* (sempre forte). The notation includes various note values, rests, and accidentals.

In the middle section of movement II, Shapey creates a looping *moto perpetuo* in which the three elements, “A” ({F, F#, G#}), “B” ({G, C, Db}) and “C” ({A, B, Eb}), of a nine-pc motive are continuously reshuffled, and frequently modified by change of register and/or pc order (see Ex. 6.29). Shapey also expands the figures, adding pcs (A in “A₁,” Gb in “B₂,” E in “C₁”) and employing pc repetition (G# and A in “A₁”).

Example 6.29 Repetition and modification of motivic elements, in Ralph Shapey, *Partita for Violin Solo* (1965), II, p. 8, lines 3-4. © 1978 Theodore Presser Co. Used by permission.

♩ = 150 (♩ = 300)

détaché

sempre f

The image shows a musical score for a violin solo. It consists of two staves. The top staff begins with a tempo marking '♩ = 150 (♩ = 300)' and a performance instruction 'détaché'. The music is marked 'sempre f'. Several motifs are circled and labeled: 'A' (first measure), 'B' (second measure), 'C' (third measure), 'C' (fourth measure), 'A1' (fifth measure), 'A2' (seventh measure), and 'B' (eighth measure). The bottom staff continues the piece with motifs 'A3' (second measure), 'B2' (third measure), and 'C1' (fourth measure). The notation includes various note values, rests, and dynamic markings.

Shapey uses the opening Bb3/D4 dyad of the *Partita* to create structural contrast.

Although the Bb3/D4 dyad is repeatedly restated during the “introduction,” it is not presented at the inception of any of the first movement’s five variations. Rather, its return usually demarcates the beginning of the closing refrain at the end of a variation.

Near the end of the “introduction,” Shapey inserts a B3/D4 dyad that serves as a complement to the Bb3/D4 dyad (see Ex. 6.30a). He employs the B3/D4 dyad prominently in variation 3, and later substitutes it for the Bb3/D4 dyad throughout the third movement refrain, which concludes the *Partita*. In the final refrain, Shapey makes additional chromatic modifications to the “introduction” as well (see Ex. 6.30b).

Example 6.30a “Introduction,” in Ralph Shapey, *Partita for Violin Solo* (1965), I, p. 1, lines 1-3. Dyads subject to chromatic modification in the third movement refrain are circled (cf. Ex. 6.21). © 1978 Theodore Presser Co. Used by permission.

$\text{♩} = 60$

Violin *f* *mf* *f* *f*

Vn. *f*

Vn. *sonorous* *mf* *mf* *f* *mf* *ff*

Example 6.30b Chromatic modification of dyads in the “introduction,” in Ralph Shapey, *Partita for Violin Solo* (1965), III, p. 14, lines 4-6. Altered dyads are circled (cf. Ex. 6.30a). © 1978 Theodore Presser Co. Used by permission.

$\text{♩} = 52$

f *f* *f* *f*

mf *f* *ff*

Given the many thematic links within the Partita, the concluding third movement refrain gives the work as a whole the character of a large rondo (see Table 6.4).

Table 6.4 Ralph Shapey, Partita for Violin Solo (1965): Form. “A” represents the “introduction” of movement I, while “(A)” designates its truncated presentation in the refrain.

Form	Movement/Section	
A	I, “introduction”	Presentation of “image.”
A ₁ ; (A)	I, var. 1; see I, “introduction”	Inversion of “image;” refrain.
B; (A)	I, var. 2	Chords; refrain.
C; (A)	I, var. 3	Widely spaced lines; refrain.
B ₁ ; (A)	I, var. 4; see I, var. 2	Chords/dotted rhythms; refrain.
C ₁ ; A	I, var. 5; see I, var. 3 and “intro.”	Widely spaced lines, progressions of expanding dyads; modified full restatement of introduction.
C ₂	II (a); see I, var. 5	Progressions of expanding dyads.
D	II (b)	Moto perpetuo
C ₂	II (a)	Progressions of expanding dyads.
B ₂	III (a); see I, var. 4	Dotted rhythms
B ₃	III (b)	Dotted rhythms divided between polyphonic voices.
B ₂ ; (A)	III (a)	Dotted rhythms; refrain.

Closing the Circle (III): Partita for Violin and Thirteen Players (1966)

The twenty-minute, three-movement Partita for Violin and Thirteen Players,⁵⁸ a second violin concerto in all but name, was by far the most important of Shapey’s compositional projects of 1966. The University of Chicago commissioned the work for its 75th anniversary. The Contemporary Chamber Players premiered the Partita for Violin and Thirteen Players with soloist Esther Glazer on 25 January 1967. In the following year, Glazer played the premiere of

⁵⁸ The score of the Partita for Violin and Thirteen Players is available from the Theodore Presser Co. Rental Library.

the “Invocation” Concerto for Violin and Orchestra (1958), with Shapey conducting the Chicago Symphony. In the Partita for Violin and Thirteen Players, the older and more mature composer revisited the idiom of the Concerto and employed his compositional techniques more efficiently, with an absence of the youthful bravado that marks (and occasionally mars) the earlier piece. Although the two works are of approximately equal length, the narrative structures of the Partita for Violin and Thirteen Players are more concise.

The size of the ensemble that Shapey employed in the Partita for Violin and Thirteen Players is necessarily smaller than that of the “Invocation” Concerto, limited by the forces that he had at his disposal at the University of Chicago. While the score of the Concerto calls for a full complement of strings, winds in twos, brass (3-2-2-1), three percussionists, piano and guitar, the new work was composed for a large chamber group. It requires two percussionists, along with solo string, wind and brass players, as well as the violin soloist. The inclusion of two parts for violin, one for a member of the ensemble, permits Shapey to occasionally present a “concertino” dialogue.

The Partita’s resemblances to *Ontogeny* (1958), *Rituals* (1959) and the “Invocation” Concerto (1958) are explainable by Shapey’s immersion in those scores while he was composing the piece. As a result of music director Jean Martinon’s advocacy of his music and admiration for his skills as a conductor,⁵⁹ Shapey was able to conduct the Chicago Symphony in performances of all three works.⁶⁰ Significantly, Shapey had originally planned to conduct the

⁵⁹ Jean Martinon (1910-76), conductor and composer. Martinon was music director of the Chicago Symphony from 1963-68. He was a composition student of Albert Roussel during the 1930s. Martinon’s papers are housed at Northwestern University. See the Finding Aid for the Jean Martinon Papers, Northwestern University Library, accessed 31 December 2013, <http://findingaids.library.northwestern.edu/catalog/inu-ead-mus-archon-242>.

⁶⁰ The concerts were part of a series, funded by the Rockefeller Foundation, designed to promote the performance of orchestral works by American composers. See The Rockefeller Foundation,

“Invocation” Concerto in May 1966, while he was composing the Partita for Violin and Thirteen Instruments, but (according to critic Thomas Willis) the orchestral parts were lost in the mail.⁶¹

Martinon’s advocacy of Shapey’s music must be accounted more important than that of any other conductor, even taking into account the assistance that Dimitri Mitropoulos gave him in the 1950s and that Riccardo Muti would provide in the 1980s. The French conductor’s affinity for Shapey’s style was undoubtedly connected to their shared interest in the music of Varèse.⁶² Unfortunately for Shapey, the members of the Chicago Symphony disliked Martinon, at least partially due to his promotion of difficult contemporary works.⁶³ Matters came to a head in 1968 when he programmed Elliott Carter’s Piano Concerto (1964-65) and Shapey’s “Invocation” Violin Concerto on the same concert,⁶⁴ shortly before his tenure as music director was to come to an end. Martinon was succeeded as music director of the Chicago Symphony by George Solti,⁶⁵ who never performed Shapey’s music in his twenty-two years with the orchestra. The Chicago

Annual Report for 1964, 129, accessed 4 December 2013, <http://www.rockefellerfoundation.org/uploads/files/3c97a37d-7c73-4db4-b395-7168edf9d0ed-1964.pdf>; “Jean Martinon,” Rosenthal Archives of the Chicago Symphony Orchestra, accessed 31 December 2013, http://cso.org/uploadedFiles/8_about/History_-_Rosenthal_archives/Jean_Martinon.pdf.

⁶¹ See Thomas Willis, “Carter Concerto: ‘A Tangle of Tendrils,’” *Chicago Tribune*, 25 May 1968: 14.

⁶² In 1966, Martinon recorded Varèse’s *Arcana* (1925-27, rev. 1960) with the Chicago Symphony on RCA LSC 2914: Edgard Varèse, *Arcana*; Frank Martin, *Concerto for Seven Wind Instruments, Timpani, Percussion and String Orchestra*, Chicago Symphony Orchestra, Jean Martinon, cond.

⁶³ “Contrary to what some revisionist critics assert, Martinon championed contemporary music more extensively than any of the CSO’s postwar music directors; his long list of new repertoire is a matter of public record.” John von Rhein, “The CSO’s Greatest Hits,” *Chicago Tribune*, 4 October 1990: 17E. See also Donal Henahan, “Jean Martinon, Conductor, Dead at 66: Wrote an Opera; A Controversial Figure,” *The New York Times*, 2 March 1976: 32.

⁶⁴ 24 May 1968, Mandel Hall, University of Chicago. According to Shapey, the orchestra tried to sabotage Shapey’s rehearsal of his “Invocation” Concerto because of their dislike of Martinon. Shapey, in turn, threatened to cancel the performance of the Concerto, but Martinon persuaded the players to cooperate. See Vivian Perlis, interview with Ralph Shapey, transcript, 21-22. Oral History American Music, Yale University.

⁶⁵ George Solti (1912-97), music director of the Chicago Symphony Orchestra from 1969-91.

Symphony did not perform Shapey's music again until after Daniel Barenboim⁶⁶ succeeded Solti as music director. Shapey conducted the premiere of his *Concerto Fantastique* (1988-89) with the orchestra at the University of Chicago's Mandel Hall on 21 November 1991.⁶⁷

The formal organization of the Partita for Violin and Thirteen Players is based on two principles. Shapey employs his favorite concept of the juxtaposition and superimposition of "images." While he never modifies some of the thematic and motivic ideas of the Partita, he subjects others to continuous development, producing a synthesis of dynamic and static processes.

In addition to his circulation of themes and motives, Shapey uses physical space as a major element of the musical structure, partitioning the ensemble into smaller units that are positioned in a widely dispersed arrangement. The instruments are divided into four instrumental groups. The strings, except for the double bass, are placed at the front of the stage (violin, viola, cello and solo violin). The oboe, clarinet, horn and double bass are placed at the back of the stage. The two flanking groups both include percussion, wind and brass instruments. Although Shapey does not provide a diagram for the instrumental layout, he indicates the spatial arrangement of the ensemble at the beginning of the first movement, making it possible to create a visual representation of the seating plan (see Fig. 6.3).

⁶⁶ Daniel Barenboim (b. 1942), music director of the Chicago Symphony Orchestra from 1991-2006.

⁶⁷ John von Rhein, "Shapey Directs a Challenging World Premiere," *Chicago Tribune*, 22 November 1991: 26.

Figure 6.3 Ralph Shapey, *Partita for Violin and Thirteen Players* (1966), seating plan. © 1977 Theodore Presser Co. Used by permission.

Movement I of the *Partita* is divided into three parts, with two large episodes followed by a coda. The opening violin solo theme is central to the first episode and the coda, giving the movement a clear ABA form. The violin theme strongly recalls the violin cadenza that immediately follows the beginning of the “Invocation” Concerto, in what is undoubtedly a conscious reminiscence by Shapey (see Ex. 6.31a).

Example 6.31a Opening violin solo theme, in Ralph Shapey, Partita for Violin and Thirteen Players (1966), I, m. 1 (cf. Ex. 3.41). © 1977 Theodore Presser Co. Used by permission.

♩ = 54
Adagio maestoso
(of great gesture)

Solo Violin

mf *sempre legato, sonorous* *f*

↓ = pressure point (phrase downbeat)

Shapey develops the violin solo theme both by registral expansion and the use of rapid triple- and quadruple-stopped chords (see Ex. 6.31b).

Example 6.31b Development of the violin solo theme, in Ralph Shapey, Partita for Violin and Thirteen Players (1966), I, mm. 32-3, violin only. © 1977 Theodore Presser Co. Used by permission.

In m. 43, Shapey highlights the beginning of the second episode by presenting paired, unpitched percussion motives without accompaniment (see Ex. 6.32a). Both motives had previously been stated in the opening episode (not shown).

Example 6.32a Paired percussion motives, in Ralph Shapey, *Partita for Violin and Thirteen Players* (1966), I, m. 43. © 1977 Theodore Presser Co. Used by permission.

The musical score for Example 6.32a shows two staves: Tom-toms and Irons. The Tom-toms staff begins with a measure marked '43' and a 4/4 time signature. It features a series of rhythmic patterns, including a triplet of eighth notes and a single eighth note, with a 'tr' (trill) marking above the first measure. The Irons staff also begins with a measure marked '43' and a 4/4 time signature, featuring a similar rhythmic pattern with a 'tr' marking above the first measure. Above the staves, four numbered arrows (1, 2, 3, 4) point down to specific measures, indicating a sequence of events. The dynamics 'mf' (mezzo-forte) are marked for both staves. The score includes various musical notations such as beams, slurs, and triplets.

Shapey quickly transforms one of the percussion motives into a pitched idea, played by the marimba (see Ex. 6.32b). He had previously used the same developmental procedure in *Dimensions* (1960), transferring unpitched percussion motives to pitched instruments, as well as to the soprano soloist (see Exx. 4.45a and b). The pitched and unpitched percussion motives are related to a winding theme, played by the wind instruments, that Shapey derives from the violin solo theme (see Ex. 6.32c).

