The Myth of Formalistic Aesthetics—Shostakovich’s Early Vocal Cycle and Principles of Formal Beauty

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Abstract
As one of the most “mysterious” and “complex” composer in 20th century, Shostakovich’s creative ideas hidden and suggested in the complicated musical appearance have always been indulged in elaborating. In the present paper, rhythm, pitch and dynamics act as the entry point to be dissected for Shostakovich’s early vocal cycle. I will prove that the musical aesthetics idea of Shostakovich’s early creation according to music analytics data. The results showed that his early vocal cycle was significantly affected by the aesthetics of formalism. Several aesthetic principles, such as symmetry, golden section, unity of variety, have been used very frequently in his works. Due to that the formal beauty of music can be highly emphasized, the “formal beauty as the pure beauty” concept comes clear.

Keywords: Shostakovich, early vocal cycle, formalistic aesthetics, principles of formal beauty

1. Introduction
In Russia (Soviet Union) modern music history, Shostakovich is undoubtedly the most shining star. His life was full of legend, being popular during his youth and getting an unprecedented recognition. During the immediate cultural purges, he was encountered with harsh criticism and heavy blow and was dubbed the “enemy of the people”; however, he was highly evaluated after death by the government, who called him “he is the great composer of era, the communist party’s loyal child, a prominent artists, social and political figures, citizens and so on”, and defined him as “devoted his whole life to Soviet music, socialism humanitarian and reconstruction ideal internationalism...” (Rossbury, 1999). Some people think that he was a faithful child of the Soviet Union and the Stalin government’s own artist, always has a pure heart to the motherland; Others think that he was not satisfied with the Soviet union government and was a Stalin’s opponents of the regime, he used music to express the silent protest and cry; others think that he is a simple artist full of compassion, and is the victim of the Stalin government’s strict rule. No one has ever experienced such dramatic vicissitudes like him in life, nor has anyone ever received so many different comments. People were interested in “metaphor” hidden in his work in addition to the analysis of his composition techniques, habits and launched a fierce discussion around the “metaphor”. This trend continued into the new century.

During the recent years, in the world of western music, studies of Shostakovich have mainly focused on either the technique analysis of his specific works (especially the instrumental music works in which symphony and string quartet predominate) or the exploration of the political metaphor and significance in his creation under the social environment and cultural atmosphere of that time. (McCreless, 2010; Mikkonen, 2010; Digonskaya, 2010) There is also one review which takes Shostakovich’s vocal music works as the research object, focusing on the relationship between music and poetry (Bullock, 2010). 24 dissertations related to Shostakovich are identified by a systematic search in CNKI and a manual query in various musical journals founded in the new century from 2000 to 2014 in China, 23 dissertations focus on the creation and performance technique of Shostakovich’s instrumental music works (Liu, 2002; Wang, 2007). Another one discusses the aesthetic thoughts in his works, but still based on his instrumental music works (Mi, 2008). There are about 130 articles related to the discussion of Shostakovich published in the same period. Some are pure creation technique studies (Zhao, 2007; Wu, 2009), some others are to do with the performance technique studies based on the analysis of the works (Li, 2000), still more compare Shostakovich’s works with those of other composers which have the similar themes (Hu, 2012), and there are also few non-technique analysis studies exploring composer’s creation history (Liu, 2001; Mao,
2006). Overall, the most recent researches of Shostakovich still concentrated on the creation and performance technique of his instrumental music works. But in fact, vocal music works also play an important role in Shostakovich’s creation field. In the combination of poetry and music, Shostakovich inherits the idea of formal aesthetics. He is good at expressing the “form factor” of “pure beauty”, and inserting the principle of formal beauty such as symmetry, gold section etc to his vocal music works implicitly or frankly. This paper which takes the technique analysis as a starting point, is based on Shostakovich’s early vocal cycle “Six Japanese Poems”, and will explore Shostakovich’s vocal music works and the principles of formal beauty behind his works in the aesthetic sense.

