



Cross-modal interactions in the perception of musical performance

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Abstract

We investigate the dynamics of sensory integration for perceiving musical performance, a complex natural behavior. Thirty musically trained participants saw, heard, or both saw and heard, performances by two clarinetists. All participants used a sliding potentiometer to make continuous judgments of tension (a measure correlated with emotional response) and continuous judgments of phrasing (a measure correlated with perceived musical structure) as performances were presented. The data analysis sought to reveal relations between the sensory modalities (vision and audition) and to quantify the effect of seeing the performances on participants' overall subjective experience of the music. In addition to traditional statistics, functional data analysis techniques were employed to analyze time-varying aspects of the data. The auditory and visual channels were found to convey similar experiences of phrasing but different experiences of tension through much of the performances. We found that visual information served both to augment and to reduce the experience of tension at different points in the musical piece (as revealed by functional linear modeling and functional significance testing). In addition, the musicians' movements served to extend the sense of phrasing, to cue the beginning of new phrases, to indicate musical interpretation, and to anticipate changes in emotional content. Evidence for an interaction effect suggests that there may exist an emergent quality when musical performances are both seen and heard. The investigation augments knowledge of human

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communicative processes spanning language and music, and involving multiple modalities of emotion and information transfer.

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1. Introduction

One of the oldest questions in experimental psychology concerns the nature of cross-modal sensory interactions—the degree to which information from one sensory channel influences our interpretation of information arising through other sensory channels. Indeed, the field of psychophysics was launched with the famous “Greenwich Observatory Problem” (Boring, 1923; Levitin, MacLean, Mathews, Chu, & Jensen, 2000; Mollon & Perkins, 1996), which grew out of discrepancies between visual and auditory information in plotting stellar transits using Bradley’s “eye and ear method”—a classic cross-modal interaction problem.¹ The early experimental psychologists and “mental scientists” (as they were called at the time) conducted experiments to investigate a possible priority or hierarchy among the senses when they provide contradictory information (e.g. Exner, 1875).

A number of phenomena, including the *ventriloquism effect* (Radeau & Bertelson, 1974), the McGurk effect (McGurk & MacDonald, 1976), the *phi phenomenon* (O’Leary & Rhodes, 1984; Staal & Donderi, 1983), and the existence of synthaesthetes (Baron-Cohen & Harrison, 1996; Cytowic, 2002; Grossenbacher & Lovelace, 2001) demonstrates the ways in which visual and auditory information can mutually reinforce, contradict, or modify one another (see also Dixon & Spitz, 1980; Massaro, 1987, 1998; McGrath & Summerfeld, 1985).

The interaction between auditory and visual information is also known to influence cognitive and emotional judgments—the focus of the present research. In one study, for example, participants viewed video recordings of newscasters, narrators, and actors talking. When the audio track was asynchronously earlier than the video track, participants judged the talkers to be lower in quality and pleasantness (Reeves & Nass, 1996). Additionally, Boltz (2001) found that musical excerpts set to a movie scene influenced the observer’s interpretation of characters’ actions and mental states. For example, a scene in which a man follows a woman through the city was interpreted as a precursor to kidnapping or murder when the accompanying music was negative in emotional character, but the same scene was interpreted as a romantic crescendo if the accompanying music was of a positive valence.

A number of experiments have shown that the intelligibility of speech is significantly increased when the speaker’s face can be seen as well as heard (MacLeod & Summerfield, 1987; Massaro, 1987, 1998; Repp, Frost, & Zsiga, 1992; Sumbly & Pollack, 1954). Might it

¹ In the so-called eye-and-ear method, the astronomer would track the star’s movement across gradients etched on the telescope’s eyepiece while noting the star’s position relative to successive ticks on a clock in the observatory.

also be the case that the intelligibility of *music* is similarly increased when the musician's facial and bodily movements can be seen as well as heard?

