

In recent decades, musicological research has greatly widened its sphere of activity. Cultural studies have expanded to include areas such as reception history, which studies the ways in which cultures have understood and responded to particular works, either works from the past or contemporary works, or how societies have used works from the past in the pursuit of their own aims. In addition, some scholars have adopted the concept of “deconstruction” from literary theory and take as their starting point the idea that any work of art, programmatic or absolute, makes a statement about the power structure or culture from which it comes. Armed with new methodologies, we can learn to “read” those statements. This concept has also led to such specialized types of research as feminist criticism, queer studies, and colonial and postcolonial studies. The modernist/postmodernist debate goes on in music as well as in the other arts, sometimes leading to ringing manifestos and heated debates. All these new approaches have produced thoughtful and provocative studies that broaden and add to the traditional methods of musical analysis and research.

Some undergraduate students may be asked to do these new kinds of research in their classes; choosing one of these new approaches for a research project will certainly be an option for those who choose to go on to graduate studies. In the next chapter, we will illustrate different kinds of research as they might be applied to selected musical works—stylistic analysis first, as that is presumably the main sort of research undergraduates will be asked to do, and then suggestions about other directions one might pursue, taking those works as a starting point. The important thing to realize is that, whatever focus one chooses, any sound research on a musical topic must always start from an understanding of the music itself. Stylistic analysis and an understanding of changing musical styles is the essential starting point for any serious research. Otherwise, we are back in the world of fanciful imagination or personal reaction, not something one can argue logically or intellectually.

We move on, then, to a discussion of some striking musical works from different eras and the ways in which these individual works suggest possible avenues for research and topics for papers.

CHAPTER

Analysis and Research

This chapter continues our discussion of stylistic analysis of music, as musicologists use the term, and illustrates the concept through brief discussion of some well-known musical works. In addition, for each of these works we will try to show how the researcher might develop directions and ideas for research, moving outward in concentric circles from a single piece of music. We begin with a discussion of stylistic analysis.

ANALYSIS

In theory courses, the term *analysis* usually refers either to harmonic and structural analysis of pieces from the so-called standard-practice period, from 1750 to 1900, or to new systems of analysis developed in the twentieth century. Music historians, on the other hand, generally use the term to mean stylistic analysis, and they study musical works in the broader context of changing historical styles. All composers work within a stylistic context; they either accept the stylistic assumptions and conventions of their time or consciously depart from those conventions, creating new musical styles. Meaningful analysis should be based on a clear understanding of the stylistic developments that form the context in which a particular work appeared. We cannot appreciate the unique aspects of a particular work until we understand the principles that guide the music of the period. Therefore, musicological research often concentrates on defining the principles of a particular style.

No matter how one defines analysis, it certainly involves more than mere description, chord counting, or making a list of events. An approach based on “first this happens, then that happens, then something else happens” is not true analysis. Analysis implies insight into how the music is conceived and organized as a unit. To reach that insight, one may have to

start with list-making activities as described in the last chapter. These activities, however, are only the preliminaries to analysis; after events are identified and sorted out, the real work of analysis begins. One must decide which events are significant, which are not, and how the work relates to a more general historical style—only then can one decide which elements of the work are standard practice for the time and which are innovative. In other words, analysis is not really an objective, scientific activity; it involves a creative mind, critical thinking, and artistic judgment, as well as the ability to create an analytic hypothesis and the appropriate means to test that hypothesis. Note also that analysis should include among its tools the ear as well as the eye. If an analysis arrives at a clear idea of the basic elements that hold a work together and give it unity, presumably that view of the work ought to be audible. Music is, after all, a sonic art, not a visual one, and the marks on a page of score are only representations of the sounds the composer chose and the way they are organized.

In a similar vein, analysis of a musical work, as we said in the last chapter, is more than understanding the compositional process involved. Discovering all the permutations of a fugue subject or deciphering every chord and complex modulation in a highly chromatic tone poem is not the same as understanding the style of the work. Even the laborious task of locating all the permutations of the row in a twelve-tone work is different from stylistic analysis. Schoenberg's serial works are stylistically quite distinct from those of Berg, Webern, or Boulez. The issue of compositional process may even be peripheral to the question of style, since the structure and coherence of a work often result from entirely different considerations. Many of Schoenberg's twelve-tone works, for example, are organized in recognizable versions of classical structures such as sonata-allegro or rondo. Even the seams between sections are usually articulated through familiar classical means, such as melodic and rhythmic cadence, change of texture, or change of instrumentation, which have little to do with row permutations. Knowledge of the compositional process can certainly shed light on the organization of a work; Schoenberg viewed the serial process as the fundamental source of the work's unity and coherence. Still, the task of analysis involves more than awareness of compositional process.

Analysis, then, is something other than harmonic and structural analysis of works from the standard-practice period, making lists, or understanding the compositional process. Most historians define analysis as insight into how a work is organized, what gives it logic and coherence, and how it relates to the important stylistic developments of its time.

QUESTIONS TO CONSIDER

To begin the process of musical analysis, one should consider several basic questions. Is this particular work organized as a coherent unit? If so, what is the basis of its coherence? What makes this work a unified whole? Is it based

on one of the traditional structural patterns, such as sonata-allegro, minuet and trio, or theme and variations, or does it have some other form? We can always assume that musical works are based on some principle of organization, standard or not; unless at some level we sense some logic and coherence in a work, we dismiss it as random, inartistic, and a waste of our time and attention. Identifying the musical means by which the composer has built in unity and coherence is a fundamental step in analysis.

Another basic question in stylistic analysis is how a particular work relates to the stylistic developments of its time. Is it a venture into completely new territory, or does it build on established styles? Is it a further refinement of a style in which the composer has worked previously, or is the composer experimenting with new stylistic ideas? In what way has the composer worked out his own individual version of an established style? For example, when Stravinsky and Copland venture into twelve-tone writing, do they create unique, personal versions of the style? Can you still hear their personal style in these works, or do their twelve-tone works sound just like other composers' twelve-tone works?

A related issue is the question of whether the composer was influenced by another composer. Sometimes the line of influence is obvious: We know that the shadow of Beethoven inspired Brahms but also daunted him; he hesitated for years before allowing his First Symphony to be performed, knowing that it would be compared to the symphonies of Beethoven. On the other hand, claims of another composer's influence are sometimes difficult to support. Similarity of style is not enough in itself to justify such a claim, since there are several other possible explanations for such similarity. The line of influence might run in the opposite direction, or both might have been influenced by a third composer or a pervasive style of the period. It is difficult to prove influence from the music alone, unless we have the composer's own words or some other historical evidence that establishes a connection. Within these limits, however, the question of influence and the other general questions listed earlier can be helpful ways to approach the crucial issue of where a work fits in the overall history of a style.

Another possible direction to pursue when beginning an analysis project is relating a particular work to the surrounding culture and contemporary developments in the other arts. At some times in history, the connections between music and the other arts are particularly obvious. French art songs of the late nineteenth and early twentieth centuries, for example, cannot be understood without reference to the symbolist literary movement, the source of the evocative texts that attracted composers, determined their musical choices, and led them to create a new musical style. Likewise, the songs of Schoenberg and Berg cannot be understood without some understanding of the expressionist movement in German art and literature. We often use terms borrowed from the world of the literary and visual arts, such as impressionism and expressionism, to describe musical styles; we cannot discuss impressionism or expressionism in music without first understanding what

the terms mean in their original context. In addition, it is obvious that programmatic music cannot be analyzed without some reference to the story or picture the music depicts.

The question of cultural context affects all music, not just those musical styles obviously influenced by the visual or literary arts. The physical setting in which music was performed, the audience for whom it was intended, the context that called for a performance, and the way a particular society viewed the roles of composer and performer—all these issues have an influence on issues of style. Understanding a musical work may involve research into these broader questions. We need to be aware of musical life in earlier ages, the performing forces composers had at their disposal, and the context in which music was performed. In order to understand the cantatas of Bach, for example, we must understand that they were not created to be concert pieces; they were intended to be performed in a small church as part of a four-hour Sunday service. In addition, we cannot understand this music without some sense of the religious movement known as Pietism and its effect on religious ideas and approaches to worship in the Lutheran Church of Bach's day. The better we understand the original purpose of a musical work, the audience for whom it was intended, and the circumstances of its first performance, the better prepared we are to make sense of the music.

Another fundamental question to raise in the early stages of an analysis project is the composer's intent. Composers write music for many different reasons, and understanding their motivation may very well be the key to understanding the music they produce.

Sometimes when a composer writes music for a particular occasion, that special purpose determines the style of the music. A famous example of music for a special occasion is "Nuper rosarum flores," a motet by Guillaume Dufay, one of the masterpieces of the early Renaissance. The piece is remarkably complex. Not only does it utilize the fourteenth-century compositional process of isorhythm; it further complicates the process by utilizing two isorhythmic tenors that move in canon at the fifth. Further, the large sections of the piece are organized in different rhythmic proportions—another process used by earlier composers, but utilized here in a more complicated way. Of course one could analyze the motet from the score alone, but it makes more sense to see the work in its historical context. The motet was commissioned in 1436 for the dedication of Brunelleschi's new dome for the cathedral in Florence. This ceremony was an important occasion in Renaissance Italy; the Pope was in attendance, and the fact that Dufay was asked to write special music for this ceremony was a sign of the high regard in which he was held. Recent scholarship has made a convincing argument that the double-tenor structure of Dufay's piece was intended to mirror in music the mathematical elements of Brunelleschi's bold design for the large unsupported dome. The proportions

of the sections may also have been based on the proportions of the finished basilica or the proportions of Solomon's Temple as described in the Bible. In other words, the circumstances explain the complex structure of the music, and it would be a mistake to treat this piece as if it were an ordinary motet.

Composers have often written music for particular performers, and that circumstance should help us understand those works. Compositional choices may be based on the particular talents of the performers for whom the works are intended, and the question of expanded instrumental idiom may be a central question to raise in the analytical process.

Sometimes the composer's main purpose is to experiment with new materials or structures. In much of the modernist music composed in the second half of the twentieth century, composers are intent on creating new styles, sometimes with each new work. George Crumb, for example, often combines in his music ideas borrowed from Eastern music, astronomy, ritual, and drama, and one should take these ideas into account in approaching his works. If a composer has organized a particular work around mathematical structures, has ordered all the elements serially, or has integrated musical ideas from other cultures into Western structures, we cannot analyze or appreciate the work except in those terms.

Sometimes, on the other hand, a composer may be refining an established style, and one must view the work against the background of that established style. That is the case with much of the music from the standard-practice period. When we approach a Mozart symphony, we know how to proceed, armed with our understanding of the principles of classical structure. When a composer moves from one style to another, as Stravinsky did in his later years, we have to be aware of that change; it would make no sense to analyze his serial works using the same criteria we would use to analyze his neoclassical works.

Finally, if a composer has written a programmatic work, we must judge the music in those terms; we cannot adequately appreciate the music without some understanding of the program. The same holds true for text setting in song and opera; the complex relationship between text and music is one of the major questions to consider in the process of analysis.

In short, we should judge musical works against the background of what the composer was trying to do. To ignore available information about the composer's intent is to deprive ourselves of useful information about the directions the analysis should take. In some cases, we may have to begin our analysis by study of the composer's ideas and aims, so that we can approach the music as he or she approached it and use criteria that are appropriate for this specific work.

We now look at some specific works and analytical approaches that are appropriate for studying them, as well as further directions for research that these works suggest.

EXAMPLES OF WORKS AND RESEARCH DIRECTIONS

The following works are readily available in standard anthologies of music and certainly can be found in any music library. It would be helpful to have the scores and recordings at hand as you read this section, so that you can follow the discussion and decide for yourself which approaches seem most fruitful.

Carlo Gesualdo: "Moro, lasso"

This famous madrigal is an example of Gesualdo's idiosyncratic style. As you glance at the score, several aspects of the musical style will strike you immediately. The first is the strange chromaticism in the setting of certain phrases—"Moro, lasso," "ahi, che m'ancide," "O dolorosa sorte," and "ahi, mi dà morte." We start from our awareness of what sixteenth-century madrigal composers were trying to accomplish and the idea of *musical rhetoric*—that is, finding appropriate musical ways to depict the striking words and feelings of the texts. The way to approach this piece is from the point of view of text setting, starting with the Italian text and focusing on word painting. The words "Moro, lasso," for example, are set to a chromatically descending phrase in the low range; the music seems particularly apt for the words "I die, I languish." Starting the piece with this disorienting chromaticism jars the listener and captures his or her attention. There are several chordal, chromatic sections that resemble the opening phrase; the texts in those sections always focus on pain and death. Alternating with them are polyphonic sections in diatonic style, which set the more hopeful lines such as "e chi mi può dar vita" ("and she who could give me life").

You might also focus on the details of the chromatic passages—for example, the composer's choice to combine parallel chromatic descent in the outer voices with what later theory would label root movement by thirds. The chromatic passages can be discussed as violations or extensions of the modal theory of the time. One might also focus on the question of overall structure, here formed by the regular alternation of the two different styles and repetition of contrasting passages. Because of this pattern of alternating sections in contrasting styles, one might argue that the style lacks overall unity and coherence. Whatever direction you follow, the question of text setting and "madrigalisms" would certainly be one of the first questions to pursue.

It is easy to use this piece as a starting point for research topics that are not exclusively analytical. One interesting question is who performed these works. We know from contemporary accounts that these difficult works were sung with one voice on each part, and that the soprano and perhaps the alto parts were sung by women, not by the professional choirboys who

sang in the court chapels. Where these women came from and how they achieved this virtuoso level of vocal training is an important question, suddenly, professional women singers were in great demand in the Italian courts. One could also pursue the question of Gesualdo's texts. Gesualdo chose not to set the beautiful and subtle texts by the poets favored by his contemporaries—Petarch, Guarini, Tasso, and Marino. His madrigals therefore tip the balance in favor of music over text and do not achieve the same delicate equilibrium between text and music that we see in most of the madrigals by composers such as Marenzio and Monteverdi. The contexts for performance of madrigals and the constitution of the audience would be another interesting area to investigate. How the audience reacted to the texts and music of these pieces with their constant harping on the "sweet pain" of love is another interesting cultural question.

J. S. Bach: Opening Chorus of Cantata No. 80, *Ein feste Burg ist unser Gott*

The obvious first step in an analytical study of this chorus, as in all the choruses of Bach's chorale cantatas, is to compare the source melody of the traditional chorale with the complex counterpoint that Bach constructed from it. Analysis must begin with the chorale tune with which Bach began; the unadorned tune is usually found in the soprano line of the final number of the cantata. The key to the structure of this chorus is that Bach uses the chorale tune in two different ways at the same time. First, the choral parts constitute a *chorale motet*—that is, Bach uses each phrase of the chorale tune, modified but still recognizable, as a subject for imitative entries in all the voices. Each phrase in turn is treated this way. This is an old technique associated with the motets and paraphrase Masses of Josquin des Prez and his contemporaries. The melody is not quoted literally, but given new rhythmic shape and amplified by added notes, just as Renaissance composers paraphrased chant melodies when they used them as imitative subjects in their motets.

At the end of each imitative section, the orchestra presents the same phrase of the chorale in a different way—in literal form, in long notes, called *cantus firmus* style. In addition, these quotations of the chorale phrases are set canonically between the upper and lower instruments of the orchestra at a rhythmic distance of one measure. Once one grasps the two ways Bach uses each phrase of the chorale, one understands the whole chorus, since these two processes continue throughout the chorus. Read through the music and follow the progress of the chorale motet; the orchestra's quotations of the chorale phrases in *cantus firmus* style clearly mark the end of each imitative section. In addition, the structure of the chorus duplicates the AAB structure of the chorale. Other questions one might consider are the

relationship of this huge first chorus to the other movements and the overall structure of the cantata. One might also compare this chorus to an opening chorus organized differently, such as the first chorus of Cantata No. 140, *Wachet auf, ruft uns die Stimme*.

It is easy to imagine different directions of research suggested by this work. One interesting question is the editorial one. The copies and parts that serve as the basis for editions of this work exist in two different versions. One uses oboes and the bass strings to announce the chorale phrases in cantus firmus style and in canon at the end of each choral section. The other version, produced after Bach's lifetime, uses trumpets rather than oboes, and adds the kettledrums that usually accompany trumpets in the Baroque orchestra. In the nineteenth century, when the editors of the *Bach-Gesellschaft-Ausgabe* prepared an edition of this work, they combined these two versions; the chorale phrases are played by both oboes and trumpets. The more recent edition in the *Neue-Bach-Ausgabe* includes only the oboes. Tracing the origin of the version that adds trumpets and drums and the reasons for the addition would be an interesting project.

