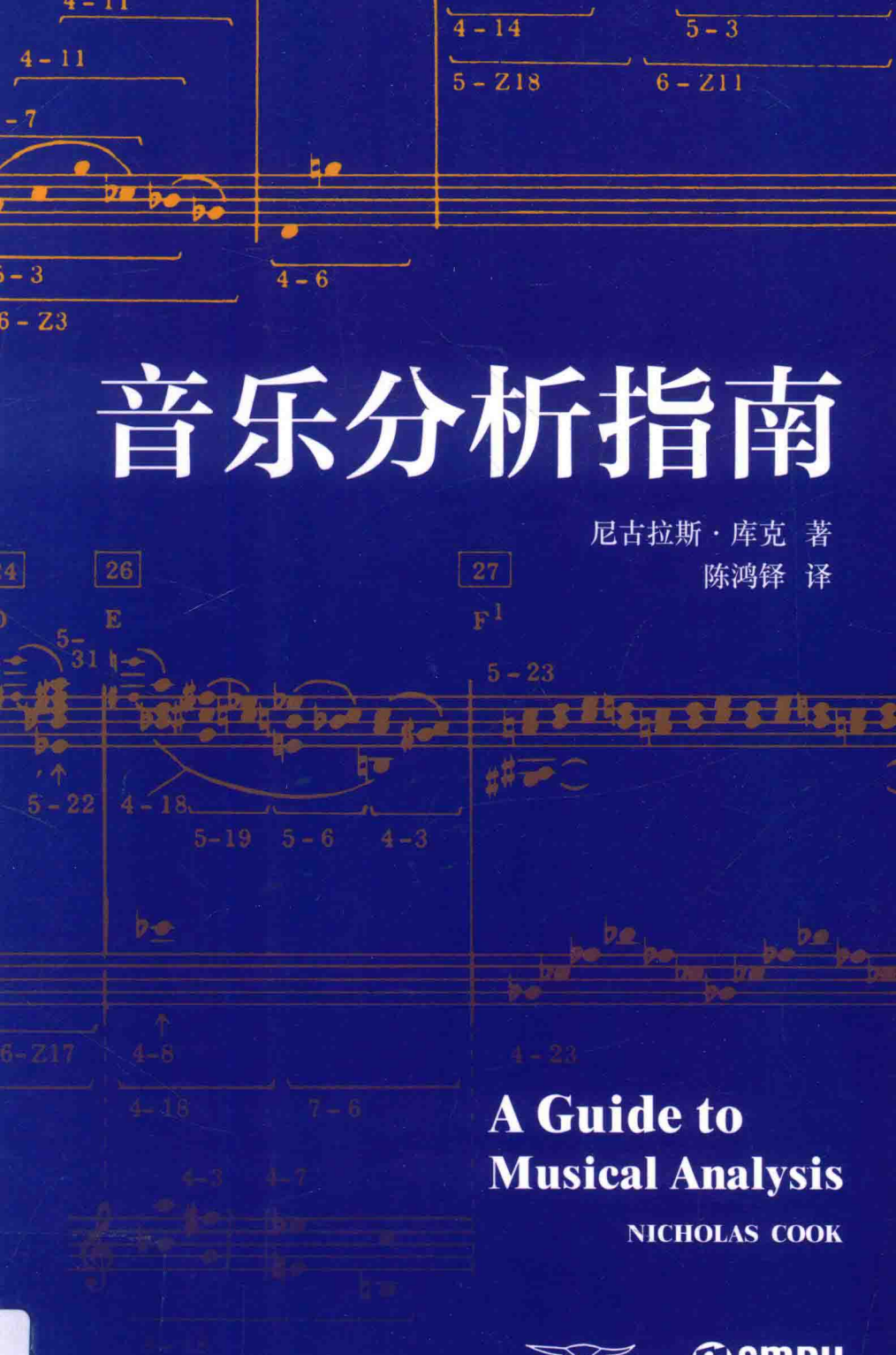

音乐分析指南

尼古拉斯·库克 著
陈鸿铎 译

A Guide to Musical Analysis

NICHOLAS COOK

NORTON
SMPH
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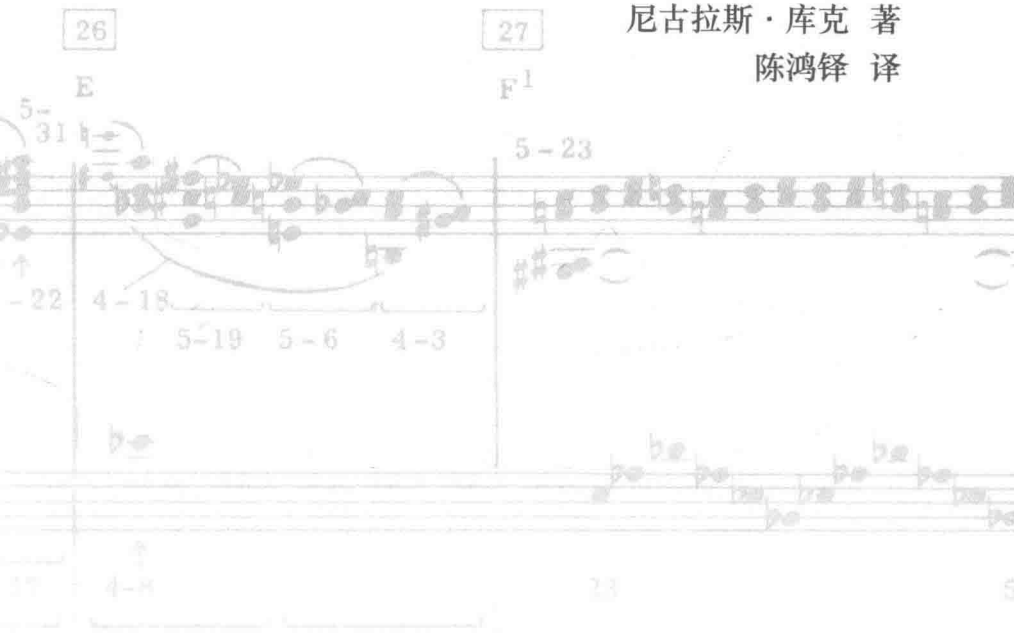

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中译本序

我常说，分析音乐就像把一只古董钟拆卸成一片片零件来观察它的机械运作。从某种意义而言，这是一个不错的类比，但从另一种意义而言，它有误导性：它假定音乐是一件东西。毫无疑问，乐谱是东西，但音乐却同样是行动——由人发出——以及由这些行动所发出的声音（无论是人们的现场演奏，还是在录音形式中）。在音乐所能采取的这些形式中，没有任何一种比其他一种更具优越性。没有一种特殊的形式，可以宣称它就是“这个音乐”的形式。所以分析音乐可能就意味着分析音乐所呈现出的任何一种或者全部的形式——即乐谱、行动和声音。它同样也意味着分析我们与它相关联的体验。所以，分析真是一件比钟表类比所暗示的要复杂得多的事情。

也许如今已经没什么必要再说这些了。从日常生活中我们知道，音乐存在于各种形式之中。然而就在几十年以前，把乐谱视同于“音乐的全部”仍是一件十分普遍的事。可是，这是一种很狭隘的理解，并且限制了人们思考音乐的方式。一方面，乐谱即“音乐”这一观念在记谱音乐与许多并没有采用乐谱记录的音乐传统之间（从当代流行音乐到传统民间音乐）制造了一道屏障。然而在当今世界，所有这些不同音乐品种自由流通而相互交融。它们共存于人们的MP3播放器和手机里，而我们用的却是同样一副耳朵在听它们。