Example 6.32b Instrumental version of percussion motive, in Ralph Shapey, *Partita for Violin and Thirteen Players* (1966), I, m. 45, marimba only (cf. Ex. 6.32a, tom-toms). © 1977 Theodore Presser Co. Used by permission.

The musical score for Example 6.32b shows a single staff for the Marimba. The staff begins with a measure marked '43' and a 4/4 time signature. It features a series of rhythmic patterns, including a triplet of eighth notes and a single eighth note, with a 'tr' (trill) marking above the first measure. The dynamics 'f' (forte) is marked. The score includes various musical notations such as beams, slurs, and triplets.

Example 6.32c Wind theme related both to violin solo theme and percussion motives, in Ralph Shapey, *Partita for Violin and Thirteen Players* (1966), I, mm. 13-5, flute only (cf. Exx. 6.31a, 6.32a and 6.32b). © 1977 Theodore Presser Co. Used by permission.

During the first half of the second episode, the percussion instruments are dominant within the ensemble texture. The strings are silent, with the exception of the violin soloist. Shapey exploits the spatial arrangement of the ensemble, with percussion instruments positioned on both sides of the stage, playing contrasting figures (not shown). Flanking wind and brass players then unite to present two statements of a proclamatory chordal motive, accompanied only by the violin soloist, who plays virtuosic gestures that recall the soloist's passagework during the last movement of the "Invocation" Concerto (see Ex. 6.33).

Example 6.33 Development of motivic and spatial ideas, in Ralph Shapey, *Partita for Violin and Thirteen Players* (1966), I, mm. 56-9 (cf. motive “c” in *Rituals* [1959], circled in Ex. 4.13). © 1977 Theodore Presser Co. Used by permission.

56 $\frac{2}{4}$ $\frac{3}{8}$ $\frac{2}{4}$

Tbn. mf

Mar. f

Fl. f

Bn. f

Glock.

H. B.D. M. L. mf

Tpt. mf

Solo Vn. f (bravura)

Example 6.33 continued

58 $\frac{3}{16}$ $\frac{1}{4}$

Tbn. *mf*

Mar.

Fl. *f*

Bn. *f*

Glock.

B.D.

Tpt. *mf*

Solo Vn. $\frac{3}{16}$ $\frac{1}{4}$ 3

Shapey treats the first movement chordal motive lyrically in movement II. He continuously permutes a decorated and extended version of the motive (see Ex. 6.34), passing it around the four groups of the subdivided ensemble. The solo violin does not participate in the main thematic working-out of movement II, playing only widely spaced figures that serve as decorative commentary on the chordal motive.

Example 6.34 Chordal motive, in Ralph Shapey, Partita for Violin and Thirteen Players (1966), II, mm. 1-3 (cf. Ex. 6.33). © 1977 Theodore Presser Co. Used by permission.

$\text{♩} = 54$ ($\text{♩} = 108$, $\text{♩} = 27$)

Adagio delicatissimo (of simple tenderness)

The musical score for Example 6.34 consists of five staves. The first four staves are for Cb., Vn., Va., and Vc., and the fifth is for Solo Vn.

- Cb.:** The staff begins with a "Mute" instruction. The music starts with a half note G2, followed by a quarter note F2, and then a half note E2. The dynamics are *pp*. The piece concludes with a triplet of eighth notes (G2, F2, E2) and a fifth-note chord (G2, F2, E2, D2, C2).
- Vn., Va., Vc.:** These three staves are grouped together. Each begins with a "Mute" instruction. The music starts with a half note G2, followed by a quarter note F2, and then a half note E2. The dynamics are *pp*. The piece concludes with a triplet of eighth notes (G2, F2, E2) and a fifth-note chord (G2, F2, E2, D2, C2).
- Solo Vn.:** The staff begins with a "Mute" instruction. The music starts with a half note G2, followed by a quarter note F2, and then a half note E2. The dynamics are *p dolce*. The piece concludes with a triplet of eighth notes (G2, F2, E2) and a fifth-note chord (G2, F2, E2, D2, C2).

The score includes various musical notations such as dynamics (*pp*, *p dolce*), articulation (accents, slurs), and fingerings (3, 5). The Solo Vn. staff also includes an 8va instruction.

Example 6.34 continued

The musical score for Example 6.34 continued consists of five staves. The top staff is for Contrabass (Cb.) in treble clef, featuring a triplet of eighth notes. The second staff is for Violin (Vn.) in treble clef, with a dynamic marking of $\frac{6}{16}$ and a first ending bracket. The third staff is for Viola (Va.) in bass clef, with a dynamic marking of $\frac{1}{8}$ and a first ending bracket. The fourth staff is for Violoncello (Vc.) in bass clef, with a dynamic marking of $\frac{1}{8}$ and a first ending bracket. The bottom staff is for Solo Violin (Solo Vn.) in treble clef, featuring a long slur over a series of notes, with a dynamic marking of $8^{va} -$. A vertical dashed line is present between the second and third measures of the score.

The first episode of movement III is entitled “*Adagio maestoso* (of great gesture).” The movement opens and closes with a variant of the violin soloist’s initial theme. At the beginning of the movement, the theme is accompanied by other ideas derived from movement I: the viola’s quarter-note triplet figures and the cello’s widely spaced melodic line (see Ex. 6.35).

Example 6.35 Violin solo theme, in Ralph Shapey, *Partita for Violin and Thirteen Players* (1966), III, m. 1 (cf. Ex. 6.31a). © 1977 Theodore Presser Co. Used by permission.

$\text{♩} = 54$
Adagio maestoso (of great gesture)

Solo Vn. *f*

Vn. *mf*

Va. *mf* Lower C3 to B2

Vc. *mf* Lower C2 to Bb1

Shapey creates an interchange between the solo and ensemble violins (not shown), just as he had done at the beginning of the first movement of the *Partita*. He symbolizes the equal status of the two violins by positioning their lines together in the score. After m. 15, Shapey notates the violin solo part at the bottom of the score throughout the rest of the movement.

The opening twelve bars of movement III are written for strings alone. When the percussionists enter, they play the paired, unpitched motives that they had originally presented in movement I. The percussion motives are framed by the violin soloist's introduction of a new, widely spaced, oscillating motive (see Ex. 6.36).

Example 6.37 Violin flourishes, in Ralph Shapey, *Partita for Violin and Thirteen Players* (1966), III, mm. 16-7. © 1977 Theodore Presser Co. Used by permission.

Moderato con brio (of happy verve)
♩ = 72

16

Ob. *mf* 3

Cl. *mf* 3

Hn. *mf* 3

Cb. *mf*

Tbn. *mf* 3

Solo Vn. *f* (brilliant) 7 *f*

The entrance of linked percussion ostinati announces the beginning of the third episode, entitled “*Andante* (of elegance).” The wood blocks and tom-toms divide one of the first movement’s paired, unpitched percussion motives, while the irons and bass drums present a new, briefer motive that is repeated in each measure (see Ex. 6.38). This motive is derived from the wood block/tom-tom motive by rearrangement and rhythmic diminution.

Example 6.38 Linked percussion ostinati, in Ralph Shapey, *Partita for Violin and Thirteen Players* (1966), III, m. 40. © 1977 Theodore Presser Co. Used by permission.

The musical score for Example 6.38 is presented in 4/4 time. It features five staves: W. Blk. M., T.-t. M., Irons M., B.D. M., and Solo Vn. The percussion parts (W. Blk. M., T.-t. M., Irons M., B.D. M.) are marked with *mf* and feature various rhythmic patterns, including triplets and sustained notes. The Solo Vn. part is marked with *f* and *sempre legato, dolce, sostenuto*. The score includes measure numbers 40, 41, 42, and 43. The percussion parts are linked by horizontal lines, indicating sustained or repeated notes. The Solo Vn. part features a melodic line with a triplet figure in measure 42.

Midway through the third episode, several thematic/motivic ideas or “images” converge: the violin solo theme, played by the ensemble violinist; the violin’s ascending thirty-second-note flourishes, now played by the clarinet; the linked percussion ostinati; the violin’s widely spaced oscillating motive; and the viola’s quarter-note triplet figures (see Ex. 6.39).

Example 6.39 Convergence of thematic/motivic ideas, in Ralph Shapey, Partita for Violin and Thirteen Players (1966), III, m. 47. © 1977 Theodore Presser Co. Used by permission.

The musical score for Example 6.39, measures 47-50, is written for a large ensemble. The time signature is 4/4. The score includes the following parts:

- Cl.** (Clarinet): Measures 47-50. Measure 47 has a whole rest. Measure 48 has a whole rest. Measure 49 has a whole rest. Measure 50 has a whole note chord (F#4, A#4, B4, C#5) with a forte (*f*) dynamic.
- W. Blk. M.** (Woodwind): Measures 47-50. Measure 47 has a half note (G4) with a *mf* dynamic. Measure 48 has a half note (A4) with a triplet of eighth notes (G4, A4, B4) marked with a '3'. Measure 49 has a half note (B4) with a triplet of eighth notes (A4, B4, C#5) marked with a '3'. Measure 50 has a half note (C#5) with a triplet of eighth notes (B4, C#5, D5) marked with a '3'.
- T.-t. M.** (Trombone): Measures 47-50. Measure 47 has a half note (G4). Measure 48 has a half note (A4). Measure 49 has a half note (B4). Measure 50 has a half note (C#5).
- Horns M.** (Horn): Measures 47-50. Measure 47 has a half note (G4) with a *mf* dynamic. Measure 48 has a half note (A4) with a triplet of eighth notes (G4, A4, B4) marked with a '3'. Measure 49 has a half note (B4) with a triplet of eighth notes (A4, B4, C#5) marked with a '3'. Measure 50 has a half note (C#5) with a triplet of eighth notes (B4, C#5, D5) marked with a '3'.
- B.D. M.** (Bassoon): Measures 47-50. Measure 47 has a half note (G4). Measure 48 has a half note (A4). Measure 49 has a half note (B4). Measure 50 has a half note (C#5).
- Vn.** (Violin): Measures 47-50. Measure 47 has a half note (G4) with a *f* dynamic. Measure 48 has a half note (A4) with a triplet of eighth notes (G4, A4, B4) marked with a '3'. Measure 49 has a half note (B4) with a triplet of eighth notes (A4, B4, C#5) marked with a '3'. Measure 50 has a half note (C#5) with a triplet of eighth notes (B4, C#5, D5) marked with a '3'.
- Va.** (Viola): Measures 47-50. Measure 47 has a half note (G4) with a *mf* dynamic. Measure 48 has a half note (A4) with a triplet of eighth notes (G4, A4, B4) marked with a '3'. Measure 49 has a half note (B4) with a triplet of eighth notes (A4, B4, C#5) marked with a '3'. Measure 50 has a half note (C#5) with a triplet of eighth notes (B4, C#5, D5) marked with a '3'.
- Vc.** (Violoncello): Measures 47-50. Measure 47 has a half note (G4) with a *mf* dynamic. Measure 48 has a half note (A4) with a triplet of eighth notes (G4, A4, B4) marked with a '3'. Measure 49 has a half note (B4) with a triplet of eighth notes (A4, B4, C#5) marked with a '3'. Measure 50 has a half note (C#5) with a triplet of eighth notes (B4, C#5, D5) marked with a '3'.
- Solo Vn.** (Solo Violin): Measures 47-50. Measure 47 has a half note (G4) with a *f* dynamic. Measure 48 has a half note (A4) with a triplet of eighth notes (G4, A4, B4) marked with a '3'. Measure 49 has a half note (B4) with a triplet of eighth notes (A4, B4, C#5) marked with a '3'. Measure 50 has a half note (C#5) with a triplet of eighth notes (B4, C#5, D5) marked with a '3'.

The fourth episode serves as both culmination and recapitulation of the form of the movement. The violin soloist begins the episode by playing a steady stream of sixteenth notes, in a passage that recalls the finale of the “Invocation” Concerto (see Ex. 6.40).

Example 6.40 Violin moto perpetuo, in Ralph Shapey, Partita for Violin and Thirteen Players (1966), III, mm. 68-9. © 1977 Theodore Presser Co. Used by permission.

The musical score is arranged in a system with ten staves. The measures are labeled 68 and 69 at the top. Above the staves, the time signatures $\frac{1}{4}$, $\frac{1}{8}$, $\frac{1}{4}$, $\frac{3}{16}$, and $\frac{4}{4}$ are indicated. The instruments are labeled on the left: Ob., Cl., Hn., Tbn., Fl., Bn., Tpt., Vn., Va., Vc., and Solo Vn. The Solo Vn. part begins in measure 68 with a continuous sixteenth-note figure. In measure 69, the woodwinds and strings enter with various rhythmic patterns, including triplets and sixteenth notes. The Solo Vn. part continues with a complex, rhythmic figure. The score includes dynamic markings such as *f* (forte) and articulation marks like accents and slurs.

The fourth episode has many links to earlier episodes. In mm. 79-81, the percussion instruments again play the linked ostinati of the third episode (not shown). Measures 83-92 replicate mm. 54-64, with the omission of a few subsidiary parts, and one redrawing of a bar line. The Partita ends with a synthesis of the opening and closing solo violin lines of movement I (see Ex. 6.41).

Example 6.41 Thematic synthesis, in Ralph Shapey, *Partita for Violin and Thirteen Players* (1966), III, m. 96. © 1977 Theodore Presser Co. Used by permission.

Allargando

Solo Vn. *ff*

Solo Vn.

The formal symmetries of movement III are linked on a higher level to the structure of the first movement. In both movements I and III, the violin solo theme is stated both at the beginning and the conclusion. In addition, Shapey employs many of the same virtuosic gestures for the soloist in both movements. An additional parallel is the dominance of the percussion instruments at the center of each movement.

Much of the solo writing in the third movement recalls the violin's virtuosic display in the "Invocation" Concerto. It is notable, however, that the Partita lacks a cadenza, which Shapey included in all of his other works for violin and ensemble during the 1950s and early 1960s.