Cultural issues surround this work as well. One could study the Pietist movement and its effect on Bach's career as a church musician. It is interesting to note, for instance, that extreme Pietists were opposed to all liturgy and ritual and believed that they did not need pastors or ceremonies to tell them how to interpret the Gospels. In that version of Pietism, Bach's elaborate church music would have no place at all. On the other hand, had the rate of Pietism not shaped to some extent the worship of the churches, where Bach worked, his deeply personal responses to the Gospel readings, would not have been welcome. Another interesting area is the question of reception history; this cantata, based on a chorale ascribed to Luther himself and performed on Reformation Sunday, came to be associated with a militant spirit that was not the primary sentiment that inspired Bach to compose it. Finally, the question of performance practice is a fruitful area for investigation; many modern scholars are convinced from contemporary evidence that these cantatas—in fact, all of Bach's sacred music—were performed with one voice on each part, a far cry from the giant choral-orchestral performances and recordings we are familiar with.

W.A. Mozart: Concerto for Piano and Orchestra in C Minor, K. 491, First Movement

In this work, the researcher is on the familiar ground of standard-practice analysis, dealing with familiar elements such as key areas, thematic repetition, the development process, and classical structures. What this particular movement illustrates is the variety possible within standard classical forms. Structural analysis shows that this movement does not follow the

double-exposition version of sonata-allegro structure described in some textbooks as the model for the first movement of a classical concerto. Most commentators view this movement as an example of *ritornello form* rather than a sonata-allegro structure. Look through the whole movement. Does the solo piano ever play the first theme? Should that theme be viewed as an orchestral ritornello? Do the key areas work out as you would expect in a classical sonata-allegro movement in the minor mode? Structural issues would certainly seem to be the main focus for an analysis of this movement. In addition, some commentators view this particular concerto as an example of Mozart's darker, Beethovenian side, in contrast to the sunnier, gentler spirit of some of his other piano concertos. A comparative analysis contrasting this concerto with another one, perhaps the Concerto in A Major, K. 488, would be an interesting project.

Related to structural analysis are two other areas worthy of study—instrumental idiom and orchestration. As you know, Mozart used the piano not only as a solo instrument, but also as a sort of third choir added to the classical orchestra of strings and winds. Thus, for example, the piano sometimes plays an accompanimental role while the solo winds pass around the themes, and over the course of the movement, piano, strings, and winds are deployed in every possible combination of roles. One could also study the pianos Mozart would have played and the effect their particular sound and color would have on the performance. One might investigate the occasions, venues, and audiences for performances of concertos as opposed to symphonic music. Modern scholarship suggests that improvisation played more of a role in concerto performances than we think—not just in the cadenza prolonging the final cadence of the movement, but in an improvised introduction and other places as well. This idea would make another area for investigation. One might also study connections and differences between the idea of the concerto in the Classical and Romantic periods.

Giuseppe Verdi: *Otello*, Act 1, Scene 3

The love duet between Otello and Desdemona at the end of Act I of Verdi's *Otello* is stunning music and effective theater, a moving finale to the first act. The opera opens with a famous storm scene, followed by Otello's triumphant return from a victory over the Turks. A celebration follows, during which Iago sets the plot in motion by getting Cassio drunk and goading him into a fight so that Otello will punish him with imprisonment. Then everyone else leaves the stage, and Desdemona welcomes home her triumphant warrior. The extended love scene that closes the act is one of the high points of the opera and can be studied from several points of view. The musical style is richer and more complex than the style we associate with Verdi's earlier operas. We are immediately struck by the delicately beautiful

orchestration, filled with careful and unusual effects. The harmonic idiom, marked by frequent modulations and enharmonic shifts, is strikingly different from Verdi's earlier works. Although some commentators see the structure of a traditional *scena* in this duet, the music is more continuous and flowing than in Verdi's earlier works. The climax of the scene is the "unbacio" motive, which will return at the tragic close of the opera. Besides analysis of these musical details, one might undertake a comparative analysis. There is a clear shift in style between Verdi's earlier operas and his late works, *Otello* and *Falstaff*. One might try to identify common stylistic traits in these two late works and then contrast them with earlier works.

Moving to nonanalytical topics, one fascinating issue is the way the plot and the characters change because of the cuts Boito made in the process of transforming Shakespeare's play into a libretto. One obvious example is the character of Desdemona. Because Boito cut the entire first act of Shakespeare's play, which establishes Desdemona's strength and independence, in the opera she appears as a typical nineteenth-century heroine, victimized and helpless. The issue of changes in the characters is not just a question of text, because characterization is delineated through musical means as well. Iago, for example, is presented differently in his frightening "Credo" number than he is in the play, where his motivation for destroying Othello is subtler and more puzzling. When Boito and Verdi adapted the play, which has its own shape and flow, into another medium, change was inevitable; music has its own rules of structure and flow. You might also compare this adaptation with Verdi's other adaptations of Shakespeare's plays—*Macbeth* and *Falstaff*. Other areas that would be interesting to study would include the issue of reception. The audience was quite familiar with Verdi's earlier singer-centered style, made up of separate numbers, each with its climactic high notes and triumphant cadences. I wonder how the first audience reacted to this new and somewhat Wagnerian style, in which the singers' lines weave through a complex orchestral fabric, and the music is not usually divided into separate numbers that have clear starting points and obvious cadences with their built-in pauses for applause. Finally, the sociological question of racism and Othello's position as an outsider, a representative of an attractive but dangerous foreign culture, is always inextricably linked with this great tragedy.

Franz Liszt: "Faust" Symphony, First Movement

The "Faust" Symphony of Liszt is a masterpiece of Romantic program music and a fascinating work to analyze. The three movements represent the three main characters of the Faust legend—Faust, Gretchen, and Mephistopheles. Added to the final movement is an apotheosis, during which a tenor soloist and male chorus sing the last few lines of Goethe's *Faust*.

The most important element in this work is the technique of thematic transformation. All the themes of the long first movement are derived from a few melodic cells or motives; as these basic cells are given different musical shape, they are transformed into distinct themes or leitmotifs representing the different sides of the hero—mystery, heroism, passion, tender love, and so on. One analytic approach might focus on the cells and the different thematic shape they take on. Another analysis might focus on the question of structure. The first movement is long and somewhat rambling; the question of underlying structure in a Romantic movement of this size is always an interesting one to pursue. Is the form derived from the program, or is there some intrinsically musical form that guides the organization of this sprawling movement? Another interesting study might compare the first and third movements, since nearly all the themes representing Mephistopheles are parodies of the Faust themes. In other words, the melodic cells that are manipulated and transformed in the first movement are further transformed in the final movement to depict completely different ideas and feelings. Other important elements for analysis include the rich harmonic language of late Romanticism and Liszt's effective use of the large orchestral forces.

This work suggests a rich variety of potential topics in the area of cultural studies. Although the Faust legend began in the Renaissance and the best-known version of the story by Goethe has elements of Enlightenment thinking, we know that this story was a favorite of the Romantic era. There are many musical settings derived from the story; it would be interesting, for example, to compare Liszt's symphony to parts of Mahler's Eighth Symphony, which use some of the same material from Goethe's *Faust*. The question of musical characterization in Liszt's work is fascinating. Gretchen is presented in the second movement as innocent and pure, a quiet center of serenity and love in the whirlwind of Faust's endless quest, exactly the sort of nineteenth-century depiction of woman—"das ewig Weibliche," woman on a pedestal, a beacon and inspiration for the hero—that feminists justly object to. Another interesting issue is the philosophical statement the music makes about Faust and Mephistopheles. The demon is presented musically not as a separate being, an external source of evil, but as the dark side of the hero, since the music that depicts Mephistopheles is made up largely of grotesque, mocking variations of the Faust themes from the first movement. The autobiographical side of the work might be interesting to pursue as well. Liszt was fascinated with the satanic and grotesque, as seen in compositions such as the "Mephisto" Waltz and *Totentanz*, and Faust's redemption through religion and the love of an innocent woman may represent the way Liszt viewed his own life, or the life of any artist. This complex work sometimes puts people off because of its moments of bombast and overreaching, but it illustrates perfectly both the Romantic spirit and the rich possibilities for research, both analytical and cultural, that such works suggest.

Igor Stravinsky: *The Rite of Spring*, Opening Sections

Although *The Rite of Spring* is by now a classic of the early twentieth century, it calls for analytical methods different from those appropriate for music of the eighteenth and nineteenth centuries. In this landmark work, Stravinsky deconstructed and rearranged the elements of music and their relative importance in order to create a style appropriate to the story and the ballet. In the opening section, rhythm is all-important, melody less so; the few tunes in this section, some borrowed from Russian folk music, are fragmentary, narrow-range motives that repeat obsessively. Ostinato techniques and increasing thickness of texture take the place of traditional development. Instruments are used in new ways; the whole orchestra is sometimes used as a giant percussion instrument. Form is articulated through rhythm and orchestration as much as through melodic material or harmonic cadences. Analysis of this work must begin by understanding the succession of musical events rather than by looking for traditional forms. The historical importance of this work lies in its innovative qualities: While its purpose is a nineteenth-century one—it is, after all, program music to accompany a ballet—its musical language is in many ways new.

You might focus an analytic study of this work on either the new elements or the traditional aspects of the work. It would also be fruitful to compare this work to its immediate predecessors, *Firebird* and *Petrushka*, in order to isolate the new elements in this work. One might also compare the orchestral score to Stravinsky's later arrangement for two pianos. In any case, *The Rite of Spring* is certainly a work that demands to be analyzed on its own terms.

There are several obvious broader research topics suggested by this work. It is generally described as an example of primitivism, an important artistic movement of the early twentieth century, which held that European culture had become stodgy and effete; the only way new vitality could be injected into the culture was to borrow ideas from other, more vital cultures. Thus, Picasso and other visual artists turned to African masks for inspiration, and one group of rebel painters christened themselves "Les Fauves" ("The Savages"). The notion that the musics of other cultures, or music from other levels of one's own culture, such as jazz and popular music, should be co-opted in order to breathe new life and vibrancy into music, should be frequently in the history of Western music and is a "high culture" crops up frequently in the history of Western music and is a fascinating concept to pursue. Another cultural issue is the one of reception. Richard Taruskin, a noted Stravinsky scholar, has written that the premiere of *The Rite of Spring* was not the wild riot that we are used to reading about, and that the catcalls were provoked by the choreography, not the music. Concert performances of the music shortly after the premiere were not marked by civil disorder of any kind. Another area of research suggested by this work is the connection between dance and music

in the twentieth century; we sometimes forget that composers as diverse as Debussy, Stravinsky, Copland, and Cage spent much of their careers collaborating with dance companies.

Karlheinz Stockhausen: *Gesang der Jünglinge*

Like *The Rite of Spring*, *Gesang der Jünglinge* ("Song of the Youths"), a famous example of electronic music composed by Karlheinz Stockhausen in 1956, calls for new analytical methods. As is the case with most modernist music, the researcher must begin with the composer's intent, the materials he used to create this work, and the ways in which he used them.

Although the compositional process in this case is modernist, the composer's intent in this work is to give expression to religious ideas and feelings, an aim as old as Gregorian chant and the Masses and motets of the Renaissance. The work is a musical impression of the story in the Book of Daniel of the three young men thrown by the Babylonian king into a fiery furnace for refusing to worship the gods of Babylon. According to the story, the boys, protected by the God of the Hebrews, emerged unharmed and sang a hymn of praise. A recording of that hymn of praise, recited in German by a boy, along with various electronically generated sounds, are the materials used in this composition.

The ways in which these two kinds of material are manipulated give this piece its organization and dramatic effect. The composer broke down the recorded words spoken by the boy into syllables, then phonemes (individual sounds), and still further into tiny sound events such as attacks. In this way, the composer blurred the materials: Some manipulations of the vocal materials are indistinguishable from the electronically generated sounds. The vocal material is also overdubbed to create the effect of a group of voices. Overdubbing of the vocal material creates passages of increasingly complex group sounds; the tension thus created is resolved by slower, calmer passages.

A critically important gesture the composer utilizes is occasionally allowing a single word or phrase, such as "preiset den Herrn" ("praise the Lord"), to emerge in intelligible form after a passage of electronic sounds or unintelligible vocal material. These suddenly intelligible words strike our ears as important dramatic events; the effect is similar to that of a chordal passage following a long passage of complex imitation in a Handel oratorio chorus.

The various electronically generated sounds constitute the second source of material. Well into the piece, for example, a new electronic sound is introduced—a sound like the rattle of a snake. It is striking because we have not heard it earlier, and, as we hear it alternating with the vocal sounds, it seems evil and menacing. As the electronic sounds get faster and faster, a sense of tension or danger is created. Just as with the vocal material,

ension is dissipated and a feeling of cadence is created when the sounds slow down and thin out.

One possible topic for analysis is the spatial effects the composer wrote into the work. Unfortunately, this effect cannot be captured in a stereo recording of the piece. At the first performance, the audience was surrounded by five groups of speakers, and the sounds swooped around the audience at various speeds, heightening the drama of the piece. Many other electronic pieces utilized similar spatial effects. It might be interesting to connect electronic music's use of spatial effects to earlier uses of spatial effects, as in Venetian polychoral music.

Another obvious area for research is the form and organization of this work. There is no real sense of melody or harmony in this piece, but, since it lasts for thirteen minutes, the listener naturally tries to identify sections, related events, and periodic cadences of some sort. Repeated listening reveals that the composer has created clear structures in several different ways. The piece starts and ends with rapid jumbles of electronic sounds that frame a series of vocal and electronic sections. Within sections, new events are delineated by changes in the timbre, speed, or complication of the electronic sounds, as well as by sudden bursts of group passages or intelligible words in the vocal material. Silence also delineates the structure—sometimes there are significant pauses between syllables or words, and pauses in the electronic sounds as well. Taking into account all these techniques, commentators suggest that the overall form is a series of three related but varied sections framed within the electronic introduction and coda. One might argue for other patterns as well, based on the arrangement of sound events and relationships between them.

Research topics that study this piece from the broader perspective of cultural studies come readily to mind. One issue is the question of reception. Among the general music audience, this work is probably the best-known example of electronic music, unquestionably one of the more accessible works in that medium. One can argue that the combination of modernist and traditional materials and means of organization, as well as the dramatic story, give the work its universal appeal. One might also search for other works, both live and electronic, that play with the threshold of intelligibility and compare the effects they create to this work. One might also find other electronic works based on religious themes and try to assess the effectiveness of electronic music to deal with large themes such as religion. Finally, there is the philosophical question of whether this work is really modernist. The creative techniques and some of the materials are thoroughly modernist, but some of the materials and the ways they are organized are close to traditional, and the purpose of the work is not really modernist. Some researchers might even use this fascinating piece as an opening into the larger issue of modernism and postmodernism.

In conclusion, note that these brief comments do not pretend to be exhaustive lists of research areas suggested by these works, but preliminary indications of directions you might take to develop analytical topics or other kinds of research connected with these pieces. If you plan to do analytical research, remember that each work must be studied in ways that illuminate its particular organization. In one sense, stylistic analysis is a circular process. Its goal is the understanding of a musical style, but one cannot begin the analysis unless one knows enough about the style to be able to choose appropriate methods of analysis. At the start of an analytic project, you may need to put the specific work aside for a while and first develop an awareness of the stylistic context from which it came.

Finally, we emphasize again that not every research paper for a class in music must be analytical in design and purpose. The ideas above about the nonanalytical research projects these works might suggest do not pretend to be any more exhaustive than the suggestions about analytical approaches. The purpose has been to show that any piece of music suggests areas for research, both analytical and cultural, if we brainstorm for a moment. One final reminder: Whatever direction your research might take, anything you say about music must be based on a solid understanding of the style and organization of the work you are discussing—what holds it together as a unified work of art and what makes it unique.

The next chapter moves into a discussion of the nature of research, some basic resources for research, both print and electronic, and research methodologies.

faculty and students, who can translate any language under the sun. Bear in mind, also, that illustrations, musical examples, tables, and bibliographies are exactly the same in German sources as in English ones. Students sometimes avoid using the Schmeider catalog of Bach's works, for instance, because "it's in German," when the bibliographies are exactly the same as they would be in English. The book can be useful to anyone, regardless of language experience.

WHEN TO STOP: HOW MUCH RESEARCH IS ENOUGH?

The point at which you decide that you have gathered enough information for a paper will vary, depending on the topic and the limits set by the instructor when the paper was assigned. It is understood that the bibliography for an undergraduate project is not expected to have the same length and depth as a bibliography for a graduate paper or thesis, but it is still difficult sometimes to know when to call a halt to the research stage and move on.

