

NEW POINTS OF THE DISSERTATION FOR DOCTORAL DEGREE IN MUSIC ART

Name of the thesis:The five-sound modal in the Vietnamese folk songs

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The thesis for the doctoral degree of music art with the topic“**The five - sound modal in the Vietnamese folk songs**” is presented comprising the following three sections:

- **Introduction**
- ***Chapter I:*** Theoretical background for the formation and development of five-sound modal.
- ***Chapter II:*** Sound axis and ending sounds in the structure of a melody
- ***Chapter III:*** Some types of 5-sound modal in the structure of a melody
- ***Chapter IV:*** Some types of 5-sound modal in the structure of new Vietnamese music
- **Conclusion**
- **References**
- **Appendices**

The Introduction of the dissertation presents the rationale, history of the study, the objectives of the study, scope and scientific significance of the study, contributions, methods of research, and the structure of the dissertation.

In the main part of the dissertation, in **Chapter I**, the theoretical background of the formation and development of 5-sound modal is presented in sections sequenced as 1.1. Theoretical background, and 1.2. Viewpoints of 5-sound modal of the international scholars (Russian Federation and the former Union of

Soviet Socialist Republics - USSR). These works are about 5-sound modal of the famous music ethnologists of the music school of the Russian Federation and the former Union of Soviet Socialist Republics, whose research works have been studied by the researcher of this study over the time studying at the University for Music Theory at Odessa Conservatory (the former USSR). These are very valuable references such as Music dictionary (1952) edited by Donzanski; Music Encyclopedia (1978) edited by Kendus, I.V; Theory of Harmony (1966), **chapter III** “General issues about modal” by Chiulin, V.A.; The History of polyphony (1993) by Epdokimova; an overview of the world music history (1968) by Gruber; “**The** 5-sound modal and its development in Tactarian folk songs” (1960) by Grisman, Ia.M. All these documents are printed in Russian. Besides, there are other references written by other researchers such as Demxepxki, Garbudep, A.D. Kaxtanxki, P.D. Xookanxki, F.Rubxep, Xpaxobin, Popova...

Section 1.3 presented various viewpoints of Oriental researchers of 5-sound modal, including those coming from China, India, Japan, Korea, Indonesia, and so on. In this section, the references include more than 10 articles or research works by Oriental scholars.

Section 1.4 dealt with viewpoints of 5-sound modal of Vietnamese researchers, whose 15 articles and scientific works have been referred and reviewed by the writer of this dissertation.

In general, chapter I has presented the theory background and the foundation as well as the development of the 5-soundmodal, namely:

- The 5-sound modal has a long history of formation and development in not only the oriental countries but also European countries with advanced music.
 - The 5-sound modal has been the primary concern of many researchers, music theorists, national musicians in the world and in Vietnam, who

- studied, investigated and presented in an ample variety of articles, papers presented at various seminars, scientific conferences, research projects, reference books, specialized dissertations, etc.
- The 5-sound modal has been and will be a topic for researchers to exploit in different aspects, in association with different branches of ethnography, archaeology, history studies, etc. in order to find out the new values and scientific foundations, on the basis of which ages of the ancient folk songs are obtained.

From the insights of the studies and researches by researchers in the world and in Vietnam, from Western to Eastern areas, the conclusions drawn for chapter I are as follows:

- + The 5-sound modal is an independent system of modes with its long history of the formation and development of the folk songs and music of many nations in the world including Vietnam.
- + The reviews and approaches of the five-sound mode by researchers are ample, diversified and lively.
- + The five-sound modal in the folk songs and folk music of countries, nations and regions ... is used differently ranging from the structures of the mode's scale to the names, viewpoints and from objectives to the connotation, and the esthetic trend ...
- + From the differences in the use of the five-sound modal in nations, regions it has created unique and exclusive nuances of each folk song style, in each country, each ethnicity and region ...
- + Studying the five-sound modal in Vietnamese folk songs in general and the Viet people's folk songs in particular is a wide and complicated topic with a lot of unanswered questions for which firm scientific viewpoints to demonstrate these have yet been provided. Hence, this requires a more extensive, intensive

and serious study from scientists and music ethnologists.