Although Shapey's solo violin writing is very demanding, the form of the Partita is focused instead on the canny circulation of themes and motives in a structurally and dramatically effective arrangement. In the Partita, Shapey created a compositional synthesis integrating two groups of seemingly incompatible techniques. He used static constructions and employed physical space as a structural element, procedures that he had learned from Varèse. Shapey combined these techniques with motivic and thematic development, as well as symmetrical formal structures. Shapey's grand compromise justifies Leonard Meyer's description of him as a "radical traditionalist."⁶⁸

When Shapey premiered the Partita for Violin and Thirteen Instruments with soloist Esther Glazer on 25 January 1967, both the concert and its press coverage showed how far he had traveled from the beginning of his professional career less than twenty years before. The *New York Times* sent critic Theodore Strongin to Chicago to cover the event (see Fig. 6.4). Strongin eulogized Shapey as one of the central figures in the Chicago music world, and as a brilliant composer:

C.C.P. [the Contemporary Chamber Players of the University of Chicago] . . . led by its music director, Ralph Shapey, gave a concert of world premieres last night in honor of the university's 75th anniversary year. Jean Martinon, conductor of the Chicago Symphony, showed up. What's more, he brought his wife.

The Martinons' presence caused a stir at Mandel Hall on the university campus where the concert was held. They were a symbol, said many, of a significant change in Chicago musical life since C.C.P. was founded and began giving concerts in 1964. . . .

As to the concert itself, it was a major contemporary event. . . .

Mr. Shapey's Partita recalls at a distance the violin partitas of Bach as filtered through a keen, lyrical 20th century mind, with extra instrumental comment added.⁶⁹

⁶⁸ Carol K. Baron, interview with Ralph Shapey, Chicago, 5-9 July 1975, transcript, 152. Wolpe/Baron Archive. See also Leonard Meyer, *Music, the Arts and Ideas: Patterns and Predictions in Twentieth-Century Culture* (Chicago: University of Chicago Press, 1964), 237, note 4.

⁶⁹ Theodore Strongin, "Music: Chicago Harmony: Symphonists Get Along With Moderns There," *The New York Times*, 26 January 1967: 25.

Music: Chicago Harmony

Symphonists Get Along With Moderns There

By THEODORE STRONGIN

Special to The New York Times

CHICAGO, Jan. 25 — Make believe, for a moment, that the four conductors of the major symphony orchestras that give concert series in New York each had a night off and each was in town.

Imagine further that each of the four major New York contemporary music series had a concert scheduled on that night. Would one find Leonard Bernstein at Columbia University to hear the Group for Contemporary Music, and Leopold Stokowski at "Music in Our Time" in Town Hall, Erich Leinsdorf at Hunter College for the Contemporary Chamber Ensemble, and Eugene Ormandy at Carnegie Hall for "Evenings for New Music?"

Ralph Shapey

Figure 6.4 Theodore Strongin, "Music: Chicago Harmony: Symphonists Get Along With Moderns There," *The New York Times*, 26 January 1967: 25.

The Partita both sums up major trends in Shapey's compositional development and anticipates his future evolution. It exemplifies his reconsideration of the techniques that he had employed in his orchestral *Trilogy* (*Ontogeny*, "Invocation" Concerto and *Rituals*) (1958-59) when he finally had the opportunity to perform all three of its parts in the mid-1960s. At the same time, the Partita adumbrates a tendency that manifested itself repeatedly in Shapey's music during the following decade: the use of larger, more discursive structures than those of most of his works of the early 1960s. In the late 1960s and early 1970s, Shapey conceived many of his pieces in monumental terms. He designed the *Partita-Fantasia* for Cello and Sixteen Players (1967), a work approximately twenty minutes long, as a companion piece to the Partita for

Violin and Thirteen Players. String Quartet No. 7 (1972) is the longest of Shapey's mature quartets. The *Fromm Variations* for Piano (1966-73), the oratorio, *Praise* (1971), and *The Covenant* for Soprano and Sixteen Players (1977) are all between forty minutes and an hour in length. These compositions were among the central accomplishments of the next decade of Shapey's career.

CHAPTER 7:

RECONSIDERATIONS – THINKING TWICE ABOUT RALPH SHAPEY

Shapey's Use of Varied Repetition in the Light of Contemporary Theory

Most composers today . . . generally have the most primitive and obvious way of dealing with time; they do a little bit of something that repeats itself over and over again and then a bit of something else, a pattern that remains most unimaginative no matter how strange the pieces sound. Their only concern is with block-like, terribly simplified structures of time—and this I find distressing.¹

Instead, you have static chunks of repetitive design. I find this only one very small and not-too-interesting possibility. We had so much of that with the *Rite of Spring* and the period around it. In fact, I think Stravinsky himself stated later that he gradually lost interest in this way of composing and soon started to develop more interesting continuities, such as those of the *Symphony in Three Movements* and many other later works.²

Elliott Carter (1971)

During the 1950s, Stefan Wolpe reconceptualized his ideas about musical continuity. He moved from a structural model based on traditional definitions of causation to a new notion of “oblique” time structures³ that “integrated motivic developmental processes . . . with jarring moments of radical disruption.”⁴ Among the compositions in which Wolpe presented his new

¹ Allen Edwards, *Flawed Words and Stubborn Sounds: A Conversation with Elliott Carter* (New York: W. W. Norton, 1971), 37.

² Edwards, 38.

³ “Wolpe conceived ‘oblique time-structures’ as an alternative to ‘horizontal’ time structures, which he defined . . . as highly developmental textures shot through with ‘linear-thematic forces.’ . . . And it was also an alternative to what he called ‘vertical’ time structures . . . which he associated with the chance music of John Cage.” Brigid Maureen Cohen, *Stefan Wolpe and the Avant-Garde Diaspora* (Cambridge, UK: Cambridge University Press, 2012), 71-2.

⁴ Cohen, 71-2. In “Thinking Twice,” Wolpe wrote, “The empirical notion of any *one*-dimensional (that is causal and argumentative) connection between aspects of an event renders the event as conditional and one-sided. . . . To move in all directions because all aspects are exposed to each other . . . will yield the view from all sides. Everything becomes connectable.” Wolpe, “Thinking Twice,” in *Das Ganze überdenken*, ed. Thomas Phleps (Saarbrücken: Pfau Verlag, 2002), 167-97, especially 191.

type of musical discourse were *Seven Pieces for Three Pianos* (1951), *Enactments* (1950-53) and the brief String Quartet fragment (1951).

Although Ralph Shapey did not take an immediate interest in Wolpe's new musical language, he began to find it increasingly meaningful as he searched for his own mature idiom during the late 1950s. Shapey did not, however, follow Wolpe in his development of a multifaceted discourse that integrated the concepts of development and discontinuity. He seized on Wolpe's new gestural language, only to situate it within Varèse's "movement of sound-masses, of shifting planes . . . taking the place of linear counterpoint."⁵ Shapey became a leading figure among the many young composers who were influenced by Varèse during the 1950s, both in Europe and in America.

In place of Wolpe's complex dialectic, Shapey employed repetition within continuously varied contexts. Dora Hanninen has attempted to evaluate this particular aspect of repetition, labeling the phenomenon as "recontextualization:"

A "repetition" may be effectively transformed by a change in musical context. To give this kind of experience (and our subject) a name, I offer the term recontextualization. Recontextualization indicates a (listener's perception of) phenomenal transformation of repetition . . . induced by a change in musical context. It is a strange kind of repetition—better, an estranged repetition, in which repetition doesn't sound (primarily) like repetition.⁶

Referring to Morton Feldman's *Crippled Symmetry*, Hanninen suggests that "phenomenal transformation of repetition creates coherence and continuity."⁷ She clarifies her definition of

⁵ Edgard Varèse, "The Liberation of Sound," in *Contemporary Composers on Contemporary Music*, ed. Elliott Schwartz and Barney Childs (New York: Holt, Reinhart and Winston, 1967), 197, quoted in Jonathan Cross, *The Stravinsky Legacy* (Cambridge, UK: Cambridge University Press, 1998), 34.

⁶ Dora A. Hanninen, "A Theory of Recontextualization in Music: Analyzing Phenomenal Transformations of Repetition," *Music Theory Spectrum* 25, no. 1 (2003): 59-97, especially 61.

⁷ Ibid.

recontextualization by specifying that it “is not a kind of varied repetition but its opposite, signaling perception not of repetition but of *change*.”⁸

In String Quartet No. 5 (1958), Shapey employs a procedure that can be defined as “recontextualization.” He interpolates passages from the first movement into new contexts within the second, a technique in some ways comparable to Stravinsky’s use of cross-cutting to reposition episodes within a score.⁹ The passages are not internally modified and serve as impermeable elements within a mosaic-like construction. Measures 1-6 of movement I are repeated in the middle of movement II, labeled as mm. 55-60.¹⁰ In mm. 61-8, Shapey superimposes a vocal line over the otherwise unchanged music of movement I, melding the ideas of movements I and II (see Ex. 7.1).¹¹

⁸ Hanninen, 64.

⁹ See the comments by Elliott Carter in Alexei Haieff et al., “Stravinsky (1882-1971): A Composers’ Memorial,” *Perspectives of New Music* 9, no. 2-10, no. 1 (Spring/Summer–Autumn/Winter 1971): 1-6, cited in Richard Taruskin, *Stravinsky and the Russian Traditions: A Biography of the Works Through Mavra* (Berkeley: University of California Press, 1996), II, 1246, note 32. See also Maureen Carr, *Multiple Masks: Neoclassicism in Stravinsky’s Works on Greek Subjects* (Lincoln: University of Nebraska Press, 2002), 249-50, 261-3.

¹⁰ As discussed in chapter 3, the use of measure numbers in movement II of String Quartet No. 5 has no bearing on their position within the movement, merely indicating their relationship and their continuity with the music of movement I.

¹¹ For a discussion of Shapey’s use of “recontextualization through superimposition” in *Night Music II* for Violin, Viola, and Electronic Tape (2000), see Hanninen, 95-6. Gretchen Horlacher discusses Stravinsky’s use of superimposition in “overlapped repeating textures.” See Horlacher, *Building Blocks: Repetition and Continuity in the Music of Stravinsky* (New York: Oxford University Press, 2011), 134.

Example 7.1 Vocal line overlaid above the opening measures, in Ralph Shapey, String Quartet No. 5 with Female Voice (1958), II, m. 61 (cf. Ex. 3.33a). © 1958 Theodore Presser Co. Used by permission.

The musical score for Example 7.1 shows the vocal line overlaid on the opening measures of Ralph Shapey's String Quartet No. 5 with Female Voice, II, m. 61. The score includes staves for Voice, Vn. I, Vn. II, Va., and Vc. The vocal line is in treble clef, and the instrumental parts are in various clefs. The key signature has one sharp (F#). The time signature is 9/8. The vocal line includes the lyrics 'A sea gull rent the bead - ed'. The instrumental parts include dynamic markings such as *mf* and *f*, and articulation marks like accents and slurs.

From the middle of m. 68 to the end of m. 70, Shapey presents slightly altered material from the beginning of movement I, along with a superimposed vocal line. This leads to another literal repetition, that of mm. 51-2 in movement I as mm. 71-2 in movement II.

Shapey repeats the opening three measures of the Quartet twice more in movement II, first as mm. 75-7, then as mm. 78-80.¹² By superimposing the words “I Am” over the final repetition of the opening measures, Shapey transforms their meaning in a manner that encapsulates both the musical and ideological trajectory of the work (see Ex. 7.2).¹³

¹² Measures 55-74, 75-7 and 78-80 are separated by music that is labeled, not by measure numbers, but by rehearsal letters.

¹³ For a fuller discussion, see the analysis of String Quartet No. 5 in chapter 3.

Example 7.2 Concluding measures, in Ralph Shapey, String Quartet No. 5 with Female Voice (1958), II, mm. 78-80 (cf. Exx. 3.33a and 7.1). © 1958 Theodore Presser Co. Used by permission.

$\text{♩} = 50$

78 *f* I Am I *f* 79

Voice

Vn. I *f* 5 *f* 5 *f*

Vn. II *mf* 5 *mf* 5 *f*

Va. *mf* *f* *mf* *f*

Vc. *mf* *f* *mf* *f*

Example 7.2 continued

80

Voice

f *ff*

I Am!

Vn. I

f

Vn. II

f

Va.

mf *f*

Vc.

f

Stravinsky's Continuity Strategies and Shapey's Music

Gretchen Horlacher has demonstrated that Stravinsky's continuity strategies are based on the careful arrangement of "ordered successions" of permutations of musical ideas, rather than on the juxtaposition of static blocks of sound.¹⁴ Her analyses offer a broad set of tools with which to approach Stravinsky's music. The concept of recontextualization is subsumed into a comprehensive critique of Stravinsky's use of small variations to generate directed motion.

¹⁴ Horlacher, viii: "An ordered succession identifies how Stravinsky manipulates repetition by showing both those things preserved in a series of iterations and those things that change."

The music that Shapey composed during the 1960s can be fruitfully interpreted from a similar analytical perspective. It provides many examples of the use of “ordered successions,” analogous to those described by Horlacher. Ironically, Shapey denigrated the music of Stravinsky:

Shapey: He [Wolpe] didn’t really have to say, “Don’t you know the Stravinsky score?” Of course, I knew the Stravinsky score. Matter of fact, I hated Stravinsky in those days. I didn’t like Stravinsky. I still don’t like Stravinsky. That’s funny. I only like his early works. But anyhow, I knew Stravinsky, and I studied the scores.¹⁵

Like Stravinsky, Shapey employed ordered successions of different types. In String Quartet No. 6 (1963), the cello theme and its successively presented variants undergird the structure of the entire Quartet.¹⁶ Shapey continuously rearranges the pc ordering of the theme while preserving its basic shape. In addition, he transforms the theme by employing processes of rhythmic augmentation and diminution. Shapey also structures the passage by creating a registral arch. The cello ascends to its highest register before descending back to the bottom of its range. It concludes with a whole note on its lowest pitch, Bb1 (see Ex. 7.3).