但即便是在西方古典音乐的记谱传统中，把乐谱视作“音乐的全部”也是不太恰当的。它把作曲家置于优先地位，好像是作曲家早把意义存放在他们的乐谱中，就等表演者和聆听者来发现了（这很像考古学家挖掘古代建筑）。但很明显事实并非如此：贝多芬的《第九交响曲》现今所承载的许多意义都并非是它当初被谱写出来时就含有的。表演者和聆听者在创造音乐意义的过程中起到了举足轻重的作用。表演者并非只是简单地再现乐谱上书写的内容，而是在使用乐谱的同时，调用他们的知识、品味和个性来制造音乐。同样，聆听者（他

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们中的大部分并不阅读乐谱）先是通过聆听过程中他们的观察和感觉，后是通过他们对音乐的探讨和评论来创造音乐的意义。因此，乐谱即“音乐”这一观念贬低了表演者和聆听者的作用。正如我之前所说的，分析音乐意味着分析任何一种或全部的这些不同视角——表演者的，聆听者的以及作曲家的。

分析音乐是一种历史实践，也就是说，它是在某一时代和地域，出于某种特殊目的被发展起来的。这一时代就是十九世纪上半叶，地域则是欧洲，其目的就是想要解释贝多芬——尤其是其晚期——的音乐。贝多芬被广泛地视作他那个年代里，或许还是这个世界从未有过的最伟大的作曲家。但是，在许多方面，贝多芬的音乐在谱面上看却显得怪异，他音乐中的非连续性、寂静，以及大相径庭的表情特质的并置也同样听起来显得奇怪。坚信贝多芬伟大性的音乐家们，一直试图通过寻找深藏于可视的乐谱或可听的演奏“之下”或“背后”的逻辑性和条理性（这又可与前面提到的那个挖掘古代建筑相类比了），来找到使他的音乐具有意义的方法。尽管这开启了强大的思考音乐的新方式，但也造成了危险。首先，它理所当然地假定音乐的价值存在于其条理性和逻辑性之中，这就造成了——如我之前所说的——一种很狭隘的并且有限制性的思考方式。对于不同的人群和时代而言，音乐的价值可以以各种方式体现。其二，这种观念暗示了光听音乐是不够的。分析可以被视为建立关于音乐的客观真理，无论它是否能够被听见。

这在很大程度上解释了之后的一百五十年间，分析是如何发展起来的。本质上而言，多种多样的音乐理论方法被发展起来，每一种都与它自己的一套分析技术相关联，并且每一种都致力于建立其所认为的客观真理。二十世纪早期的奥地利作曲家阿诺德 · 勋伯格以及他的追随者们相信，伟大音乐的关键在于其动机结构，也即音乐被重复出现的音程以及 / 或节奏细胞所统一的程度。与之相反，与勋伯格同时代的奥地利音乐理论家海因里希 · 申克尔则贬斥动机学说支持者，而主张伟大音乐的关键在于其“基本线条”[Urlinie]，一种想象中的音阶进行，它位于记录在谱面的并且能够被听到的音乐表层之下，并确保音乐的条理性。每种理论都宣称了对真理的垄断。这就像宗教信仰：你同时成为动机学说和申克尔理论的支持者的可能性，不会大于你同时是一个基督徒和一个穆斯林。因此，每一套分析技术都有与之相随的一套自己的信仰，自己的教条。

这种情况直到二十世纪后期才开始发生变化，分析者在诸如动机分析和申克尔分析等不同技术之间进行调和。比方说，弗雷德·勒达尔［Fred Lerdahl］和雷·杰肯道夫［Ray Jackendoff］的“调性音乐生成理论”［GTTM］就是一个对申克尔线性分析和伦纳德·迈尔节奏分析的巧妙的和准科学的综合（本书虽然没有对此进行描述，但它对研究音乐的心理学家有着巨大影响）。虽然勒达尔和杰肯道夫的目的在于建立一个新的且更好的系统，但是，还有另外一条途径，并且正是这另外一条途径奠定了本书的基础。其观念就是把不同的分析技术设想为不同的工具。木工和汽车修理工调用各种各样的工具，并且每一种工具对个别某一项工作发挥作用。与之相似，本书的目的在于整合一个分析工具箱。我还是会从分析技术所赖以为基础的更广阔的理论背景来解释这些技术：这是本书前半部分的内容。但它所暗示的是，这些工具可以依据你所分析的特定音乐以及你的分析目的的要求，被放在一起使用。因此，本书的后半部分探索了一些方式，在这些方式中，前述暗示的做法可以被用来聚焦于一系列特定的作品上。这样处理的目的是为了务实，你甚至可能会说它反是理论的：它的基本假设是，好的分析在于这种分析是有用的，它可以让你洞察作曲家的手法，可以让你把它演奏得更好，可以让你更享受音乐，或者是上述的总和。