Based on style evolution, Shostakovich’s music career started with “the first symphony” in 1925 and ended with “Sonata in C major viola” in 1975, falls into several periods, in 1927-1936 of which called exploring experiments and modernism was the early period. As strictly trained representative figure of “academic”, Shostakovich adhered to tonal music creation, but did not exclude western new music creation techniques. During this period, composers showed strong interest in music of the western expressionism. Influenced by which western avant-garde music always attaches great importance to the structure of the influence of traditional, Shostakovich specialized in creative works on how to build and display the formal beauty of the multi-level and multi-dimensional exploration, and had some certain innovative techniques. “The Six Japanese Poems” is the only vocal cycle creation in this period, obvious effect of the form design, symmetry, golden section, unity of variety and uniformity principle of formal beauty in the small volume of works which can be seen everywhere. Shostakovich used specific music language to maintain the traditional form of classical aesthetics, and tried to embody pure “free beauty” -that is, formal beauty, formalistic aesthetic idea in the text turns out more and more clearly.

2. Form and Formal Beauty

The formal concept is a historical category. It’s not originally created by modern thinkers but “by one of the basic concepts which appeared early in the history of aesthetics, and has been in use ever since” (Zhao, 2008). The formal beauty which closely related with “it refers to the beauty of the external shape, sound, colour and its composite structure. The Ancient Greek School of Pythagoras first proposed the ‘beauty in form’. It believes that beauty in things is the proportion between parts of symmetry…The principles of formal beauty is the reasonable configuration of form factors between the symmetry and balance, contrast, proportion, rhythm, guest host, stagger, actual situation changes, etc” (Zhu, 2010). In formalistic aesthetics, formal beauty is the only form of purposiveness without purpose, is the pure beauty. A trace back of the development of Western art form theory, it can be easily found that recognition of formal beauty and importance began early in the Pythagorean School. After carding and development of Plato, Aristotle and others, its established, irreplaceable position in the system of Kant’s philosophy has come into being. In one of the three critiques of Kant-The Critique of Judgement, the chapter of “analysis of the beauty”, Kant thinks that aesthetic only relates to the form of the object, “beauty really should only relates to form” (Kant, 2008), we appreciate its form rather than content when we appreciate the object. When we do judge of a free beauty, the judgment of taste is pure. This means that in Kant’s philosophy system, only the formal beauty is the true and pure beauty. When the formalist represented by Kant discussing different artistic forms of beauty, they still put form in the first place. They took the beauty of music form in the game of the feelings, and understand the “form” as a mathematical form for musical connections.

According to this logic, proponents of formalism aesthetic think that the real appreciating object is not sound but the pure form composed of different interval, rhythm, musical form, tonality and melody. The concept of the “form of beauty is pure beauty” is widely accepted in the field of music aesthetics. Schiller holds that “it’s the form by which music express beauty” (Rick, 1986). Moreover, Negri (Note 1) declared that music have no content but form. These ideas gradually evolved into “self-discipline” theory in the late nineteenth Century, and were further developed, extended and cleared in the magnum opus “the beauty of music” of Austrian music critic Edward Hans Rick. The core points of this book are these, “the content music is the forms of musical movement”, “we put the beauty of music in the form (Note 2) of music” (Rick, 1986) played formalistic aesthetics to the extreme.
Form is the inherent, inevitable requirement of music, without form, music will not be music. The function and meaning in the form of music have been controversial. It's believed that the form of music is the essence of music or the ontology of music, but some scholars disagree with this point or even be completely against to it. However, even the latter cannot ignore the aesthetic and artistic value of the musical form, or the form and the beauty of music itself there have direct relationships. The performance of the form in music is all the basic elements of the relationship between the levels and the three-dimensional layout. It's well known to all that music is a strict organism, composed of a variety of elements. In addition to our familiar pitch, rhythm, which can play a structural role in music, or which can participate in the structural design of music, can become the basic elements of music. Timbre, tempo, dynamics make up the structure of music and play an important role in the final formation of works, therefore, they together with pitch, rhythm, become the basic elements of music. The different superposition of various basic elements constitute various organizational means, for example, harmony, melody, musical form and polyphony. If different pitch, duration, dynamics mixed and piled up disorderly, it can only be noise but music, and it cannot bring the feeling of beauty. To make music with aesthetic, it is necessary to overlay the elements mentioned above through symmetry, contrast, proportion, unity of variety and other aesthetic principles. From this point of view, any parameters -- rhythm (beat), pitch (interval), dynamics, tempo can be proportional analysis from the structure angle, further discuss its embodiment a sense of order and the principles of formal beauty. So, the research objects of this paper are pitch (interval), rhythm (beat) and the dynamics and other basic elements of music in Shostakovich’s early vocal cycle "Six Japanese Poems", to explore the principles of formal beauty embodied in their respective levels, single levels, or superposition.