There are two extremes to be avoided. Some students are satisfied with a citation or two from their music history textbooks or some all-purpose encyclopedia and never approach serious research. Others, even though their files are already bulging with citations, keep uncovering new resources that they feel obliged to include. If the research phase seems to be getting out of control, especially if the information you find seems not to support your original thesis, it may be time to arrange a conference with your instructor. You may need to negotiate some limits on your research, or you may be approaching your research in the wrong way. Perhaps your topic is too broad and needs some rethinking. It may be helpful to step back a bit from your research to see it in perspective and to decide whether what you have done is appropriate for the project.

What should happen near the end of the research phase is that all the information begins to fall into place in your mind, leading to clear ideas and opinions, and coalescing into a logical framework. The mass of information has to be shaped by you into a coherent plan. In the interests of unity and coherence, you may not be able to use every item you have uncovered in your research; one always does more research than one can actually include in a paper. The next step is to organize everything you have discovered in the research phase into a logical outline with one central idea or hypothesis, arguments in support of that central idea gathered from secondary sources and from your analysis of the materials, and a conclusion. Thoughtful and diligent research is critical, but it is only the first phase in the writing process. A mass of information is not a paper; it is only raw material that must be organized into a clear and coherent presentation.

CHAPTER 4

CHARTER

Writing a Research Paper

This chapter describes the process of writing a research paper, step by step, once the research phase is completed. Naturally, the writing process will vary, depending on the specific topic, thesis, and focus of the paper; this chapter discusses general principles and practical advice applicable to most papers.

THE OUTLINE

The first step in writing a paper is to design a clear outline, so that when you begin to write, you will know exactly where you are going, what comes next, and which material belongs where. It is at this stage that you make the difficult decisions about what should be included, what should be left out, and how the material should be ordered. The outlining stage is critical and has at least as much impact on the quality of your paper as any other step. In the process of outlining you settle the critical questions of unity, coherence, and logical flow. Once you create a clear and logical outline, writing the paper becomes a matter of filling out the outline, putting flesh on the outline's skeleton. It is a serious mistake to settle for an outline that is incoherent or hastily thrown together.

Topic and Thesis

The most important part of the outline is the thesis—a topic sentence that represents the main point of the paper, the central statement you wish to make about the topic, the controlling idea of the entire paper. A topic is a broad area of study; a thesis is the precise point you want to make about that topic. "Stravinsky's neoclassicism" is a topic; "Stravinsky's *Octet for Winds* is a perfect embodiment of the aesthetic aims of neoclassicism" is a thesis

related to that topic. Notice that it is a sentence, not just a word or phrase; in this case, it is a statement illustrating critical thinking—a promising thesis that could be the basis for a fine paper. The difference between topic and thesis is clear: A topic is general, whereas a thesis is narrow, focused, and individual. “The history of the saxophone” (or the oboe, or the trombone) is a topic, not a thesis, and students who propose such topics generally have a difficult time choosing a thesis; these topics are too broad and do not offer much opportunity for critical thinking.

The thesis is the central statement that represents the writer’s critical judgment about the topic; it also determines what should be included in the paper and what must be left out. The thesis is the key to the entire paper—every sentence in the paper must relate to it in some way or other. You may start your research with a tentative thesis (what scientists call a hypothesis) in mind; more likely, the thesis will emerge from your research, as your study of the secondary literature and your own discoveries and insights begin to coalesce around a particular idea or position, your statement about the topic. To move from research into the writing process, the first and most important requirement is a viable thesis that you are enthusiastic about. A typical paper introduces the topic and states the thesis in an introductory section; the rest of the paper presents arguments that support the thesis.

Topic Outline Versus Sentence Outline

There are two kinds of outline: the topic outline and the sentence outline. As the names indicate, a topic outline consists of a list of single words or phrases representing areas of discussion; the sentence outline consists of the actual statements or arguments that the writer plans to develop in the paper. For a research paper, I recommend a sentence outline. Making each heading or subheading a statement forces you to plan exactly what you want to say, rather than simply listing areas to be discussed. A sentence outline will keep the paper more tightly organized and separate actual arguments from background information that may be helpful but is not really the main thrust of the paper.

Introduction

The outline of your paper should include your plans for the introduction. The function of an introduction is to ease into your topic, put it in some perspective, and announce your thesis. Browse through some articles in the musicological journals to see how introductions work. They often start with a general idea and then move to the specific topic and thesis of the paper. It is also possible to move in the opposite direction, starting with a specific fact or a description of a specific event and progressing to a broader issue and then to the thesis.

There are two extremes to be avoided in introductions. One extreme is to write a brief sentence or two, plunging right into the body of the paper. An abrupt introduction disorients the reader. Suppose a paper began this way: “In the first measure of this violin concerto, we hear the musical ideas that Bach used as the basis for the entire movement.” The reader thinks, “Wait a minute—what are we talking about? What’s the time frame? Which Bach are we talking about—J. S., C. P. E., J. C., W. F., or P. D. Q.? Which work? Which movement?” The fact that the paper’s title names the topic does not free the writer from the obligation to lead the reader into the topic at the beginning of the paper. An introduction should introduce the general topic, the specific area the paper will deal with, and the thesis that the paper will argue.

The other extreme is a long introduction that develops a life of its own, bringing up issues that are not germane to the main point of the paper and meandering away from the topic instead of leading the reader into it. Books on writing recommend as a general rule that an introduction should occupy no more than one-tenth of the paper’s length. Some papers require a longer introduction, particularly when it is necessary to define technical terms and concepts or explain important background material. Generally, if an introduction to a paper of about fifteen pages runs beyond two pages, it is too long; the writer should hunt down and delete the extraneous material.

The introduction should include a clear idea of where the paper is going and announce the thesis that you will defend. At the outline stage, decide exactly how you will introduce your topic and thesis, and what you plan to include in the introduction.

Body

Next, you need to outline the body of your paper, listing first the main arguments to support your thesis and then the subtopics to be included under each of the main points. It is a good idea to work out your outline in considerable detail, even to the level of individual paragraphs, so that when you begin writing you know exactly what goes where and what comes next. At this point you need to decide the order in which the material will be presented. Which argument should come first? Which deserves the strong final position? You should also include in your outline some idea of the methodology to be followed in establishing each point—where you will use quotations from secondary sources, where musical examples will be most effective, which points depend on analysis, and so forth. You should end with an outline so specific that if you were to submit just the outline, your instructor would have a very clear idea of what the final paper would look like. The more time you spend fussing with the outline, the more logical, coherent, and convincing your paper will be.

Conclusion

Sometimes the most difficult section of a paper to write is the conclusion. The writer feels that everything has been said already and does not want to repeat what the paper has already explained. Conclusions are necessary, however, not only to reemphasize your main point, but also to wrap up the study in a tidy, memorable way. You can connect your thesis with the existing body of research on your topic, show what your research adds to critical opinion of the composer or issue in question, or point to related areas in which similar research would be appropriate. Be careful not to go overboard in your conclusion. Some student writers, relieved to finally reach the end of the paper, get carried away in their conclusions and lapse into flowery language or exaggerate the world-shaking importance of this particular topic. Provide a logical and forceful closing for the reader—then stop. As you create your outline, think about effective ways to conclude your paper.

Revising the Outline

Once you have a tentative outline, stop and take a critical look at it. In my experience, the problems raised when a candidate defends his or her thesis or dissertation at the end of the long process of research and writing are almost always outline problems—material appears in the wrong place, the order is not logical, the emphasis is wrong, some material is not related to the project's thesis, or some necessary material is missing. It is much easier to modify the design of your paper at the outline stage than it is at the later stages of the draft or final copy. Check the outline carefully for unity, coherence, and logical flow. Experiment with a different order within the body of your paper. Would your thesis be more convincing if you changed the order of supporting arguments? Is the last argument the weakest or the strongest? Is there a weak argument that doesn't really contribute to the thesis and perhaps should be deleted? Is there anything in the outline that is not related to your thesis and therefore has no place in the paper? Is there a topic that comes up in several different places, requiring awkward cross-references? Might it make more sense to combine those discussions in one place? Thinker with your outline; try a different order; experiment. The more logical, coherent, and forceful your outline is, the more logical and convincing the paper will be. The time you devote to revising your outline will pay off in a stronger and more effective paper.

There are many ways to design an outline. Some writers were trained to jot down ideas in the form of spokes growing from a central thesis or main point, or to quickly assemble a preliminary list of possible arguments and then select the most promising ideas and arrange them into an outline. Most word-processing programs have an outline function that helps you set up headings and subheadings. Whatever system you use, the outlining phase is crucial and will have an enormous effect on the success of your paper.

WRITING THE DRAFT

After you have designed an outline that works, with everything in its proper place, the next step is to sit down, face the blank screen, and start writing what you want to say. The goal is to get it all down, even in less-than-perfect form, with typos, grammatical errors, false starts, and awkward sentences, just to see what you have to say, and to have a preliminary version of your paper to work with. Assuming that you have sufficient time for editing and revising, your main concern in the draft stage should be to get it all written down, imperfect or not, to create the raw material that you can polish and edit. If you try starting with the introduction and can't get started, skip the introduction, write the body of the paper instead, and return later to add the introduction. The important thing is to complete the draft.

The computer is by far the most efficient way to draft a paper, provided that you can compose at a keyboard. The better your keyboard skills are and the more fluent you are in using the features of your word-processing program, the easier it is to concentrate on what you want to say, rather than worrying about the next letter or the correct command to change something. Assuming you can type fairly rapidly, you can draft large chunks of the paper in a relatively short time. The main thing to bear in mind as you write the draft is that it is only a draft, not the final version you will submit. Do not get bogged down by typographical errors, misspellings, or awkward sentences. You can always make editorial changes and revisions at a later stage, but you first need a completed draft to work with. The draft is raw material that you will refine and polish to produce the final paper.

It makes sense to draft your paper in the correct format for college papers, so that you can see how long your paper will be and more or less how it will look. The next chapter discusses details of correct format; here we are suggesting that you set up the proper margins, fonts, and spacing before you begin the draft rather than waiting until you are ready to print your final copy. Don't depend on your word-processing program to set up the format for you; the default formats that appear automatically on the screen are not necessarily correct for college papers. You might want to set up a template for papers that includes the proper format, ready to use whenever you start on a paper.

Finally, whenever you are working at a computer, whether drafting or revising, the basic rule is *save, save, save*. Set the program to save your work automatically every ten or fifteen minutes and get in the habit of saving frequently yourself. A single keystroke or click on an icon takes no time and will keep your hard work from disappearing. We have all heard horror stories about losing large amounts of work because of a power surge, an outage, or a computer glitch of some sort. The rule is simple: Save—stuff happens. If you approach your professor with a tearful tale of losing hours of work, you

might get some sympathy, because we have all have suffered such losses, but your story will not really work as a valid excuse. These disasters are at least partially the writer's fault, since you could have prevented a major loss by saving more often.

Musical Examples

While you are writing the draft, or earlier, in the outline stage, you should pick out the exact points in your paper where musical examples are necessary or appropriate and decide how you will deal with them. In analytical papers, it is helpful to include musical examples; a carefully chosen musical example may be more convincing to the reader than a page or two of descriptive prose. If you are trying to make a point about a striking cadence, an unusual modulation, or a particularly charming melodic idea, show the reader the music along with your commentary. Always consider clarity first—the examples should clearly support your arguments, not confuse the reader.

There are several ways to include musical examples in a paper. If you have the necessary computer skills, the best way is to copy the passage using one of the music-writing programs and import it into your text at the proper place. You can also photocopy a few measures or a portion of a score that will illustrate your point and insert the copy into your paper. It is difficult to extract useful musical examples from some kinds of scores: Oversize Romantic orchestral scores, for instance, are not only difficult to photocopy, but also difficult to read, and may be confusing or distracting to your reader. Some twentieth-century scores are also difficult to photocopy. It may be better in such situations to prepare a reduced score or some sort of diagram to illustrate your point. When you use photocopied examples, be sure they contain all the information the reader needs to make sense of them. If you copy measures from the middle of a line of score and there are no clefs or key signatures in your example, obviously you need to add them. If photocopied musical examples are to be included in the paper, prepare them before you print the final version of the paper, so that you can leave sufficient space for each example. Be sure that photocopied examples are securely attached to the page with double-stick tape or by some other means. A better strategy is to photocopy the pages that include musical examples after the examples are taped or glued in place. The examples then become a permanent part of the page; using those copied pages in your final copy makes your paper look cleaner and more professional. A final note: If it is necessary to include a large number of musical examples, or examples longer than a page, it may be better to put all the examples in an appendix rather than within the body of the paper.

Sometimes the best way to illustrate the point you are making is to add analytic annotations on a photocopy of a page of score. Some students have

a talent for graphics and can mark a score in such a way that the reader immediately sees the point the writer is trying to make. In the hands of others, marked scores end up looking like Beethoven sketches, with the notes and the point of the example nearly obscured by unclear markings. Never rely on a marked score alone to make your point about the organization of a work; there must always be some verbal explanation as well. Finally, whenever you include musical examples, whether they appear in the text or in an appendix, each example must be clearly captioned so that the reader knows exactly what the example represents. The specific work, movement, and measure numbers must be identified for each example, and the reader must know precisely where the example fits into the text. We will discuss these details later, in the chapter on format.

Diagrams, Graphics, and Tables

Related to the issue of musical examples is the question of designing your own diagrams or graphic representations of musical events. Particularly in questions of large-scale structure, diagrams can be extremely useful, provided that they are clear and make the point effectively. One can diagram the structure of the first movement of Bach's Brandenburg Concerto No. 5, for example, on a single page, whereas the *Bach-Gesellschaft* edition of the score occupies twenty-two pages.

Tables can be useful as well. A table might be an effective way to show how the cantus firmus is used in the various movements of a Renaissance Mass, to represent the loose or unusual structures sometimes found in Romantic symphonic works, or to depict the unusual structure of a contemporary work. The point is always clarity and effectiveness. Will this table, diagram, or graphic analysis be clear to the reader? Is this the best way to communicate the point I am trying to make? You can always test the effectiveness of a table or diagram by trying it out on a friend whose judgment you trust. If it makes the point clearly, it helps the paper enormously; if it does not, toss it—it will only detract from the effectiveness of your paper.

Footnotes

While you are writing the draft, you must decide where footnotes are needed, insert the footnote numbers in your text, and write the notes as you write the text, so that everything matches up correctly. Do not leave the footnotes for later; the key is to be precise and systematic early in the process. We will deal with details of footnote format, along with other format issues, in Chapter 5. Here we will assume that the paper requires footnotes or endnotes, not parenthetical references, which are also discussed later. Our concern is when one should include notes and where they should be located in the finished paper.

Once you understand the purpose of footnotes, the rules about them make perfect sense. Footnotes are included in a paper in order to establish that the writer has some basis for the assertions he or she makes, and to acknowledge indebtedness to the authors and ideas discovered in the process of research. The idea is that readers can go to the sources themselves to check the information or to pursue related lines of investigation. There are two extremes to be avoided. Some writers include very few footnotes, even when they are obviously repeating information they discovered in their research. The issue of using the words and ideas of others is a complex one and brings up the important question of plagiarism; these matters are discussed in a separate section near the end of this chapter. The other extreme is to footnote nearly every sentence, a practice that is tiresome for the reader and unnecessary. Some general guidelines may help.

First, *every direct or indirect quotation calls for a footnote*. When you quote someone directly, copying the quotation word for word within quotation marks, you must include a footnote that tells exactly where that quotation appears, citing the book or article, publication information, and the page where the quoted material appears in the original source. If you cite someone's opinion indirectly, paraphrasing or putting the idea in your own words, you still need a footnote to support your claim that the earlier author actually said what you ascribe to him or her. The following sentence is an example of indirect quotation.

Stuckenschmidt claims that Schoenberg first conceived the idea for *Pierrot Lunaire* in 1910, whereas Ruter cites a letter to Berg, dated October 1912, as the earliest indication of his intent to set these poems.

The writer states as a fact that these two scholars made these conflicting statements; incidentally, these are real scholars, but the statements are imaginary. Even though the writer has not quoted their exact words, the reader still wants to know where the writer found these statements. You cannot write a sentence such as this without adding a footnote listing the exact places in the writings of Stuckenschmidt and Ruter where they supposedly made these claims. The footnote must cite the appropriate books or articles, including information about the place and date of publication, as well as the pages on which these statements can be found. Readers, if they wish, should be able to check the sources themselves if they are not sure that the writer has correctly represented the earlier authors or if they want to pursue the matter further.

Second, *matters of common knowledge do not require footnotes*. This rule can be slippery—how exactly does one determine what fits under the rubric of “common knowledge”? At the extremes, the answer is fairly obvious.

Beethoven composed nine symphonies.
J. S. Bach died in 1750, after a long and productive career.

