

Analysing Alap: Differing Perspectives on Indian Music

Richard Widdess (University of London)

Foreigners and natives

This conference is about Korean music. But it is also about the differing perspectives of “native and foreign scholars”. This gives me, no expert on Korean music, the opportunity to contribute from the perspective of my interest in South Asian music.

What do we mean by distinguishing “native and foreign scholars”? At one level, we presumably mean those who are born into a particular cultural community, or are not, and who therefore presumably share or do not share certain cultural assumptions or agendas. Those who study Indian music but are not themselves Indian certainly notice important differences of cultural outlook. According to traditional Hindu philosophy, knowledge is not created or acquired through individual effort, by “pushing back the frontiers of knowledge” as we say in English. On the contrary, all knowledge was uttered by Brahma, the god of wisdom, at the creation of the world. It is pre-existent, and is preserved for us through two channels of tradition. One is the channel of *shastra*, that is, theoretical texts in the sacred language, Sanskrit, which set out the structure of knowledge and lay down rules for action in every conceivable field (including music). The other is the channel of *parampara*, that is, orally transmitted knowledge passed on from teacher to disciple over countless generations since the beginning of time. If these channels appear to conflict, *parampara* is usually accorded the higher authority. Both are infinitely superior to raw, untutored experience as a guide to understanding the world. It is accepted that some knowledge may have been lost or forgotten through the ages, but it may be recovered only by

reference to authoritative tradition in the form of *shastra* or *parampara*. Innovation can only be validated by regarding it as the re-discovery of what was there all along.¹ In music, for example, it is difficult to create a new raga or melodic mode, because many musicians believe that all aesthetically viable ragas exist already. If a “new” raga is introduced, it is often represented or interpreted as an old but unknown raga that has been rediscovered.²

Indian musicians and scholars vary considerably in the degree to which they subscribe to this philosophy: there is no single “native” view. But such traditional presuppositions do limit the kinds of question that are asked. Most research on music by Indian scholars has been historical or theoretical, and based on *shastra*: there is a long, continuing tradition of theoretical writing about music, going back to the *Natyashastra* compiled in the early centuries AD. This tradition takes as its object the regulation of current musical practice in terms of time-honoured theoretical constructs, such as the system of melodic organization known as *raga*. Since practice (*prayoga*) is seen from the theoretical point of view as merely the transient realisation of a timeless *shastra*, there has been little analysis of performance as such, except insofar as performers themselves conceptually analyse their own performances for practical reasons. Much musical discourse in India is concerned with validating present practice by reference to the past: theorists and historians refer to the authority of *shastra*, and performers refer to the authority of their *parampara* or oral tradition, transmitted through respected teacher-disciple lineages. Such lineages often take the form of a *gharana* or musical “household”, normally comprising a family of hereditary musicians and their disciples.³

This traditional view is clearly at variance with the Western Socratic concept of knowledge as accessible to rational observation, inquiry and experience, and also with the scientific methodologies of experiment, discovery of new facts, and testing of hypotheses. Many “foreign” researchers on Indian music have chosen to adopt the

¹ This somewhat simplified account of the Hindu philosophy of knowledge is based on Pollock 1985.

² Cf Neuman 1980: 53.

³ On the tradition of musical theory in ancient India, see Rowell 1992. On the relation of *shastra* and *prayoga*, see Katz 1992. On *gharana*, see Neuman 1980, Silver 1976, Kippen 1989 etc.

“native” viewpoint by learning to perform Indian music themselves. This normally involves a prolonged period of apprenticeship under a selected teacher (*guru*). The teacher will normally expect the foreign student to show unquestioning trust in the knowledge he imparts, and to reject any conflicting information from other sources; in extreme cases he may prohibit the student from even listening to performances by musicians from other *gharanas*. Teachers typically teach by example, rather than by verbal explanation, and do not expect to be questioned. The foreign scholar in this position must subordinate a sense of enquiry to the authority of *parampara*, at least for a period of time. Having then become identified as a member of a particular *gharana*, the foreign scholar may find it difficult to pursue comparative enquiries with members of other *gharanas*.⁴

It is thus possible for the “foreigner” to acquire a degree of “native” understanding, but at the cost of impartiality, objectivity and perhaps breadth of vision. What he or she gains is the perspective of a performer, as opposed to that of an analyst. Here I suggest we have a different kind of “insider” and “outsider”, of “native” and “foreign”. What a performer “knows” about his or her performance, and what an analyst is able to “discover” about it, may be quite different things. From a traditional Indian viewpoint, what the performer knows through being immersed in oral tradition is infinitely superior to anything the analyst could possibly find by their own efforts. The performer is really the only “insider” to the music, whether he or she is ethnically “native” or “foreign”. But analysts and other scholars inhabit many different kinds of “outside”. The scholar is also usually a performer, but not necessarily of the same kind of music. His or her perspective will depend not only on whether he or she belongs to the same or a different culture, but also on whether s/he performs the same kind of music, a different kind of music, no music at all, etc. etc.

My argument today is that different “native and foreign” perspectives, whether defined in terms of ethnicity or performance or both, need not be mutually exclusive, but can complement each other. We should therefore seek to combine various different perspectives in order to understand musical performance more deeply. To

⁴ The approach to Indian music research through performance study is advocated by Kippen 1989, Slawek (xx), Baily (xx), Magriel (2000) etc. There has so far been no critique of the limitations of this approach. On *gharana* politics see Neuman 1980.

illustrate this hypothesis I will discuss two examples. In both, the subject is alap, the improvisatory exposition and development of a raga or mode of North Indian classical vocal music. In both, the analyst is myself, but the analyses reflect different stages in my development as an ethnomusicologist. In the first example, the analysis is informed by my general knowledge of the tradition and of theoretical literature. In the second, I invited the performer to contribute directly to the analysis by commenting on whatever seemed important to him.