On research methods, Hanslick said that there was a driving force of all fields of knowledge in our times, which required understanding of things as objective as possible. It is also inevitably involved the study of beauty. Method must be used close to natural science, at least trying to contact the thing itself, seeking the objective truth of things in the back of the myriads of changes impression. We should use the essential analysis method of natural science to study the beauty of the music. We can only use the objective method to objective understanding of music. This paper attempts to quantify the basic elements of “Six Japanese Poems” with the music and mathematical methods, displaying the explicit or hidden formal beauty in it. And we conclude that the work highlights the symmetry, golden section and unity of variety. Here discussed one by one.

3. Symmetry

Symmetry is one of the important rules of formal beauty. Symmetrical phenomenon can be seen everywhere in life, such as the physiological structure of the human body and leaves context generation in nature. The so-called symmetric, refers to something similar, similar factors around the central axis of a regular permutation...It has the characteristics of quiet, stable and can foil the center with a form of self-sufficiency. If we let point O as the center of symmetry and point A-A ‘ as mutual symmetric point, then it will get two formulas: OA=OA’=1/2*AA' and AA’ =2OA=2OA'. So, 1:2 (2:1) and 1:1 both are the mathematical abstraction and the substantial induction of symmetry.

In music works, the principle of symmetry exists everywhere. The ternary form, symmetrical chord, retrograde or reflection in the technique of music, and so on, all reflect the principles of symmetry. The sequence, modulation, “reflection” and “retrograde reflection” structure formed on lengthways or crosswise also belongs to the symmetry in the broadest sense of the term.

As to the range, it is necessary to notice that the “axis of symmetry” in concept is a node in a narrow sense as well as a “domain” in its broad sense. For example, in music, the axis of symmetry could be a note, a phrase, or even a period. As to the properties, “axis of symmetry” can be any objective existence. In music, axis of symmetry may be a single note, or a relationship between two or two notes (interval or tone-cluster), also a rhythm (beat). Next, we will analyze the symmetric structure one by one in the text.

The pitch layout of the first song Любовь (Love), is a typical symmetrical structure. This is a multi-meter work which includes 54 bars. There are 30 bars which use 4/ 4 / meter, 11 bars 3/ 4, 5 bars 6/ 4, 5 bars 5/ 4, 2 bars 7/ 4, and 1 bar 2/ 4. All the bars together make 228 beats. The top note b2 appears in the 113th beat, lasts 4 beats, and end at the 116th beat in the whole song. So, taking b2 as the boundary, the total number of beats both are 112. The work shows the symmetrical layout with b2 as its center, as shown below:
The dynamics of this song is symmetrical distribution in addition to the pitch. The dynamic marks of vocal part appear 5 times, respectively as p (last 7 bars), pp (last 5 bars), p (last 6 bars), pp (last 29 bars), p (last 4 bars). In order to distinguish, we put the first occurrence of p called p1, the second occurrence of p called p2, and so on. It shows a perfect symmetrical distribution with p2 as the center.

If all p’s are collectively known as P, all pp are collectively known as PP, then there are a total of 17P bars and 34 PP bars. So it is got a equation of: \((p^1 + p^2 + p^3): (pp^1+pp^2) = 17:34=1:2\), which is a symmetrically divided proportional relation.

In addition, there is a total 4 times dynamics distribution of cresc which appear in the 10th, 20th, 26th and 39th bar respectively. The vocal part is as a whole which include a total of 52 bars after removing the prelude and postlude. As shown in Figure 3, the 26th bar is the center of the entire work. It is formed a 1: 1 symmetrical layout bounded by the 26th bar. These bars in different music paragraph separately located in the symmetry points or also were called golden point (and this will be expounded later in this paper).

Therefore, in the first work, whether in pitch or in dynamics, the symmetry principle always exists and interweaves a double entry structural form which symmetry “inset” symmetry. Composers revealed the symmetry principle of formalistic aesthetics consummately by accurate calculations.