我想对上述最后一点扩充一下，这还是牵涉到分析的历史起源和发展。那些已变得形式化了的、受理论所驱动的分析方法的关键部分，原就起源于十八世纪期间高级音乐技能的传授方式。例如，音乐可以被理解为对简单基础框架的装饰这一观念——申克尔和其他许多分析方法的基本观念——可上溯至数字低音“分部写作”［partimento］的传统。在经历几年这种训练之后，学生渐渐就可学会识别建立了十八世纪音乐的典型的线性和和声模式，并且，尽管他们可能说不出每个模式的名称，但他们却学会了如何处理它们。这在当时是一种职业化的而非学术化的训练。学生并不要知道关于音乐的客观真理，他们要的是能让他们保住一份工作，或以一种在今天被视作惊骇之速谱写歌剧的技能。

但是，当高级音乐技能的教学在十九世纪转移至音乐学院后，情况就发生了变化，而二十世纪越来越多大学的加入，则使这种变化变得更加明显了。大学的流通知识［currency］——即便不是客观真理，至少也是科学知识——是基于清晰的原则和呈现于印刷文字中的。正是在“二战”之后的北美大学中，音

乐理论才发展成一门或多或少自律性的学科。在那个环境里，你的分析看上去越科学，你就会越发被严肃对待，你的学科就会获得更多声誉。申克尔自己在战前维也纳所践行的申克尔理论相比其在战后美国的发展，是远没有那么系统化、“理论化”的。在美国学术界发展起来的一些重要的新方法——集合理论和新里曼理论（一种基于调性空间的观念并以二十世纪早期德国理论家胡戈·里曼所命名的方法）——以数学的方式处理音乐：除去音乐示例，新里曼理论的论文“看”上去就像数学论文。简而言之，它们看上去是科学的。它们也使新里曼理论看起来仿佛音乐就是某种被解释的密码，其解释方式如同用数学公式可以来解释真实世界现象那样。他们使新里曼理论看上去好像完美的分析就是一种解释了一切的分析，并导致一个准确对应其原型的模型。但这一表象之下存有重大的误解。音乐不是一种密码，并且，把理论的模型看作具有代表性的规范并以此为衬映，使实际作品的独特性得以凸显，这通常会更有意义。换言之，从分析的观点来看，通常正是模型所“没有”解释的部分——即那个剩余物——才是至为重要的。而那个显然是无法以数学的方法来解释的。替代把解释作为混乱、主观的范畴，情感和个人的判断就会开始发挥作用。

把音乐理论和分析带入学术界还产生了另外一重影响。形式化的知识——那种表现于学术写作中的知识——是抽象的，因为从某种意义来说，它是从物理客体和感官的真实世界中被抽象出来的知识，就是说，这种知识体现于视觉或听觉，以及建立在这些知识基础之上的实践活动中。其结果是，在认知、聆听和实践——我所描述的十八世纪音乐训练传统的核心——之间的所构成的那种紧密联系，就很容易被切断。由此产生的分析不可能被转换为有意义的听觉体验，或经受它的检验。这正是为什么本书始终在强调这种联系的重要性：我认为，分析应该一方面建立在听觉体验之上，另一方面它应该加强那种体验。参照“基本线条”来聆听，意味着以高度的敏感来聆听可能并不明显的连贯形式，以及体验局部形态发展为更大结构整体的方式。其目的是要获取对你可能已经知道的东西的一种直接的、知觉的意识，因为你虽然在课本中读到过它们，却未曾听见过。简而言之，它为的是强化你的听觉。这让人们看到了一个普遍而又具有误导性的语言习用法。我们会说诸如“你看明白我在哪里用了申克尔理论分析了吗？”这类话，来指印在纸上的一张图表。但是，并非真的就是那张