Analysis 1

The first analysis (ex. 1) appeared in an article in a Festschrift for my research supervisor Dr Laurence Picken, published in 1981. It is based on materials collected during my doctoral research, including a period of fieldwork in India (1975-6). My interests at the time were primarily historical, and I used analysis to investigate the relationship between alap performance today and theoretical models contained in historical sources, especially the treatise *Sangita-ratnakara* of Sarngadeva (13th century).

My method was first to transcribe the music into a form of cipher notation, and then, by aligning successive phrases of the notation vertically on the page, to show the melodic relationship of each phrase of the alap to every other phrase. Hence I was able to show the organic development of the alap from a simple first phrase — “1 2 1” — to phrases covering an octave and a fifth. I attributed this development to a technique of phrase-expansion which I called “internal scalar expansion”, and I expressed this formulaically as in ex. 2.

I then showed that this process is implicit in a theoretical model defined by Sarngadeva in the 13th century, and I analysed in the same way an example that Sarngadeva provides (ex. 3). I concluded therefore that this underlying structure or process of alap-performance has been current in the theoretical and performing traditions for over 600 years.

How does this analysis relate to “native” and “foreign” perspectives? The historical slant reflects the importance of historical perspectives within Western musicology, but it also resonates with an Indian preoccupation with the past as a source of legitimacy

for present practice. I was trained in historical musicology, so I found and still find the historical aspects of Indian music fascinating. I was also very much influenced by the work of Dr Laurence Picken and his other research pupils on historical aspects of court musics of East Asia, including Jonathan Condit's reconstructions of the musical repertory of Sejong's court.⁵ Their essential hypothesis on the relationship of past to present was that the melodies played are the same, but the way of playing them (crucially, the tempo) has changed. So my "foreign" perspective on South Asian music was itself complex, formed partly in a non-Western context, and compatible with one branch of the "native", South Asian cultural perspective.

However, my analysis of present performance in order to demonstrate a historical hypothesis was quite contrary to Indian ways of doing things. In India, notation is used only prescriptively, to record compositions or exercises as an aid to memory; many musicians object to writing music down for any purpose. I on the other hand was using notation descriptively, to represent actual performances, thereby elevating practice (*prayoga*) to the written status of theory (*shastra*), and exposing the details of performance to the possible scrutiny of critics and imitators. Twenty-two years later, this approach has not, so far as I know, been adopted by any Indian scholars.

Despite this difference of approach, however, my conclusions are more in tune with Indian than Western perspectives. My attempt to demonstrate continuity over a 600-year period is diametrically opposed to the fundamental tenet of Western historical musicology, that history is change. But it confirms what every Indian musician and musicologist assumes: that practice enshrined in theory and transmitted through oral tradition can remain constant over long periods of time. From an Indian perspective, it hardly seems necessary to go to the lengths of analysing performance, in order to demonstrate what is already known.

From an ethnomusicological viewpoint, on the other hand, there is one element crucially missing from my analysis, as Dr John Baily pointed out in a review of the book in which the analysis appeared.⁶ The validity of my analysis, he suggested, needs to be confirmed by the performers concerned. I had had little contact with the

⁵ Picken et al. 1981; Condit 1979; Marett 1985; Widdess 1992.

⁶ Baily xx.

musicians whose performances I was analysing, and no opportunity to refer my analysis back to them. They might have had no interest in it, for the reasons I have just mentioned. But they would probably have been able to tell me, among other things, that Sarngadeva's treatise, with its model of alap performance, had been known to generations of performers, at least in certain hereditary musician families. And they might have been able to indicate, to some extent, the *meaning* of the structure I had exposed.

Analysis 2

My second example of alap analysis was conceived as a response to Baily's criticism. It is based on a performance recorded specially by the singer Ritwik Sanyal, and is the outcome of collaboration between us. He and I have subsequently co-authored a book entitled *Dhrupad: tradition and performance in Indian music* (due to be published later this year), but a first report on our collaborative analysis was published in *Ethnomusicology* in 1994 (Widdess 1994).

The analytical issues in this example are different from those in the first example. There is a historical question, namely: how is performance related to tradition? But here tradition is conceived not only as *shastra* but also as *parampara*: in particular, the oral tradition transmitted by the Dagar family, a family of Muslim hereditary court-musicians from whom Ritwik Sanyal learned. Members of this family, and Sanyal himself, are or were learned in Sanskrit and therefore aware of the model for alap performance as defined by Sarngadeva. Sanyal therefore had no objection to my conclusions in the earlier analysis. But there is more to alap than "internal scalar expansion", and we were interested in the details of what happens within the framework of that model. How does the performer improvise an alap lasting 30 minutes, and what is he trying to achieve in that process?

Once the performance had been recorded, I transcribed the whole recording into staff notation (which Sanyal is able to read). I transcribed in stages, referring each stage as it was completed to Sanyal for his comments. I asked him to critique the notation as a representation of his performance, and to identify significant features

and processes in the performance. In the light of his comments I revised the transcription, and incorporated into it the significant features he identified. I also experimented with automatic transcription, using a computer programme to generate a spectrogram showing a graphic representation of the fine nuances of the vocal line. In parallel with the staff notation. I included an outline melodic transcription in Indian letter-notation for the benefit of Indian readers (ex. 4).

Based on the resulting transcription and further discussions with the performer, I developed a multi-faceted analytical interpretation of the performance. This goes beyond what Sanyal himself contributed or thought necessary, and I accept responsibility for some of its ideas. But as the anthropologist Victor Turner wrote, "Once we have collected informants' interpretations of a given symbol, our work of analysis has just begun" (quoted Shelemay 1986). This is not to say that the analyst's ideas are superior to those of the performer, only that what the performer expresses verbally is not, for the analyst, the whole story. The result, therefore, is a combination of the "native" and "foreign", "performer" and "analyst" perspectives.