The symmetry of the second song, Пе́ред самоубийством (Before suicide), still reflected in the distribution of dynamics. Dynamic marks appears in this work six times according to the order, respectively are mf, f, ff, p, pp, f, ff. We can mark forte with F, piano with P. Then, we can clearly see the following layout:
We can see from the figure above, the work showed obvious symmetry frame whether from the movement of dynamics (Crescendo-Diminuendo-Crescendo) or the fixed layout (F-P-F).

The symmetry of the third song Несколько взгляд (Wild glance), is reflected from pitch dimensions. Vocal of this song have total 30 bars. The top note in the whole song, $a^2$, appears in the 15th bar in which divided two parts averagely.

The dynamics distribution of the forth song, В первый и последний раз (The first and the last time), is a whole symmetry from a macro level. The dynamic mark appeared five times in this song, respectively are p, pp, p, pp and p. Consistent with the research methods in Любовь (Love), we are still titled dynamic mark with serial number according to the order. Obviously, this is still a symmetrical layout centered with $p^2$. Furthermore, the top note of this work, $a^2$, just appeared in the dynamics area to identify and enhance its core position. At the same time, the dynamics in a small environment is also symmetrical structure, thus forming a multiple symmetry composed of small environment and big environment.

As same as the third song, the fifth song Безнадежная любовь (Hopeless Love), is also reflected from pitch dimensions. The whole song has a total of 34 bars which showed a frame of 3 bars prelude, 26 bars vocal parts and 5 bars postlude. Although the top note in this song is $g^2$, it emerged just as passing tone because of its rhythm and language accent. The real top note should be $i^2 (g^2)$ which appeared in the 13th bar of vocal part. After a simple calculation, we known that a work composed of 26 vocal bars was divided into two equal parts by this top note in. Symmetrical form controls the overall again.

The dynamics of this piece is also showing a symmetrical layout. The dynamic marks have an appearance of three times. The simple structure of p-ppp-p formed an obvious and perfect symmetry centered with ppp.
4. The Golden Section

The golden section (including Feibolaqi number of columns), also called the golden rule, is “a line segment L divided into two parts, so that the part of that divided by the whole length is equal to the rest part divided by the part of it, X:L= (L-X):X. Since the ratio of it” (Ci Hai, 1979). Due to the increase of N unlimited, the ratio of its front and rear entries infinitely close to the infinite 0.618 and the number of columns in each number is also seen as an effective part of the golden ratio. The golden section was once regarded as the formal beauty of the golden rule, the most representative of formal beauty, and was widely applied by artist to the formal beauty. Back to period of ancient Greece and Rome Palace and the church is conceived and designed by this proportion and beginning to be widely applied in painting, architecture and sculpture for hundreds of years. As a strong performer formal beauty, aesthetic concept of spatial art was applied to the field of music by Shostakovich extensive using in this early vocal cycle.

The golden section principles first appeared in song Любовь (Love) through the way of dynamics layout in this vocal cycle. As previously mentioned, this song’s dynamics layout not only reflects the symmetry principle, but also embodies the principle of the golden section. The “cresc” marks, located in different positions (10th, 20th, 26th, 39th bar), serve as symmetry point, golden point, or both the symmetry point and golden point in different paragraphs. For example, the 10th and 20th bar not only symmetry point but also golden point. This work in more than fifty bars accurately presents formal beauty of symmetry and golden by different levels of three golden section and three symmetrical proportional ways.

![Figure 9](image-url)

The golden section of the second song Перед самоубийством (Before suicide), is reflected by pitch dimensions. As a multi-meter work, it has a total of 31 bars. The top note $b_{a^2}$, emerged in the 12th bar, it is a golden section point which was artificially calculated and carefully arranged. In a work with 4/4 meter as basics, the 8th and 9th bars were divided into the pattern of $1/4+3/4$ (See Example 1 below). The aim is to show the principle of golden section in formal beauty.

![Example 1](image-url)

![Figure 10](image-url)
As we mentioned before, the macro layout of six dynamic marks in the second song Перед самоубийством (Before suicide), shows the symmetrical structure of F-P-F. However, there has been a set of interesting data in the duration of each dynamics. The first emerge of F lasts 19 bars, P lasts 6 bars and F lasts 6 bars again. Certainly, dynamics goes in the inflection point after 19 bars. The 19, it is just a golden section point where dynamics of P entered gracefully.