纸构成了分析。真正构成分析的，是从参照了那张纸的聆听中所获得的增强了的体验。一张纸仅仅只是一张纸而已。

我感谢陈鸿铎教授为翻译本书所投入的大量费时的工作，并且希望当他回忆起来，会觉得本书值得其为之所付出的努力。

尼古拉斯·库克

2016年9月于剑桥

（李明月译，陈鸿铎改定）

Preface

I used to say that analysing music is like taking a old-fashioned clock to bits to see how it works. In some ways it's a good analogy, but in one way it is misleading: it assumes that music is a thing. Scores are things, to be sure, but music is equally actions—what people do—and the sounds they make (whether live as they do them, or in recorded form). And none of these forms that music can take has priority over the others. There is not a privileged form that is 'the music'. So analysing music can mean analysing any or all of these forms in which music exists—scores, actions, and sounds. It also means analysing the experiences we have in relation to them. So analysis is really a much more complicated matter than the clock analogy suggests.

Perhaps today it is no longer necessary to say this. We know from everyday life that music exists in all sorts of forms. Yet only a few decades ago it was common to think of the score as 'the music'. That however is a very limited, and limiting, way of thinking about music. For one thing, the idea that the score is 'the music' creates a barrier between notated music on the one hand, and on the other hand all the many traditions of non-notated musics, from contemporary popular to traditional folk music. And yet all these different musics freely circulate and intermingle in today's world. They are all mixed up on people's mp3 players and phones, and we listen to them with the same pair of ears.

But even within the notated tradition of Western classical music, thinking of the score as 'the music' is inadequate. It prioritises the composer's work, as if composers deposited meanings into their scores, ready for performers and listeners to discover (rather as archaeologists dig up ancient buildings). But that is obviously not the case: Beethoven's Ninth Symphony has come to mean all sorts of things it did not mean when it was first composed. Performers and listeners play an essential role in creating musical meaning. Performers do not simply reproduce what is in the score, but rather use the score along with their own knowledge, tastes, and personality in order to make music. Listeners, too, (most of whom don't read music) create musical meaning through their observations and feelings as they listen, and later through how they talk or write about them. In this way the idea that the score is

'the music' belittles the role of both performers and listeners. And again this means that analysing music means analysing any or all of these different perspectives—the performer's and listener's as well as the composer's.

Analysing music is a historical practice, which is to say that it developed at a certain time and place and for specific purposes. The time was the first half of the nineteenth century, the place was Europe, and the purpose was to make sense of the music—especially the late music—of Beethoven. Beethoven was widely seen as the greatest composer of his age, perhaps that the world had ever known. Yet in many ways his music looked bizarre on paper, and its discontinuities, silences, and juxtaposition of wildly varying expressive qualities sounded bizarre too. Musicians committed to Beethoven's greatness tried to find ways to make sense of his music by searching for logic and coherence behind or beneath what could be seen in the score or heard in performance(and there again is the analogy with digging up ancient buildings). Although this opened up powerful new ways of thinking about music, it also posed dangers. First, it took for granted the assumption that the value of music lies in its coherence and logic, resulting—as I said—in a very limited and limiting way of thinking. Music can be valuable in all sorts of ways to different people and at different times. Second, it suggested that hearing music was not enough. Analysis could be seen as establishing the objective truth about music, whether it could be heard or not.