Not surprisingly, the auditory component of music has been the primary focus of research in music cognition to date (Baily, 1985; Storr, 1992). Yet the visual experience of *watching* a performance may also convey relevant information. Why do people enjoy live performances of music, even though most living rooms offer a more intimate and pristine listening environment? Apart from the social aspects of sharing an aesthetic experience with others, what might the visual information convey? Body movements have been shown to reveal certain internal mental states and attitudes accurately (Aston & Savona, 1992; McNeill, 1992; Planalp, DeFrancisco, & Rutherford, 1996; Runeson & Frykholm, 1983) even in children (Boone & Cunningham, 2001), and it has been suggested that the gestures and movements of musicians communicate aspects of their internal states as well (Davidson, 1993; Delalande, 1988).

Because all musical instruments are played through bodily gestures (Levitin, McAdams, & Adams, 2002), learning a musical piece requires both auditory memory and motor memory. In general, body movements are intertwined in musicians' memory for musical pieces (Wanderley, 2002). If the movements are an integral aspect of a musician's memory for a piece of music, then what do those movements convey to a person who can see the performer? Are they simply epiphenomena necessary to execute the piece, or do they contain additional information about the performer's emotional states and intentions, or even the states and intentions of the composer as interpreted and channeled by the performer?

Davidson (1993) asked participants to rate the expressiveness of recorded performances. The performers had been given instructions to play in three different ways: with no expressiveness (in a "dead-pan" manner), with standard expressiveness (as if playing to an audience), and with exaggerated expressiveness. The experimental participants experienced sound only, image only, or both sound and image; the visual image was represented in point-light form (Johansson, 1973) to avoid any biasing due to the performer's appearance.² Participants were best able to distinguish the three levels of expressive intention when they saw the performances without hearing them. Judgment accuracy decreased significantly in the sound only condition. Davidson concluded that the gestures of musicians are a more revealing indicator of expressive intention than the sound.

Krumhansl and Schenck (1997) presented a ballet performance to three groups of participants who either only saw the dance, only heard the music, or both saw and heard the performance. Participants made four different judgments in real time: identifying section ends, identifying new ideas, a continuous judgment of tension, and a continuous judgment of the amount of emotion. The judgments were found to be similar across modalities with highly significant correlations among them, and the judgments from participants who could both hear and see the performances could be modeled by an

² Johansson (1973) pioneered the point-light method to study the perception of body motion independent of form. A point-light recording is made by placing reflective tape on key joints of the performer's body while filming. During playback, the contrast of the video image is adjusted so that only the reflectors are visible against a dark background.

additive combination of the judgments from the other two conditions. Krumhansl and Schenck thus showed that the visual and auditory modalities of a ballet performance can convey similar structural and emotional information and that input from different perceptual modalities can generate congruent experiences for an observer.

1.1. *Measuring tension*

Musical experience may be characterized as an ebb and flow of tension that gives rise to emotional responses (Krumhansl, 2002; Meyer, 1956; Patel, 2003). Many structural features of music contribute to the experience of tension, including pitch range, loudness dynamics, note density, harmonic relations, and implicit expectations based on experience with a musical genre (Bigand & Parncutt, 1999; Krumhansl, 1996; Meyer, 1956); for this reason, tension is considered a “global” attribute of musical experience (Madsen & Fredrickson, 1993).

In the *continuous tension* judgment (Krumhansl & Schenk, 1997; Nielsen, 1983, cited in Fredrickson, 1995; Madsen & Fredrickson, 1993), participants squeeze a pair of spring-loaded tongs or adjust some other continuously variable input device to indicate the amount of tension they are experiencing in real time, as a musical performance is presented. For a variety of Western classical musical stimuli, continuous tension judgments have proven to be consistent across participant age, level of musical skill, and amount of familiarity with the musical stimulus (Fredrickson, 1997, 1999, 2000; Krumhansl, 1996).³ It is notable that no explicit meaning of “tension” was given to participants in these studies (Fredrickson, 1995, 1997, 1999, 2000; Krumhansl, 1996, 1997; Krumhansl & Schenck, 1997; Madsen & Fredrickson, 1993); common non-musical experiences, such as tension in the body and in physical objects, and metaphorical uses of the word to describe social situations, may account for the similarity in continuous tension judgments across individuals. This measure is also related to changes in physiology, including cardiac, vascular, respiratory, and electrodermal functions (Krumhansl, 1997).