![Figure 11.](image1.png)

The golden section of the third song Нескромный взгляд (Wild glance), reflected in rhythm. This song without prelude, the first Piano solo emerged in the 14th bar, so we have reason to think about the 14th bar as a special bar which divided vocal of the whole song into two parts: 1st-13th bar and 15th-32nd bar. There are 49 beats in the first part and 79 beats in the second part. The beat ratio of two parts showed the golden section.

![Figure 12.](image2.png)

The golden section of the forth song В первый и последний раз (The first and the last time), is achieved by distributing dual dimension pitch and interval. This work have 67 bars, which including 4 bars prelude, 2 bars postlude and 61 bars vocal part. The top note of this song appeared in a very interesting node, the 38th bar. In addition to the top note occurred in the bar, the biggest leap (octave) also appeared in this bar. So, we have reason to believe that the composer give a special attention in this bar in order to emphasize the status of the “core point”. The “core point” is just in the golden section point of the vocal part. The golden section cut this song into two parts esthetically.

![Figure 13.](image3.png)

In addition, this work also reflects the principles of the golden section in terms of the dynamics of construction. Beside the second song presents symmetrical layout of the dynamics of macro economic principles embodied precision node outside the golden principle is exactly the same creative approach, dynamics of detail of this piece reflects the precise golden. It is still used in the foregoing induction methods, mainly based on the order of appearance of the efforts crowned serial number. Obviously this is a central point p’ symmetrical layout, and the top note a’ also just appeared in the dynamics area, to further define and deepen its core position. If we retain only pure vocal parts, it showed a segmented golden section among p "jurisdiction". We can use the following figure to show that the relationship between the nodes:
The pitch layout in the 6th song Смерть (Death), reflected golden section with two division mode of bar and beat. The song has 40 bars, the top note f# appeared the last beat of the 15th bar and extended to the 16th bar.

The way to beat for the division: the vocal part has 82 beats, in which f# emerged in the 31st beat and lasted 3 beats.

5. Unity of Variety and Principles of Uniformity

Unity of variety, "composed of harmonious and integral regular pattern in the rich change. It is also the one of beauty regular pattern....It is the specific performance of the law of the unity and opposites in people’s aesthetic activities and the creation of beauty, conform to the law of the world constitute and the people’s aesthetic psychology" (Zhu, 2010). From the entry interpretation, we find those two key words, change and neat, let unity and variety having some self-evident “blood relationship”. Based on this, this paper gives a parallel analysis according to the embodiment of two regular patterns.

The 6th century BC, the ancient Greek Pythagoreans first proposed the view of “Unity in variety is beautiful”, the argument is set to music. They believe that music leads variety (notes) to unity (work), the uncoordinated to coordinate (harmony in traditional tonal music), it’s the unity of opposite factors. From this macroscopic perspective, almost all of the music works reflects the principle of unity. However, the specific ways and means of this principle is innumerable. It may reflected in the rhythm (meter, beat) layout, also may reflected in the dynamics structure. In this paper to explore, it is a material level of unity of variety and principles of uniformity.

In general, the meter of music is relatively uniform and the rhythm is diversity. Shostakovich used the opposite approach in this work, but still well reflects a principle of unity and diversity. In the first three works, the rhythm is relatively simple, but the meter is extremely changeable. In the first song Любовь (Love) with 54 bars, the composer used 29 times meter alternation. Among 1-7th bar, there have been 7 times meter rotation of 2/4 – 5/4 – 4/4 – 7/4 – 4/4 – 5/4 – 4/4 with different meter in every bar. The same phenomenon also appears in other works: Перед самоубийством (Before suicide) have 31 bars with 15 times meter changes and Нескормный газид (Wild Glance) have 33 bars also with 15 times meter changes (as shown in Table 1). From single meter to compound meter and regular meter to irregular meter, although the meter in this work is diverse, it takes quarter note as the basic unit. The diversity of meter in single bar has been unified in the dimension of measurement unit.
The last three works of this cycle, В первый и последний раз (The first and the last time), Безнадежная любовь (Hopeless love), Смерть (Death), used standard single meter. The same merter is consistent from beginning to end and reflects the Principles of Uniformity.