¹⁵ Carol K. Baron, interview with Ralph Shapey, Chicago, 5-9 July 1975, transcript, 91. Wolpe/Baron Archive.

¹⁶ See Andrew Mead, “How to Be, What to Do: Character and Action in Ralph Shapey’s String Quartet No. 6,” *Contemporary Music Review* 27, nos. 4/5 (August-October 2008): 489-509, especially 494-6.

Example 7.3 Ordered succession in Ralph Shapey, String Quartet No. 6 (1963), mm. 1–11, cello only. In Andrew Mead, “How to Be, What to Do: Character and Action in Ralph Shapey’s String Quartet No. 6,” *Contemporary Music Review* 27, nos. 4/5 (2008): 489–509, especially 495. © 2008 Taylor & Francis. Used by permission.

The musical score for cello in Ralph Shapey's String Quartet No. 6, measures 1-11, is presented in a single system. The notation is in bass clef with a key signature of one flat (Bb). The score consists of several measures, each containing a triplet figure. The first measure is marked *f sostenuto* and has a tempo annotation 'A Tempo = X'. The second measure is marked '2 (cont.)' and has a tempo annotation 'B Tempo = 3/2X'. The third measure is marked '7 (cont.)' and has a tempo annotation 'A Tempo = 1/2X'. The fourth measure is marked '10' and has a tempo annotation 'A Tempo = X'. The fifth measure is marked '11' and has a tempo annotation 'A Tempo = X'. The score includes various musical notations such as triplets, slurs, and dynamic markings. A note at the bottom right states: 'A Not a simple multiple of the original durations' and 'N.B.: Relative durations of motives are the reciprocal of their relative tempi.'

f sostenuto
A Tempo = X

2 (cont.)
B Tempo = 3/2X

7 (cont.)
A Tempo = 1/2X

10
A Tempo = X

11
A Tempo = X

(No B version of motive)

ff sfz [Coincides with a re-tuning to low Bb; see endnote 9]
(Only remnant of B version of motive)

A Not a simple multiple of the original durations
N.B.: Relative durations of motives are the reciprocal of their relative tempi.

Figure 3 Ralph Shapey, String Quartet No. 6, motivic development in the opening cello recitative, mm. 1–11. © 1977 Theodore Presser Co.

In the second movement of the *Partita for Violin and Thirteen Instruments* (1966), Shapey similarly employs an ordered succession of thematic variants. Shapey creates a structure dependent as much on the circulation of the theme within the instrumental texture as on its modification throughout the movement. The theme is stated eight times. The first, sixth and eighth statements of the theme are presented by the strings. Statement 2 is presented by a quartet comprised of the flute, bassoon, trumpet and trombone. Shapey makes small changes to the theme, providing a foil for its original version. In the fourth statement (clarinet, bassoon, trumpet and glockenspiel), Shapey combines the first half of statement 2 and the second half of statement 1. Shapey repeats statement 1 as statement 6 and statement 2 as statement 8, producing a rondo-like form.

The most significant change in the contour of the theme during the course of the movement concerns the structure of melodic motion. Within the ordered succession of thematic statements from 1-5 (excluding the fusion of statements 1 and 2 within statement 4), Shapey reaches the pc, A, with increasing rapidity (see Exx. 7.4 and 7.5).

Example 7.4 Ordered succession in Ralph Shapey, *Partita for Violin and Thirteen Players* (1966), II, mm. 2-9, excerpted from ensemble score. The pc, A, goal of melodic motion, is circled in each variant of the theme. © 1977 Theodore Presser Co. Used by permission.

Example 7.4 shows four staves of music, numbered 1 through 4, representing different instruments: Vn. (Violin), Fl. (Flute), Ob. (Oboe), and Glock. (Glockenspiel). The music is in 4/4 time. The first staff (Vn.) starts at measure 2 and ends at measure 9. The second staff (Fl.) starts at measure 4 and ends at measure 9. The third staff (Ob.) starts at measure 6 and ends at measure 9. The fourth staff (Glock.) starts at measure 8 and ends at measure 9. The notes G#3, B3, G3, and A3 are circled in each staff, indicating the goal of melodic motion (A). The score includes various musical notations such as slurs, ties, and dynamic markings.

Example 7.5 “Statement 5” of ordered succession in Ralph Shapey, *Partita for Violin and Thirteen Players* (1966), II, mm. 12-3, excerpted from ensemble score. The pc, A, goal of melodic motion, is circled (cf. Ex. 7.4). © 1977 Theodore Presser Co. Used by permission.

Example 7.5 shows two staves of music, numbered 5 and 12, representing different instruments: Fl. (Flute) and Vn. (Violin). The music is in 2/4 time. The first staff (Fl.) starts at measure 12 and ends at measure 13. The second staff (Vn.) starts at measure 12 and ends at measure 13. The notes G#3, B3, G3, and A3 are circled in each staff, indicating the goal of melodic motion (A). The score includes various musical notations such as slurs, ties, and dynamic markings.

Shapey concludes the movement with a brief melodic figure, G#3–B3–G3–A3, that summarizes the structural motion within the theme, from G# to A (see Ex. 7.6).

Example 7.6 Melodic figure, illustrating structural motion within the theme, in Ralph Shapey, *Partita for Violin and Thirteen Players* (1966), II, mm. 22-3. The pc, A, goal of melodic motion, is circled (cf. Exx. 7.4 and 7.5). Note that the beginning of m. 22 is not shown in the example. © 1977 Theodore Presser Co. Used by permission.

In statement 5, the violin soloist interrupts the ensemble's presentation of the theme (see Ex. 7.5), obscuring its compressed shape. Shapey produces a climax in statement 7 by dividing the theme and circulating its elements spatially within the ensemble, in an imitation of Webernian pointillism (see Ex. 7.7).

Example 7.7 Pointillistic texture within a thematic statement, in Ralph Shapey, Partita for Violin and Thirteen Players (1966), II, mm. 18-9. Note that only the first part of m. 19 is included in the example. © 1977 Theodore Presser Co. Used by permission.

The musical score for Example 7.7 illustrates a pointillistic texture within a thematic statement. The score is divided into measures 18, 19, 20, and 21, each with a specific time signature: 3/16, 1/8, 6/16, and 5/16 respectively. The instruments and their parts are as follows:

- Ob. (Oboe):** Measures 18-21, dynamics *p*.
- Cl. (Clarinet):** Measures 18-21, dynamics *p*.
- Hn. (Horn):** Measures 18-21, dynamics *pp*.
- Cb. (Contrabass):** Measures 18-21, dynamics *p*.
- Tbn. (Trombone):** Measures 18-21, dynamics *p*.
- Mar. (Maracas):** Measures 18-21, dynamics *mf*.
- Fl. (Flute):** Measures 18-21, dynamics *p*.
- Bsn. (Bassoon):** Measures 18-21, dynamics *p*.
- Glock. (Glockenspiel):** Measures 18-21, dynamics *mf*.
- Tpt. (Trumpet):** Measures 18-21, dynamics *p*.
- Solo Vn. (Solo Violin):** Measures 18-21, dynamics *p*.

The Solo Vn. part is marked with a *p* dynamic and includes a *graz.* (grace note) in measure 21. The score is written for a 13-piece ensemble plus a solo violin, with measures 18-9 of the piece included.

In the second movement of *Configuration* for Flute and Piano (1964), Shapey creates a more complicated structure. He presents five statements of a winding flute theme, suspended above a slow piano ostinato. These statements partition the movement into segments. The theme, in turn, can be subdivided into three smaller fragments, distinguished by characteristic pitch relationships, motives and rhythmic patterns (see Ex. 7.8). Fragment “x” consists of the initial Eb4 and the following F#4. This figure appears in fuller form near the end of segment 1 as D#–C–F#. It is later presented in an enharmonic respelling (Eb–C–F#), and with its pcs reordered (C–F#–D#). The second fragment of the theme, “y,” begins with a sixteenth-note G#4, and concludes with the ascending sixteenth-note triplet, C4–Bb4–A5. It includes a series of motivic figures that twist and turn melodically, echoing each other: G#4–D4–F4; B3–C#5–Ab4–B4; G4–Eb4–G4–Eb4–F#4. Shapey rhythmically differentiates these related thematic shapes. He contrasts a short–long sixteenth-note–eighth-note pattern, eighth-note and sixteenth-note triplets, and a thirty-second-note quintuplet. The last part of the theme, “z,” begins with a sixteenth-note C#5, and ends with the descending diminished fourth, Ab4–E4. While its melodic shapes are similar to those of the previous thematic fragment, its rhythms are appropriately slower, given that it rounds off the phrase.

Example 7.8 Subdivisions of the flute theme, in Ralph Shapey, *Configuration* for Flute and Piano (1964), II, mm. 1-5. © 1977 Theodore Presser Co. Used by permission.

The five statements of the theme can be analyzed as an ordered succession, in which Shapey manipulates motives and rhythmic patterns to create a series of varied repetitions (see Exx. 7.9 and 7.10). Shapey continuously modifies his presentation of thematic elements. Only segment 3 offers an additional complete statement of the theme, comparable to segment 1. Shapey truncates the theme in the second segment. The segment consists primarily of motive “B,” repeated in a slightly altered pc ordering and registral arrangement. Shapey links motive “B” to an abbreviated version of motive “D” (G–F#) that omits the pc, Eb. By way of contrast, in the fourth segment, Shapey elaborates upon each of the three thematic fragments. The fifth and final segment is devoted primarily to development of the concluding fragment, “z.” The flute’s final pitch, Eb4, is identical to its opening pitch, underlining the essentially circular character of Shapey’s musical narrative.

In segment 4, Shapey generates new pc relationships by transposing the second half of fragment “y,” the central portion of the theme. In segment 5, Shapey focuses on the related motives, “A” and “E.” By introducing the “C” motive (B4–G4–D#4) as well, he links segment 5 to segments 1 and 3.

Shapey uses rhythm as well as pitch as a structural tool throughout the movement. The short–long figure, “a,” is transformed into its opposite, a long–short figure, “a₁.” Shapey employs half-note (“f”), quarter-note (“e”), eighth-note (“b”) and sixteenth-note (“d”) triplets, as well as thirty-second-note quintuplets (“c”). From the standpoint of rhythm as well as pitch, Shapey presents a profusion of figures throughout the first four segments, while the last segment approaches a point of stasis as the movement nears its conclusion.

Example 7.9 Motives in Ralph Shapey, *Configuration* for Flute and Piano (1964), II, flute only. Motives and their variants are circled and labeled from A–E. Each segment of the ordered succession is numbered (cf. Ex. 7.8). © 1977 Theodore Presser Co. Used by permission.

The musical score consists of five staves, each representing a segment of the flute melody. Motives and their variants are circled and labeled A through E. The segments are numbered 1 through 5, and the measures are indicated by mm. (measures).

- Segment 1 (mm. 1-5):** Motive A (measures 1-3), Motive B (measures 4-5), Motive C (measure 4), Motive D (measure 5), Motive E (measures 1-5).
- Segment 2 (mm. 5-7):** Motive B (measures 5-6), Motive D (measure 7).
- Segment 3 (mm. 8-12):** Motive A (measures 8-9), Motive B (measures 10-11), Motive C (measure 10), Motive D (measure 11), Motive E (measures 8-12).
- Segment 4 (mm. 13-9):** Motive A (measures 13-14), Motive B (measures 15-16), Motive C (measure 15), Motive D (measure 16), Motive E (measures 13-17).
- Segment 5 (mm. 20-7):** Motive A (measures 20-21), Motive B (measures 22-23), Motive C (measure 22), Motive D (measure 23), Motive E (measures 20-24).

Example 7.10 Rhythmic patterns, in Ralph Shapey, *Configuration* for Flute and Piano (1964), II, flute only. Patterns are labeled by letter: “a” = short-long; “a₁” = long-short; “b” = eighth-note triplet; “c” = thirty-second-note quintuplet; “d” = sixteenth-note triplet; “e” = quarter-note triplet; “f” = half-note triplet. Each segment of the ordered succession is numbered (see Ex. 7.8). © 1977 Theodore Presser Co. Used by permission.

The image displays five segments of a musical score for flute, numbered 1 through 5. Each segment is labeled with its measure range: mm. 1-5, mm. 5-7, mm. 8-12, mm. 13-9, and mm. 20-7. The notation is in treble clef with a key signature of one flat (B-flat). The patterns are labeled with letters a, b, c, d, e, a₁, and f, which correspond to specific rhythmic figures as defined in the text. Segment 1 (mm. 1-5) shows a sequence of eighth notes and quarter notes. Segment 2 (mm. 5-7) features a half note and a quarter note. Segment 3 (mm. 8-12) includes a half note and a quarter note. Segment 4 (mm. 13-9) shows a half note and a quarter note. Segment 5 (mm. 20-7) features a half note and a quarter note. The patterns are labeled with letters a, b, c, d, e, a₁, and f, which correspond to specific rhythmic figures as defined in the text.

In the fourth movement of *Incantations* for Soprano and Ten Instruments (1961), Shapey manipulates the parameters of an ordered succession with greater precision than in *Configuration*. The soprano soloist sings against a delicate percussion backdrop. The entire soprano line of the movement can be divided into fifteen segments. The boundaries between segments are usually articulated by Shapey's periodic return to the initial pc, C#.¹⁷ The segments are, in turn, subdivided into varied presentations of a set of four motives, differentiated by durational values, rhythm, direction and articulation, as well as by pc content (see Ex. 7.11).