Krumhansl (1997) further found that participants’ judgments of the dominant *emotion* in a musical piece were significantly correlated with tension. This finding is consistent with the results of Krumhansl and Schenck’s ballet study (1997), in which the judgment of “amount of emotion” correlated significantly with tension ratings. Accordingly, *tension* can serve as a proxy for the experience of emotion in a musical piece.

One methodological advantage of using tension judgments (rather than directly asking about emotion) is that tension (as most people understand the term) is one-dimensional, varying only in intensity, and it thus maps directly onto a one-dimensional input device such as spring-loaded tongs or a linear potentiometer (“fader”). Though the factors contributing to the experience and interpretation of tension in music are multi-dimensional—involving structural features in sound as well as a variety of real-world referents to tension—the final judgment indexes the magnitude of overall intensity of

³ Using chord progressions, Bigand et al. (1999) have found differences in the music-theoretical factors that influence discrete ratings of tension for musicians and non-musicians, though they identified commonalities as well. Additionally, inter-subject agreement was higher for musicians (Bigand & Parncutt, 1999).

experience. The multi-dimensional input contributes to a one-dimensional output. Emotion, on the other hand, is multi-dimensional in nature (Davidson, Ekman, Saron, Senulis, & Friesen, 1990; Ekman, 1992; Gagnon & Peretz, 2003; Russell, 1979; Schubert, 1999), hence it does not have an obvious mapping onto one-dimensional input devices; it would be ambiguous as to *which* dimension of emotion (e.g. valence, arousal, happiness–sadness, approach–withdrawal) was being measured at any one time. A second advantage of using tension judgments to access affective experience is that many studies have already employed them successfully, facilitating comparison with previous findings.

1.2. *Measuring phrasing*

Theoretical accounts of music and language posit that they both have structure, that this structure is hierarchical (Cooper & Meyer, 1960; Cooper & Paccia-Cooper, 1980; Lerdahl, 2001; Lerdahl & Jackendoff, 1983; Levitin & Menon, 2003; West, Howell, & Cross, 1985), and that smaller elements are grouped to form larger *phrases* with clear and specifiable temporal boundaries (Adams, 1977; Aiello, 1994; Fodor & Bever, 1965; Gregory, 1978). Investigators have used an analogy between music and speech to collect judgments of musical phrase structure. Different tasks have been employed to this end, including the identification of new ideas introduced into a performance (Deliège & El Ahmadi, 1990; Imberty, 1981; Krumhansl, 1996; Krumhansl & Schenck, 1997) and the identification of section endings (Clarke & Krumhansl, 1990; Gregory, 1978; Krumhansl, 1996; Krumhansl & Schenck, 1997). In their ballet study, Krumhansl & Schenck (1997) found that the visual-only and the auditory-only participant groups identified many of the same endings of phrases. Thus, visual and auditory information can convey not just similar affect in the form of tension but also similar phrasing structures. Additionally, researchers have found that musicians' interpretations of a musical score, with respect to phrasing boundaries in particular, are revealed by adjustments in performance timing (e.g. rubato), and that such adjustments are recognized by listeners as cues for musical boundaries (Gabrielsson, 1987; Palmer, 1996; Todd, 1985). As with the tension judgment, judgments of structure and phrasing in music have proven to be consistent across levels of musical skill (Deliège & El Ahmadi, 1990; Krumhansl, 1996).

1.3. *Exploring cross-modal interactions in tension and phrasing judgments*

The present experiment explores cross-modal issues in musical performance. In particular, we focus on two components of musical experience—the sense of *emotion* conveyed (as indexed by real-time continuous judgments of tension) and the sense of *musical structure* conveyed (as indexed by real-time continuous judgments of *phrasing*).