Chapter II of the dissertation deals with sound axis and the ending sounds in the structure of a melody. These are factors that play an important role in the formation and development of the melody line of the folk songs, at the same time, it is a basis for identifying the 5-sound modal types which are often found in categories and regions. In the melody of folk songs, the sound axis identified by means of the basic stable sounds is the support for the sounds of the melody to circulate around it in the process of development of the melody, and it always appears in the strong beat of the rhythm, is paused or strained. The other sounds are more likely to be attracted toward the basic sounds of the sound axis. The basic sounds are called the tonic sounds the modal. They are often combined with one or two other sounds to make a 4-interval axis or 5-interval axis respectively. Each sound of the sound axis has different level of stability. For the 4-interval sound axis, the stable sounds are those with upper sounds (the upper sound of the 4-interrval). On the contrary, for the 5-interrval sound axis, the stable sounds are those with lower sounds (the lower sound of the 5-interrval).

By analyzing 125 folk songs, we realize that the short-structured folk songs are developed on the 4-interrval or 5-interrval axis with 2 main supporting sounds, and with a melody moving in a narrow sound range, within the limit of 8-interrval. Folk songs of this type are found in different categories, in regions from the North to the South. They exist not only in the traditional but also in the later layers of folk songs. For those folk songs with a larger structure, when the expansion of melody exceeds the 8-interrval, then its sound axis is formed by at least 3 supporting sounds in the combined type of 5 interval – 4 interval or 4 interval – 5 interval. The expansion of melody is based on the rule that the first part of the expansion is above the sound axis and the other part of the expansion is below the sound axis.

In the Vietnamese folk songs, many songs are realized by 2 sound axes. These are later composed layer of folk songs, which are related to the change of quality and colour of melody in order to achieve new expressive values. The appearance of the new sound axis is due to the following tendency:

- Sustain one supporting sound of the old sound axis, create a new supporting sound to make a new sound axis.
- Create two new supporting sounds to make a new sound axis.

The ending sounds of a melody are often the main stable supporting sounds of the sound axis. This is a popular rule of a majority of the Vietnamese folk songs. However, there are folk songs that end with semi-stable sounds. The folk songs of this type make up a small quantity, and are characterized by regions. An example is the Southern regional folk songs which can be recognized by their typical characteristics. One of its characteristics is that the song may end with an unstable sound, exactly 4-interval away from the tonic stable sound.

Chapter III presents types of 5-sound modal in the melody structure of the Vietnamese folk songs through the analysis of 125 folk songs of three regions, of which 57 of the Northern region, 40 of the Central region, and 28 of the Southern region. These are the regions where majority of the Viet people have been living for thousands of years in the history of building and defending the country. In this dissertation, the subjects exclude people in the Northwest, Northeast and Tay Nguyen regions where the Viet people live together with the people of other ethnicities.

In the process of analyzing the data, three types of 5-sound modal of the folk songs of the Viet people are categorized and systemized as follows:

- The accurate five-sound modal

- The integrated five-sound modal
- The Oan and the five-sound modals with half tone

When analyzing the accurate five-sound modal type, it is realized that of 125 folk songs there are 70 songs of this type, accounting for 56%. The findings of this modal type are discussed as follows:

- The five-sound modal is the most widely used in the folk songs of the Viet people. It is used most widely in the Northern region, then less in the Central region and least in the Southern region where there is a cross-culture with the Cham and Khme.
- In the 4 accurate five-sound modal types, type 1 is the most popular (27/70 songs accounting for 38,5%), followed by types 5 and 2 (20/70 songs and 18/70 songs making up 28.53% and 25.75% respectively), whereas type 4 of the accurate modal - equivalent of the Chinese Truy modal - account for a modest percentage. (5/70 songs making up 7.14%).

These objective findings are the results of the statistic method, but we believe that 125 songs is not a big number, neither does it represent the population of folk songs throughout three regions of Vietnam. The results can just be used for consideration and for reference.

- Folk songs of the Northern region have more complicated structure and modal in comparison with those of the Central region and the Southern region. It is expressed through the integration of modals by mixing or combining. As a result, 42/125 folk songs have integrated modals, 28 songs of the Northern region alone, making up 66,67%.
- Of 125 folk songs of the Viet people that have been collected, there are 13 songs of the Oan modal and the five-sound modal with half tone (10.4%). The folk songs of the Oan modal are centered in the folk songs of the Southern region, which are particularly characteristic.

Chapter IV: Some of the five-sound modal in the structure of the new Vietnamese music topic

4.1. Theoretical background: The five-sound modal is not only used in the folk songs but also widely developed in a variety of songs, chamber music and symphony in the 20th century. This is an important development in both quantity and quality in expanding the thinking of aesthetic value and the ideological value of the era. Hence, musicians have developed it basing on the foundation of national tradition and culture. In the scope of Chapter IV, the thesis only states the five-sound modal types which have been used by Vietnamese musicians in the music structure through new songs and musical pieces.