My transcription of ex. 4 — the very beginning of the performance — represents part of the outcome of that collaboration, and reflects three principal contributions made by the performer:

1. A range of technical terms for features of vocal style.

These include terms for pitch-nuances such as *andolit* — a slow oscillation above and below a pitch or sequence of pitches — and *gamak* — a dip below the pitch and return to it. Also included are formal features, such as: *mukhra*, "seal", a rhythmic and melodic formula that indicates the conclusion of a musical paragraph; *dagar*, the "path" of the raga, a set of phrases or motifs that encapsulate the defining melodic material of the raga or mode; and at the outset, *akar*, which means both the vowel-sound *aa*, and "shape" or "form", both of which meanings are relevant here.

These techniques and terms help to identify the performer musically. The particular vocal style he adopts identifies him as the disciple of a particular lineage or *gharana*, centred around a particular family of hereditary musicians, the Dagar family. The particular nuances identified by the singer as *andolit* and *gamak* are a part of that style, and so by introducing them in the performance, and drawing my attention to them in subsequent analysis, the singer emphasises his own location in

the musical universe. In phrase A5, he informed me that the resonant sound he produces on the low pitch 5 (G) was intended to evoke the sound of the stringed instrument *rudra vina*, which was played by his senior teacher, Mohiuddin Dagar, and by Mohiuddin's father and grandfather. Thus the performer aligns himself not only with a particular gharana, but with a particular lineage within the gharana.

2. The significance of the non-lexical syllables and their sequencing.

The non-lexical syllables sung throughout *alap* are not random, in either their selection or their sequential ordering. They follow a formulaic sequence, identified by the singer himself (ex. 5), which observes recognizable phonological principles. The sequence of syllables reflects the singer's intention to structure melody into phrases and phrase-groups: for example, the syllable *naa* often marks the end of a phrase. The syllable *num* or *nom* is used to mark the end of a group of phrases, while its variant form *tom* occurs only in the *mukhra*, and thus articulates still larger formal units. In isolation or combination the syllables also carry esoteric meanings. *Nom* or *num* evokes that most sacred of all syllables in a South Asian context, *om*, which is believed to reside in the human heart and to resonate with the fabric of the universe. The syllables as a group are explained as representing a sacred formula or *mantra*, "*om ananta narayana hari om*", which might be roughly translated "Immortal Lord God". Thus these syllables hint at the spiritual meaning of the music as well as its syntactical structure.

3. Rhythm.

Although the rhythm of *alap* is not defined in terms of the metrical system of *tala*, the singer insisted that a consistent pulse is present, at least from phrase A3 onwards. This was confirmed by measuring durations, and the rhythm is notated accordingly (quarter-note = the pulse beat of about 1.6 sec). As the singer predicted, the pulse emerges clearly at the *mukhra*, which concludes with a heavily-emphasised downbeat called *sam*. This downbeat is accompanied by a single stroke on the drum *pakhavaj*, which otherwise remains silent throughout the *alap*. The apparently free rhythm is resumed again after the *mukhra*.

This insight into the rhythm of *alap* was a major revelation. I had assumed that the rhythm of *alap* is "free" in the sense of being unrelated to any consistent pulse. Although I had learned to sing *alap* myself from a different vocalist, he had not taught me to sing with a pulse. When on one occasion my teacher stated that there is

a pulse in alap, I remained sceptical. It was only Sanyal's insistence that there is a pulse, and my analysis of the durations in his performance order to check his claim, that convinced me that, at least for this performer, the rhythm of alap is pulse-based. Thus information from the performer transformed my transcription and understanding of the music.

Ex. 6 reformulates the previous example as an analytical paradigm in the light of the performer's input. It treats the material as a sequence of four phrases or phrase-groups plus the mukhra. The second, third and fourth phrase-groups end with a prolonged pitch, either the tonic or the fifth scale degree (C or G). These intermediary end points are marked by the syllable *nom*, the final syllable of the formulaic syllable-sequence; in each case *nom* falls on the pulse-beat, as does the final syllable, *tom*, of the mukhra. The four phrase-groups are similarly organized melodically. Each traces a course from an initial 7th degree (B) to a final tonic (C), except for the third phrase-group which descends to the fourth below (G). Again, the initial 7 falls on the pulse defined by the singer. Melodically, the first phrase-group, the *akar* or "shape", as its name suggests, supplies the pattern for the whole extract.

Each phrase-group thus moves from an initial point of emphasis to a goal. This movement is constructed as a series of rhetorical gestures involving confirmation of each principal pitch by prolongation and reiteration, followed by departure from it, and movement approaching the next principal pitch. There is a clear "inner logic" — the singer's term — to this melodic development, one that allows the listener to predict, and the singer to hint at, what is coming next. We can hear the subtle pitch-inflections, shown in the notation as inflected lines, as reminders of where we have been and hints at where we are going.

When a singer starts to sing alap, one of the first objectives is to identify the raga for the listener. In the first phrase of this example the progression from 7 to 1 could indicate any one of a large number of ragas in which these pitches are important. The specific raga Multani begins to emerge in phrase [A3], where we hear for the first time the pitches 3 and 2. In Multani the pitch 2, a semitone above the tonic, is used only as a descending leading-note to the tonic, and must be taken very lightly, not emphasised: it is this subtle treatment of pitch 2 that distinguishes Multani from other ragas that

use this pitch. The singer identified phrase A3, where this pitch first appears, as “hinting at the dagar”, that is, hinting at the most characteristic phrases associated with the raga; and he went on to point out that in the next phrase, A4, the pitch 6 is introduced in a similar way. This pitch is also used distinctively in Multani as a subtle descending leading-note to pitch 5, and its appearance in phrase A4 again indicates Multani. The identification of this raga is reinforced in phrase A6, and in the *mukhra*, where pitch 2 appears again; so the knowledgeable listener would have no difficulty in recognizing the raga at this stage in the alap, even though some of its material has not yet been clearly heard. This *recognition* is an important element in Indian musical aesthetic experience.