Musicians tend to entrain their movements to the music's metric pulse (the tactus or "beat" of the music; Wanderley, 2002), leading to constrained and predictable motions that may obscure the more subtle motions and gestures a musician makes in response to emotional and structural aspects of the music. Accordingly, we sought to find a musical piece that lacked such a pulse. We chose Stravinsky's second piece for solo clarinet (Revised edition 1993, Chester Music Limited, London), a composition without any underlying meter. (The score for the piece is attached below, in Appendix A.) The work is

also unaccompanied, thus a performer's movements are not affected by the presence of another performer. Stravinsky's *Three Pieces for Clarinet Solo* have become standard repertoire for advanced clarinetists, thus, performers from varied schools of training are readily available for replications and extensions.

2. Methods

2.1. Participants

Thirty participants from the McGill University community were recruited for the experiment (mean age 23.7 years, SD 3.1, range 18–30). All participants had at least 5 years of musical training (mean 13.5 years, range 5–26, SD 6.2). This criterion ensured that participants had a developed musical ear and an understanding of basic terms in music. Pilot testing and previous research mentioned above have revealed that musicians and non-musicians perform similarly on the tasks used in this experiment. Therefore, the results from the musician participants may be generalized to the non-musician population.

Using a Between-Subjects design, participants were randomly divided into three equally sized treatment groups of 10 participants each. The auditory only (AO) group heard the performances with the visual component removed, the visual only (VO) group saw the performances with the auditory component removed, and the auditory + visual (AV) group experienced the performances with both auditory and visual components intact. Following the division into three such groups, participants completed tasks in a within-subjects fully factorial design, detailed below. Each participant received 5 dollars CDN for participating.

2.2. Stimuli

The stimuli consisted of two video recorded performances by professional clarinetists, (Performers R and W), that were originally created for an investigation conducted by Wanderley (2002). In that study, clarinetists were videotaped while an Optotrak system (Northern Digital Inc., Waterloo, Ont., Canada) recorded the location of sensors placed on the body and instrument. The clarinetists performed Stravinsky's second piece for solo clarinet, as if presenting to a public audience. One performance was 69 s in length and the other was 80 s in length, yielding 690 and 800 data points, respectively (using a sampling rate of 10 Hz). Screen captures from these performances are shown in Fig. 1.

The performances were shown in counterbalanced order with digital-video quality and National Television Standards Committee format (NTSC 25 frames per second) on a G4 desktop Macintosh with a Mitsubishi 20" Flat Panel LCD monitor. The stimuli were prepared so that approximately 1 s preceded the beginning of the first note.

Participants received a "familiarization trial" during which they were exposed to the stimuli in their particular presentation condition before performing any recorded judgments (e.g. participants in the VO group saw the entirety of the performances without any sound before making their judgments).



Fig. 1. Images from the two performances that depict expressive movements. Performer R is shown on the left hand side and Performer W is shown on the right. The face in each still frame is blurred to hide performers' identities, though there was no blurring during stimulus presentation in the experiment.

2.3. Tasks

For all participants, the dependent variable consisted of responses made on a continuously adjustable linear slider (one slider on a Peavy 1600X MIDI controller; Peavy Electronics Corporation, Meridian, MS, USA) as the performances were presented.

The location of the slider was sampled once every 100 ms by a computer program in the Max/MSP programming environment (Cycling '74, San Francisco, CA, USA).

Half of the participants completed tension judgments first and the other half completed phrasing judgments first. The ordering was counterbalanced. (See Fig. 2 for a summary of the experiment sequence.)

The participants read the following on-screen instructions before performing the tension task:

Use the full range of the slider to express the TENSION you experience in the performance. Move the slider upward as the tension increases and downward as the tension decreases. Begin with the slider all the way down.

There was an initial practice round that allowed participants to become familiar with the range of the slider and the tension task in general. A solo clarinet performance of the first movement in Francis Poulenc's *Sonata for Clarinet and Piano in B flat* (14th edition 1993, Chester Music, London) was presented for this purpose. The clarinetist in the warm-up performance was not one of the two who played in the experimental stimuli.

Participants read the following on-screen instructions before performing the phrasing task:

Use the full range of the slider to express the PHRASING you experience in the performance. Move the slider upward as a phrase is entered and downward as a phrase is exited. The slider should be near the top in the middle of a phrase and near the bottom between phrases. Begin with the slider all the way down.