Segment 1 begins with a motive consisting of a single sustained tone, C#5. After a sixteenth rest, Shapey presents motive 2, the ascending gesture, G3–D#4–G#4. It includes a series of durations of progressively decreasing length: quarter note, dotted eighth note, eighth note. The ascending gesture is followed by motive 3, a rapid, leaping gesture that begins with two slurred staccato notes. The durations of this three-note motive, comprised of two sixteenth notes and a thirty-second note, continue the series of diminishing values displayed by the previous two motives. The fourth and last motive is a symmetrical neighbor-note gesture, E5–D5–D5–E5. It consists of a dotted quarter note, followed by three quarter notes that are punctuated by an interpolated eighth rest. These durations are noticeably larger than those of the previous motive.

As the movement proceeds, Shapey shuffles the order of the four motives, as well as modifying pc content, pc order, gestural direction, register and rhythm within each motive.

¹⁷ Horlacher, 25: "When a work is easily grouped into segments . . . those segments also define a succession of events, since the partitioning of elements into groups also necessarily arranges those groups into order."

Shapey often combines motives as well. To elucidate the movement's structure, each segment of the soprano line is presented on a single staff in the example below.¹⁸

¹⁸ Horlacher, 34: "An initial model phrase . . . is superimposed with subsequent phrases/repetitions such that features held in common between them are vertically aligned. This format describes the phrasal form of the excerpt as it also draws our attention to variations the composer makes to a returning iteration. . . . By tracing a path through a series of ordered, successive phrases, this format identifies how varied repetition may also be regarded as continuous development."

Example 7.11 Ordered succession, in Ralph Shapey, *Incantations* for Soprano and Ten Instruments (1961), IV, soprano only. Each segment of the soprano line is numbered. Motives are numbered and bracketed. Instances of the pc, C#/Db, are circled. © 1977 Theodore Presser Co. Used by permission.

The musical score is organized into nine staves, each representing a different instrument or voice part. The notation is as follows:

- Staff 1:** Contains four bracketed motives labeled 1, 2, 3, and 4. Motive 1 is circled.
- Staff 2:** Contains four bracketed motives labeled 1, 2, 3, and 4. Motive 1 is circled.
- Staff 3:** Contains four bracketed motives labeled 1, 2/3, 3, and 4. Motive 1 is circled.
- Staff 4:** Contains two bracketed motives labeled 1/2 and 3/4.
- Staff 5:** Contains two bracketed motives labeled 1/2 and 3/4. Motive 1/2 is circled.
- Staff 6:** Contains three bracketed motives labeled 1, 3, and 2/4. Motive 1 is circled.
- Staff 7:** Contains two bracketed motives labeled 1 and 2/3.
- Staff 8:** Contains three bracketed motives labeled 1, 2/3, and 3. Motive 3 is circled.
- Staff 9:** Contains two bracketed motives labeled 2/3 and 3. Motive 3 is circled.

Example 7.11 continued

The musical score consists of six staves, numbered 10 to 15. Each staff begins with a treble clef and a key signature of one sharp (F#). The notation includes various rhythmic values and melodic lines. Above the staves, there are numerical annotations that likely represent segment durations or counts: 1/2, 2, 1/2, 2/3, 1/2, 2/4, 3/4, 1, 3, 4, 3/4, 1, 2, 4, 3, 4, and 1. Some notes are circled, and there are various musical symbols like slurs and ties throughout the score.

As in the case of *Configuration*, the table shows that what, at first hearing, seems to be a group of minimally varied phrase repetitions is actually a series of carefully plotted developments. Shapey articulates the boundaries between segments by his characteristic technique of narrative circularity. He repeatedly returns to the beginning of his sequence of ideas, creating a sense of stasis that contradicts the progressive elements of the form. On occasion, Shapey deliberately creates ambiguity in demarcating divisions between phrases/segments. For example, the quarter-note C#5 in segment 4 might also be considered the first note of the segment, rather than the dotted-eighth-note G3 that opens the statement of

motive 1/2 (see Ex. 7.11). Repositioning C#5 as the opening note of segment 4 restores the parallelism between statements of motive 1 at the beginning of segments. At the same time, however, it destroys the parallelism between statements of motive 2 throughout the movement.

On the level of thematic manipulation, the evolution of ideas in the fourth movement of *Incantations* is dependent on three main factors: 1) changes in the order of motives; 2) changes in their content *within* segments; 3) transformation of motives *between* successive segments. After the first two segments, Shapey repeatedly changes the order of the four motives. He combines motives within most of the segments as well. In addition, he often omits one of the motives within a segment. For example, motive 4 is omitted in segments 7-11. Shapey also creates motivic parallelisms and directional symmetry. He balances the ascending gestures in segments 1, 2 and 4 and segments 7-9 by descending gestures in segments 4-6 and segments 10-12.

Although Shapey's music can be parsed by using Horlacher's intellectual construct, his permutation and variation of motives fits her model for Stravinsky's music only intermittently. Shapey's handling of motives is indebted, rather, to Wolpe's teaching and practice.

In "Broken Sequences: Fragmentation, Abundance, Beauty," Christopher Hasty points to Wolpe's use of "massive repetition, much of it tantalizingly close but never 'exact.'"¹⁹ He provides an example from Wolpe's *Form IV* for Piano (1969), showing Wolpe's variation of a three-note motive, C#4-Bb4-C4. The graphic layout of the example displays two versions of the motive with a different central pc (see Ex. 7.12, "C" and "A"), together with a transposition of the motive ("B"). In addition, it illustrates how Wolpe registrally expands and compresses the motive (see Ex. 7.12, "E" and "F").

¹⁹ Christopher Hasty, "Broken Sequences: Fragmentation, Abundance, Beauty," *Perspectives of New Music* 40, no. 2 (Summer 2002): 155-73, especially 159.

Example 7.12 Motivic development in Stefan Wolpe's *Form IV* for Piano (1969). Ex. 4 in Christopher Hasty, "Broken Sequences: Fragmentation, Abundance, Beauty," *Perspectives of New Music* 40, no. 2 (Summer 2002), 155-73, especially 161. © 2002 *Perspectives of New Music*. Used by permission.

EXAMPLE 4: G'S ANTECEDENTS (AND SOME CONSEQUENCES)

In the final movement of *Incantations*, Shapey employs a similar arching three-note figure, C5–B5–Bb4, as the third of the four motives. Like Wolpe, he both reorders (segments 1, 2 and 3), and alters (segments 4–9) its pc content (see Exx. 7.11 and 7.13). In segments 1–3, Shapey presents the motive in three different pc orderings: C–B–Bb (1), Bb–C–B (2) and B–C–Bb (3).

Example 7.13 Variants of motive 3 in segments 1-9, in Ralph Shapey, *Incantations* for Soprano and Ten Instruments (1961), IV (cf. Exx. 7.11 and 7.12). © 1977 Theodore Presser Co. Used by permission.

Shapey registrally compresses (segments 3 and 6) and expands (segments 4, 5, 7, 8 and 9) the motive. For example, in segment 3, he states the motive in close position (B3–C4–Bb3),

while in segment 8, he presents it as an ascending gesture, spanning a +17 (B3–C5–E5) [note: names of pcs not originally included in a motive are italicized in the following discussion]. In addition, Shapey frequently fuses motives together. In segment 3, Shapey combines the durational values of motive 2 with two of the three pcs of motive 3, creating the progression, D#4–B3–C4. He then immediately restates motive 3 in its original rhythmic configuration, while presenting all three pcs of the motive.

In segment 4, Shapey interleaves the pcs of motives 3 ({Bb, B, C}) and 4 ({D, E}): Bb4–D5–C5–E5–B3. Similarly, segment 5 includes the progression, C5–D5–E4–Bb3, in which two of the three pcs of motive 3 frame the two pcs of motive 4. In segments 7, 8 and 9, Shapey creates three-note figures that incorporate two of the original pcs of motive 3, although their shapes and durational progressions (including an eighth note, dotted eighth note and quarter note) echo motive 2. In segment 7, Shapey presents the ascending gesture, C4–B4–D#5; in segment 8, B3–C5–E5; in segment 9, Bb3–B4–F5.

In addition to motivic variation, Shapey employs Wolpe's technique of "chromatic circulation," as well as rhythmic procedures of augmentation and diminution derived from Messiaen's *Technique of My Musical Language*.²⁰ Shapey's combination of motivic and rhythmic variation, together with "chromatic circulation," provides the form of movement IV with both symmetry and structural dynamism.

Segment 1 includes nine pcs. Shapey omits the pcs F, F# and A, all of which later play central roles within the movement. Shapey balances the longer note values of motives 1 and 4 with the shorter note values of the intermediate motivic figures. By rearranging the four motives

²⁰ Olivier Messiaen, *The Technique of My Musical Language*, trans. John Satterfield, 2 vols. (Paris: Alphonse Leduc, 1956). See "The Lecture Notes on Rhythm" in chapter 5 for a discussion of Shapey's appropriation of Messiaen's rhythmic techniques.

in the sequence, 1, 4, 2, 3, however, they can be portrayed as the elements of a descending durational progression, with each characterized by a distinctive rhythmic character (see Ex. 7.14). In this hypothetical configuration, the group of motives begins with a duration of five eighth notes and ends with a thirty-second note. Shapey's use of duration as a distinct structural parameter permits him to subject it to development, along with the parameter of pitch class, throughout the fourth movement of *Incantations*.

Example 7.14 Hypothetical arrangement of motives within “segment 1,” in Ralph Shapey, *Incantations* for Soprano and Ten Instruments (1961), IV (cf. Ex. 7.11).

In segment 2, Shapey repeats the four motives with minor modifications. He does not change their order within the segment, nor does he alter their pc content. He does, however, modify the ordering of pcs in motives 2, 3 and 4, while preserving their gestural shapes. By way of contrast, Shapey radically alters motives 2 and 4 in segment 3. He does not employ the ascending gesture that characterizes motive 2 in the first two segments. The pc, G, originally included in motive 2, is transferred to motive 4 and linked to the introduction of a previously unstated pc, A. This pc ends the segment with the same duration, five eighth notes, that had previously been assigned exclusively to C#5 at the beginning of each segment.

Segments 4-6 comprise a transitional episode, characterized by many descending melodic leaps. These three segments are also marked by a de-emphasis on motive 1, the pc, C#, which is assigned shorter note values. At the same time, Shapey begins to incorporate C# into larger

motivic combinations. C# is joined to motive 2 in the figures G3–D#4–C#5 (segment 4) and C#4–G3–G#5–D#4 (segment 5).

The opening pitch of segment 7, F#3, is a decisive landmark in the movement. F# is the second of the originally excluded pcs to be introduced, and F#3 the lowest pitch thus far presented. Its importance is stressed by its duration, identical to that of the opening C#5s of segments 1-3, as well as its position at the beginning of a segment. Shapey reinforces the significance of this event within the movement's structure by repeating F#3 with the same duration, five eighth notes, at the beginning of segment 8. In both segments 7 and 8, the initial F# is followed by variants of motive 2 that imitate its ascending motion in segments 1, 2 and 4.

Segment 8 concludes with a descending ic3, F4–D4. F4 completes the presentation of the aggregate within the movement. Shapey underlines the structural significance of the pc, F, in later segments. The final note of segment 11 is a sixteenth-note F3, the lowest pitch of the entire movement. After an eighth-note rest, Shapey leaps to C#5, the first note of segment 12. By successively stating F3 and C#5, Shapey links C# and F, the first and last pcs to be introduced in the movement. At the end of segment 14, Shapey presents the three pcs, A, F# and F, that are excluded from segment 1. This is the only time in the movement that these three pcs are stated consecutively.

In segment 9, Shapey states the entire aggregate without pc repetition. This important structural event is distinguished by the rapidity of its presentation, which includes an eight-pitch succession of sixteenth notes and thirty-second notes. While Shapey had originally employed C#5 as the opening pc of each segment, segment 9 incorporates C#5 as its final pitch. Shapey immediately repeats C#5 to begin segment 10, inaugurating the “recapitulation” of the movement. The descending leap from C#5 to G3 at the beginning of segment 10 recalls the same

pitch succession at the beginning of segment 1, reinforcing the structural primacy of C#5 and underscoring the beginning of the “recapitulation.”

In segments 10-12, Shapey presents three consecutive pairs of descending gestures. Their rhythmic and directional parallelism creates symmetry with the ascending figures in segments 7-9. The nine-pc variant of motive 3 that closes segment 9 divides the groups of ascending and descending motivic gestures.

In segments 13-15, Shapey makes explicit allusions to the beginning of the movement, rounding off the form. The double statement of motive 3 in segment 13 recapitulates its pc content and order in segments 1 (C–B–Bb) and 2 (Bb–C–B), as well as restoring its link to the original version of motive 4. In segment 14, Shapey creates an additional correspondence with segments 1 and 2 by presenting motive 2 as an ascending gesture, combining the pc set, {D#, G, G#}, with the durational series, quarter note, dotted eighth note, eighth note.

Shapey ends the movement with the dyad, F4–Db4. This final gesture resembles the concluding dyad of segment 8, F4–D4, which is also a descending interval beginning with F4. In addition, it repeats the F–C# motion that connects segments 11 and 12, linking the first and last pcs to be introduced in the movement.

Shapey’s fusion of dynamic and static elements represents a mid-point between the continuity procedures of Wolpe and Stravinsky. His use of rhythmic patterns, pc sets, motivic parallelism and motivic directionality to organize the fourth movement of *Incantations* creates a contemporary analogue to sonata form that incorporates palindromic elements. The most notable of these are the symmetry between Shapey’s manner of presenting all four motives in segments 1-2 and 13-15; the alternation of ascending and descending versions of motive 2 throughout the movement, in an ABABA pattern; motivic parallelism in segments 7-9 and 10-12; and Shapey’s

statement of the aggregate in segment 9, serving as a structural pivot that separates the “development” from the “recapitulation” (see Table 7.1).