This opening section establishes a discourse between two participants, the singer and the listener. The latter is drawn into the process by the singer arousing expectations or uncertainty about what comes next, melodically and rhythmically. These expectations, ideally informed by the listener’s knowledge and experience of music, can then be confirmed, postponed, realised unexpectedly, etc. But they must ultimately be gratified, because of the aesthetic importance of *recognition* that I have already referred to. Meanwhile what comes next may take some time to arrive, so there is ample opportunity for *contemplation* of individual prolonged pitches and repeated motifs, which combine to form the unique and indefinable aesthetic flavour (*rasa*) of each raga. Thus alap is dynamic, not static: it moves from one point of repose to another, by direct or circuitous routes, and it reveals its structure only gradually. This musically-constructed relationship between singer and listener does not merely reflect the social context of performance, it subverts the normal power-relations between patron and performer. The listener is at the singer’s mercy.

Another insight afforded by the performer was the realisation that although performers do not analyse performance in the kind of technical language that I have been using, they do express similar concepts through metaphorical language. This metaphorical language refers to relevant extra-musical themes from South Asian culture, especially religious culture, that might form the basis for a semiotic interpretation of the music. For example, I have referred to alap as a “discourse”. But the word “alap” means “discourse”: the term is a metaphor, sometimes expanded in the Dagar *parampara* by saying that alap is a conversation between the Lord and his

devotee. Similarly, Sanyal's teachers characterise alap as a "path through the mountains", implying that melody in alap is oriented towards a series of progressively higher goals, but will reach them circuitously and somewhat laboriously. This metaphor could be mapped precisely onto an analysis of the music like that in ex. 1, which shows how, as an alap unfolds, it reaches successively higher and higher pitches.

But words for "path" in Indian languages tend also to imply a *spiritual* path: the word *marg* in Hindi, for example, means both a street in a town, and a religion, a road to salvation. Other metaphors for alap describe it explicitly in terms of a spiritual narrative, a journey from bare form to full realisation. Members of the Dagar gharana, despite being Muslim by religion themselves, describe alap as the decoration of a *murti*, the image of a deity in a Hindu temple. In Hindu worship the image is gradually dressed in multiple layers of clothing, ornaments and garlands, culminating in a crown; only when fully decorated is the image revealed to the waiting devotees. In alap what is decorated and revealed is of course the raga, which is conceived not as the product of human creativity but as a pre-existent divine being, the performer being merely the channel through which the raga flows. At the outset of alap we have the bare "form", *akar*, and tentative "path", *dagar*, of the raga; but the final stage, where the alap reaches the highest pitch, fastest tempo and loudest volume, is called *sphurti*, which means a "sudden manifestation". If performed correctly and completely, the raga "reveals" itself — "it stands before us", to quote another Muslim musician.⁷

I believe that analysis should take account of such metaphorical language, which can confirm analytically-defined processes and at the same time indicate the cultural meanings that such processes have for "insider", "native" performers and listeners.

Conclusion

I suggest that the distinction between "native and foreign" perspectives is not a

⁷ Mahommed Hafeez Khan Talwandiwalé (pers. com.). Cf. Neuman 1980: xx.

simple one. Cultural presuppositions are important, but individuals, both “native” and “foreign”, relate differently to them. Foreign scholars, for example, may deliberately adopt a “native” position in relation to, say, performance or theory. More important, perhaps, is the distinction between the performer and everyone else. The performer has unique insight into his or her performance. Others — listeners, musicologists, other performers, patrons, critics — come with varying kinds and degrees of knowledge and understanding, which do not necessarily correlate with their ethnicity or nationality.

I believe this diversity of perspectives is a strength. By recognizing it, and bringing together different perspectives, such as those of the performer and the analyst, we may be able to learn and say more about music. For the “insider”, “native”, or “performer”, this may seem unnecessary. The use of words may seem to devalue the direct experience of music (and the use of notation or computer graphics even more so). But that is because their knowledge of music is framed in the “music mode of discourse”, not the “speech mode of discourse”;⁸ it is expressed by performing music, not by talking about it. For those who are in varying degrees “outside”, “foreign”, “non-performers” — and we are all in this position towards most of the music in the world — analysis, and especially collaborative analysis involving the performer, can enrich our understanding of music as a universal human activity and as a component of human culture.

REFERENCES

Baily, J.

- 2001 “Learning to perform as a research technique in ethnomusicology”, *British Journal of Ethnomusicology*, 10/2, pp. 85-98.

Condit, J.

- 1979 “A fifteenth-century Korean score in mensural notation”, *Musica Asiatica* 2, pp. 187.

Katz, J.B.

- 1992 “Introduction: Sastra, prayoga and sangita”, in J. Katz, ed.: *The traditional Indian*

⁸ Seeger 1977.

theory and practice of music and dance, Leiden: Brill.

Kippen, J.R.

1989 *The tabla of Lucknow*, Cambridge: Cambridge University Press.

Marett, A.J.

1985 "Togaku: where have the Tang melodies gone, and where have the new melodies come from?" *Ethnomusicology* 29. 3.

Neuman, D.M.

1980 *The life of music in North India: the organization of an artistic tradition*, New Delhi, Manohar.

Picken, L.E.R. et al.

1981 *Music from the Tang court*, vol. 1, Oxford: Oxford University Press.

Pollock, S.

1985 "The theory of practice and the practice of theory in Indian intellectual history", *Journal of the American Oriental Society*, 105/3, pp. 499-519.