Participants became familiar with the phrasing task and apparatus during a separate practice round. The experimenters presented an unaccompanied performance of the second movement in Francis Poulenc's *Sonata for Clarinet and Piano in B flat* (14th edition 1993, Chester Music, London).

All participants completed a questionnaire detailing their musical training after the tasks were completed.

3. Results

3.1. Analysis

For each measure, tension and phrasing, we first present a correlation analysis, followed by functional data analyses.

3.1.1. Correlation analysis

Techniques do not presently exist for accurately calculating the correlation between two functions that are themselves serially correlated and non-stationary (i.e. for which consecutive values are dependent over time in a non-predictable way). To quantify the relations among perceptual modalities, we computed two correlations—a non-parametric estimate, and a parametric estimate with serial correlation removed as much as possible. These two different estimates allow us to converge on an understanding of the true nature of the association between variables.

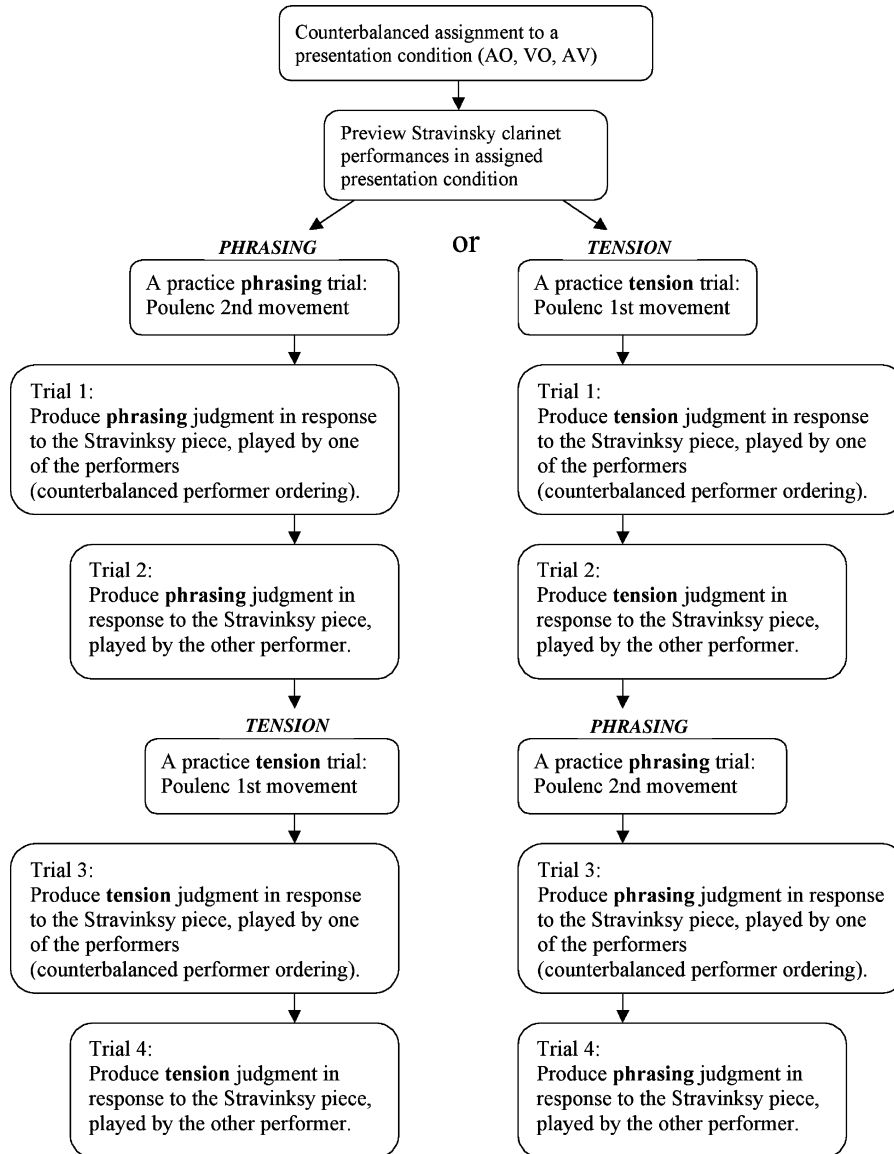


Fig. 2. A flow chart for the experiment sequence. Each participant completes both the phrasing task and the tension task (in counterbalanced order). Within each task, a practice trial was given, and both performances were presented (also in counterbalanced order).