Table 1.

<table>
<thead>
<tr>
<th>Song name</th>
<th>Bars</th>
<th>Times of Meter Change</th>
<th>Principle</th>
</tr>
</thead>
<tbody>
<tr>
<td>Любовь (Love)</td>
<td>54</td>
<td>29</td>
<td>unity of variety</td>
</tr>
<tr>
<td>Перед самоубийством (Before suicide)</td>
<td>31</td>
<td>15</td>
<td>unity of variety</td>
</tr>
<tr>
<td>Нескромный взгляд (Wild glance)</td>
<td>34</td>
<td>15</td>
<td>unity of variety</td>
</tr>
<tr>
<td>В первый и последний раз (The first and the last time)</td>
<td>67</td>
<td>no</td>
<td>uniformity</td>
</tr>
<tr>
<td>Безнадежная любовь (Hopeless love)</td>
<td>34</td>
<td>no</td>
<td>uniformity</td>
</tr>
<tr>
<td>Смерть (Death)</td>
<td>40</td>
<td>no</td>
<td>uniformity</td>
</tr>
</tbody>
</table>

Moreover, a variety of formal beauty unified principle is also reflected in other places. For example Любовь (Love), no matter what kind of meters correspond, the rythm of piano part used the continuous quaver from start to finish throughout neat rhythm. (see Example 2) However, the rhythm of vocal part is relatively complex and diverse. Changes in voice rhythm and unified accompaniment rhythm formed a diverse and unified whole.

![Example 2.](image)

Moreover, the dynamics distribution of p-pp-p-pp-p showed a style of A-B-A-B-A besides symmetry in local area in the first Любовь (Love) and the forth В первый и последний раз (The first and the last time) mentioned above. It is similar to the "Rondo" circulatory structure. This is another expression of the principle of unity in diversity.

6. Conclusion

Leibniz, the philosopher in the age of Bach, said that music is the arithmetic counted by soul imperceptibly. Both symmetric and golden section, nothing can be done without mathematical operation. This operation may be either conscious, or subconsciously only. Whether conscious or not, the digital proportional hidden in music and formal beauty are undeniable. Now, we show the formal beauty rule reflected in the only vocal music divertimento of the composer’s early creation by analyzing and counting (as shown in Table 2).
Table 2.

<table>
<thead>
<tr>
<th>Song Name</th>
<th>Pitch and Interval</th>
<th>Dynamics</th>
<th>Rhythm (Meter)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Любовь (Love)</td>
<td>Symmetry</td>
<td>Symmetry, Golden section, Unity of Variety</td>
<td>Unity of Variety, Uniformity</td>
</tr>
<tr>
<td>Перед самоубийством (Before suicide)</td>
<td>Golden section</td>
<td>Symmetry, Golden section</td>
<td>Unity of Variety</td>
</tr>
<tr>
<td>Нескромный взгляд (Wild glance)</td>
<td>Symmetry</td>
<td>/</td>
<td>Unity of Variety, Golden section</td>
</tr>
<tr>
<td>В первый и последний раз (The first and the last time)</td>
<td>Golden section</td>
<td>Symmetry, Golden section, Unity of Variety</td>
<td>Uniformity</td>
</tr>
<tr>
<td>Безнадежная любовь (Hopeless love)</td>
<td>Symmetry</td>
<td>Symmetry</td>
<td>Uniformity</td>
</tr>
<tr>
<td>Смерть (Death)</td>
<td>Golden section</td>
<td>/</td>
<td>Uniformity</td>
</tr>
</tbody>
</table>

From the table above, we know that young Shostakovich followed the principle of symmetry, golden section, unity of variety, uniformity through the technique of pitch (interval), dynamics and rhythm (meter) and showed pure and independent musical formal beauty in “Six Japanese Poems”. It successfully achieved a step from concept to text and constructed myth of formal beauty.

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**Notes**


Note 2. Form here refers not only to the arrangement of musical notes, shape and the external rhythm and layout of strength but also the artistic ontology that owns a self-existent sensuous life as finally differed as the external and internal forms. The present paper purports to emphasize the external.

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