Rowell, L.

1992 *Music and musical thought in early India*, Chicago: University of Chicago.

Sarngadeva

1943-53 *Sangita-ratnakara of Sarngadeva*, ed. by S. Subrahmanya Sastri, 4vols, Madras: Adyar Library.

Sarngadeva

1978 *The Sangita-ratnakara of Sarngadeva*, trans. R.K. Shringy and P.L. Sharma, vol.1, Delhi: Motilal.

Sarngadeva

1989 *The Sangita-ratnakara of Sarngadeva*, trans. R.K. Shringy and P.L. Sharma, vol.2, Delhi: Munshiram Manoharlal.

Seeger, Charles

1977 "The musicological juncture: music as fact." In *Studies in Musicology 1935-1975*, Berkeley: University of California Press, pp. 45-50.

Shelemay, K. K.

1986 *Music, ritual, and Falasha history*, East Lansing, Kichigan: African Studies Center, Michigan State University.

Silver, B.

1976 "On becoming an ustad: six life sketches in the evolution of a gharana", *Asian Music* 7/2.

Slawek, S. M.

- 1994 "The study of performance practice as a research method: A South Asian example", *International Journal of Musicology*, 3, pp. 9-22.

Vidyarthi, G.

- 1959 "Effect of ragas and mannerism in singing: a chapter from Madanul Moosiqui written in 1856 by Hakim Mohammad Karam Imam, a courtier of Wajid Ali Shah of Lucknow", *Sangeet Natak Akademi Bulletin*, 13-14, October.

Widdess, R.

- 1981 "Aspects of form in North Indian alap and dhrupad", in Widdess, D.R. and Wolpert, R.F. ed.: *Music and Tradition: essays on Asian and other musics presented to Laurence Picken*, Cambridge.

Widdess, R.

- 1992 "Historical ethnomusicology", chapter VIII of H. Myers (ed.), *Ethnomusicology: an Introduction*, London: Macmillan, pp. 219-242.

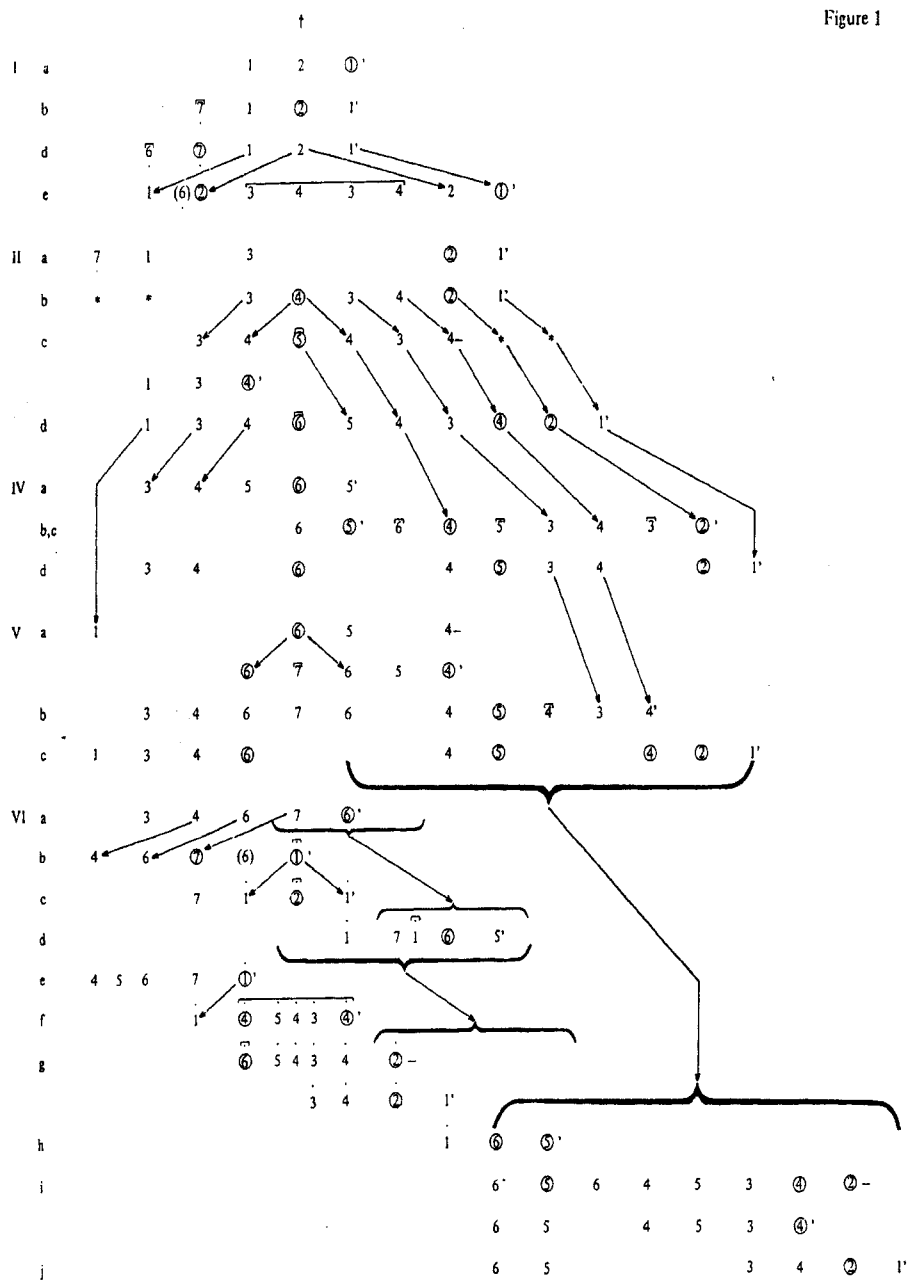
Widdess, R.