3.1.1.1. Non-parametric, rank order correlation. First, Spearman's ρ was computed for the mean curves of each presentation group, using corresponding time points as pairs in the correlation. For data with serial correlation, this statistic is more accurate than the Pearson product–moment correlation (Schubert, 2002).

3.1.1.2. Parametric statistic, with serial correlation removed. A second measure of correlation was used to reduce the effects of serial correlation in the data. We offer a general overview of the method, followed by a more detailed description for the interested reader.

In time series data such as those we have here, two sources of serial correlation (also known as autocorrelation) exist. First, the position of the slider at any given moment (our dependent variable) is by necessity correlated with the position of the slider at the time point just before and just after a given observation ($x_t \sim x_{t-1}, \wedge x_t \sim x_{t+1}$), simply because the slider cannot move instantaneously from one position to another without passing through intermediate positions. Second, at a more abstract level, we assume that the musical performance cannot cause an instantaneous change from one emotion or sense of phrasing to another (the state-of-the-world that our dependent variable is intended to capture). Existing correlation statistics, like the Pearson correlation, assume that successive points in the series are independent. Our approach to removing serial correlation is based on [Boker, Xu, Rotondo, and King, \(2002\)](#). We first partitioned the musical piece into musically meaningful segments that were large enough to qualify the assumption that slider positions in one segment would be independent from those in an adjacent segment. We then sampled sequential points spaced evenly within each segment, and used them to compute correlations. The calculated correlations each used a single sample from each of the segments. We averaged across all of the calculated correlations to generate the reported result.

The particular way that we segmented the musical piece (and the corresponding function characterizing the slider position) was as follows. Based upon an analysis of the musical score obtained from a music theorist and two musicians, we identified seven major phrasing sections in the piece (shown in Appendix A). This divided the performances into seven sections corresponding to independent psychological units, that is, regions of the musical piece within which we had a priori theoretical reasons to believe the dependent variable should be independent in value compared to adjacent regions. We further subdivided the seven phrasing sections into three subsections of equal duration.

The shortest subsection was 2.0 s long for Performer R (mean subdivision length: 3.3 s, SD: 0.80, max: 5.8) and the shortest subsection was 2.2 s long for Performer W (mean subdivision length: 3.8 s, SD: 1.0, max: 6.2). The use of a minimum duration length of 2.0 and 2.2 s for Performer R and Performer W, respectively, presumes that the location of a participant's slider at time t is independent from the location of the slider \sim (approximately) 2 s before. This is a reasonable assumption considering that (1) the minimum threshold for motor response is below 0.5 s ([Galbraith, Chae, Cooper, Gindi, Ho & Kim, 2000](#)), (2) the musical piece is characterized by rapid change, and response times are likely to reflect this feature of the music, and (3) past research suggests that the frequency of relevant information for continuous measurements is close to 1 Hz ([Madsen & Fredrickson, 1993](#)). Therefore, time windows that are 2 s in duration or longer should comprise independent events in the participants' continuous responses.