Regarding songs: The dissertation introduces the songs of three different periods of time, which are:

- The romantic time (post new musical time) with 11 songs
- The French resistant time with 15 songs
- The American resistant time with 19 songs

The songs under the above three different periods of time are familiar songs which have been popularized on mass media and art performance shows over the past decades.

Regarding the chamber music and symphony, a number of pieces from famous musicians during the period of the latter half of the 20th century are introduced. These pieces have been performed locally and internationally, regularly broadcasted on mass media or input in the course books of the Conservatory.

- Chamber music: 16 pieces
- Symphony: 15 pieces

Conclusion

The five-sound modal in the folk music of the countries in the world in general and of Vietnam in particular has been a very important and vast topic for study of the musicologists for decades. The viewpoints of the collectors, researchers and scientists in Europe, in Oriental countries, and especially of the Vietnamese researchers have indicated the roles and significance of the five-sound modal in making up the typical and unique property and artistic values of the folk music of each region, nation and country.

In the process of history, oriental countries have used the five-sound modal as the foundation of their folk music development. Yet, the use, the name and the social practice in each oriental country are obviously distinctive. This difference is shown in the cultural traits, national characteristics and opinions about the aesthetic value in art and culture, and in the structure of the folk music types. This is a topic which attracts a lot of oriental and occidental researchers in workshops, articles and specialized researches. Many studies of local and international researchers have expressed their viewpoints on this model and gradually bringing about common affirmative conclusions. Nevertheless, during the actual approach, some of the opinions regarding the five-sound modal still require further discussions and arguments.

Receiving ideas from research achievements from previous researchers, especially the Vietnamese researchers, the researcher has the opportunity to learn and apply the scientific insights into the process of analyzing the five-sound modal and the types of five-sound modal in 125 Vietnamese folk songs.

It is agreed that Vietnamese folk songs in general and those of the viet people in particular are plentiful and huge not only in quantity but also in quality of the traditional cultural value. Therefore, the selected 125 folk songs for study are

just the representative songs for the several types of folk songs of the Northern, Central and Southern regions of Vietnam. These folk songs have been the subjects that the researcher has been collecting, recording for many years. They are published in the collections of folk songs, in the research works of many authors and researchers.

In any of folk song melody and of any type, the sound axis is always an important factor. It is considered a basic framework providing support for the sounds circulating around it in the process of developing the melody. In order to study the five-sound modal and its types in the folk songs of the Viet people in different regions of Vietnam, the researcher has focused on the study of sound axis, identified the supporting sounds of the sound axis, which proves to be the most effective research method of studying the five-sound modal as well as its types of the folk songs of the Viet people.

The method of categorizing the types of sound axis is based on the stable sounds providing support for other sounds to circulate and to be attracted to the axis. The sounds that make up the sound axis with a main supporting sound are called stable sounds. They can be combined with other supporting sounds to make sound axes in the relationship of 4-interval or 5-interval.: In terms of function, the stable sounds of the 4-interval are the upper sounds (the upper sound of the 4-interval) and the stable sounds of 5-interval are lower sounds (the lower sound of the 5-interval). Other sounds of the sound axis are semi-stable sounds, the sounds that do not make up the sound axis are unstable sounds.

Of 125 folk songs of the Viet people, there is a great number of folk songs belonging to types of Ho, Ly, Hat ru, Hat vi with short structures and melody within the five-sound modal and with narrow sound range, and within accurate 8-interval. These folk songs have only one sound axis consisting of two supporting sounds of 4-interval or 5-interval.

Prof. Vu Ngoc Tu stated that the types of this modal is often found in the old traditional folk songs, despite the fact that they can also be found in the later layer of folk songs.

With the larger structured folk songs, there is expansion of melody upwards or downwards. When it exceeds the accurate 8-interval, the sound axis will be created with 3 supporting sounds, making up the 4 interval – 5 interval or the 5 interval – 4 interval relationship. These folk songs have wide sound range, and often found in the later layer of the folk songs. The expansion of melody is the result of the rule for which the first part has the expansion of the melody above the sound axis, whereas the other part is the movement or the expansion of the melody below the sound axis.