Those sentences hardly need footnotes—in fact, these sentences themselves are hardly necessary for an audience of music majors. Anyone who has the slightest smattering of knowledge about classical music knows these things already. Adding a footnote to these sentences would be naive and would mark the writer as an inexperienced researcher. On the other hand, consider this sentence.

Later in his life, Stravinsky regretted the fact that people associated him with his early works in late Romantic style—particularly *Firebird*.

Here you certainly need a footnote. This is certainly not common knowledge. The reader naturally wonders how the writer could possibly know what was going on in Stravinsky's mind. What's your authority for this statement? A sentence such as this needs a footnote citing the source where you came across this information.

Between these two extremes, use your common sense. It is helpful to keep in mind the audience for whom the paper is intended. Rather than trying to guess what your instructor considers common knowledge, imagine yourself presenting your paper to your classmates. What is general knowledge to a group of music majors in a music history class is different from general knowledge among the population at large or a typical concert audience. Do not footnote what would be obvious to your colleagues. When in doubt, it is probably better to err on the side of including too many footnotes rather than too few.

One helpful way to avoid obtrusive numbers of footnotes is to use a general footnote for a paragraph or section of a paper rather than attaching a footnote to each sentence. For example, if your paper includes a biographical sketch of a composer based on one or two sources, it is not necessary to include a separate footnote for each item of information—date of birth, education, positions, important works, and date of death. Instead, write a single footnote referring the reader to the sources in which you found the biographical information, and make clear that the note refers to that whole section. If an analytical section makes use of published analyses, you might list them in a single note at the beginning of the section and then footnote only direct or indirect quotations. The best way to get a sense of proper footnote use is to read articles in scholarly journals; the scholars who write them and the experts who approve them understand correct footnote practice. Note as you browse through journal articles that the footnotes tend to cluster near the beginning of the article, where authors are likely to list publications that have dealt with this topic or the primary materials on which their research is based. Footnotes appear less frequently after the first few pages, as authors move into the discussion of their own findings.

A final question is where the footnotes should be placed in the final paper. The rules for theses and dissertations used to require that the footnotes be placed, as the name indicates, at the bottom of the page,

rather than grouping them as *endnotes* at the ends of chapters or at the end of the study, before the bibliography. One practical reason for that requirement was that dissertations sometimes circulate in microfilm form; if all the notes are at the end, it is a nuisance to scroll back and forth through hundreds of pages of text each time the reader wants to check a footnote. However, using endnotes rather than footnotes is usually acceptable in undergraduate papers; check with your instructor to see what his or her policy is.

Word-processing programs handle footnotes with ease and place them wherever you want—at the bottom of the page, at the end of a chapter of a longer project, or at the end of the paper. You might choose to put them at the bottom of the page in the draft stage so that it is easy to check them along with your text as you edit. You can easily move them to the end before submitting the final copy. Word-processing programs also are very good about keeping track of footnotes as you make changes during the editing process. Whenever you add, move, or delete a section of text, the program automatically adds, moves, or deletes the footnotes that go with that text, making sure that the footnotes stay with the appropriate text and changing the numbers when necessary. Without launching into a digression about how much tougher things were in the old days, let me point out that the complicated business of dealing with footnotes is one of the main reasons we should all be grateful that the computer was invented.

The central issue about footnotes is the writer's responsibility to acknowledge sources of direct and indirect quotations and cite authorities to back up important assertions. Once you understand the purpose of footnotes, questions about when to include them usually solve themselves; when in doubt, you can always check with your instructor.

Bibliography

The last section of your draft is the bibliography. Assuming that during the research stage you kept a detailed list of all the sources you used, along with the necessary publication information, preparing the bibliography is a simple matter of listing those sources in alphabetical order by the last name of the author or authors and checking to be sure that the format is correct and consistent. Questions of bibliography format will be discussed in Chapter 5. At this point we need to discuss what should and should not be included in your bibliography.

There are different points of view on the question of what to include in a bibliography. The strictest position is that only those works actually cited in the body of the paper should be listed in the bibliography. In other words, only those publications that appear in footnotes (or endnotes) should be listed in the bibliography. A less strict position would allow the inclusion of

publications that the writer actually consulted, whether or not they are cited in the footnotes. The most inclusive position would allow the listing of any sources the writer has run across, whether or not he or she actually had access to them. Check to see what your instructor's policy is about limiting the bibliography to materials you have quoted or actually seen. If one goal of the project is practice in the process of doing research and assembling a bibliography, the instructor might want you to include as many items as you can, whether or not you have actually consulted them.

A related issue has to do with secondhand references. Let's say that in the course of your research you notice that all the authors refer to one important source—let's call it book A. From the frequency and deference with which it is mentioned, it is clearly a central source, something you would certainly consult if you could. Let us further imagine that for one reason or another, book A is unavailable to you, but a section of it is quoted in book B, one of the books you were able to consult. In that case, should you list both book B and book A in your bibliography? An interesting dilemma: If you decide to list book A, are you somehow cheating, creating the impression of direct knowledge you do not have? If you don't list book A, are you leaving yourself open to the charge of being a careless researcher, unaware of an important source? In such cases, I think it is fair to list book A. If you feel uncomfortable listing a publication that you have not actually seen, one solution is to add an annotation such as "not available for this study." Then the reader knows that you are aware of this important source, but you cannot be accused of creating the false impression that you have actually used it.

One last reminder: It is a mistake to pad a bibliography with questionable items just to make it look longer. Don't list the sources you used for reports in high school, such as general-purpose encyclopedias or books written for record collectors or young students. Also, don't list your music history textbook in a bibliography; the whole point of research is to go beyond readily available sources of information. Including inappropriate items is another sure way to mark yourself as a fledgling author.

Finally, the instructor may ask you to annotate your bibliography, which means to include brief critical comments on some or all of the items. The purpose of annotations is to point out the special advantages or limits of each publication. Annotations on the order of "a definitive biography, based on newly discovered primary sources," or "particularly useful for its extended analyses of major works," or "extensive material on the composer's political views, based on newly translated correspondence" show that you are a discerning researcher and provide useful information for the reader who may want to pursue related research in those same sources. Annotated bibliographies are standard assignments in some graduate courses; they may be required at the undergraduate level also.

REVISING AND EDITING THE DRAFT

Now you have a file containing a complete draft of your paper on your hard drive (or on a disk or flash drive, if you worked in the school computer room or on a friend's computer). The draft is an early stage of the paper, not the finished product you will hand in; as we said earlier, a draft is raw material and no doubt needs considerable editing, revising, and polishing. Allow a large block of time for editing and revising; it often takes longer to edit and polish than it did to produce the draft, particularly if you are one of those people who gets into a creative frenzy and writes drafts quickly. It is also helpful to let the draft "cool off" several times—that is, to put it aside for a while between editing sessions. When you return to a draft after a few days, it is easier to see the mistakes, awkward phrases, and questionable passages that need revising. The sentence that seemed perfectly clear and perhaps even ringing and eloquent when you drafted it at two in the morning may sound embarrassing or pretentious a few days later.

Computers and Editing

We pointed out above that working at a computer is the ideal way to draft a paper, provided you have reasonable typing skills. Word-processing programs are even more powerful and helpful for revising and editing. It is strange that more students do not take advantage of the editing capability that word-processing programs provide; it is a waste of expensive, sophisticated equipment to use a computer to bang out a clumsy draft and then quit and hand it in as your final piece. Word-processing programs are wonderful for editing. You can move sentences or paragraphs around easily, change a word or two and then change your mind and instantly restore the original wording, and, in general, fuss with your paper until you have it just the way you want it, all without retyping. If you discover that you have misspelled an important name or technical term throughout your draft or decide that you want to replace a term with a better one, you can use the "find and replace" function to locate every appearance of the word and change them all in a flash. Learn what your word-processing program can do and put its power to work for you. If you don't have the time to master a word-processing program during the school year, take the time during a break to learn all the things it can do for you. The time you spend mastering a program will save you countless hours, raise the level and professionalism of your work, and probably improve your grades.

Finally, during the editing process, it is crucial to remember the basic rule we mentioned earlier: Save, save, save. Editing is hard work, but it is very satisfying to finally get a paragraph or section to say exactly what you want it to say after an hour or two of trying alternative wordings, moving

words and phrases around, breaking up and moving sentences, and all the other work of revising. Nothing is more disheartening than watching the results of your hard work vanish because you forgot to save.

Checking Spelling and Grammar

Word-processing programs are usually equipped with tools to check spelling and grammar. These tools can be very helpful, provided that you understand what they can and cannot do and how they work. The spell-checking tool comes with a built-in dictionary against which it checks the words it sees in your prose. If a word does not appear in its dictionary, it notifies you, suggests a few similar words you might have meant, and lets you decide. If you see that you misspelled the word, you can select one of the suggested alternatives and the corrected word pops into your sentence. If the checker does not recognize a name or a useful technical term, you can usually click on "add" and the word will be added to the dictionary; the spell-checker should recognize it the next time it appears. If the word is an unusual one that you do not want to save, you click "ignore" and go on to the next problem.

Naturally, spell-checkers cannot contain every possible word in their dictionaries. They stop, for example, on most proper names; if you think you might use a particular name again, add it to the computer's dictionary. As you would expect, technical terms and foreign words also cause the checker to stop and question you—in fact, any unusual word will stop it. My program objects to "musics," never having encountered the plural form before; it also stopped at "Eb," when I meant "E-flat," suggesting that perhaps I was trying to write the word "ebb." Note that you cannot assume that the built-in dictionary is the final authority on questionable and evolving matters such as hyphenation. I remember writing "upper-case," with a hyphen; the spell-checker flagged it and recommended "upper case," two words with no hyphen; an up-to-date dictionary listed the preferred spelling as "uppercase," a single word with no hyphen. The responsibility for final decisions is always the writer's, and you still need a good dictionary. However, it is worth the time it takes to use a spell-checker. Think of the advantages. The checker will find every typo, every case of inverted letters, single letters when doubles are correct, and vice versa, and do it quickly. New technology creates new responsibilities; now that it is easy to eliminate typos, there is no excuse for turning in a careless draft filled with misspellings.

Grammar-checkers, as you can imagine, are more complicated than spell-checkers, since the problems they are designed to identify are not as straightforward as incorrect spellings. Sometimes a grammar-checker does not make suggestions but merely points out things you might want to think about—for example, sentence fragments and sentences in the passive voice—hinting that you might want to change them. In addition, it points

out other issues such as extra spaces and punctuation problems. Grammar-checkers are surprisingly helpful with small details as well as larger questions of sentence structure.

The careful writer should take advantage of these devices, aware that a spell-checker or grammar-checker cannot possibly understand all the subtleties of language, particularly technical terms and foreign terms, and that, handy as they are, such tools cannot mend everything. You cannot delegate to a machine the responsibility for turning your problematic draft into beautiful prose. But use these aids for what they can do, and in general, trust them on mechanical details; both can save you from embarrassing typos and mistakes.

The Editing Process

As you begin editing your draft, you need to assume a different mental attitude from the one you assumed while creating the draft. At this point, your role is not creator but critical reader, questioning everything about your draft—the logic of its organization, every argument, every word, every phrase. You should be prepared to shuffle paragraphs or sections around if moving them will make your argument more effective, prepared to throw out sentences or whole paragraphs if they do not work, even ready as a last resort to delete the whole thing and start again. Better to discover and correct your own bad writing than to see it circled in red when the paper is returned to you.

When you are editing your draft, you need to criticize your work from several different points of view. Read through the draft several times, working on different issues with each pass. During the first reading, concentrate on unity, sense, and coherence, looking at the entire paper as a unit and questioning the order and effectiveness of your arguments. Have you said exactly what you wanted to say, or does your prose sometimes wander around, skirting the central issues without actually getting to the point? Are the arguments in the proper order, or does the draft ramble? Do some issues come up in several different places? Should those discussions be combined in one place? If so, where is the most effective place for the combined discussion? Would your arguments be more effective in a different order? Are there abrupt shifts from topic to topic or from argument to argument? Do you need to add some transitional material to let the reader know when you are shifting to a new subject? Try to approach your work as if you were reading it for the first time. Can you follow the train of thought as it is laid out in the draft? Are there gaps in the logical argument, assumptions that are never clearly explained? Do you know at all times where you are in the argument? Is it clear how each section fits in the overall progress of the argument?

To deal with these questions, you need to view the paper as a unit, concentrating for the moment on the big picture and ignoring problems in the

wording and writing style. If you plunge immediately into the detailed work of correcting typos and misspellings or rewriting awkward sentences, you may find it difficult to keep the big picture—the thesis and argument—in your mind. Checking for overall unity and coherence should be done early in the editing process, since it is a waste of time and effort to revise and polish the wording of a paragraph that you might later decide to delete because it does not advance your thesis. Before you expend precious time and energy polishing a paragraph or section, you want to be certain that it will still be there in the final version of the paper.

On a second pass, you need to revise your draft at the level of detail, correcting typos and asking yourself whether this word, this phrase, this sentence says what you want to say or whether you need to revise it or delete it and try another way. Note the cases of weak wording, the awkward phrases, the sentences whose syntax is jumbled and unclear, and the paragraphs that need to be rewritten, and correct each problem in turn. It may take several days or evenings of hard work to polish the draft; the process is not over until you feel confident that your words say exactly what you want them to say, with the clarity and emphasis you intended.

At some point, read the paper aloud to yourself. Some mistakes, particularly jumbled syntax and pretentious or flowery language, become embarrassingly obvious when you read your prose aloud. It is true that written style and spoken style are two different things. Still, if a passage comes out wrong every time you try to read it aloud, or you cannot get through it without stumbling, you can assume there is something wrong with your writing. If you—the person who wrote it—cannot read it convincingly, the reader will not be able to make sense of it either. Jumbled syntax is often an indication that the idea is not clearly formed in your mind. When you run into a tangled and confusing sentence in your draft, back up, think about exactly what you are trying to say, and then devise a way to say it clearly and effectively. There are always other ways to say whatever you want to say; you can always back up and start again.

One final note about the editing process: Once you have finished editing on the screen, it is a good idea to print a copy of the paper and make one last pass through the hard copy. Some editing tasks are easier when working with hard copy rather than working on the screen. When you want to compare a section early in your paper with a later section, for example, it is easier to put two printed pages side by side than to scroll back and forth through several intervening pages. For some reason, it is sometimes easier to notice typos, spelling errors, and extra or missing spaces in hard copy than on the screen. If that first hard copy turns out to be perfect, you can always hand it in as your final copy.

Chapters 7 and 8 will discuss some principles of effective writing and ways to improve your wording and sentence structure during the editing process. Revising and editing are absolutely necessary and crucial to the success

of your paper. Remember that nobody writes perfect drafts. The quality of your finished paper will depend to a great extent on the amount of work you put into this essential step. Brilliant ideas do not automatically transform themselves into effective papers—in fact, unless you manage to couch your ideas in clear and persuasive prose, no one will ever know how brilliant your thoughts really are. Leave enough time in the editing stage to revise, wait a day or two, then return and revise again. The more effort you put into editing, the better your paper will be. Without extensive revising and editing, your paper stands little or no chance of being a success and earning you the grade you want.

PRINTING

After the editing stage, your computer screen should show you exactly the way your final paper will look—revised, polished, with parts moved around and reassembled, everything just the way you want it. It then should be a simple matter of pushing the print button to produce your final hard copy. The chief requirement of your printed copy is that it be clear and legible. Today's printers produce wonderful copies; the only printing problem I have seen lately is that some students do not replace their printer cartridges frequently enough, so that their papers vary in darkness and clarity from page to page. If your printer is not in the best condition, transfer the file containing your paper to a disk or a flash drive, or e-mail the file to yourself and open it up on someone else's computer to print, or take it to the school computer room and print your paper on the equipment provided by the school.

PROOFREADING

The writing process is still not complete when the final hard copy is in your hand. There is one remaining important step—proofreading. You cannot assume that everything is perfect in your printed copy. As we mentioned above, some problems show up more easily in hard copy than on a screen. You need to give your paper one final read, just to be sure that everything is in order—the pages are all there, in the proper order and correctly numbered, the printer didn't accidentally insert an extra blank page, the musical examples are where they belong, and there were no glitches in the printing process. When students have already spent so much time on research, writing, and editing, it is hard to understand why they skip this final stage. Proofreading a paper does not take very long; correcting any mistakes you find may take more time. You will have to go back into the file, make the necessary corrections, and print the corrected page or section

again. Depending on the nature and extent of the mistakes and how they affect the pagination, you might have to reprint a large section or even the whole paper. When you have the final paper in hand, you may still need to paste in photocopied musical examples, and you should check everything one last time to see that all the examples are in their proper places and clearly captioned.