This explains much about how analysis developed over the next century and a half. Essentially a variety of theoretical approaches to music developed, each associated with its own set of analytical techniques, and each aiming to establish the objective truth. Together with his followers, the early twentieth-century Austrian composer Arnold Schoenberg believed that the key to great music lay in its motivic structure, that is, the extent to which it was unified by recurring intervallic and/or rhythmic cells. In contrast the music theorist Heinrich Schenker, who was also Austrian and lived at the same time, disparaged the motivicists and instead insisted that the key to great music lay in the Urlinie or fundamental line, an imaginary scalar progression that underlies the notated and heard surface of the music and ensures its coherence. Each theory claimed a monopoly on the truth. It was like religion: you could not be a motivicist and a Schenkerian any more than you could be a Christian and a Muslim. In this way each set of analytical techniques came with its own set of beliefs, its own dogma.

Only in the later part of the twentieth century did this begin to change, with analysts working to reconcile different techniques such as those of motivic and Schenkerian analysis. Fred Lerdahl and Ray Jackendoff's GTTM (Generative

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Theory of Tonal Music), for example, was an elegant and quasi-scientific synthesis of Schenker's linear analysis and Leonard Meyer's rhythmic analysis (though not described in this book, it had a great deal of influence on psychologists researching music). Whereas Lerdahl and Jackendoff's aim was to set up a new and better system, however, there is another approach, and it is this other approach that underlies the book. The idea is to think of different analytical techniques as different tools. Carpenters and motor mechanics work with all sorts of different tools, and each tool is useful for a different job. In the same way, the purpose of the book is to put together an analytical toolkit. I still explain analytical techniques in terms of the larger theoretical contexts from which they have come: that is what the first half of the book does. But the implication is that the tools can be used together as dictated by the particular music you are working with, and what you want to do with it. And so the second half of the book explores some ways in which this can be done by focussing on a succession of specific pieces of music. The approach is deliberately pragmatic, you might even say anti-theoretical: the basic premise is that a good analysis is an analysis that is useful, in the sense of enabling you to get an insight into the composer's approach, to play it better, to enjoy it more, or a combination of all these things.

I want to enlarge on that last point, and again this involves the historical origins and development of analysis. Key parts of what became formalised, theory-driven analytical approaches had their origins in how advanced musicianship was taught during the eighteenth century. For example the idea that music can be understood as the elaboration of simple underlying frameworks—the basic idea of Schenkerian and many other analytical approaches—goes back to the partimento tradition, in which students were trained to improvise compositions based on highly simplified notations. Doing this over a period of several years, they gradually learned to recognise the typical linear and harmonic patterns out of which eighteenth-century music was built, and though they mightn't have a name for each of these patterns, they learned what to do with them. This was a professional rather than an academic training. The students didn't want to know the objective truth about music, they wanted the skills that would enable them to hold down a job or compose operas at what we would today see as breakneck speed.

But this changed as the teaching of advanced musicianship shifted to conservatories in the nineteenth century, and all the more so as universities became increasingly involved in the twentieth. The currency of universities is, if not objective truth, then at least scientific knowledge, based on explicit principles and embodied in the printed word. It was in North American universities after the

Second World War that music theory developed into a more or less autonomous discipline. In that environment, the more scientific your work looked, the more seriously you were taken and the more prestige your discipline acquired. Schenkerian theory as Schenker himself practiced it in pre-war Vienna was far less systematic, less 'theoretical', than it became in post-war America. And the major new approaches that were developed within the American academy—set theory and neo-Riemannian theory (an approach based on the idea of tonal space and named after the early twentieth-century German theorist Hugo Riemann)—approach music in mathematical terms: apart for the music examples, papers on neo-Riemannian theory look like papers on mathematics. In short they look scientific. They also make it look as if music is some kind of code, to be explained in the way that mathematical formulae can be used to explain real-world phenomena. They make it look as if the perfect analysis is the one that explains everything, resulting in a model that exactly corresponds to the original. Yet there are important ways in this appearance is deceptive. Music is not a code, and it generally makes better sense to think of theoretical models as representing norms against which the particularities of actual pieces are thrown into relief. In other words, from the analytical point of view, it is generally what the model doesn't explain—the remainder—that is most significant. And that obviously can't be explained in mathematical terms. Instead such messy, subjective categories as interpretation, feeling and personal judgement come into play.