- 1994 "Involving the performer in transcription and analysis: a collaborative approach to dhrupad", *Ethnomusicology* 38/1, pp. 59-80.

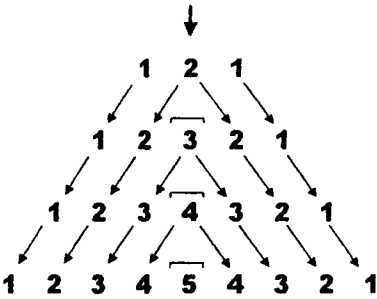
Widdess, R.

- 1992 "Historical ethnomusicology". In Helen Myers (ed.) *Ethnomusicology: an introduction*. London: Macmillan.

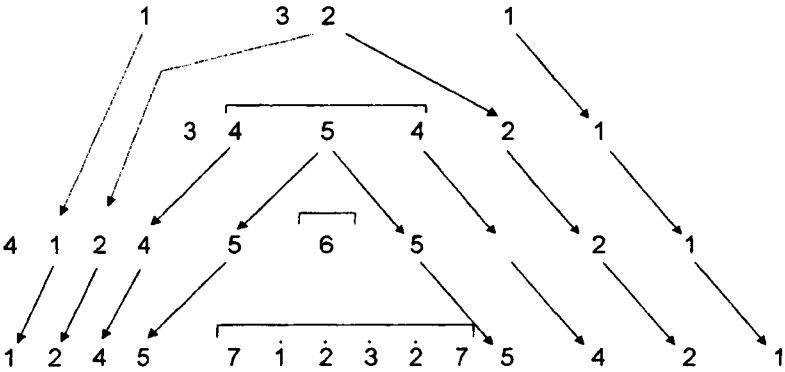
Figure 1



Ex. 2



Ex. 3



Ex. 5

[ti/te] ta
ra > na > nã/nũm/nom/tom
rĩ [ra]

Ex. 4

A1(a) *ākār* (b)
 N. nā _____ S

A2(a) *extension of ākār* (b)
 N. rī _____

A3(a) (b) (c) *hint of dāgar* (d) (e) X
 N. ra _____ N. nā _____ S nom

A4(a) (b) (c) (d) (e) (f) (g - h) A5(a) X
 P. ti N. ta _____ N. ra N. na N. P. D. P. P. no

(c) (d) (e) A6(a) (b) (c) (d) (e) (f) (g) (h) (i) X
 P. m P. nā M. rī P. nā N. ā N. S G B no S

(i) A7(a) *mukhrā* (b) (c) (d) (e) (f) (g) *sam* X
 S m S ra S na S na N. ta N. na S G B S
 pakṣāvaj ————— H

Ex. 6

Ex. 6 is a musical score consisting of five staves, each with a bass clef and a key signature of one sharp (F#). The score is annotated with various musical and linguistic elements.

Staff 1: Features a long, sweeping melodic line. Above the staff, a bracket labeled "A3" spans from the first measure to the end. Below the staff, the letters "N" and "S" are written. A vertical dashed line is positioned at the first measure.

Staff 2: Contains a melodic line with several notes. Above the staff, a bracket labeled "A2" spans from the first measure to the end. Below the staff, the letters "N", "N", "N", "S", and "S" are written. A vertical dashed line is positioned at the first measure. A bracket labeled "reiteration" spans from the first measure to the end. A bracket labeled "movement/approach" spans from the first measure to the end.

Staff 3: Contains a melodic line with several notes. Above the staff, a bracket labeled "A4" spans from the first measure to the end. Below the staff, the letters "P", "N", "N", "N", "N", "P", "D", "P", "P", "no", "m", "P", "M", and "S" are written. A vertical dashed line is positioned at the first measure. A bracket labeled "approach" spans from the first measure to the end. A bracket labeled "reiteration" spans from the first measure to the end. A bracket labeled "movement/approach" spans from the first measure to the end. A bracket labeled "reit." spans from the first measure to the end. A bracket labeled "movement" spans from the first measure to the end.

Staff 4: Contains a melodic line with several notes. Above the staff, a bracket labeled "A6" spans from the first measure to the end. Below the staff, the letters "M", "P", "N", "N", "N", "S", "G", "B", "S", "no", "m", and "S" are written. A vertical dashed line is positioned at the first measure. A bracket labeled "approach" spans from the first measure to the end. A bracket labeled "reiteration" spans from the first measure to the end. A bracket labeled "movement/approach" spans from the first measure to the end. A bracket labeled "reit." spans from the first measure to the end.

Staff 5: Contains a melodic line with several notes. Above the staff, a bracket labeled "A7" spans from the first measure to the end. Below the staff, the letters "S", "S", "S", "N", "N", "S", "G", "E", "S", and "m" are written. A vertical dashed line is positioned at the first measure. A bracket labeled "reiteration" spans from the first measure to the end. A bracket labeled "movement/approach" spans from the first measure to the end. A bracket labeled "reit." spans from the first measure to the end. A bracket labeled "pak hāvaj" spans from the first measure to the end.