Table 7.1 Ralph Shapey, *Incantations for Soprano and Ten Instruments (1961)*, IV: Form

<u>Segment</u>	<u>Section</u>	<u>Motive 2: Directionality</u>	
1	“Exposition”	Ascending	Segments 1-2: Introduction and permutation of motives; motivic parallelism.
2		Ascending	
3		Horizontal	
4	“Development”	Ascending	Segments 3-15: combination and variation of motives. Segments 4-5: all four motives presented in combination.
5		Descending	
6		Descending	
7		Ascending	
8	“Recapitulation”	Ascending	Change of central pc from C# to F#. Segments 7-9: motivic parallelism. Aggregate statement. Return to use of C# as central pc. Segments 10-12: motivic parallelism.
9		Ascending	
10		Descending	
11		Descending	
12		Descending	
13	“Coda”	Omitted	Two variants of motive 3, originally stated in segments 1 and 2.
14-15		Ascending	All four motives presented individually; motive 2 stated, using original pc set.

Coda: Shapey’s Debt to Wolpe’s Pedagogy

Ralph Shapey derived some of his most radical ideas about timbre, musical space and time from Edgard Varèse. His approach to pitch organization and rhythm throughout his entire career was based, however, on the techniques that he learned from Stefan Wolpe during the

1940s. Although some of the concepts that he derived from the music of Varèse became less important to Shapey as he aged, his devotion to the bedrock principles that he had imbibed from Wolpe remained unchanged.

Shapey used Wolpe's techniques as the cornerstone of his teaching of composition for fifty years. At the University of Chicago, he taught a course employing a set of composition exercises that he published in 2001 as a pamphlet, entitled, *A Basic Course in Music Composition*.²¹ *A Basic Course* deals necessarily with only the most fundamental aspects of pitch organization, rhythm, musical space and dissonant counterpoint. With *A Basic Course*, Shapey came full circle, lucidly summarizing concepts almost identical to Wolpe's ideas, as documented in lecture and lesson notes preserved in the papers of Isaac Nemiroff and Milton M. Kraus that are examined in chapter 1 of this study.²² The lesson notes and composition exercises of composer Ursula Mamlok,²³ a student of both Wolpe and Shapey during the early 1960s, supplement the documents supplied by Nemiroff and Kraus as a source for parallels between the ideas of her two teachers. An additional source for Shapey's intellectual debt to Wolpe is Carol K. Baron's lengthy 1975 interview.²⁴ Baron prodded Shapey to trace the sources of his ideas, a painful subject for the younger man, due to the complexity of his relationship with Wolpe.

There are many specific parallels between the compositional pedagogy of Wolpe and Shapey:

²¹ Ralph Shapey, *A Basic Course in Music Composition* (King of Prussia, PA: Theodore Presser Co., 2001).

²² For a detailed discussion of Wolpe's ideas, as reflected in the notes of Nemiroff and Kraus, see "Wolpe's Pedagogy" in chapter 1.

²³ Ursula Mamlok, composer (b. 1923), born in Berlin, Germany. A composition student of George Szell, Roger Sessions, Stefan Wolpe and Shapey, she is professor emerita at the Manhattan School of Music.

²⁴ Carol K. Baron, interview with Ralph Shapey, transcript, especially 113-29, 165-75. Wolpe/Baron Archive.

1. Use of the entire pitch continuum.

In his composition classes, Wolpe stressed the necessity of employing the entire pitch continuum. He provided an example in which he outlines a seven-octave range, from B0 to B7 (see Ex. 7.15).²⁵

Example 7.15 Use of the entire pitch continuum, in Isaac Nemiroff, notebook for classes with Stefan Wolpe: “Home on the Ranges (Gas)” [heading and commentary in Nemiroff’s handwriting], excerpt (cf. Ex. 1.23). Dr. Isaac Nemiroff Collection, University Archives, Stony Brook University Libraries, Box 20, Spiral Music Notebook #3 (small). By permission of Catherine Nemiroff.

Similarly, Shapey discusses the use of the entire pitch continuum at the beginning of *A Basic Course*: “Most students never think in terms of the piano keyboard’s 88 spatial sounds.

²⁵ The piano keyboard spans the range from A0 to C8.

They are basically locked into the octave space. . . . I point out that there is no instrument in an orchestra that has a larger range than the piano unless one includes the organ.”²⁶

When Carol Baron interviewed Shapey, he confirmed that he taught his students about Wolpe’s concept of pitch space:

Baron: Do you think, for example, that article, that was called “Second Thoughts,” or “Thinking Twice,”²⁷ you know, the article that I read, that was in *Perspectives [of New Music]*, that deals with these ideas of space . . .

Shapey: I don’t think I ever read it. Okay. He called it the “spatial relations.”

Baron: Yeah, spatial relations. Were they the basics?

Shapey: Yeah, all right, those were a basis.

Baron: Are they basic, or are those superimposed?

Shapey: No. They were basic. They were supposedly his ideas of sound and space. I teach it.²⁸

2. Rearrangement of a chord/pc set.

In “Modulation as Process,” Wolpe rearranges the chord, D2/F#3/F4/Ab5/G6/Bb7, in order to create a new chord with the same pc content and ic vector (333321), but different intervallic relationships. Wolpe juxtaposes his original chord with a second chord, G1/Bb2/F3/Ab4/D5/F#6 (see Ex. 7.16). Although the chords share the same unordered pc set ({D, F, F# G, Ab, Bb}), their top two and bottom two pcs are reversed, while the middle dyad is transposed downward by an octave, from F4/Ab5 to F3/Ab4. The bottom three notes of the first chord, D2/F#3/F4, comprise an ic4, topped by an ic1, while the bottom three notes of the second chord, G1/Bb2/F3, comprise an ic3, topped by an ic5. Due to the inclusion of the F/F# dyad, the

²⁶ Shapey, *A Basic Course*, 5.

²⁷ Stefan Wolpe, “Thinking Twice,” in Stefan Wolpe, *Das Ganze überdenken: Vorträge über Musik 1935-1962*, ed. Thomas Phleps (Saarbrücken: PFAU-Verlag, 2002), 167-97.

²⁸ Carol K. Baron, interview with Ralph Shapey, transcript, 41. Wolpe/Baron Archive.

lowest trichord of the first chord has a higher dissonance content than that of the second. Wolpe describes these chords as “new alloys, for which no accurate description exists.”²⁹ His exercise implicitly negates the principle of octave equivalence.³⁰

Example 7.16 Rearrangement of a chord, in Stefan Wolpe, “Modulation as Process,” first two chords of Ex. 18b. I have corrected one pitch in the example that I believe to be a misprint. In m. 1, Gb7 has been changed to Bb7. I have also annotated the example, indicating interval class relationships within the chords (cf. Ex. 1.3). Stefan Wolpe, *Das Ganze überdenken*, ed. Thomas Phleps (Saarbrücken: PFAU-Verlag, 2002), 56. © 2002 by Paul Sacher Stiftung, Basel, und PFAU-Verlag, Saarbrücken. Alle Rechte vorbehalten. By permission of the Stefan Wolpe Society, Inc.

The image shows a musical score for two chords. The first chord is marked '8va' and the second 'loco'. The notation is for a piano, with three staves (treble, middle, and bass clef). The first chord (m. 1) has notes G4, Bb4, D5, F#4, and Bb4. The second chord (m. 2) has notes G#4, Bb4, D5, F#4, and Bb4. Interval class relationships are indicated by numbers: 1 (unison), 3 (third), 4 (fourth), 5 (fifth), and 6 (sixth). The first chord has intervals 1, 3, 4, 5, and 6. The second chord has intervals 1, 3, 4, 5, and 6.

²⁹ “The more unequal the intervals that participate in the combination of the chord, the more new alloys are created; for these, no other accurate description exists, other than the bare facts of the analysis of the components, for example, a sound consisting of a sixth, a fourth and a seventh. And in fact such a chord already contains far more intervallic elements, because between the individual intervals new intervals are again produced.” [My translation] “Je ungleicher die Intervalle sind, die an der Kombination des Akkordes teilhaben, umso mehr entstehen neue Alloys, für diese keine andere exakte Beschreibung gibt als die nackten Tatsachen der Analyse der Komponenten, zum Beispiel ein Klang, der aus einer Sext, einer Quart und einer Septime besteht, Und in der Tat enthält schon [ein] solcher Akkord weit mehr intervallische Elemente, weil zwischen die einzelnen Intervallen wieder neue Intervalle entstehen.” Stefan Wolpe, “Modulation as Process” [“Die Modulation als Prozess”], in Wolpe, *Das Ganze überdenken*, 42-57, especially 55.

³⁰ See chapter 1, notes 64 and 65.

In lectures transcribed by Isaac Nemiroff, Wolpe provided a more extended example of the same concept. He arranges a chord in many different superpositions, showing how to create different intervallic and registral relationships within a gradually expanding pitch space (see Ex. 7.17).

Example 7.17 Rearrangement of a four-pc chord, in Isaac Nemiroff, notebook for classes with Stefan Wolpe (cf. Ex. 1.24). Dr. Isaac Nemiroff Collection, University Archives, Stony Brook University Libraries, Box 20, Spiral Music Notebook #3 (small). By permission of Catherine Nemiroff.

When the composer Ursula Mamlok studied with Shapey in 1962, he assigned her a similar exercise: to create as many variants as possible of a chord, based on the pc set, {D, Eb, E, F, F#, G}, which is notated at the top of the page (Ex. 7.18).

Example 7.18 Rearrangement of a six-pc chord, in Ursula Mamlok, notebook for studies with Ralph Shapey, winter 1962. Ursula Mamlok Papers. By permission of Ursula Mamlok.

The image shows a handwritten musical score on four systems of staves. Each system consists of a treble staff and a bass staff. The notation is dense, featuring many notes, rests, and accidentals (sharps, flats, and naturals). There are several instances of notes being circled, some with arrows pointing to them, and some notes being crossed out with a large 'X'. The handwriting is in dark ink on aged, slightly yellowed paper. The overall structure suggests a complex harmonic exercise, specifically the rearrangement of a six-pc chord as described in the caption.

In *A Basic Course*, Shapey devotes part of the first lesson to the intervallic and registral rearrangement of a chord. His presentation of this technique is almost identical to that of his

teacher, and corresponds to the exercise that he gave to Mamlok in 1962. Shapey entitles his illustrative example, “Sound Structure – Vertical.” He begins with the intervallic analysis of a chord (see Ex. 7.19a): “I use only 5 arbitrary notes . . . and place them on the treble and bass clefs. Then we analyze them intervallically.”³¹

Example 7.19a Intervallic analysis of a five-pc chord, Ex. 1B in Ralph Shapey, *A Basic Course in Music Composition*, “Lesson 1 Examples: Sound Structure – Vertical,” 6. © 2001 Theodore Presser Co. Used by permission.

** we use only up to +7

All interval names are based on their sound, not their spelling.

Shapey arranges the chord in many different configurations (see Ex. 7.19b): “We will now manipulate the same notes *without adding any new ones* over the piano range, creating different intervallic relationships.”³²

³¹ Shapey, *A Basic Course*, 5.

³² Ibid.

Example 7.19b Rearrangement of a five-pc chord, Ex. 1C1 in Ralph Shapey, *A Basic Course in Music Composition*, “Lesson 1 Examples: Sound Structure – Vertical,” 6. © 2001 Theodore Presser Co. Used by permission.

** Changed C# to Db for convenience*

1 2 3 4 5 6 7

In Carol Baron’s interview with Shapey, he related his conception of the rearrangement of a chord to Wolpe’s ideas:

Shapey: For instance, my first lesson with them [my students], I give them five notes. I say, all we’re going to do is use five notes. . . . This is, agreed, from Wolpe’s “spatial relations.” All right. This is where they say, “Well, isn’t that just an octave higher or an octave lower?” I say, “Sure. That’s all it is. But if you notice the interrelationships that are involved, it’s not just an octave higher, because it’s based on intervallic sounds. It’s based on the relationship of the intervals, which are constantly changing, you see.”³³

Shapey: [O]ut of five notes to write a whole page of structural sounds, which, even though you . . .

Baron: By structural sounds, you mean related or . . .

Shapey: An aggregate of sounds. You want to call it a harmony of five notes, call it a harmony of five notes.

Baron: Okay.

Shapey: And the interrelationship of just, only those notes. You never add another note. You understand? Never add another note. As fantastic, the incredible differences of sound you can get.

³³ Carol K. Baron, interview with Ralph Shapey, transcript, 118. Wolpe/Baron Archive.

Baron: Now. That was an idea that you got from Wolpe?

Shapey: Well, I would say the basic idea; but I'm not sure that he worked it out the way I did. I don't really remember that--that he worked it out. I spent a whole "thing" on it.³⁴

Shapey: [plays chord] First chord. Second chord [plays chords]. No, all right [plays chords]. So I got the two chords. All right, I'll do the third chord [plays chord]. One [plays a few more chords]. They're all the same chord. Each one. See how different they sound? Because of the relationships that I have set up. Look at this third in here. Or the third down here. See? Or I'll do to this stupid little five notes. And yet changing the interrelationships. You understand? So that's the first lesson.³⁵

3. Creation of varied rhythms.

Stefan Wolpe considered rhythm to be an integral part of musical structure. In a lecture, entitled, "Principles of Composition," he posited, "Rhythm as used in a musical situation, even as pure accompaniment, should have a design and scheme and purpose, resulting in [a] final achievement of its own, in conjunction with the achievement of the musical situation proper."³⁶ When he tutored Milton Kraus about rhythm, Wolpe wrote out a simple, continuously varied abstract rhythmic pattern on a sheet of music paper that he headed, "Design of Rhythm(s)" (see Ex. 7.20a).

³⁴ Carol K. Baron, interview with Ralph Shapey, transcript, 119. Wolpe/Baron Archive.

³⁵ Ibid., 121. Wolpe/Baron Archive.