Bringing music theory and analysis into the academy also had another effect. Formalised knowledge—the kind of knowledge embodied in academic writing—is abstract, in the sense of being abstracted from the real world of physical objects and sensations. In that sense it is the opposite of perceptual knowledge, that is, knowledge embodied in seeing or hearing, as well as in the practical activities that are based on such knowledge. As a consequence, it was all too easy for the close link between knowing, hearing, and doing—the core of the eighteenth-century traditions of musical training I described—to be severed. The result was analyses that could not be meaningfully translated into, or tested against, aural experience. That is why my book constantly stresses the importance of this link: analysis, I say, should on the one hand build on aural experience, and on the other it should enhance that experience. To listen with the Urlinie is to listen with heightened sensitivity to forms of continuity that may not otherwise be evident, and to experience the way in which local configurations unfold into larger, formal ones. It is to gain a direct, perceptual awareness of things that you might have known about, because you had read about them in textbooks, but didn't hear. It is in short to augment your hearing.

And this brings to light a common but misleading linguistic usage. We say things like 'did you see where I put that Schenkerian analysis?', meaning a graph printed on a piece of paper. But it isn't really the piece of paper that constutues the analysis. Rather it is the enhanced experience that results from listening with the piece of paper that constitutes the analysis. The piece of paper is just a piece of paper.

I thank Professor Chen Hongduo for the immensely time-consuming work of translating this book and hope that, in retrospect, he will feel it was worth the effort.

Nicholas Cook
Cambridge
September 2016

译者序

由上海音乐出版社出版的著名英国音乐学家、音乐分析理论家尼古拉斯·库克（Nicholas Cook）的《音乐分析指南》（*A Guide to Musical Analysis*）中译本就要与读者见面了，作为该书的译者我感到非常高兴，因为这不仅完成了自己一直想翻译一本优秀西方音乐分析论著的愿望，而且也算是为许多不能阅读或没时间阅读这本重要分析著作原文的中国学习者做了一件好事。虽然这本书英文原版的出版时间是1987年，距今已过去了近三十年，库克本人也觉得它已经是一本很老的书了，[1] 但对于中国大多数音乐分析的学习者来说，恐怕还是具有相当“新意”的。因为该书对于音乐分析的许多观点并未过时，对音乐分析方法讨论仍然值得学习和掌握，加之目前在中国音乐分析方面涵盖内容较为系统的论著仍很缺乏，因此，把这本书翻译出来提供给广大的音乐分析学习者还是很有必要的。相信随着该中译本的面世，对于中国音乐分析专业的理论建设、教学以及业余学习者来说，定会产生积极的影响。

为了使读者在进入这本书之前对该书的写作目的和写作方式有一个了解，以便收到较好的阅读效果，下面将根据译者的理解和思考，就著者其人、该书的结构框架和内容安排以及对该书的评价三个方面做一介绍。

一

库克其人对于中国许多从事西方音乐研究特别是音乐分析研究的学

1 2015年乘库克教授来上海出席“第十届交叉音乐学大会”，笔者曾就某些词句的译法当面请教他，他说时间太久了，许多内容当时怎么写的都忘了，所以要花点时间仔细看一下才能回答我。