Pride in your work necessitates careful attention to this final quality check. Any errors that remain in the final copy will detract from the effectiveness of your paper, no matter how much time and effort you have put into the earlier stages. A paper prepared with care at all stages, including proofreading, will represent your best work, communicate your ideas as clearly and effectively as possible, and prove that you are a competent researcher, capable of producing professional-quality work.

KEEP YOUR FILE

Assuming you have worked hard to produce a first-class paper, you will want to keep the file or disk containing your paper. Although professors seldom lose papers, they may take a long time to return them or sometimes not return them at all. You may want a copy of your paper in the future—for example, you might need to submit examples of your work if you decide to apply for admission to graduate school. If your paper is returned to you covered with corrections and criticism, that copy is not the version you want to send off with your application. On the other hand, if it comes back with an A-plus and a paragraph of glowing praise on the title page, submit that copy to the graduate school. Even if graduate school is not in your plans at the moment, it still makes sense to save the papers that represent your best work.

QUOTATION, PARAPHRASE, AND PLAGIARISM

In the earlier section on footnotes, we pointed out the writer's obligation to footnote direct and indirect quotations of the words and ideas of other writers. It is certainly not wrong to use the ideas of others; the first step in research is usually to search through the secondary literature to discover what has been written about your topic. It makes no sense to start from scratch, ignoring the information and insight already available. Good papers often start with a review of the scholarly literature on the particular topic, summarizing what has already been done.

When you use the ideas of another writer, however, you must always give credit to the source of those ideas and cite in a footnote the exact place where you found the words or ideas. Even when you do not use another writer's exact words but paraphrase or summarize the ideas, putting them in

your own words, you are still obliged to cite the source of the ideas. Presenting the words or ideas of another writer without the proper citation creates the impression that you are presenting them as your own work—and that constitutes *plagiarism*, a serious breach of academic ethics. We need to comment on exactly what constitutes plagiarism and on the consequences that are likely to follow in the academic world when plagiarism is detected.

The definition of plagiarism is clear enough—the use of the words and ideas of another writer without giving proper credit to the source. Determining what actions fall under that definition, however, seems unclear to some students, perhaps because there are several ways to commit plagiarism. Some kinds of plagiarism are obvious—for example, submitting as your own work a paper you purchased from one of the shady organizations that advertise on the Internet and in campus newspapers. No student would seriously argue that buying a paper and submitting it as your own work is legal or ethical. Usually, however, cases of plagiarism are not that obvious. Sometimes part of a paper—perhaps most of it—is the student's own work, but some paragraphs or sections are copied verbatim from uncredited sources, creating the impression that the material appropriated from elsewhere is the student's own work. Such an action is plagiarism, whether or not the writer intended to claim that the copied words are his or her own work; the ethical breach is in the action itself, not the writer's intention. Further, it is possible to commit plagiarism even if you do not copy the exact words of another author. Paraphrasing an idea you find in another's work—stating it in your own words—is indirect quotation, and it is plagiarism to include an indirect quotation without citing the source. Even if the words are more or less your own, the idea was someone else's, and the original author must be credited.

In addition to what constitutes plagiarism, you need to know how seriously academic institutions regard it. Plagiarism is regarded as a serious breach of academic ethics, as serious as any other form of cheating. The usual punishment for plagiarism is a failing grade for the paper and probably for the course. In addition, most colleges and universities require that cases of plagiarism be reported to the committee on student conduct. If the committee decides that the student is guilty of plagiarism, it usually questions the student's fitness to continue in the program, and perhaps recommends academic probation or even expulsion. No matter how desperate things seem as deadlines approach near the end of a semester, there are no circumstances that could possibly justify the risk of trying to pass off someone else's words or ideas as your own. If the fraud is detected, your college career could come to a sudden and unhappy end. Students caught plagiarizing often protest that they did not intend to plagiarize, that they did not understand the rules, or that the punishment is too harsh for what they consider a minor lapse. Unfortunately, those arguments are not much help. Perhaps

you are confident that you can manipulate your soft-hearted professor, or that well-timed tears will save you, but the harshest reaction will come from elsewhere, from the university committee on academic conduct. If you think academia makes too much of a fuss about plagiarism, remember that in the publishing world, plagiarism is an actionable crime resulting in lawsuits, huge settlements, and disgrace for the guilty party. Nobody takes plagiarism lightly.

You should also be aware that plagiarism is usually not that difficult to detect. In the case of papers bought from illegal paper mills, remember that your professors read those same ads and can find the same Internet sites you can. Besides, do you really think that your professor will not notice that the paper is not written in your style? In addition, I have read that most of these papers are not very impressive and certainly not worth the inflated prices. In the case of papers with sections that are plagiarized, remember that the students who are most tempted to plagiarize are often those who have difficulty writing convincing English prose. How hard do you think it is to notice the sudden break between the halting style of a student's prose and the polished and eloquent style of a published expert? Chains of subordinate clauses, complex and elegant parallel constructions, and abstruse technical terms used only by experts are not found that often in student prose. Sometimes plagiarists give themselves away in obvious ways—for example, by copying prose from British sources, complete with telltale British spellings such as "colour" and "organise," British idioms, and British punctuation conventions. Once in a student paper I found the German word "*Durchführung*," an old term for what we now call "development" in sonata-allegro form. There the word sat, nestled in a patch of flowery Victorian prose. The paragraphs preceding and following this flowery section were barely literate, making the plagiarized patch stand out even more. I called the student in and asked him what the German term meant; he had no idea and admitted that he plagiarized that section. Some of these desperate ploys would be comical if they did not have such serious consequences. Forewarned is forearmed; if you have gotten yourself into such a hopeless jam that you are actually contemplating desperate measures such as plagiarism, at least you should know how serious the consequences can be.

CONCLUSION

The process of producing a well-written, convincing paper is long, involved, and time-consuming, a far cry from the desperate scramble a day or two before the deadline or one or two frantic late nights in which some students think they can produce a decent paper. The process, including the research

phase, occupies several weeks at least. Even the process of writing the draft, editing, revising, printing, and proofreading, as described in this chapter, takes more than a few evenings' work. Remember—no one writes perfect drafts, and turning a draft into a polished paper takes hard work. Provided that you have done adequate research and have thought carefully about the topic, your paper will succeed or fail in direct proportion to the time and care you devote to the process of drafting and revising. If you work hard at these steps, your finished product will be something you can be proud of, work that you know will meet the highest academic standards.

CHAPTER

Questions of Format

FORMAT FOR COLLEGE PAPERS

There are standard rules about the way a college paper should be formatted. These rules may seem to be archaic holdovers from the past, but whether or not they make sense to you, follow standard practice if you want to be taken seriously and demonstrate your professionalism. In another sector of the musician's world, recital etiquette has its own rules of proper dress and behavior, which may also seem archaic or pointless to you. In both cases, however, if you want to be taken seriously and judged as a professional, you should follow accepted practice.

The accepted format for a research paper is generally the same within disciplines such as the arts and humanities; other fields have their own rules for format issues. In the natural and social sciences, for example, it is customary to use a citation system known as *author-date* citation, in which works are cited by the author's last name and the date of publication in parentheses within the text, rather than in footnotes or endnotes. Both *humanities style*, which uses footnotes or endnotes and a bibliography, and the author-date style are explained in detail in both the Turabian guide and *The Chicago Manual of Style*. To complicate the situation further, the Modern Language Association has developed its own version of author-date citation, called *MLA style*. In this chapter we will discuss the standard humanities format in detail and the general principles of the author-date system, which is now being used in a wider range of disciplines. The chapter closes with a discussion of some of the unique format problems encountered in writing about music. Note at the outset that there are few absolute rules; there are often several ways to handle certain details, all within the range of correct standards.

There are two basic principles to remember about format issues. First, be consistent. If you follow Turabian's model for one footnote, then follow it

for all your footnotes. Second, be logical; the purpose of footnotes and bibliographies is to be helpful to the reader. Be sure that your notes are helpful rather than confusing, and if you cannot find a model for a particular kind of citation in one of the standard style manuals, choose a logical and helpful way to handle the question. There is another principle for students: Check with your instructor or see whether you have any latitude in choosing a style guide; your instructor or institution may insist that you follow one particular style manual. When the choice of a guide is up to you, follow the rules as explained in Turabian or *The Chicago Manual of Style*. Turabian is the standard guide in most colleges, and the *Chicago Manual* is the most authoritative guide in the world of publishing. The important thing to most instructors is that you follow one of the accepted style guides and that you are consistent and logical in the way you deal with details. The worst offenses are carelessness and inconsistency.

Paper

College papers should be printed on one side only, on plain white paper of the standard size we use in the United States, eight-and-a-half by eleven inches. Do not use legal-size paper or the paper that is standard in Britain and Europe, which is a bit longer and narrower than the paper used in this country. The rules for theses and dissertations specify paper of a particular weight, sometimes with blue lines marking the borders of the text; there is no reason to use this special paper for an undergraduate project. It seems too obvious to mention, but lined sheets ripped from a notebook, with the shredded perforations hanging off, are not acceptable. Save your colored paper for correspondence; lavender or buff paper is out of place for a research project and is regarded as an affectation, like using green or lavender ink in a business letter.

Two other kinds of paper that were common years ago are not acceptable. Lightweight "onion skin" paper is difficult to read because it is nearly transparent. Also avoid "erasable bond," a holdover from the days of typewriters, which is difficult to write comments on and annoying to read, because the letters tend to rub off on the reader's hand or sleeve; portions of your deathless prose can vanish. Any plain white typing paper will do, including paper manufactured for copy machines.

Page Format

Papers are supposed to have standard margins. Turabian (14.2) specifies a margin of at least an inch on all four sides and notes that some institutions require larger margins, particularly on the left side. That means that nothing can extend beyond these margins; text, footnotes, and illustrations,

including musical examples, must not extend beyond the top, bottom, and side margins.

There are practical reasons for standard margins. First, the reader needs some space in which to write corrections and comments. A wider margin on the left is especially useful when the paper is bound or enclosed in a cover or folder.

Fonts

Most word-processing programs offer a wide variety of fonts and type sizes. For papers, choose a font that looks like those found in printed books (Turabian 13.27). Although the names vary somewhat from program to program, choose something with a name like Times or Times New Roman, Bookman, New Century Schoolbook, Garamond, Palatino, or anything else that looks like printing. Turabian also recommends Courier, a font that resembles work produced on a typewriter. I disagree; use one of the proportionally spaced fonts that look like print. Some writers prefer fonts such as Helvetica, called *sans-serif* fonts because they lack the *serifs* or small ornaments found on the letters in most fonts. Sans-serif fonts look clean and attractive; on the other hand, some feel that they are more difficult to read over a long period of time than the fonts with serifs. In any case, avoid idiosyncratic fonts that are unusually spaced, too light, too dark, or too weird, and certainly avoid fonts designed to look like script. The appropriate size depends on the font; most fonts look good and are quite readable in 10-, 11-, or 12-point size. Experiment with your favorite fonts to see which sizes work best. Fonts that are unusually small or cramped are difficult to read; fonts or sizes that are too big make your paper look like a children's book or else signal to the world that you are trying to make your paper look longer than it really is.

Spacing

The text of your paper should be double-spaced (Turabian 14.5). Word-processing programs have several options for line spacing, and a page of text with one-and-a-half spaces between lines looks quite attractive. The standard practice, however, for both college papers and manuscripts for publishing, is to double-space the text. In college papers, block quotes, footnotes, and bibliography entries are usually single-spaced—that is, single-spaced within each entry, and double-spaced between entries. The practice is different in the world of publishing; publishers usually require that everything in the manuscript, including notes and bibliography, should be double-spaced. Follow the recommendations of your instructor and the style guide you use.

Justification

Word-processing programs offer several options for justification: left-hand, center, and right-hand. The advantage of right-hand justification is that it creates a "justified" or aligned right margin and a uniform text block on each page. The disadvantages of right-hand justification are that it creates uneven and incorrect spacing within the lines of text, making the text harder to read, and sometimes it introduces incorrect hyphenation at the end of the line. For those reasons, it is now accepted practice to avoid right-hand justification (Turabian 14.3). Set your computer for left-hand justification instead; the right-hand margin will be uneven, but your spacing will be correct and you won't have to deal with problematic hyphenation.

Page Numbers

The pages of your paper should be numbered in the following way (Turabian 14.6-9). If your paper has a separate title page, it is not numbered; nor is the optional blank sheet between the title page and the first page of text. In the case of long papers, the pages of introductory material (preface, dedication, table of contents) are numbered with lowercase roman numerals—i, ii, iii, and so forth. The reason for this different numbering system is that those sections, known collectively as *front matter*, are not part of the text proper and are often written last, after the main body of text is completed. In most undergraduate papers, the text begins immediately after the title page, without preliminary sections; the text is numbered in arabic numerals, and the first page of text is page 1. If the title appears above the first page of text, rather than on a separate title page, then that first page is counted as page 1 but not numbered, and the following page is numbered 2. Within the text, pages are numbered with arabic numerals placed at the top margin, one double-space above the top line of text, either in the upper right-hand corner or at the center of the page. Do not place numbers at the bottom of the page, where they can interfere with footnotes. Pages are numbered consecutively through the whole paper, including appendices, endnotes, and bibliography. If the paper is divided into chapters, the numbering does not begin anew with each chapter but continues consecutively through the entire paper. If during the course of working on a project you store your paper in more than one file, be sure to set up the final copy so that it is consecutively numbered.

When your paper is complete, you may want to staple the pages together with a single staple near the upper-left-hand corner of the pages or insert the paper into one of the covers or folders sold for this purpose, so that the pages stay together and in the proper order. Remember that your instructor will probably have a large stack of papers to read. Loose pages can

easily get out of order; paper clips often slip and can mix papers together. Your paper can easily get jumbled together with other people's projects. Another way to be sure that each of your pages is clearly identified is to set up a header including your name, a short version of the title if you wish, and the page number.

FORMAT FOR QUOTATIONS

Quoting the words of recognized experts can be a very effective way to reinforce your arguments or state a point more clearly. Quotations should be used sparingly, however, and only when you decide that they are the most effective way to argue your point. A long string of quotations does not constitute a research paper, because there is no room for you to develop and express your own ideas. An excessive number of quotations makes the reader suspect that the writer is hiding behind the quotations to conceal the fact that he or she has nothing original to say.

The proper format for quotations seems to cause problems for many students. First of all, direct quotations must be clearly marked. Citing the exact words of another author without quotation marks and a footnote acknowledging your source is unethical; see the discussion of plagiarism in Chapter 4. Different kinds of quotations are handled in different ways.

Short Quotations

Quotations are defined as short when they occupy less than three to ten full lines, depending on which guide you read. Turabian (5.4) defines short quotations as anything less than two full sentences occupying eight lines of text. Short quotations are integrated into the body of the text and placed in quotation marks. For example:

Rosen finds the term "recapitulation" misleading. "If we use it to mean a simple repeat of the exposition with the secondary material put into the tonic, then the whole idea must be thrown out as unclassical: this type of recapitulation is the exception rather than the rule in the mature works of Haydn, Mozart, and Beethoven."¹

Note that the material cited must be quoted exactly, with the author's spelling and punctuation intact. One could argue that Rosen should have used a semicolon rather than a colon in line 3, after "unclassical," between two independent clauses not joined by a conjunction, but when quoting another author, the writer must quote exactly. Note also the order of the punctuation marks at the end of the quotation: period, then quotation marks, then the superscript footnote number.

Block Quotations

Long quotations—anything longer than three to ten lines, or in Turabian's view, two complete sentences occupying more than eight lines—should be set off from the body of your text. Long quotations, also called *block quotes* or *extracts*, are started on a new line, single-spaced (according to most style guides), and indented (Turabian 5.4). Style guides vary in describing how far to indent block quotations; most specify four or five spaces. If the opening of the quotation is the beginning of a new paragraph in the original source, the first line of your block quote may be indented further than the rest, just like the opening line of any paragraph. If a new paragraph begins within the block quote, indent that first line as well, but single-space between the paragraphs. When block quotations appear on the page in this special format, there is no mistaking that the quoted material is distinct from your own text. For that reason, quotation marks are not needed at the beginning and end of block quotes; the appearance of the page makes clear that these are not the writer's own words. Since there are no quotation marks around the whole citation, material that appears inside quotation marks within the cited material is put inside double quotation marks, not the single quotation marks one would normally use for a quotation within a quotation. Although it is possible to introduce a long quotation with an incomplete sentence, such as "As Rosen says," and then start the block quote on a new line, that method sometimes seems awkward. It is easier to introduce the quotation with a complete sentence. If the first line of text after a block quote continues the paragraph that preceded the quote, it begins at the left margin; if it starts a new paragraph, it is indented as usual.