알람 분석: 인디아 음악의 여러 조망

리처드 위디스(런던대학교)

김세중 옮김(서울대학교)

외국인과 내국인

힌두 철학에서 지식이란 개인의 노력으로 습득되는 것이 아니라 세계가 만들어질 때 지식의 신 브라흐마가 말한 것이다. 이 지식은 인간보다 앞서 존재했으며, 두 개의 전통적 경로를 따라 보존된다. 한 경로는 샤스트라(shastra), 곧 거룩한 언어 산스크리트로 씌어진 이론적 텍스트들로서, 지식의 기틀을 놓고 파악 가능한 개개 영역(음악을 포함한)의 행동준칙을 제시한다. 다른 하나는 파람파라(parampara)라는, 구전으로 전승되는 지식으로서, 태초부터 역겹게 걸쳐 스승에서 제자로 전해내려 온 것이다. 이 두 경로가 경합할 경우 대개는 파람파라가 더 큰 권위를 인정받는다. 두 경로 모두 세계를 이해하게 해 주는 향도로서, 다듬어지고 교육받지 않은 경험보다 한없이 존중된다. 혁신조차도 이미 늘상 있던 것의 재발견으로 여겨질 때만 정당화될 수 있다. 예를 들어 음악에서, 새로운 라가(raga, 선법)를 창조하기란 어렵다. 심미적으로 살아남을 수 있는 라가들은 다 이미 존재하고 있다고 많은 음악가들이 믿고 있기 때문이다. '새로운' 라가가 등장하더라도, 알려지지 않았던 옛 라가 하나가 재발견된 것이라 표방하거나 그렇게 해석되는 경우가 많다.

인디아에서 음악 담론의 다수는 지금의 실재를 과거에 비추어 정당화하는 데 골몰한다. 이론가와 역사가는 샤스트라의 권위를, 연주자는 명인 스승으로부터 사승 관계로 이어온 자기네 파람파라나 구비전승의 권위를 내세우는 것이다. 이러한 사승 관계는 가라나(gharana)라는, 사제와 동학 관계로 맺어진 음악가 '패밀리'의

형태로 나타나는 경우가 많다.

인디아 음악을 연구하는 많은 ‘외국인’ 연구자들은 손수 인디아 음악을 연주함으로써 ‘내국인’ 관점에 자기를 맞추는 쪽이었다. 이 과정은 통상, 어떤 구루(guru, 스승) 밑에서 오랜 도제 기간을 겪는 것을 포함한다. 구루는 그가 나눠주는 지식에 외국인 제자가 독실하게 귀의할 뿐, 다른 데서 나오는 상충하는 정보는 일절 거부하리라 생각한다. 극단적인 경우, 제자가 다른 가라나의 연주를 듣는 일조차 금하기도 한다. 전형적인 교수법은 말에 의한 설명이 아니라 구루 자신의 시범이며, 질문을 해서는 안되는 것으로 되어 있다. 이러한 상황에서 외국인 학자는 적어도 일정 기간은 파람파라의 권위를 탐색한다는 생각은 버려야 한다. 그리고 나서 비로소 어떤 가라나의 일원으로 대접받게 되면, 다른 가라나 사람들과 비교 탐구를 수행하기가 힘들어진 자신을 발견한다.

‘내국인’ 이든 ‘외국인’ 이든, 연주자야말로 그 음악의 유일한 ‘내부자’이다. 그러나 분석자 기타 학자들이 있는 곳은 다른 여러 종류의 ‘외부’이다. 어떤 학자의 조망은 그가 같은 문화에 속하느냐 아니냐뿐 아니라 같은 종류의 음악을 연주하느냐 다른 종류의 음악을 연주하느냐 아예 연주를 하지 않느냐 등등에 좌지우지된다.

‘내국인’ 과 ‘외국인’ 의 조망은 반드시 상충만 하는 것이 아니라 상보적일 수도 있다. 음악 연주를 더 심층적으로 이해하기 위하여는 그러한 조망들의 결합을 모색해야 한다. 이 가설을 입증하기 위해 두 개의 보기를 골랐다. 두 보기 모두에서 주제는, 북인디아 고전음악의 라가의 즉흥적 제시와 발전인 알랍(alap)이다. 분석자는 나 자신이다. 첫 번째 보기에서, 분석은 전통 그리고 이론적 문헌에 대한 나의 일반지식에 의존한다. 두 번째 보기에서는 연주자를 분석에 참여시켰다.

분석 1

첫 번째 분석(보기 1, 1981년)에서 나의 관심은 주로 역사적인 것이었고, 분석은 오늘날의 알랍 연주와 13세기 사른가데바(Sarngadeva)의 『상기타 라트나카라(Sangita-ratnakara)』 같은 역사적 자료 속의 이론적 모델 사이의 관계를 탐구하려는 것이었다.

방법은 먼저 숫자보 형태로 음악을 옮겨적고 나서, 인접한 악구들을 수직으로 벌려놓아 알랍의 악구 하나하나끼리의 선율관계를 밝히는 것이었다. 그래서 알랍은 단순한 첫 악구—1 2 1—에서 출발해 1옥타브 5도를 넘나드는 악구들로까지 유기

적으로 발전한 것임을 밝힐 수 있었다. 나는 이러한 발전이 악구 확장 기법에 의해 가능하다고 여겨 이를 '내적 음계 확장(internal scalar expansion)'이라 이름붙이고 보기 2처럼 도식화했다.

다음으로, 이러한 과정이 13세기에 사른가데바가 정의한 이론적 모델 속에 내재해 있음을 밝히고, 사른가데바의 보기를 같은 식으로 분석했다(보기 3). 따라서 알랍 연주의 바탕에 깔려 있는 이 구조 또는 과정이 600년 넘게 이론 및 연주 전통 속에 살아 숨쉬고 있는 것이라 결론지었다.

그러나 나의 분석은 인디아식과는 사뭇 상충하는 것이었다. 인디아에서 악보는 오로지 지시적(prescriptive)으로만, 그러니까 기억 보조 수단으로서 곡이나 연습과정을 기록해 두는 데만 쓰인다. 어떤 목적으로든 음악을 적어 두는 것에 많은 음악가들이 반대한다. 그러나 나는 악보를 기술적(descriptive)으로, 그러니까 실제 연주를 표상하기 위해 썼고, 그럼으로써 실제(프라요가)를 글로 적은 이론(샤스트라)의 지위로 끌어올리고, 연주의 세부사항들과 모방관계를 가능한 한 자세히 비평했다. 그러나 이러한 접근방법의 차이에도 불구하고 나의 결론은 서구적 조망보다는 인디아식과 더 잘 어울린다. 나의 시도는, 이론 속에 간직되어 입에서 입으로 전승되는 실체는 오랜 세월 속에서도 불변으로 남을 수 있다는, 인디아 음악가와 음악학자 누구라도 갖고 있는 생각과 일치한다.