者来说可能并不陌生，原因是前几年他曾多次受邀到国内各音乐院校讲学，和到中国音乐分析学学会年会作专题讲座，由此而使得这位在国际上早已享有盛誉的英国音乐学者开始为中国音乐学界所了解。作为一位资深的教授，尼古拉斯·库克具有丰富的从教经历。目前任职于英国剑桥大学，担任剑桥大学“1684 音乐教授”（1684 Professor of Music）这一专设教职，同时兼任英国沃尔夫森研究院（British Academy Wolfson Research Professorship）的研究教授。而在此之前，库克教授还曾任教于伦敦大学、南安普顿大学（担任音乐系主任）、香港大学、悉尼大学等。作为一名著名的音乐学者，库克教授的学术研究范围可谓相当广泛，思维也极为超前。所谓范围广泛，是指他的学术研究涉及了包括音乐分析、音乐文化、音乐传播、音乐表演、音乐数字化等几乎所有与音乐相关的专题内容；所谓思维超前，是指库克总是提出前人未提之议论和观点，特别是把音乐放到各学科交叉的语境中进行分析和讨论。自 1987 年以来库克已经出版了数十部学术专著，大部分都由英国牛津大学出版社出版。除最早于 1987 年出版的这本《音乐分析指南》只就音乐分析进行专论外，后来的著述则完全把音乐分析放到了一个开放的多学科交叉的语境中，如《音乐、想象和文化》（*Music, Imagination, and Culture*，1990）的音乐与心理学及整个文化发展关系的讨论、《申克尔计划：维也纳世纪末的文化、种族和音乐理论》（*The Schenker Project: Culture, Race, and Music Theory in Fin-de-siècle Vienna*，2007）的音乐与文化及种族关系的讨论、《超越乐谱：作为表演的音乐》（*Beyond the Score: Music as Performance*，2013）的对音乐表演与音乐创作关系的讨论，以及目前正在准备并即将出版的一本专著《音乐的邂逅：关系音乐学研究》（*Musical Encounters: Studies in Relational Musicology*）的音乐与社会学及其交叉文化关系的讨论。此外，尚有上百篇学术文章以及评论发表在英美的重要音乐学术期刊上。由于库克教授广泛而具有引领性的学术研究成果，以及他对音乐学研究所提出的一些具有超前性的观念，如经验音乐学（Empirical Musicology）、关系音乐学（Relational Musicology）等，因此而被看作是英国音乐学术界的领军人物。除了在学校任职外，库克还担任英国人文学科音乐研究中心主任、英国高等教育音

乐学科研究基金委员会主席等重要学术研究职务。另外，库克教授还是多份重要音乐学术期刊的学术评审。

二

《音乐分析指南》的结构分为两大部分，全书由十章组成。第一部分涉及的是音乐分析法，共六章；第二部分涉及作品个别案例的分析，共四章。前一部分偏观念和原理的梳理，即把各音乐分析法——主要针对英语世界所流行和运用的分析法——形成所依据的独特观念、技术特性和分析过程做了介绍，并对每一种分析法可以解决什么样的分析问题进行了带有个人评价的讨论；后一部分以具体作品作为分析实例，向学习者展示了面对不同作品所应采取的不同分析步骤，以及学会设定不同的分析目标。两个部分内容的设定对于一本冠以“指南”这一名称的书来说，可谓名副其实，它们确实解决了一般音乐分析学习者（也是该书所针对的主要对象）常常所面临的一些最基本问题，即什么是分析、如何分析以及怎样达到分析的目的。确实，作者本人在书的引言中就是这样表述的：“它主要是给实际的音乐分析提供一个实践指南，而不是对音乐分析该是怎样提供一个理论教本。”[1]

那么库克在音乐分析法这一部分究竟介绍了哪些分析法，并且又是如何带有个人评价地来讨论它们的呢？

我们在前六章中可以看到，并非是一章介绍一种分析法。首先，前五章涉及介绍和讨论分析法，而第六章并没有介绍和讨论某一具体分析法，而是就前五章中所提到的一些思考在这里通过举例来做一个总结。那么，作者在前五章中是如何对各种分析法进行分类的呢？这种分类又体现出作者对各分析法抱有怎样的观念呢？库克在该书中共涉及到七种各具特性的分析法，一般来讲，如用一章来论述一种分析法应该是很自然的一种做法，然而观察各章我们发现，库克在第一、二、五这三章中各论述了一种分析法，

1 引自《音乐分析指南》“引言”，第 3 页。

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