³⁶ Stefan Wolpe, "Principles of Composition," transcribed by Milton M. Kraus, undated [1948]. Milton M. Kraus, "Composition Studies with Stefan Wolpe." Wolpe/Baron Archive.

Example 7.20a Rhythmic pattern, in Milton M. Kraus, notes for lessons with Stefan Wolpe, 9 February 1948: “Design of Rhythm(s)” (heading and musical example in Wolpe’s handwriting) (cf. Ex. 1.27a). Milton M. Kraus, “Composition Studies with Stefan Wolpe,” Wolpe/Baron Archive, Performing Arts Research Collections, New York Public Library. By permission of The New York Public Library.

In the example, Wolpe produces rhythmic variety by the simplest of means. He begins by establishing a quarter-note pulse. In the second measure, he shifts the pulse to the second half of each beat. In mm. 3-5, Wolpe creates a syncopated rhythm.

Like Wolpe, Shapey thought of rhythm as a fundamental element of musical structure. In *A Basic Course*, he echoed Wolpe’s term, “Design of Rhythm(s).” “It is very seldom that some one brings up the idea that rhythm is design and gives definition, shape and even structure to music.”³⁷ Beginning in lesson 1, Shapey asks the students to create rhythmic patterns, first in one, then in two, three and eventually four voices.³⁸ Shapey’s simple, but varied, abstract rhythmic pattern in lesson 1 corresponds to the rhythmic example that Wolpe provided for Milton Kraus (see Ex. 7.20b).

Example 7.20b Rhythmic pattern, Ex. 1A in Ralph Shapey, *A Basic Course in Music Composition*, 6. © 2001 Theodore Presser Co. Used by permission.

Like Wolpe, Shapey begins with a quarter-note pulse, although he does not hesitate to use

³⁷ Shapey, *A Basic Course*, 6. See also “The Lecture Notes on Rhythm” in chapter 5.

³⁸ *Ibid.*, 6, 8, 10-1, 16-7, 24.

dotted rhythms. In the second measure, he introduces sixteenth notes and triplets. In m. 3, Shapey, like his teacher, employs syncopation.

In Lesson 2 of *A Basic Course*, Shapey offers a more complex single-line rhythmic progression (see Ex. 7.21).

Example 7.21 Rhythmic pattern, Ex. 2A in Ralph Shapey, *A Basic Course in Music Composition*, 8. © 2001 Theodore Presser Co. Used by permission.

In lessons 3 and 5, Shapey offers examples of two and three-part rhythmic counterpoint, in which each voice has a unique profile (see Exx. 7.22a and b).

Example 7.22a Two-line rhythmic counterpoint, Ex. 3A in Ralph Shapey, *A Basic Course in Music Composition*, 11. © 2001 Theodore Presser Co. Used by permission.

Example 7.22b Three-line rhythmic counterpoint, Ex. 5A in Ralph Shapey, *A Basic Course in Music Composition*, 17. © 2001 Theodore Presser Co. Used by permission.

The rhythmic exercises that Ursula Mamlok completed for Shapey in winter 1962 parallel his later pedagogic treatment of rhythm in *A Basic Course*. Like the other exercises that Shapey assigned to Mamlok, they show that he established his pedagogic method early in his career as a teacher of composition. Mamlok's realizations of Shapey's instructions are far more complex than any of the rhythmic examples included in *A Basic Course*. Mamlok began by creating rhythms for a single line (see Ex. 7.23).

Example 7.23 Single-line rhythmic exercises, in Ursula Mamlok, notebook for studies with Ralph Shapey, winter 1962. Ursula Mamlok Papers. By permission of Ursula Mamlok.

A handwritten musical score consisting of ten staves of music. The notation is primarily rhythmic, featuring various note values, rests, and complex groupings. Brackets and numbers (3, 5, 6, 7) are used extensively to indicate specific rhythmic patterns or groupings. The handwriting is fluid and characteristic of a composer's sketch. In the bottom left corner, there is a small logo for 'MUSIC PAPER CO. No. 12'. In the bottom right corner, there is a small logo for 'M.C.A.'.

She then progressed to rhythmic counterpoint for two and three voices (see Ex. 7.24).

Example 7.24 Three-voice rhythmic counterpoint exercises, in Ursula Mamlok, notebook for studies with Ralph Shapey, winter 1962. Ursula Mamlok Papers. By permission of Ursula Mamlok.

The image displays a handwritten musical score for three-voice rhythmic counterpoint exercises. The score is organized into four systems, each consisting of three staves. The notation is written in black ink on aged, slightly yellowed paper. The first staff of each system typically features a series of rhythmic patterns, often marked with '3' and a bracket, indicating triplets or specific rhythmic groupings. The second and third staves of each system provide counterpoint to the first, with notes and rests that interact rhythmically with the primary voice. The notation includes various note values, rests, and rhythmic markings such as '3' and '37' (possibly indicating a 37-measure phrase or a specific rhythmic signature). The overall style is that of a working manuscript, with some ink bleed-through and a focus on rhythmic structure over harmonic detail.

4. Creation of motives by the horizontal rearrangement of a pc set.

In lesson 1 of *A Basic Course*, Shapey discusses the use of pc sets to build chords, and the creation of varied, abstract rhythmic patterns. In lesson 2, Shapey combines pc sets with rhythmic patterns, connecting the chordal, vertical arrangement of a pc set to its melodic, horizontal, presentation. Shapey told Carol Baron, “The second lesson is to do the same thing melodically, from a melodic viewpoint. . . . And I can build an entire, I would say, at least a half a movement, a large movement, on just those five notes.”³⁹

Under the heading, “Sound Structures – Horizontal,” Shapey demonstrates the use of unordered pc sets to invent motives (see Ex. 7.25): “Again I ask for 5 arbitrary notes. . . . We are going to invent motifs.”⁴⁰ Shapey uses the pc set to create a motive, as well as many motivic variants. His approach to motivic permutation resembles Wolpe’s technique, as elucidated by Christopher Hasty (see Ex. 7.12).⁴¹ All of Shapey’s variants are characterized by distinct rhythmic patterns, registral arrangements and pc orderings.

³⁹ Carol K. Baron, interview with Ralph Shapey, transcript, 121. Wolpe/Baron Archive.

⁴⁰ Shapey, *A Basic Course*, 8.

⁴¹ Hasty, “Broken Sequences: Fragmentation, Abundance, Beauty.”

Example 7.25 Use of a five-note unordered pc set to create a motive and its variants, motifs 1-10B in Ralph Shapey, *A Basic Course in Music Composition*, “Lesson 2 Examples: Sound Structures – Horizontal,” 9 (cf. Ex. 7.12). © 2001 Theodore Presser Co. Used by permission.

① **Motifs**

* some prefer the tie, showing the exact pulse

②

③

④

⑤

⑥

⑦

⑧ **Exceptions (use of repeated notes):**

⑨

9A ending

9B ending

⑩

10A ending

repeat last measure 1st 2 beats 10B ending

Shapey discussed the relationship between his practice and Wolpe’s methods during his conversations with Carol Baron:

Baron: Can I . . . I just wanna ask this question. I have to keep asking this question.

Shapey: Go ahead.

Baron: Wolpe did something somewhat similar . . .

Shapey: Right.

Baron: Right. In that he would work with cells of just several notes, several notes from the chromatic scale. But he wouldn’t use a row, except if it would be a row of . . . from five notes . . .

Shapey: Well, he has used rows, but okay. We all have used rows.

Baron: But, no, he would be working, really, with a cell of a certain number of notes and create a whole composition.

Shapey: Yeah. . . .

Baron: All I'm interested in is your relationship to Wolpe.

Shapey: Okay.

Baron: Or your relationship to other composers, too.

Shapey: Yeah, all right. This is one of the techniques, that's true, he definitely uses, no question, and I obviously got it from him. And expanded it in my own ways as well.⁴²

5. Creation of a varied musical line.

Stefan Wolpe taught his students to create both variety and symmetry within a melodic line. In a lecture transcribed by Isaac Nemiroff, Wolpe provided his students with an example that includes contrasts of rhythm, register and motivic directionality. Wolpe alternates between successions of eighth notes and quarter notes. He begins the example with a gesture that outlines a concave arc, and ends symmetrically with a gesture that delineates a convex arc (see Ex. 7.26).

Example 7.26 Symmetry and variety in thematic construction, in Isaac Nemiroff, notebook for lessons with Stefan Wolpe. The entire example is in Wolpe's handwriting (cf. Ex. 1.28). Dr. Isaac Nemiroff Collection, University Archives, Stony Brook University Libraries, Box 20, Manuscript Music Notebook #9 (large, no cover). By permission of Catherine Nemiroff.

⁴² Carol K. Baron, interview with Ralph Shapey, transcript, 121-2. Wolpe/Baron Archive.

When he gave composition lessons to Milton Kraus, Wolpe created a theme that includes a motive and its inversion (see Ex. 7.27). The first two measures begin with short–long rhythmic patterns. In both measures, these patterns are followed by three eighth notes in stepwise motion. The ascending eighth notes of the second measure balance the descending eighth notes of the first measure. Each measure concludes with a long–short rhythmic pattern that creates symmetry with the short–long pattern with which it commences. Wolpe ends the theme with the short–long rhythmic pattern, repeating the initial notes of measure 1. In connection with this example, Wolpe spoke of “active correspondence” and “compensation” (presumably, between the two parts of the theme). He also offered a variant of the second half of the example, characterized as an illustration of “new attacks.” Wolpe’s example recalls the music of Bartók, which he frequently analyzed for his students during the late 1940s.⁴³

Example 7.27 Symmetry and variety in thematic construction, in Milton M. Kraus, notes for lessons with Stefan Wolpe, 28 January 1948. The examples are notated in Wolpe’s handwriting. Milton M. Kraus, “Composition Studies with Stefan Wolpe,” Wolpe/Baron Archive, Performing Arts Research Collections, New York Public Library. By permission of The New York Public Library.

⁴³ See chapter 1, note 105.

In his next meeting with Kraus, Wolpe provided details about the process of motivic development. He divided a nine-note theme into three parts, speaking of the “multiplication of motivic elements.” Wolpe expanded the theme with examples that illustrate “new beginning[s],” “intrusions,” “arresting heavy parts of the motif (middle)” and “enlarged endings” (see Ex. 7.28). Wolpe also demonstrated his interest in creating contrasts of motivic directionality by graphically portraying the melodic defect of creating “too many downward patterns” (not shown).⁴⁴

⁴⁴ Milton M. Kraus, “Composition Studies with Stefan Wolpe,” 9 February 1948. Wolpe/Baron Archive.

Example 7.28 Multiplication of motivic elements, in Milton M. Kraus, notes for lessons with Stefan Wolpe, 9 February 1948. Kraus entitled the page, “Motivic Development.” Both the examples and the descriptive terms are notated in Wolpe’s handwriting. Wolpe’s examples are shown here in an annotated, interpretive version of the original document (including added letter names), prepared by Barry Wiener. Milton M. Kraus, “Composition Studies with Stefan Wolpe,” Wolpe/Baron Archive, Performing Arts Research Collections, New York Public Library. By permission of The New York Public Library.

Multiplication of motivic elements

A: new beginning

B: arresting heavy parts of the motif

C: enlarged ending

Ex. 7.28 summarizes Wolpe’s improvisatory, haphazardly notated examples for the multiplication of motivic elements. The three segments of the original theme are marked “A,” “B” and “C” in the annotated example. Three lines below the theme, Wolpe wrote out an unstemmed expansion of the “A” segment that incorporates a new, two-note introductory gesture, F5–C5. He then skipped a line, and created an expanded version of the “B” segment that begins with its first two pitches, B4–Bb4, and ends with its final two pitches, Bb4–G4. Wolpe drew an arrow across the page, connecting the final two pitches of the original “B” segment to

the identical concluding pitches of its new, enlarged version. Finally, on the next page, Wolpe lengthened the three-note “C” segment by duplicating its first two pitches, producing a turn figure: D4–Eb4–D4–Eb4–B3. Wolpe’s revision of the theme expands its registral scope, and creates rhythmic variety and additional contrasts of motivic directionality.

In lesson 4 of *A Basic Course*, Ralph Shapey presents a melodic line intended to serve as a model for the development of a musical idea. Shapey’s example comprises a motive and its inversion, divided by what he describes as a “dead or inactive space” (see Ex. 7.29). The example has a structure similar to that of the theme that Wolpe employed when he showed Milton Kraus how to construct a melodic line that included both variety and symmetry. Both composers create contrasts of motivic directionality and rhythm. Shapey alternates between descending and ascending gestures that span the range from Bb6 to G3. On the rhythmic level, long–short rhythms (quarter-note–eighth-note figures) are juxtaposed with short–long rhythms (sixteenth-note–eighth-note figures). Both halves of the example conclude with an eighth note, tied to a quarter note.

Example 7.29 Thematic construction, Ex. 4A in Ralph Shapey, *A Basic Course in Music Composition*, “Lesson 4 Examples: Inversions and Perversions,” 13 (cf. Ex. 7.27). © 2001 Theodore Presser Co. Used by permission.

The image displays a musical score for a piano, consisting of a treble and bass staff. The notation shows a melodic line in the treble staff and its inversion in the bass staff. The original motif is marked with 'A' and the inverted motif with 'B'. Analytical annotations include: 'STEP II' in the bass staff; 'X implied -3' and 'X implied P4' with arrows indicating intervals; '-2' and '+3' with arrows indicating intervals; '*dead or inactive space' with a circled '1' indicating a measure of rest; and 'Exact inversion' with an arrow pointing from the original motif to the inverted one. The text 'Step I Analysis' is written below the bass staff. A footnote at the bottom right explains the choice of starting note for the inversion.

**What note to start inversion on? Since no perfect interval is active (only implied) in the original motif, I chose to start on C, which is the P4.*

Shapey's use of a motive and its inversion together with sixteenth-note–eighth-note figures recalls the opening two measures of his Prelude for Piano (1946). These similarities provide evidence of noticeable continuities within the development of Shapey's style (see Ex. 7.30).