Whenever you are contemplating including a long quotation in your paper, stop and think about its effectiveness. It is generally possible to achieve the same effect in other ways, such as paraphrasing or summarizing the content of most of the quotation, and selecting one particularly strong sentence or phrase to quote. On the other hand, the long quotation may be the best way to make your point. As is true in so many matters, moderation is the rule. If you use too many long quotations, you create the impression that you are simply stringing together apt quotations that you found, rather than formulating your own ideas and writing your own prose.

Ellipsis and Editorial Additions

If you omit some words from a direct quotation, either a short quotation or a block quote, honesty and accuracy demand that you signal that omission, called an *ellipsis*, by the use of three spaced periods to show where material was left out (Turabian 5.18-23). If the material preceding the ellipsis ends with a period or the following material starts a new sentence, use four spaced periods. Most word-processing programs produce a special character consisting of three spaced dots rather than three separate periods.

As Rosen says, "If we use it to mean a simple repeat of the exposition . . . then the whole idea must be thrown out as unclassical."

Be careful in your use of ellipses. The preceding example is not a legitimate use of an ellipsis, since it misrepresents what Rosen said: obviously, he did not mean to define recapitulation as a simple repeat of the exposition. The omitted qualifying phrase, "with the secondary material put into the tonic," is essential if the quotation is to make sense. Even when use of an ellipsis does not misrepresent what the original author wrote, it can be confusing to the reader and can raise questions about your argument. The reader naturally wonders what was left out, why it was left out, and how the omitted material might change the force of the quotation.

If you feel required to add something to a quotation for the sake of clarity, you must make clear to the reader that you are doing so by putting the editorial comment in *square brackets*—not parentheses (Turabian 5.35). Such interpolations may be necessary to supply contextual material that is not clear in the sentence cited, such as the antecedent for a pronoun that appears in the quoted section. Square brackets are a universal sign of editorial additions. Without them, you are technically misquoting the cited author by creating the impression that the insertion is part of the direct quotation. If you wish to clarify what Rosen means by "it" in the above quotation, for example, you must enclose the added antecedent in brackets.

Incorrect: If we use it—the term recapitulation—to mean a simple repeat of the exposition . . .

Correct: If we use it [recapitulation] to mean a simple repeat of the exposition . . .

[sic]

There is a special editorial comment one can insert within quotations to let the reader know that the writer is quoting the source exactly, and that mistakes that appear in the text are the responsibility of the cited author, not the writer. The Latin word *sic* ("thus") is inserted in square brackets after an apparent error (Turabian 5.36), meaning "This is the way it appears in the source." Since *sic* is a foreign word, it is set in italics, since it is a complete word, not an abbreviation, it is not followed by a period.

Thomas Morley, in *A Plaine and Easie Introduction to Practicall Musicke* [sic], takes a somewhat different approach.

In this case the use of *sic* is not necessary. Since anyone with any knowledge of Elizabethan English is aware that spelling at that time was erratic, the [sic] seems overly cautious or pretentious. There are situations, however, in which this device is useful. When you are sure, for example,

that a date in a quotation is wrong, you can use *sic* or insert the correct date in brackets so that the reader understands that you are aware of the error. Some experts would set *sic* in standard type, rather than in italics, Turabian (2:25) and the *Chicago Manual* (7.56) recommend italics.

BIBLIOGRAPHY AND FOOTNOTE FORM: HUMANITIES STYLE

The following section is a summary of the detailed guidelines for formatting bibliographies and footnotes as given in the Turabian manual and *The Chicago Manual of Style*, and is adapted from the analogous section in Wingell and Herzog, *Introduction to Research in Music*. Note that the various guides do not always agree on every detail of a particular kind of citation, although the general principles are clear; a guide may also list more than one way of dealing with a particular issue. In these cases, you are free to follow any format found in one of the accepted guides, unless your instructor or institution insists that you follow one particular guide or format for school projects. In both bibliography and footnote references, you must be both clear and consistent; if you choose one option for listing volume and page number of a periodical early in your bibliography, you must follow that format all the way through.

Note that this section treats format issues for bibliographies and footnotes together, going through each type of resource (books, articles, etc.) in order. The main difference between bibliography and footnote format is that bibliography entries are written as a series of separate "sentences," each bit of information starting with an uppercase letter and ending with a period. Footnotes, on the other hand, are written as single "sentences," with commas rather than periods in between the various items of information and parentheses enclosing the publication information. Note also that the footnote format listed here is for the first reference in a paper; see additional note 9 under the **Books** section for ways to refer to the same items later in the paper, after the complete information has been listed in an earlier footnote.

Books

Bibliography—basic form Author, last name first. *Title: Subtitle*, in italics. City: publisher, year. Bibliography entries are *out-dented*—that is, the first line of each entry is flush with the left margin, and subsequent lines are indented one tab stop. This technique is sometimes referred to as a *hanging indent*.

Smith, John. *The Music of John Cage: An Analytic Guide*. New York: W. W. Norton, 1982.

Footnote—basic form Author, first name first, title and subtitle, in italics (city: publisher, year), and page numbers, if you wish to cite a particular passage. Footnotes are *indented*—that is, the reference number and first line of the entry are indented one tab stop, and subsequent lines are

flush with the left margin (Turabian 14.13). Footnotes begin with the reference number—either a superscript number or a standard numeral followed by a period. Footnotes, unlike bibliography entries, frequently end with page numbers referring to a particular passage relevant to the issue under discussion. To refer to a single page, type the letter "p" followed by a period, a space, and the number. To refer to several pages, "pp. 24–29" is clearer than the alternative "pp. 24 ff." signifying "page 24 and the following pages." Some guides allow the omission of "p." if there is no possibility of confusion. All footnotes end with a period.

John Smith, *The Music of John Cage: An Analytic Guide* (New York: W. W. Norton, 1982), pp. 132–45. Or . . . (New York: W. W. Norton, 1982), 132–45.

Additional Notes for Both Bibliography Entries and Footnotes

1. In a bibliography, if there are multiple authors, the name of the first listed author appears last name first; the names of subsequent authors are usually listed in normal order, but may also be listed with the last name first. In footnotes, the names of all authors are listed in normal order.

Bibliography

Smith, John, Walter Brown, and William Jones, *Jochim Raff, Neglected Genius*. New York: W. W. Norton, 1939.

OR

Smith, John, Brown, Walter, and Jones, William, *Jochim Raff, Neglected Genius*. New York: W. W. Norton, 1939.

Footnote

John Smith, Walter Brown, and William Jones, *Jochim Raff, Neglected Genius* (New York: W. W. Norton, 1939), pp. 37–43.

2. In the bibliography, if there are multiple entries by the same author, it is not necessary to type out the author's name each time. After the first entry by the author, instead of the name enter a long dash—Turabian (9.27) specifies an eight-space dash, and Chicago (16.84–85) says a three-em dash—followed by a period and the title. If there is a second author, the dash is followed by a comma and the name of the joint author. Entries under the single author's name should be alphabetized by the first word (excluding articles) of the title; the entries by multiple authors come after all the entries by the single author, and, if there are several such entries, they too should be alphabetized by first word of the title.

Smith, John, *John Cage Remembered*. Bloomington: Indiana University Press, 1994.

_____. *The Music of John Cage: An Analytic Guide*. New York: W. W. Norton, 1982.

_____, Walter Brown, and William Jones. *Jochim Raff, Neglected Genius*. New York: W. W. Norton, 1939.

3. In both bibliography and footnotes, titles in foreign languages must include all diacritical marks and follow the rules of capitalization of that particular language. Learn how to enter diacritical marks in your word-processing program, and copy titles and foreign names exactly. For capitalization of titles in foreign languages, learn the rules for each language, or copy the title exactly as it appears in a reliable reference work. The basic rules for the languages you are most likely to cite are as follows. In German titles, capitalize the first word of the title and all nouns; in French, Italian, and Latin titles, capitalize only the first word and proper nouns. When in doubt, find the title in a reliable reference work and copy it exactly the way you find it.

4. In both bibliography and footnotes, if the book has a subtitle that you decide to include in your citation, it is customary to add a colon between title and subtitle. Thus, although the title and subtitle are usually printed on the title page of the book in different styles and sizes of type, without any punctuation, in bibliography and footnote entries both the title and subtitle are listed in regular type with the added colon. Thus:

Rosen, Charles. *The Classical Style: Haydn, Mozart and Beethoven*. . . .

5. In both bibliography and footnotes, additional information—such as the number of volumes, edition number, translator, or title of the collection from which the individual volume is taken—is placed after the title and before the publication information. In both bibliography and footnotes, if you are using a later edition of a book, list the publication information for the first edition first, and then add the publication information for the edition you used. Both Turabian (8.45) and Chicago (17.79, 17.83-84) specify that notations such as “second edition” and “three volumes” should use numerals and normal letters, not superscripts, for the ordinal numbers (2nd, 3rd, 4th, etc.). If your program, trying to be helpful, automatically makes those letters superscripts, figure out how to cancel this habit.

Bibliography

Smith, John, and William Jones. *Jochim Raff, Neglected Genius*. The Great Composers Series. 2nd ed. 2 vols. Translated by Edward Miller. New York: Norton, 1924; reprint, New York: Dover, 1989.

Footnote

¹John Smith and William Jones, *Jochim Raff, Neglected Genius*, The Great Composer Series, 2nd ed., 2 vols., translated by Edward Miller (New York: Norton, 1924; reprint, New York: Dover, 1989).

6. In both bibliography and footnotes, if the place of publication is not a well-known city such as New York, Boston, London, Paris, or Vienna, or if there is the possibility of confusion with another city of the same name, one must add the state, province, or country for further identification.

Cambridge: Cambridge University Press, 2004.
 Cambridge, MA: Harvard University Press, 2004.
 Washington, DC: Smithsonian Institution Press, 2003.
 Upper Saddle River, NJ: Prentice Hall, 2005.
 Boston: Houghton Mifflin, 2004

Note that “Cambridge” alone means the original one in the United Kingdom; for the U.S. city, use “Cambridge, MA.” Washington is certainly a well-known city, but to avoid confusion with the state it is proper to add “DC.” The last two examples illustrate the basic rule—Upper Saddle River is not a well-known city; Boston is. Note also the general use of the two-letter postal codes for states (Chicago 15.29), without periods, although some guides prefer the older abbreviations for states (Calif., Mass., etc.).

When the publisher’s name includes the name of the state, as in the case of many university presses, it is not necessary to add the abbreviation for the state after the name of the city, even if the city is not well known. The reader can be trusted to infer that the Indiana University Press is probably located in Indiana.

Bloomington: Indiana University Press, 1987.

Chapel Hill: University of North Carolina Press, 2002.

7. In both bibliography and footnotes, the publisher’s name can be listed either as it appears on the title page or in shortened form, provided that the publisher is clearly identified. Thus, instead of “W. W. Norton & Co.,” one can write “W. W. Norton” or “Norton,” on the grounds that the company is well known (Turabian 8.58-59; Chicago 17.103-6). This approach is consistent with the trend toward simplifying citations. If you cite the full name of a publisher, cite it exactly as it appears on the title page, including details of spelling and punctuation, but leave out *Inc.*, *Ltd.*, and the equivalent foreign terms. *The Chicago Manual of Style* also allows either the ampersand (&) or “and,” no matter what appears on the title page.

W. W. Norton & Co. (with an ampersand or “and”)

Simon & Schuster (with an ampersand or “and”)

Harcourt Brace Jovanovich (no commas, no “and,” no ampersand)

Consistency, as always, is important. Cite all publishers either by full name or by a shortened name, and use either “and” or an ampersand in all instances.

8. Listing the date of publication is generally easy enough; in modern books, the date is listed on the reverse of the title page, somewhere in the copyright information. If you use a modern edition of an older book, list the date of the first publication as well as the date of the version you actually used. If no date of publication is given, even in the copyright information, you may use the abbreviation “n.d.” (“no date”) in place of the date in the entry, or

simply list place and publisher, with a comma separating them rather than the usual colon. Listing the dates of some types of publications, such as translations and reprints of older books, can get complicated; the *Chicago Manual* (17.115-122) discusses some of the special situations that may arise.

9. All the information and examples above regarding footnotes apply to the first time the work is cited. If a work is cited a second or third time, a shorter form is used, including just enough information to make clear which previously cited work the author is referring to. For example, if only one work by an author has been cited previously, that work can be cited again by simply using the author's last name. This practice replaces a group of Latin abbreviations and the complicated rules for their use found in older style guides—*op. cit.*, *loc. cit.*, *art. cit.*, etc.

¹Smith, p. 422.

If more than one work by Smith has been cited previously, the writer must specify which work he means, using a shortened form of the title. For example, if several books by John Smith have been cited previously, *John Cage Remembered* can be cited in the following way in a later footnote. If two or more authors named Smith has been cited previously, add the initial of the first name to specify the author you are citing.

¹Smith, *Cage Remembered*, p. 422.

The main requirement is clarity—there should be no possible doubt about which work the writer is citing.

10. Finally, there is one Latin abbreviation still in use that can be quite handy—*ibid.*, an abbreviation for “*ibidem*,” meaning “in the same place.” If you want to cite the same work and same page as in the previous footnote, just write “*Ibid.*” This term is set in roman type, not italics, and is always followed by a period, since it is an abbreviation (Turabian 8.85-86; Chicago 16.47-48). If you want to cite a different page in the same work, write “*Ibid.*, p. 46.” Or “*Ibid.*, 46.” This handy abbreviation works only to refer to the source cited in the previous note; you cannot use “*ibid.*” to refer to works cited in any other notes or on earlier pages.

Dissertations

Dissertations that have been published as books are cited just like other books, listing place of publication, publisher, and date as the publication information. For dissertations that have not been published, the format is different; the title is placed in quotation marks, like the title of an article, and the degree, granting institution, and date of conferral take the place of the publication information.

Unpublished dissertation—bibliography
Smith, Joan. “Hindemith’s Early Songs.” Ph.D. dissertation, University of Chicago, 1989.

Unpublished dissertation—footnote
¹Joan Smith, “Hindemith’s Early Songs,” Ph.D. dissertation, University of Chicago, 1989.

Published dissertation—bibliography
Jones, Jane. *The Ballate of Francesco Landini*. Ann Arbor: University of Michigan Press, 1990.

Published dissertation—footnote
¹Jane Jones, *The Ballate of Francesco Landini* (Ann Arbor: University of Michigan Press, 1990).

Articles in Dictionaries and Encyclopedias

Bibliography—basic form for unsigned articles Editor of lexicon, last name first. *Title*. Place: publisher, date; s.v. “Title of article.” “S.v.” is an abbreviation for the Latin words “sub verbo,” or “sub voce,” meaning “under the word”; the plural form is “s.vv.” This abbreviation directs the reader to the specific entry or entries the writer wishes to cite.

Slonimsky, Nicolas, ed. *Baker’s Biographical Dictionary of Musicians*, 8th ed. New York: Schirmer Books, 1992; s.v. “Mahler, Gustav.”

Footnote—basic form for unsigned articles Editor of lexicon, *Title* (place: publisher, date); s.v. “Title of article.”

¹Nicolas Slonimsky, ed., *Baker’s Biographical Dictionary of Musicians*, 8th ed. (New York: Schirmer Books, 1992); s.v. “Mahler, Gustav.”

Notes

1. Sometimes a reference work has existed for a long time and several editors have worked on it. In those cases, the work may be alphabetized under its long-standing name, with the present editor listed afterwards. The one-volume dictionaries listed previously are frequently cited in this way.

Bibliography

Baker’s Biographical Dictionary of Musicians, 8th ed. Edited by Nicolas Slonimsky. New York: Schirmer Books, 1992; s.v. “Mahler, Gustav.”

Footnote

¹ *Baker's Biographical Dictionary of Musicians*, 8th ed., edited by Nicolas Slonimsky (New York: Schirmer Books, 1992); s.v. "Mahler, Gustav."

2. In the case of larger encyclopedias such as *The New Grove Dictionary of Music and Musicians* and *Die Musik in Geschichte und Gegenwart*, which contain long articles by recognized authorities, an alternative format is to cite the article by the author and title of that article, followed by the title of the lexicon and the publishing information. When compiling a bibliography, one often finds that books and articles by the same author who wrote the article in a lexicon are already listed in the bibliography. It makes sense to include the lexicon article in the same place under the author's name. In addition, since some of the articles in these lexicons are book-length monographs, the authors deserve specific mention in the citation.

Bibliography—basic form for signed articles Author's name, last name first. "Title of article." *Title of lexicon*, edition. Editor's name, volume and page. Place: publisher, date.