Once the 21 subsections were determined for each performance, we built a set of vectors of length 21 (that is, each vector had 21 cells, populated with one value of the dependent variable taken from each of the 21 subsections). The first vector in this set was composed of the first slider value in each of the 21 subsections. Because there were

differences in the subsection lengths, the remaining vectors were filled by sampling elements from the longer duration subsections based upon the percentage of the subsection traversed in time. For example, for Performer R, the shortest subsection was 2.0 s, which comprised 20 sampled values (due to the 10 Hz sampling rate). The sampled sets were, therefore, drawn at intervals of 0/20th of the duration of the subsection (the first sample), 1/20th of the duration, 2/20th of the duration, and so on up to 19/20th, using rounding to the nearest measured time point. For example, the sample values occurring 1/20th of the way into each subsection duration were selected to form the second vector, and the sample values occurring 2/20th of the way into each duration were selected to form the third vector. Again, we used this method of sample extraction instead of simply taking consecutive elements from each subsection because the subsections varied in length; using consecutive elements would only have included the first n elements in each subsection (where n is the length of the shortest subsection), leaving data from the ends of the longer subsections unconsidered. We sought to develop a statistic that took into account the full range of data. Our technique uses every datum in the shortest subsection, and samples data from the entire temporal range of the longer samples in a proportional fashion.

We repeated this procedure for each presentation condition and then calculated a two-tailed Pearson correlation for each of the 21 extrapolated sets. We then calculated the average for the 21 Pearson correlations that compared each presentation condition. The same procedure was used for Performer W, though the minimum duration was 2.2 s (22 sampled values), thus there were 22 sets of values and 22 separate correlation coefficients calculated between each presentation condition for Performer W. We calculated the average for all correlations and P -values to provide overall estimates.

3.1.2. *Functional data analysis*

Functional data analysis (FDA) is a statistical approach and a set of software tools developed for datasets that arise from continuous processes (Levitin, Nuzzo, Vines, Ramsay, 2005; Ramsay, 2003; Ramsay & Silverman, 1997, 2002). Examples of continuous processes include seasonal temperatures, movement trajectories, and one's experience while listening to or watching a musical performance (particularly when continuous judgments are the dependent variable). FDA models discrete data sampled over time with continuous functions of time, and then operates on those functions as the basic elements of analysis.

3.2. *Tension*

3.2.1. *Treatment of outliers*

Judgments that were static (i.e. those that did not deviate from position zero, at the bottom of the slider) throughout the majority of a performance were removed from the analysis. Twenty-seven judgments remained for Performer R (nine AO, eight VO, and ten AV) and 28 judgments remained for Performer W (nine AO, nine VO, and ten AV). One AO participant's tension judgment, made in response to Performer R, was active until second 53.3, after which time the judgment remained static. That participant's data, from second 53.3 until the end of the performance were treated as missing data in the following analyses. (All other participants were active throughout the entirety of each performance.)

The analyses mentioned below were performed independently for data collected in response to each performance.

3.3. Treatment of missing data

Due to a programming error, data for the first 4 s in some of the judgments were lost. For Performer R, six judgments were affected (three AO, two AV, and one VO). For Performer W, four judgments were affected (one AO, two AV, and one VO). All data were intact for the remainder of each performance (65 s for Performer R and 76 s for Performer W). For the functional analyses, the missing data were replaced by an average of the intact judgments in the same condition. The missing data were simply left out of the group means used in the conventional analyses.

3.4. Correlation analysis

Spearman correlation values and results from a parametric correlation with serial dependence removed are shown in Table 1. Values ranged from 0.13 to 0.91. The mean AV and AO judgments were the most highly correlated. Correlations between AV and VO were lower for both performers, and correlations between VO and AO judgments were relatively weak. The contour of tension experienced in the AV condition was largely determined by sound in the performances, though there is evidence for some similarity between VO tension and AV tension (especially for Performer R). The visual experience of tension was uncorrelated with the auditory experience.

3.5. Functional analyses

3.5.1. Functional modeling of the data

The raw data were converted into functional data objects using 150 B-splines (Ramsay, 2003). Fig. 3 shows an example of the original data (top panel: all AO judgments made in response to Performer R) and its functionally modeled equivalent (bottom panel: the same data after B-spline modeling). The functional approximation was accurate for all six transformations (3 conditions \times 2 performers) with a maximum root mean square error of

Table 1
Intercorrelations between group tension judgments

	Performer R (df = 19/df = 688)			Performer W (df = 19/df = 798)		
	AO	VO	AV	AO	VO	AV
AO: Spearman	1	0.13**	0.75**	1	0.15**	0.91**
APC		0.30	0.73**		0.20	0.91**
VO: Spearman	–	1	0.32**	–	1	0.17**
APC			0.56 [^]			0.24
AV: Spearman	–	–	1	–	–	1
APC						

[^] $P=0.01$, two-tailed. ** $P<0.01$, two-tailed. Spearman, Spearman's ρ ; APC, averaged parametric correlation; AO, audio only condition; VO, visual only condition; AV, audio–visual condition.