The folk songs with two sound axes or more are closely related with the change of quality and colour of the melody so that they can achieve the new expressive values. The appearance of the new sound axes of ta folk song often follow the following tendency:

- Retain a supporting sound and add a new supporting sound to create a new sound axis.
- Create two new supporting sounds to make a completely new sound axis which is different from the old sound axis.

The ending sounds of a melody is often the main supporting sound – meaning the stable tonic sound, This is the popular rule in the majority of the folk songs of the Viet people. Besides, there are also songs that end with semi-stable sounds. The songs ending with unstable sounds are of a small quantity and indicate the typical regional characteristics, an example of which can be found in the Southern folk songs, whose ending sound may be an accurate 4-interval away from the stable tonic sound.

The studies on sound axis and the integrated sounds in the melody structure are used as the basis for determining the types of the five-sound modal in 125 folk songs of the Viet people, which are distributed in all three regions of the Northern, the Central and the Southern regions, namely:

Northern folk songs are 57, accounting for 45%

Central folk songs are 40, accounting for 32%

Southern folk songs are 28, accounting for 22.4%

The results of the study on the characteristics of the types of the five-sound modal in the folk songs of the Viet people are just the initial steps of our study within a limited scope. These are not typical characteristics of the total melody of the Vietnamese folk songs in general and those of the Viet people in particular. Nevertheless, through the analysis, synthesis and statistic methods, the figures, to some extent, show the results of the study as well as our viewpoints about the unique property and diversity of the folk songs of the Viet people. They are:

The five-sound modal is used as the most popular melody of the folk song of the Viet people (70 songs, accounting for 56%). This result is coincident with the results of the previous studies. On the other hand, it is affirmed that the five-sound modal is the basis and one of the important factors that constitute the “personality” of the diversified and ample traditional music of Vietnam.

- The accurate five-sound modal is used more widely in the melody of Northern region than those in the Central and Southern regions. This factor is considered similar with the processes of the historical, political and social changes in our country is the similarity. The North is often regarded as the *cai noi* of the Viet people with thousand years of history, the movement of the Viet people to the South created a cross cultural

characteristics including the integration of music with the local ethnicities of Cham and Khme.

- The statistic results show that the types of the accurate five-sound modal, type 1- is equivalent to the tone melody of China, which is the most widely used (27 songs, accounting for 25.72%). It is followed by type 5 (20 songs, accounting for 28.57%), type 2 (18 songs, accounting for 25,72%). Thus, according to statistic figure, type 1, type 2 and type 5 appear most in the melody structure, whereas type 4 is equivalent to Chinese Thuy melody, accounting for a fairly modest percentage (5 songs, making up 7.14%). This result may be a bit contradictory to the viewpoints of some previous authors. It is therefore, worth considering and referring.
- The structure of melody of the Northern folk songs is more complicated than that of the Central and Southern folk songs. It is often expressed by the integration of modals by mixing or combining modals. Of 42 songs with integraed structure, there are 48 songs in the Northern region, accounting for 66.67%, which provide enough evidence for our above mentioned viewpoints. The integrated modal often found in the folk songs of the Viet people is the combination between 2 five-sound modal type 1 and 4 or between type 2 and type 5. They are often found in the following types:
 - + Same tonic sound, different characteristics
 - + Different tonic sound, different characteristics
 - + Different tonic sound, different characteristics

In the Southern folk songs, the integration is describes in two directions:

- + Integrating one Oan melody with a five-sound modal
- + Integrating one Oan modal with another Oan modal

- The Oan modals in the Southern folk songs manifest the regional characteristics. By analyzing 125 folk songs, it cannot be concluded that the Oan modal is found in the Northern folk songs. However, some influence of the Oan modal can be found in some songs that have been analyzed in chapter III.

The five-sound modals that were used in the old days has gradually established and developed in the professional music, then show the achievements of the modern music of Vietnam. This is an important step in the development in terms of both quantity and quality in the expansion of thinking of aesthetic value and the ideological value of the era, of the Vietnamese musicians on the ground of national cultural tradition. Especially, the exploitation of five-sound modal types with its variables regarding the chamber music and symphony of the 20th century is considered a phenomenon and a great turningpoint of the Vietnamese modern music.

The introduction of five-sound modal to the new music does not only present the dream and desire of the composing musician but also the pride in the advancement of a traditional art and culture with orientation of “National – Scientific – Massive” and nowadays “an advanced culture deeply imbued with its national identity”. It is also the confirmation of the ability and potentials of new music of Vietnam in the trend of regional and international integration.