Powers, Harold. "Mode." *New Grove Dictionary of Music and Musicians*, 2nd ed. Edited by Stanley Sadie and John Tyrrell, 7:334–367. London: Macmillan, 2001.

Footnote—basic form for signed articles Author's name, "Title of article," *Title of lexicon*, edition, editor's name, volume and page (Place: publisher, date).

¹ Harold Powers, "Mode," *New Grove Dictionary of Music and Musicians*, 2nd ed., edited by Stanley Sadie and John Tyrrell, 7:334–367 (London: Macmillan, 2001).

Notes on Articles in Lexicons

1. The standard guides have little to say on the issue of citing lexicons such as the *New Grove* or *MG&G*; their rules are clearly designed for citing well-known works such as *Encyclopaedia Britannica*. They recommend omitting the publication information when citing standard sources; the citation then lists only title, edition, and specific entry. Perhaps it would make sense to use this system for the specialized lexicons that we cite frequently in music research.
2. There are different ways to cite volume and page number when listing an article in a lexicon. The listing of volume and page may appear at the end of the entry, after the publication information. Note that in the examples, the abbreviations for "volume" and "page" are omitted; the number of the volume is followed by a colon and page numbers. That system works well, as long as it is clear what the numbers mean.

Bibliography

Planchart, Alejandro. "Dufay." *The New Grove Dictionary of Music and Musicians*. 2nd ed. Edited by Stanley Sadie and John Tyrrell, 8:235–279. London: Macmillan, 2001.

OR . . . Edited by Stanley Sadie and John Tyrrell. London: Macmillan, 2001. 8:235–279.

Footnote

¹ Alejandro Planchart, "Dufay," *The New Grove Dictionary of Music and Musicians*, 2nd ed., Edited by Stanley Sadie and John Tyrrell, 8:235–279 (London: Macmillan, 2001).

OR . . . , edited by Stanley Sadie and John Tyrrell (London: Macmillan, 2001), 8:235–279.

Articles in Periodicals

Bibliography—basic form Author, last name first. "Title of Article: Subtitle." *Title of Journal* volume number (year): page numbers.

Wallace, Robert. "Poetic and Musical Structures in the Songs of the Troubadours." *Journal of the American Musicological Society* 34 (1974):14–32.

Footnote—basic form Author, first name first, "Title of Article: Subtitle," *Title of Journal* volume number (year): page numbers.

Citing the entire article
¹ Robert Wallace, "Poetic and Musical Structures in the Songs of the Troubadours," *Journal of the American Musicological Society* 34 (1974):14–32.

Citing a particular passage

¹ Robert Wallace, "Poetic and Musical Structures in the Songs of the Troubadours," *Journal of the American Musicological Society* 34 (1974):14–32; see pp. 30–32.

Note In both bibliography and footnotes, use arabic numerals for volume and page numbers, even if the periodical uses roman numerals. Note also that the date appears in parentheses after the volume number, with no punctuation in between them (Turabian 8.101). Remember also that, in the case of scholarly periodicals, there is no need to list any of the other information that might appear on the title page, such as issue number or season of the year, since the issues for a particular year are paginated continuously and eventually bound as a single volume. The only information one needs to locate the article is volume number, year, and pages.

Articles in Collections of Essays

Basic form, both bibliography and footnote The name of the author and the publication information are dealt with exactly as in the case of books. The title of the article is enclosed in quotation marks. The additional information—"In," the title of the collection in italics, the editor's name, and the page numbers of the cited article, along with any other additional information—is listed after the title of the article and before the publication information (Chicago 17.69).

Bibliography

Wilson, George W. "Monteverdi's Venetian Operas." In *The Monteverdi Companion*, edited by Denis Arnold, 332–359. Chicago: University of Chicago Press, 1987.

Footnote, citing a specific page

¹George W. Wilson, "Monteverdi's Venetian Operas," in *The Monteverdi Companion*, edited by Denis Arnold (Chicago: Chicago University Press, 1987), p. 356.

Scores

Scores and recordings are often listed in a separate section apart from the listings of books and articles. Scores are cited in both bibliographies and footnotes in much the same way as books; in bibliographies they are alphabetized by the composer's last name. In both bibliographies and footnotes, the composer's name is first, followed by the title of the work. If the work cited is part of a larger work, that title comes next, followed by the name of the editor (if there is one listed), and the usual publication information—place, publisher, and date. Footnote references make the same format changes as in the case of books (Turabian 8.142–43; Chicago 17.263).

Bibliography

Mahler, Gustav. *Das Lied von der Erde*. Kassel: Bärenreiter, 1976.

Footnote

¹Gustav Mahler, *Das Lied von der Erde* (Kassel: Bärenreiter, 1976).

Note Citing scores is not always as straightforward as this example would indicate. Scores often list editors, they may be contained in large collected sets that have their own titles and editors, works may have nicknames ("Eroica," "Farewell") that should be listed, and so forth. Generally, just as in the case of books, any additional information is placed after the title and before the publication information. Further issues about citing musical works will be discussed later in this chapter.

Bibliography

Bach, J. S. *Cantata no. 78, Jesu der du meine Seele*, edited by Alfred Dürr. Series 1, Band 2 of *Neue Ausgabe sämtlicher Werke*, edited by Johann Sebastian Bach Institut of Göttingen and the Bach-Archiv of Leipzig. Kassel: Bärenreiter, 1954–.

Footnote

¹J. S. Bach, *Cantata no. 78, Jesu der du meine Seele*, edited by Alfred Dürr, Series 1, Band 2 of *Neue Ausgabe sämtlicher Werke*, edited by Johann Sebastian Bach Institut of Göttingen and the Bach-Archiv of Leipzig (Kassel: Bärenreiter, 1954–).

Sound Recordings

Basic form—bibliography Composer, last name first. Title of the work or title of the recording if it is different from the title of the work, in italics. Manufacturer, number, date. If you wish to list principal performers, that information is listed after the title of the work and before manufacturer, number, and date (Turabian 8.144; Chicago 17.268).

Mahler, Gustav. *Das Lied von der Erde*. Kathleen Ferrier, mezzo-soprano, Vienna Philharmonic Orchestra, cond. Bruno Walter. Deutsche Grammophon, 410 715-2, 1982.

Basic form—footnote The same kinds of format changes are made as in the case of books—the composer's name is listed first name first, commas appear between items of information, publication information (here, manufacturer, number, and date) is enclosed in parentheses, and there is a period at the end.

¹Gustav Mahler, *Das Lied von der Erde*, Kathleen Ferrier, mezzo-soprano, Vienna Philharmonic Orchestra, cond. Bruno Walter (Deutsche Grammophon, 410 715-2, 1982).

Citing Interviews, Correspondence, etc.

The standard resources may not be of much use for some types of specialized research, such as the study of recent music or events. Research in these areas generally involves unusual research methods, such as listening to taped interviews collected in archives or contacting knowledgeable people directly through interviews, correspondence, or e-mail. There are standard ways to cite various kinds of interviews; both *The Chicago Manual of Style* (17.204–9) and the Wingell/Herzog *Introduction to Research in Music* discuss these special format issues. Most undergraduate writing projects are not likely to involve this kind of research; should you find yourself involved in such a project, consult those sources to see how to cite interviews. Regarding the

question of interviewing experts, I read recently that prominent scholars sometimes find themselves besieged by e-mail messages from undergraduate students seeking help on their assignments, sometimes apparently at the urging of their instructors. Of course it is easier to fire off an e-mail inquiry than to do your own research, but imposing on someone's time in this way hardly seems justified. The researcher can probably find books and articles in which these experts have already explained their ideas. Interviews and personal inquiries are appropriate only when you are doing highly specialized research and only after you have exhausted all the normal channels for gathering information.

Citing Electronic Resources

In Chapter 3 we spoke about electronic resources for research. Since the researcher can now consult online journals, databases, bibliographic resources, and other sources of information, we need a standard format for citing Web sites and other electronic resources. There has been considerable change in this area since the third edition of this guide was published. At that point, the standard guides had not kept pace with the rapid growth of research sites on the Internet, and the best source for up-to-date advice was the FAQ ("Frequently Asked Questions") section of *The Chicago Manual of Style* Web site. Since then, the fifteenth edition of the *Chicago Manual* has appeared, and it includes a straightforward, helpful section on citing electronic sources (17.4-15). At the time of the third edition, the academic world seemed somewhat at a loss about citing these new Web sites; the publication of Chicago 15 has restored sense and order to this question.

Note that, as we mentioned in the Preface, the sixth edition of Turabian is coordinated with Chicago 14, an earlier edition of the *Chicago Manual*; the seventh edition, which appeared in April 2007, is coordinated with Chicago 15. By the time you read these pages, the seventh edition of Turabian will be available. I recommend following either Turabian or Chicago 15 as the authoritative guide in these matters. In addition to the general section cited above, Chicago 15 includes examples of electronic sources in each of the sections on citing various kinds of publications—books, journal articles, lexicons, etc.

General principles The basic approach of Chicago 15 brings reason and logic to the discussion of this relatively new issue in the academic world. Cite electronic resources just as you cite books and articles—cite the author, if a specific author is listed, or the organization that produced the Web site; then the title of the site; next, the date of publication; and finally, the URL (Uniform Resource Locator) or address of the site. First we need to discuss some technical issues about citing URLs.

Citing URLs Since, as you are aware, computers are literal and URLs are often complicated, it is important to cite URLs carefully, including all the

dots, slashes, tildes, and other characters that separate elements, including the "trailing slash" that ends some URLs. The easiest way to cite a URL may be to copy and paste it from the source into your draft. Because some URLs are case sensitive, it is a mistake to change any lowercase letters to capitals or make any other small editorial changes. Even if the URL begins after a period, the first letter of the URL should not be capitalized. At the time of the last edition of this guide, in the interest of making a clear distinction between the URL and surrounding text, we were told to enclose all URLs in angle brackets (<>). Chicago 15 now regards that practice as unnecessary and incorrect, since angle brackets often have a special technical meaning in the context of computer language. In addition, it is now correct to add a period at the end of a URL if the context requires one—for example, at the end of a sentence, footnote, or bibliographic entry. It is clear that as we become more used to dealing with these once strange and exotic strings of abbreviations and symbols, we are less worried about making clear that they are distinct from ordinary text.

One technical issue in citing URLs is dealing with line breaks when it is necessary to run an URL over to a second line. The *Chicago Manual* recommends putting the break *after* a slash, but *before* a period, comma, tilde, hyphen, underline, or other symbol. The reason is clear—moving the period to the start of the second line makes clear that the URL continues on that line rather than ending on the previous line. Likewise, never add a hyphen at the line break; the reader will interpret that hyphen as part of the URL. In addition, if a hyphen is part of the URL, put that hyphen at the start of the next line, not at the end of a line. These recommendations make perfect sense if you understand how URLs work and if you are interested in citing Web sites accurately.

Access dates Citing access dates is another issue in which the thinking has changed in just a few years. Guides used to think it was essential to cite the date that the writer accessed each Web site, since the Internet is in constant flux—sites appear and disappear or change constantly. Chicago 15 takes a commonsense approach—if it makes a difference or is important for some reason, cite the date of access; otherwise, it is not necessary. Papers on music frequently cite the *New Grove Dictionary* as a basic resource; as you know, *Grove Music Online* is constantly being updated, so the access date can make a difference. On the other hand, the date of each updated article is listed prominently online in the heading of the article. I think it makes more sense to list the date of the revised article in the citation, just like the date of publication of any other resource, and then omit the date of access.

Resources available in both print and electronic versions A related issue is whether or not it is important to cite both the print and electronic versions of resources that are published both ways. When the content in both versions is the same—for example, journal articles that are available on

the JSTOR site—it does not matter whether you sat in the library and read the article from a bound volume of the journal or read it on your laptop in Starbucks or your dorm room. On the other hand, since the JSTOR archive does not necessarily contain complete runs of all journals, it might be helpful to add “also available in the JSTOR archive online” at the end of a citation of a journal article. Perhaps it is still worth mentioning which version you used for your research; you might ask your instructor for advice on this question.

When the versions are different—for example, articles in the *New Grove* that have been revised or updated in the online version—obviously it is necessary to cite the version you used. Also, it clearly makes sense to check the online version to see if the article you plan to consult is available in a revised version. On the *Grove Music Online* Web site, the editors list their recommended ways to cite both the print and online versions of *New Grove*, which differ somewhat from the standard guides; you might check with your instructor to see whether it is permissible to follow the editors’ recommendations.

Following is an example of a citation of an electronic resource, in this case an article in an online scholarly journal. The URL is necessary, since it is the only way to gain access to the article.

Schulenberg, David. “Some Problems of Text, Attribution, and Performance in Early Italian Baroque Keyboard Music.” *Journal of Seventeenth-Century Music* 4, no. 1 (1998). <http://www.sscm-jscm.org/jscm/v4/n01/schulenberg.html>.

This is an actual article; look it up on your computer if you have not yet browsed through an online journal. Note that it is easy to figure out what the various components of the URL mean—the Society for Seventeenth-Century Music (and its journal), a non-profit organization, published this article in its journal, Volume 4, number 1. Note also the period at the end, which is not part of the URL but ends the entry. This is a bibliography entry; a footnote would make the usual changes—the order of the author’s name, and commas instead of the periods in the bibliography entry.

¹David Schulenberg, “Some Problems of Text, Attribution, and Performance in Early Italian Baroque Keyboard Music,” *Journal of Seventeenth-Century Music* 4, no. 1 (1998); <http://www.sscm-jscm.org/jscm/v4/n01/schulenberg.html>.

For further examples of citing electronic resources, see the examples in Chicago 15, Chapter 17, under ways to cite various kinds of publications. In conclusion, the business of citing electronic resources is fairly new and still evolving. The editors of Chicago 15 anticipate that a simpler set of permanent identifiers for electronic sources will emerge in the future. In the meantime, follow the advice of Chicago 15 and Turabian 7 and the usual principles regarding format issues: Base your decisions on logic and common sense, and be consistent.

THE AUTHOR-DATE SYSTEM OF CITATION

The author-date system of citation, which uses *reference lists* (or “lists of works cited”) rather than bibliographies and brief *parenthetical notes* rather than footnotes or endnotes, was once used only in the natural and social sciences. It is now sometimes used in other disciplines as well. For music majors, particularly music education majors, who may be directed to use this system, the following brief guide to the system should be helpful.

The system is explained in detail in both Turabian (10.1-34) and the *Chicago Manual* (16:90-120); Turabian also adds a long chapter comparing the correct format for various kinds of publications as they would appear in footnotes, bibliography entries, parenthetical notes, and reference list entries. The fundamental difference between the two systems is that the author-date system, instead of a footnote, places within the text a brief parenthetical citation, usually consisting of the author’s last name and the date of the publication. The reference list resembles a bibliography, alphabetized by last names of authors; the date is cited immediately after the author’s name and directs the reader to the correct full citation in the reference list. In the author-date system, the reference list is the important element, since it is the only place in which the full citation appears. Note that there must be an item in the reference list for every parenthetical citation, and the author’s name and the date of the publication must match exactly in both places. Without a corresponding item in the reference list, a parenthetical citation is of little help to the reader. We turn now to the proper format for reference lists and parenthetical citations.

Reference Lists (Lists of Works Cited)

Reference lists are formatted very much like bibliographies, with one important exception: since the date is the crucial element in matching items in the reference list to the parenthetical citations in the text, the date appears, as noted earlier, immediately after the author’s name as a separate element, rather than as the final element of the publication information at the end of the citation.

Turabian’s sixth edition assumes that the author-date system is still restricted to papers in the natural sciences, and therefore discusses the conventions of capitalization of titles that those disciplines use; here we will assume that papers in the humanities use standard capitalization for titles.

Smith, John. 2003. *John Cage Remembered*. New York: W. W. Norton.

If two publications by a single author are cited, both of which were published in the same year, lowercase letters are added to the date (in both parenthetical citations and the reference list) to distinguish them, and they

are alphabetized, as in a bibliography, by the first word of the title, excluding articles.

Smith, John. 2003a. *John Cage Remembered*. New York: Norton.

_____. 2003b. *The Music of John Cage: An Aesthetic Analysis*. Cambridge, MA: Harvard University Press.

Multiple authors, as well as additional information about editors, translators, titles of collections, and so forth, are handled exactly as in bibliographies; again, the only difference is the placement of the date of publication.

Smith, John, Walter Brown, and Thomas Jones. 1997. *Jochim Raff: Neglected Genius*.

Volume 7 of *The Great Composers Series*, edited by Ralph Cooper and Dmitri Fletcher. Boston: Houghton Mifflin.

Dissertations, periodicals, scores, recordings, Web sites, interviews, etc., are cited in reference lists just as they are in bibliographies, following the rules outlined earlier, always with the important change that the date appears as a separate item after the author's name, not elsewhere. For further information about details, consult Turabian and Chicago 15.