분석 2

두 번째 보기(1994년)는 주로 가수 리트위크 사냐(Ritwik Sanyal)의 연주 레코딩을 기초로 했으며, 사냐와의 공동작업의 산물이다. 분석의 주안점은 앞 보기에서와 다르다. 연주가 어떻게 전통과 연관되는가 하는 역사적 질문도 물론 포함돼 있다. 그러나 여기서 전통에는 샤스트라뿐 아니라 파람파라도 포함된다. 특히 중요한 것은 리트위크 사냐가 속한 무슬림계 세습 궁중음악인 집안인 다가르(Dagar) 유파에 전해 내려오는 구전 전통이다. 우리는 사른가데바 모델의 틀 안에서 구체적으로 무슨 일이 일어나는지 관심을 기울였다. 연주자들은 30초짜리 알랍을 어떻게 즉흥적으로 만드는가, 그 과정에서 그가 이루려는 것은 무엇인가 하는 것들이다.

일단 연주를 녹음하고 나서 나는 녹음된 전체 분량을 오선보로 옮기고, 사냐가 알려 주는 대로 연주의 단계를 나눴다. 그리고 나서 악보가 그의 연주를 잘 나타내는지, 연주에서 중요한 특징과 과정은 어떤 것인지 지적하고 평하게 했다. 그가 말

해 주는 것을 참고해 채보한 것을 고치고, 그가 지적한 중요한 특징들을 반영했다. 컴퓨터 프로그램을 이용한 자동 채보를 실험적으로 활용해 노래 선의 미묘한 시김새(nuance)를 시각적으로 나타내 주는 스펙트로그램을 만들어 오선보와 나란히 악보에 포함시켰다. 인디아 독자들을 위해 윤곽선율을 인디아식 문자보로도 병기했다(보기 4). 분석 결과는 ‘내국인’과 ‘외국인’, ‘연주자’와 ‘분석자’ 조망을 결합한 것이 되었다.

알랍을 입으로 노래하는 구음은 아무렇게나 고르고 연결하는 것이 아니다. 구음과 그 연결은 연주자가 의식하고 있는 어떤 공식을 따른다(보기 5). 보기 6은 연주자의 지적을 고려한 분석 패러다임으로서 앞의 보기를 재정식화한 것이다. 움직임은 개개 주요음을 장인(長引)하고 되풀이해 확정하고, 주요음에서 떠나 다시 다음 주요음에 접근하는 등 일련의 수사적(rhetorical) 제스처로서 구성된다. 이 선을 발전에는 또렷한 ‘내적 논리’—연주자의 말—가 있어 듣는이는 다음에 올 것을 예견할 수 있고 노래하는 이는 복선(伏線)을 둘 수 있다.

가수가 알랍을 부르기 시작할 때 먼저 염두에 두는 것 하나는 듣는이들에게 라가를 알려주는 것이다. 뭔가 아는 청자들은 첫 단계에서 벌써 어렵잖게 라가를 알아듣게 마련이다. 이러한 ‘알아듣기(recognition)’가 인디아 음악의 미적 체험에서는 중요한 요소이다. 이 맨처도막에서 두 명의 참여자, 가수와 듣는이의 담화가 시작된다. 듣는이는 다음에 어떤 선율, 어떤 리듬이 나올지 예상도 하고 감을 못 잡기도 하면서 가수가 이끄는 대로 과정에 참여한다. 알랍은 정적이지 않고 동적이다. 라가는 한 이완점에서 다음 이완점으로 직접 또는 에둘러 이동하며, 그 구조는 한꺼번에가 아니라 차츰차츰 드러난다. 가수와 듣는이 사이에 이렇게 음악적으로 구성되는 관계는 연주의 사회적 맥락을 반영하는 것은 물론, 후원자(patron)과 연주자 사이의 통상의 권력관계를 전복시키기도 한다. 듣는이가 가수에 휘둘린다는 뜻이다. 연주자와의 상호작용을 통해 새로이 알게 된 하나는, 연주자는 내가 구사하는 것과 같은 종류의 테크니컬한 언어로 연주를 분석하지 않지만 은유적 언어를 통해 비슷한 생각을 표현한다는 것을 알게 됐다는 점이다.

맺음말

‘내국인 및 외국인’ 조망을 구분하는 것은 단순한 일이 아닌 것 같다. 문화적인 전제들이 중요하지만, 개개인은 ‘내국인’이든 ‘외국인’이든 저마다 다르게 이들

전제와 관계를 맺고 있다. 연주는 자기의 연주에 대한 특유의 통찰을 지니고 있다. 듣는이, 음악학자, 다른 연주가, 후원자, 비평가 등 나머지 모든 사람은 갖가지 종류와 등급의 지식과 이해로써 연주를 대한다. 이러한 조망의 다양성은 하나의 힘이 된다고 나는 믿는다. 이 다양성을 알아보고, 예컨대 연주가와 분석자의 서로 다른 조망을 한 데 모음으로써 우리는 음악에 대해 더 많이 알고 더 많이 말할 수 있다. 갖가지 등급의 '외부자', '외국인', '비연주자'에 속하는 사람들 그리고 우리 모두는 세계 대부분의 음악에 대해 이런 지위에 있다. 예컨대 분석, 특히 연주가가 참여하는 협동 분석은 보편적인 인간 활동으로서, 그리고 인류 문화의 구성요소로서 음악에 대한 우리의 이해를 더욱 풍요롭게 해줄 수 있다.