Example 7.30 Motive and its inversion, in Ralph Shapey, Prelude for Piano (1946), mm. 1-2 (cf. Exx. 1.47 and 7.29). Shapey Papers, Box 22. By permission of the Special Collections Research Center, University of Chicago Library.

Moderato rubato (♩ = 72)

The musical score consists of two staves. The first staff is in treble clef and the second in bass clef. The key signature has one sharp (F#). The first measure is in 4/4 time and contains a melody in the right hand and a bass line in the left hand. The second measure is in 3/4 time and contains an inverted melody in the right hand and an inverted bass line in the left hand. The motive and its inversion are circled in red. Dynamics include *mf* and *f*.

6. Counterpoint.

Stefan Wolpe taught his students to compose counterpoint in which each line has a distinctive rhythmic character. He offered examples that have been preserved in the lecture notes of Isaac Nemiroff and the lesson notes of Milton Kraus (see Exx. 7.31a and b). In the Nemiroff example, Wolpe segments the aggregate into four trichords, then transforms them into rhythmically differentiated counterpoint. For the relatively inexperienced Kraus, Wolpe combines two voices with different rhythmic patterns, one of which is a succession of quarter notes; a third voice holds a single pitch.

Example 7.31a Rhythmically differentiated counterpoint, in Isaac Nemiroff, notebook for classes with Stefan Wolpe. Dr. Isaac Nemiroff Collection, University Archives, Stony Brook University Libraries, Box 20, Spiral Music Notebook #3 (small). By permission of Catherine Nemiroff.

Example 7.31b Combination of different rhythms, in Milton M. Kraus, notes for lessons with Stefan Wolpe, 9 February 1948: “Design of Rhythm(s)/Combination of Vertical and Horizontal/diversity of direction/variety of the motivic phases” (cf. Ex. 1.27b). Milton M. Kraus, “Composition Studies with Stefan Wolpe,” Wolpe/Baron Archive, Performing Arts Research Collections, New York Public Library. By permission of The New York Public Library.

In *A Basic Course*, Shapey provides rhythmically, intervallically and registrally varied examples of two-voice counterpoint, employing the same five-note unordered pc set in both voices. Shapey's examples bear a striking stylistic resemblance to the counterpoint example by Wolpe transcribed by Isaac Nemiroff. All of Shapey's examples display similarly differentiated rhythms between the parts. Shapey's handling of contrasts of directionality within the individual lines also recalls Wolpe's example. Shapey's treble "motif" describes a registral descent, followed by a concave arc. Counterpoints 2 and 6 for the bass line display comparable changes in motivic directionality (see Ex. 7.32).

Example 7.32 Two-voice counterpoint examples, employing the same five-pc set in both voices, Ex. 3B in Ralph Shapey, *A Basic Course in Music Composition*, "Lesson 3 Examples: Counterpoint – 2 lines," 11 (cf. Ex. 7.31a). © 2001 Theodore Presser Co. Used by permission.

Motif

Counterpoints

Note: use only the same notes

1

2

3

4

5

6

7. “Chromatic circulation” and “autonomous [aggregate] fragments.”

In “Thinking Twice,” Stefan Wolpe objected to the continuous circulation of the aggregate in serial music. He described serial methods of pitch organization in highly negative terms:

The saturated balance of twelve tones is partly a very mechanistic affair and of a neutral quality, though the structural set-up of the twelve renders the circuit [series] undoubtedly as a particular one. . . . No amount of transposition, permutation and the various modes of projection and exposure of a twelve-tone set, no amount of dislocation or of multiplied sets in motion can relieve the ear from a hypertrophic abundance of a *pitch-totality* which in *this* exclusive form must become stagnant.⁴⁵

As a substitute for this “mechanical sort of chromatic rotation,”⁴⁶ Wolpe proposed that composers vary the speed of aggregate completion: “The all-chromatic chain can be unhinged, its sections interrupted, isolated, and arrested.”⁴⁷ Wolpe labeled his technique “chromatic circulation.”⁴⁸ He employed this procedure as a tool to effect structural change. Elliott Antokoletz has noted, “Wolpe’s concern was to integrate the multidimensional levels within the chromatic continuum as the basis for generating the large-scale form and, at the same time, to produce a constellation of textural changes resulting in constant reinterpretations of the colors of the individual elements.”⁴⁹

By slowing the tempo of aggregate presentation, Wolpe is able to divide the twelve pcs into “pitch regions:” “The slower the speed of complementary circulation is, the more focal the various pitch regions become.”⁵⁰

⁴⁵ Wolpe, “Thinking Twice,” 168.

⁴⁶ Ibid.

⁴⁷ Ibid., 170.

⁴⁸ Ibid., 168. See chapter 1, notes 29-32.

⁴⁹ Elliott Antokoletz, *Twentieth-Century Music* (Englewood Cliffs, NJ: Prentice Hall, 1992), 412.

⁵⁰ Wolpe, “Thinking Twice,” 178.

Wolpe provides two examples of groups of “pitch constellation[s] smaller than the all-chromatic circuit.” In each case, the groups combine to present the aggregate (see Ex. 7.33).

Example 7.33 Division of the aggregate into pitch regions, in Stefan Wolpe, “Thinking Twice,” Exx. 20 and 21. Stefan Wolpe, *Das Ganze überdenken*, ed. Thomas Phleps (Saarbrücken: PFAU-Verlag, 2002), 178. © 2002 by Paul Sacher Stiftung, Basel, und PFAU-Verlag, Saarbrücken. Alle Rechte vorbehalten. By permission of the Stefan Wolpe Society, Inc.

Example 20

slow accumulation of the (total) chromatic circuit

[O] [I] [O] [O]

1 new pitch 2 new pitches 3 new pitches

Example 21

quick accumulation of the (total) chromatic circuit

[O] [RI] [R]

4 new pitches 2 new pitches

In lesson 7 of *A Basic Course*, Shapey introduces Wolpe’s concept of “focal” pitch regions.⁵¹ Shapey employs what he calls “four-tone circulation” in order to isolate subsets of the aggregate.

In his musical examples, Shapey subdivides a chromatic five-pc set into a “prime tone,” surrounded by two pcs above and two below it. He circles around the “prime tone” to establish its importance, before moving to a second “prime tone.” Shapey relates his procedure to the use

⁵¹ Shapey, *A Basic Course*, 23-4.

of “extended key centers” in music of the Classical period.⁵² Shapey’s movement from one “prime tone” to another recalls Wolpe’s comparison of “chromatic circulation” to modulation.⁵³

In the first example, the pc, C, is surrounded by two lower pcs, Bb and B, and two higher pcs, C# and D (see Ex. 7.34a). Shapey vividly describes this pc collection as “the prime note C and its moons.”⁵⁴ Shapey underlines the centrality of the pc, C, by frequent oscillation between surrounding pc pairs, including B–D, Bb–D and Bb–C#. At the end of the passage, the music resolves by step to a new “prime tone,” C#: “Using the four notes plus the prime [Bb, B, C, C#, D], we create a line with only those five notes. Because we are going to C#, we do use C# judiciously. . . . It is like marking time in one place, seeing all that is around it, and then finally moving . . . a small distance away.”⁵⁵

Example 7.34a Movement from the “prime tone,” C, to a new “prime tone,” C#, Ex. 7A: I in Ralph Shapey, *A Basic Course in Music Composition*, “Lesson 7 Examples: Four-tone Circulation (5 notes),” 25. © 2001 Theodore Presser Co. Used by permission.

The image contains two musical staves. The top staff is a single treble clef line showing the prime tone C and its four surrounding notes (Bb, B, C#, D) grouped together. Above the staff, an arrow points from C to C# with the label "common tones". Below the staff, brackets indicate intervals of +2 between the notes. A note below the staff reads: "Note: C with its 4 notes around it, a +2nd in both directions, to express the prime note. We use only the prime note C and its moons." The bottom staff consists of two staves (treble and bass clefs) showing a melodic line. It begins with a bracket labeled "Prime → (circulation)" and ends with a bracket labeled "new prime". The key signature changes from C major to C# major.

⁵² Shapey, *A Basic Course*, 23-4.

⁵³ Wolpe, “Thinking Twice,” 177; Antokoletz, 412. See chapter 1, note 32.

⁵⁴ Shapey, *A Basic Course*, 25.

⁵⁵ Ibid.

When Shapey wants to change the “prime tone” twice, he proceeds in similar fashion: “we circulate around C [Bb, B, C, C#, D] and F (Eb E F F# G) and go to A (Prime Tone A) and stop!”⁵⁶ Shapey does not create a smooth transition between the pc sets, {Bb, B, C, C#, D} and {Eb, E, F, F#, G}, but segues abruptly from one set to the other (see Ex. 7.34b).

Example 7.34b Two changes of the “prime tone,” beginning with C, Ex. 7A: II in Ralph Shapey, *A Basic Course in Music Composition*, “Lesson 7 Examples: Four-tone Circulation (5 notes),” 25. © 2001 Theodore Presser Co. Used by permission.

The musical notation for Example 7.34b is presented in three systems. The first system shows a sequence of notes: C, Bb, B, C, C#, D, F, Eb, E, F, F#, G, A. Above the staff, arrows indicate the sequence: C to F to A. The second system is labeled "Prime → (circulation)" and shows a sequence of notes: C, Bb, B, C, C#, D, F, Eb, E, F, F#, G, A. The third system is labeled "Prime (in inversion/perversion)" and shows a sequence of notes: C, Bb, B, C, C#, D, F, Eb, E, F, F#, G, A. The word "Prime" is written below the staff at the end of the third system.

Shapey derived the concept of a “prime tone,” surrounded by its “moons,” from Wolpe. Wolpe used the term, “focal point,” rather than “prime tone.” The papers of Ursula Mamlok document her use of “focal points” in the *Variations for Solo Flute* (1961), the last piece that she wrote during her brief studies with Wolpe. Mamlok marked “focal points” in the manuscript of the *Variations*. In variation 9, each repetition of the pitches, F6 and C#5, is preceded by grace

⁵⁶ Shapey, *A Basic Course*, 25.

note figures. These grace note figures were initially intended to alternately approach the “focal” pitches from below and above, although Mamlok later modified her design. In the manuscript, Mamlok inserted the comment, “focal point approached from both sides by row,”⁵⁷ between the lines that include the gestures circling around F6. Above the following line, she noted, “similar procedure on C#[5]”⁵⁸ (see Exx. 7.35a and b).

⁵⁷ $P_0 = C\#-D\#-D-C-G\#-E-F\#-G-F-B-A-Bb$. In the figures surrounding F6, Mamlok employs an inverted and transposed form of the series, I_1 , together with its retrograde. For the figures surrounding C#5, Mamlok uses a similar procedure. For a different view of Mamlok’s use of serialism in variation 9, see Roxane Lise Prévost, “A Woman Composer Among Men: A Theoretical Study of Ursula Mamlok’s Serial Works” (Ph.D. diss., State University of New York at Buffalo, 2003), 72-6. See also Eugena Denise Riehl, “From Pitch to Tension: A Theory of Motive in the Solo Woodwind Music of Mamlok, Krenek, Carter, and Berio” (Ph.D. diss., State University of New York at Buffalo, 2012), 43-4. Neither Prévost nor Riehl had access to Mamlok’s annotated manuscripts, in which she makes frequent notations relative to the serial structure of her music.

⁵⁸ In the published score, C# has been changed to Db throughout variation 9.

Example 7.35a Creation of “focal points” in Ursula Mamlok, *Variations for Solo Flute* (1961), working manuscript of variation 9. Ursula Mamlok Papers. By permission of Ursula Mamlok.

Handwritten musical manuscript for Variation 9 of Ursula Mamlok's *Variations for Solo Flute* (1961). The manuscript consists of five staves of music in treble clef, with a key signature of one sharp (F#). The notation includes various musical symbols such as notes, rests, beams, and dynamic markings like 'f' (forte) and 'p' (piano). Handwritten annotations in ink are present throughout the manuscript. At the top right, 'Var. 9' is written. In the middle of the second staff, a note is circled and labeled '(I)'. Below this, a handwritten note reads 'Focal point • approached from both sides by row'. To the right of this, another note is circled and labeled '(32)'. At the bottom right, a handwritten note reads 'similar procedure on C#'. The manuscript is on aged, slightly yellowed paper.

Example 7.35b Use of F6 and Db5 as focal points in Ursula Mamlok, *Variations for Solo Flute* (1961), variation 9 (cf. Ex. 7.35a). © 1998 McGinnis & Marx. Used by kind permission.

Shapey does not explicitly discuss “chromatic circulation” in *A Basic Course*. He discusses “four-tone circulation” without placing it within a larger theoretical framework, other than to suggest that it can serve as a substitute for traditional key relations. Shapey’s conceptual simplification is, however, typical of his compositional thinking. As Richard Wernick points out in the “Praeludium” to *A Basic Course*, Shapey was always a practical musician rather than a theorist. He preferred to present his ideas in concrete rather than abstract terms,⁵⁹ a method that he perceived, probably incorrectly, to have isolated him within the community of academic composers. Nevertheless, it is possible to extrapolate important theoretical principles from his teaching.

The publication of *A Basic Course* shortly before Shapey’s death in 2002 represented a kind of musical last will and testament. It is fitting that Shapey closed the circle of his career by acknowledging his intellectual debt to his teacher in the dedication of his book. He credited Stefan Wolpe first and foremost for the compositional tools that he had learned almost sixty

⁵⁹ Shapey, *A Basic Course*, 2.

years earlier, in Philadelphia and New York: “As for credits: to my teacher Stefan Wolpe, to all of our past masters whose scores have been my best and most profound guides.”⁶⁰

⁶⁰ Shapey, *A Basic Course*, 3.

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