Parenthetical Citations in the Text

Rather than footnotes, the author-date system inserts the author's name and the date of the cited publication in parentheses within the text. Only a space, not a comma, is used to separate the name from the date.

(Smith 2003)

To cite a particular page or pages, add a comma after the date and then the page number or numbers.

(Smith 2003, 34–42)

To cite several works by the same author, along with specific pages, place a semicolon between the listings of the various works.

(Smith 2003, 34–42; 2005a, 124–35)

If two authors with the same last name are cited, the initials of their first names are added to distinguish them.

(J. Smith 2003)

(R. Smith 1997)

Multiple authors are dealt with as you would expect; if there are more than three, it is customary to cite the first name followed by “et al.”—a Latin abbreviation for “et alii,” meaning “and others.”

(Smith, Brown, and Jones 2003)

(Smith et al. 2003)

Placement of parenthetical citations Parenthetical citations can appear in any logical place in a sentence; they often are placed immediately before a punctuation mark. If the author's name appears in the sentence, the citation can omit the name and list just the date.

Some scholars take an entirely different position (Smith 2003; Jones 1998).

One scholar states that “Cage is more important as a thinker challenging the aesthetic assumptions of his time than as a musician” (Smith 2003).

One scholar (Smith 2003) takes the position that “Cage is more important as a thinker challenging the aesthetic assumptions of his time than as a musician.” Smith (2003) takes an entirely different position.

Note the punctuation of the second example. The final period, rather than coming at the end of the quotation, in its usual position before the quotation marks, comes after the parenthetical citation.

Parenthetical citations make no distinctions between various kinds of publications. “Smith 2003” could refer to a book, an article, a Web site, an interview, or any other form of publication; the reader must consult the reference list to find out exactly what the publication is. Note also that parenthetical citations identify an author and indirectly refer to the work cited, but they cannot fulfill the other functions of a footnote, such as explaining a term or adding further information. It may sometimes be necessary to use both parenthetical citations and standard footnotes in the same paper, using the parenthetical citations to identify works quoted or referred to and standard footnotes for other purposes.

There is no doubt that the author-date system is an efficient and appealing system; parenthetical citations are much simpler than footnotes, and the author-date system eliminates the need to repeat the same information in footnotes and bibliography entries. Students should understand how both systems work. You may not be able to choose the system to use in your papers; it goes without saying that you must follow the format and style guides recommended by your institution and your professor. Whichever system you use, you must use it carefully and consistently. As straightforward as the system of parenthetical citations seems, to my surprise I have seen it used incorrectly.

FORMAT ISSUES RELATED TO WRITING ABOUT MUSIC

The latest editions of both the *Chicago Manual* and the Turabian guide include brief sections on format issues related to music; see Chicago 15, 8.201–5 and Turabian 8.142–46. We cannot expect the standard guides, however, to address

all the technical issues that arise as we write about music, and the editors point out that many of their recommendations are not hard and fast rules. In addition, there are some standard conventions in scholarly writing about music that run counter to the recommendations of the standard style guides. Each specific musical topic, of course, involves its own particular editorial issues; here we will mention some general issues that arise in writing about music.

Stylistic Periods

It is standard editorial practice in writing about music to capitalize the terms we use for the historical periods—thus, the Baroque era, the Classical period, the Romantic period. We do this to distinguish these technical terms from the same words used in their general senses—for example, “those baroque decorations,” “classical music” (as opposed to popular music), or “the lyrical romanticism of a Mozart aria.” This practice runs counter to the *Chicago Manual* (8.78–79), which recommends the use of lowercase initials for all such terms, unless they represent specific historical periods such as the Renaissance or the Age of Enlightenment or they are based on proper names, such as the Victorian era. To music historians, terms such as “Baroque,” “Classical,” and “Romantic” do represent specific historical eras, and the uppercase initials are useful to avoid ambiguity. On the other hand, terms that represent styles rather than specific periods of history, such as neoclassicism, impressionism, and expressionism, are not capitalized, and note that there is no hyphen in neoclassicism.

Referring to Centuries

Many musicologists today prefer to divide the history of music by centuries rather than stylistic periods. According to the *Chicago Manual* (8.77), numerical designations of historical periods should be lowercased—the eighteenth century, the nineteenth century, the quattrocento. The numbers in references to centuries should always be spelled out—“the eighteenth century,” not “the 18th century.” Note also that there is no hyphen between the ordinal number and the word “century” when the combination is used as a noun; a hyphen is required, however, when the combination term is used as an adjective.

Brahms died near the close of the nineteenth century.

The late nineteenth-century orchestra provided a rich palette of evocative colors for composers of symphonic poems.

Referring to Musical Works

Musical works with specific titles, such as *Fantasia for the Common Man*, *Orfeo*, *Die schöne Müllerin*, or *The Sound of Music*, are easy to cite: like book titles, they are set in italics, and the writer follows the capitalization rules of

the language of the title. Format issues are more problematic in the case of generic titles (Symphony no. 42, Concerto in F Minor, Nocturne in B-flat Minor), particularly when the title also includes a subtitle, an opus number, and a catalog number; there are several options for the correct ordering of all those elements. Following are some issues that arise when referring to musical works.

Italics or quotation marks In general, italics are used for specific titles of musical works; individual numbers or movements of larger works are generally put in quotation marks, as are titles or first lines of songs and hymns (Chicago 8.202).

“I Know That My Redeemer Liveth” from *Messiah*

“Come scoglio” from *Così fan tutte*

“People Will Say We’re in Love” from *Oklahoma*

Bartók’s *Concerto for Orchestra*

“The Star-Spangled Banner”

“Amazing Grace”

“Wachet auf” (the chorale)

Wachet auf (the cantata based on the chorale)

“Hey Jude”

Note that the second example contradicts the general rule that foreign words should be italicized; foreign words within quotation marks are already clearly separated from the words of the text, and hence need not be italicized.

Generic titles Generic titles are set in roman type, not italic; the terms for genres (sonata, concerto, symphony, etc.) are capitalized when they are part of a title but lowercased when they are not part of a title.

Bartók’s Fourth String Quartet

the last string quartet that Bartók composed

Sometimes it is difficult to decide whether a title is specific or generic. Note that in an earlier example, I italicized Bartók’s *Concerto for Orchestra*, treating it as a specific title; one could argue this case is no different from the titles of Mozart’s concertos for piano or Vivaldi’s concertos for bassoon, which would be treated as generic titles, hence roman. Bach’s *Mass in B Minor* is another interesting case—I would argue that it is a specific title for a well-known work, but one can also consider it a generic title. In such a case, consult a reliable reference work to see how it formats the title, and then, whatever your final decision is, always refer to the work that way.

Sometimes there are several possible ways to list a title; the proper procedure is to cite the title exactly the way it appears in a scholarly edition or in the worklists of lexicons such as the *New Grove*. For example, here are several ways to cite the same well-known work.

Piano Concerto in C Minor, K. 491

Concerto No. 20 for Piano and Orchestra in C Minor, K. 491

Concerto in C Minor for Piano and Orchestra, K. 491

One can imagine other ways of listing this same information; imagine the range of possibilities when you cite a Vivaldi *concerto grosso*, with its list of instruments and the different numbering systems found in the three Vivaldi thematic catalogs. In such instances, follow the usual two rules—use a reliable reference work as your authority, and be consistent.

Subtitles Many works with generic titles have added subtitles that appear in citations of the work; such subtitles, whether they originated with the composer, critics, historians, or the public, have become an accepted part of the title. They are put within parentheses, with either quotation marks or italics, at the end of the work's official title. According to the *Chicago Manual* (8.203), such subtitles are set in italics if the work is long and quotation marks if the work is short. Alternatively, all such nicknames may be set in roman type within quotation marks.

Haydn, Symphony No. 102 in E-flat Major (“Drum Roll”) or ... (*Drum Roll*)

Schubert, Quintet in A Major for Piano and Strings (“The Trout”)

Symphony no. 6 in F Major (“Pastoral”) or (*Pastoral*)

the *Pastoral Symphony*

The companies who market recordings of classical music sometimes add subtitles to remind potential buyers that they might know these works through their use as background music in films. Thus, one sees titles such as Mozart’s “Elvira Madigan” Piano Concerto, or *Also sprach Zarathustra* (The 2001 Tone Poem) by Richard Strauss. These nicknames are marketing ploys, not real subtitles; I would avoid them in a research paper.

Opus numbers If numbers are included in the citation of a musical composition, the terms “op.” (for “opus”) and “no.” (for “number”) are set in roman type and usually not capitalized (Chicago 15, 8.204). When a number is used restrictively—that is, to specify a particular work within a set or genre—it is not set off by commas; a number that follows another restrictive element in the title is set off by commas, since in that case it is no longer restrictive and merely provides additional information. When numbers are spelled out in a title, they are capitalized.

Hungarian Rhapsody no. 12

Brahms’s Twelfth Hungarian Rhapsody

The Sonata in E Major, op. 45, was composed in 1822 (in this case, “op. 45” is non-restrictive).

The Sonata op. 45 was composed in 1822 (here “op. 45” is restrictive).

Sonata op. 31, no. 3, was composed . . .

Sonata op. 31, K. 415, was composed . . .

Naming Notes and Keys

The proper way of naming notes and keys in prose is different from the systems in use in other contexts, such as analysis projects. In prose, the letter for a musical note or key should be capitalized. Uppercase letters signal the reader that they are being used as letters, not words; thus, we write “T-shirt” and “an A-frame house.” We really should write “E-mail” with a capital for the same reason, but the lowercase E in “e-mail” has become the standard usage. Capitalizing notes distinguishes them from ordinary words, so that we don’t write sentences such as “Chopin composed his Prelude in a flat . . .”

If it is important in your paper to specify the exact octave in which a note appears, it may be necessary to use a system of uppercase letters, lowercase letters, and superscript numbers or strokes to designate notes in different octaves. In that case, explain the system you are using early on, in a preface or one of the first footnotes, preferably with a musical example to make things clear, and then follow the system consistently. Otherwise, in normal prose, all notes should be uppercase.

Note that this practice is different from the shorthand system often used in analysis projects, in which uppercase “C” stands for “C major” and lowercase “c” means “C minor.” In prose, always use the capital letter, adding the words “major” or “minor” if necessary. When the words “major” and “minor” appear in titles of musical works, they are capitalized.

Correct

Sonata in C Minor

The development section begins in the key of C minor.

Prelude and Fugue in E Major

Tocatta and Fugue in D Minor

Incorrect

Sonata in c

Tocatta and Fugue in d

The chromatic inflections of notes (“sharp” and “flat”) and the term “natural” should be spelled out as words, both in your text and in footnotes and bibliographies. Do not use the sharp sign (#) for “sharp” or lowercase B (or a flat sign) for “flat,” as in C# or Eb; after the uppercase letter naming the note, add a hyphen and then spell out “flat,” “sharp,” or “natural.” These

three words are not capitalized in titles; the combination of letter, hyphen, and qualifier is treated as a single term.

Correct
Rachmaninoff's Prelude in C-sharp Minor

Incorrect
Prelude in C# Minor

Prelude in c#
Prelude in C Sharp Minor

Correct
The whole-note G-sharp in the counter-tenor, altered to form the double leading-tone cadence, clashes with the shorter G-natural in the upper voice. According to some scholars, Bach associated keys such as A-flat and C minor with resignation and contemplation.

Incorrect
... Bach associated keys such as Ab and c with resignation and contemplation.

Foreign Terms

As a general rule, familiar words borrowed from foreign languages should be set in roman type, and unfamiliar foreign words should be set in italics. The problem, as you might imagine, is determining which words are familiar. Style guides used to base the distinction on the English dictionary; if a foreign word appeared in a reliable English dictionary, it was to be treated as a normal English word. Now the guides take a more nuanced approach. Foreign words "familiar to most readers" are not italicized, but may be italicized if necessary to avoid confusion (Chicago 7.54). One should also take into account the subject matter of one's paper and which foreign words are familiar in this particular field.

In the field of music, there are many terms that were once foreign words but have since become familiar English words: *allegro*, cello, *concerto*, *crescendo*, prelude, *sarabande*, *sonata*, *sonata-rondo*, *soprano*, *staccato*, and so forth. In a paper on music, these words no longer need italics. There is, however, another level of terminology in which the terms are clearly still foreign words—*sonata da chiesa*, *viola da gamba*, *oboe d'amore*, *violino piccolo*, and so forth. Current practice, particularly in the case of a foreign word that is used repeatedly in a paper, recommends italicizing the word at its first appearance, where it is defined, and setting it in roman type thereafter; if it occurs only rarely, it is better to italicize all appearances (Chicago 7.55).

In the cantata *Wachet auf, ruft uns die Stimme*, Bach calls for a *violino piccolo*, a slightly smaller violin tuned a minor third higher than the standard violin. . . . In the duet "Wann kommst du, Mein Heil?" the *violino piccolo* plays the obbligato line.

Another issue is how to make the plural forms of these foreign terms. "Concerto," a familiar word, is treated like an English word; the plural is "concertos." Thus, "Mozart did not write out cadenzas for most of his piano concertos." But if "*concerto grosso*" is a foreign word, then it should appear in italics, and its plural form should be "*concerti grossi*." That seems fussy and pedantic, but what viable alternative is there? "Concerto grossos"? "*Concertos grosso*," like "inspectors general"? Perhaps one can get away with "oboes d'amore" and "violins da gamba," treating the compound term as two separate elements, a familiar English noun and a foreign modifier. With terms such as *concerto grosso* and *violino piccolo*, however, the only plural forms I can think of are *concerti grossi* and *violini piccoli*, pedantic or not. A better solution is to rewrite any sentence that requires these plural forms. As we said earlier, there is always another way to say anything you might want to say; back up and phrase the idea in such a way that the plural form is not necessary.

Musical Examples

There is a standard format for the title or caption of a musical example. Students sometimes think that it is redundant to provide any information with an example, since they have already introduced it in the text, but there are reasons why captions are necessary. First, examples cannot always be placed exactly at the spot where they are mentioned in the text; therefore, they need to be identified clearly. Even if they are located near the relevant discussion in the text, musical examples are a form of quotation and therefore must be accompanied by the same kinds of information that accompany any quotation. Each musical example should be clearly identified—there should be no doubt in the reader's mind about precisely which page of which piece he or she is looking at. Every example should have a caption that includes the example number and the identification of the work quoted, including the composer's name, the title of the work, the movement (when appropriate), and the measure numbers. When you list measure numbers, remember that the abbreviation for measure is "m." followed by a space and the appropriate number. The plural form is "mm." followed by a space and the numbers. Do not use "ms." to mean "measures"; "ms." is the standard abbreviation for "manuscript." Finally, the title of each example should end with a footnote number, directing the reader to a note that cites the publication from which the example was taken and lists the publication information for the score.

CONCLUSION

Although this chapter has devoted considerable space to questions of format, we have barely scratched the surface: look through *The Chicago Manual of Style* for a more thorough treatment. There are two central points to bear in mind: First, there is a proper way to format and present a paper, and second, you can find answers to all your format questions in the standard guides. If you are careless about the format for footnotes and bibliography entries, you cannot expect your paper to be treated as a serious piece of work. Your work will not be taken seriously—or may not be read at all—unless you submit it in a standard format and acceptable style. Knowledge of the proper format for research papers is one of the tools of your professional “trade” and one of the ways in which you demonstrate your professional competence and ability to meet the exacting standards of the demanding world in which you have chosen to compete.

CHAPTER

Other Kinds of Writing Projects

Research papers are not the only written assignments you will encounter as you pursue a degree in music. There are other projects that involve the same challenges and skills, the same attention to research and organization of material, and the same careful preparation as writing a research paper. In addition, each of these tasks has its own special requirements; each deserves a brief discussion.

THE SEMINAR PRESENTATION

Presenting a report in a seminar is in some ways the most difficult of academic assignments. Most people feel intimidated by the prospect of addressing a group, and your peers can be the most frightening group of all. Some lucky people are blessed with an inborn knack for speaking in a natural, lively, and persuasive way. Most of us, on the other hand, feel shy and nervous when addressing a group, and nervousness shows itself in various ways, none of them helpful. Some people giggle, some try to be cute or humorous, some bluster, some hide behind a stiff and formal exterior. The most effective strategy is to be prepared, be enthusiastic, and be yourself. Once you survive the experience of your first public presentation, it becomes easier to organize a good presentation and present it effectively.

Since this guide is about writing, not public speaking, our task here is not to train persuasive speakers. Spoken style is, of course, different from written style, and preparing for an oral presentation is different in some ways from the process of writing a convincing paper, but there are important similarities. Let us look at each step of the process.