9% of the full range of values. Some error was due to high frequency fluctuations that emerged when the spline-fitting algorithm attempted to model sudden plateaus in participants' judgments—the function oscillates about the plateau value with dampening magnitude. These relatively insignificant high-frequency artifacts of noise did not interfere with subsequent analyses or interpretations, all of which targeted larger scale and lower-frequency changes over time.

3.5.2. Fitted mean curves and smoothing

Fitted mean curves were prepared for each presentation condition (see Fig. 4). The fitted mean captures the underlying tendency (the average) for a group of functions in the same condition. We applied a smoothing function to the fitted means with a smoothing value $\lambda=0.1$ for the tension data; this smoothing value was chosen so as to simplify the visual display without eliminating contours that were important to the analysis. The tension curves for groups presented with sound (AO and AV groups) were generally more dynamic than the VO fitted means; the VO curve for Performer R was especially static.

The AV curve followed a similar contour to that of the AO curve for both performers, in accordance with the correlation values discussed above. The VO contour was idiosyncratic, although there were times when the VO, AO and AV curves changed together (for example, seconds 40–50 for Performer R; seconds 30–35 and 55–60 for Performer W in Fig. 4).

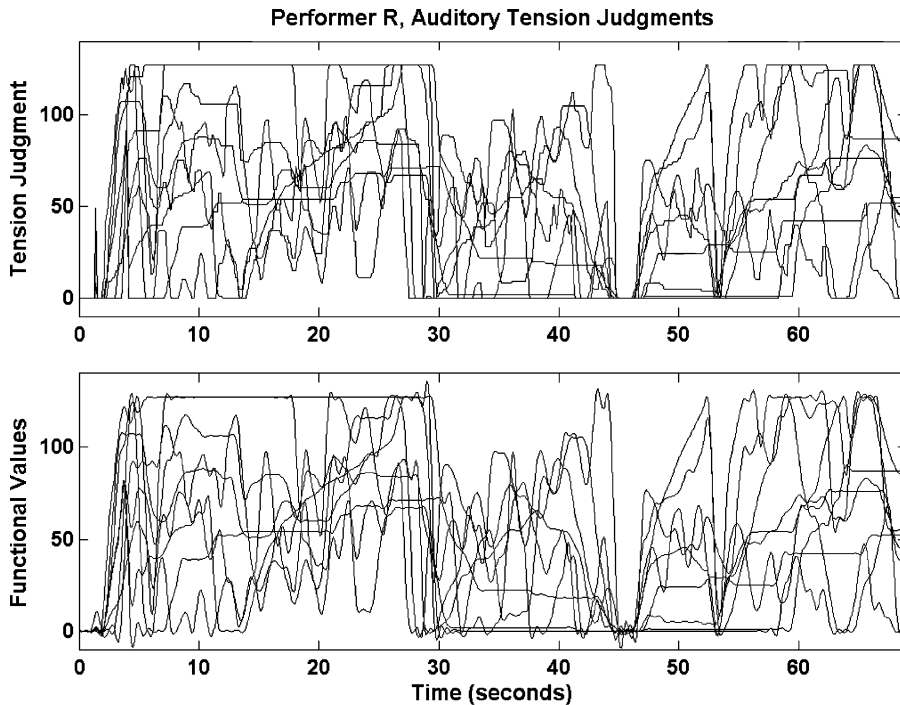


Fig. 3. Each line represents the tension judgment of a single participant in the auditory only condition, made in response to Performer R. The original data are shown in the top panel and the same data are shown in the lower panel after modeling with functional techniques.

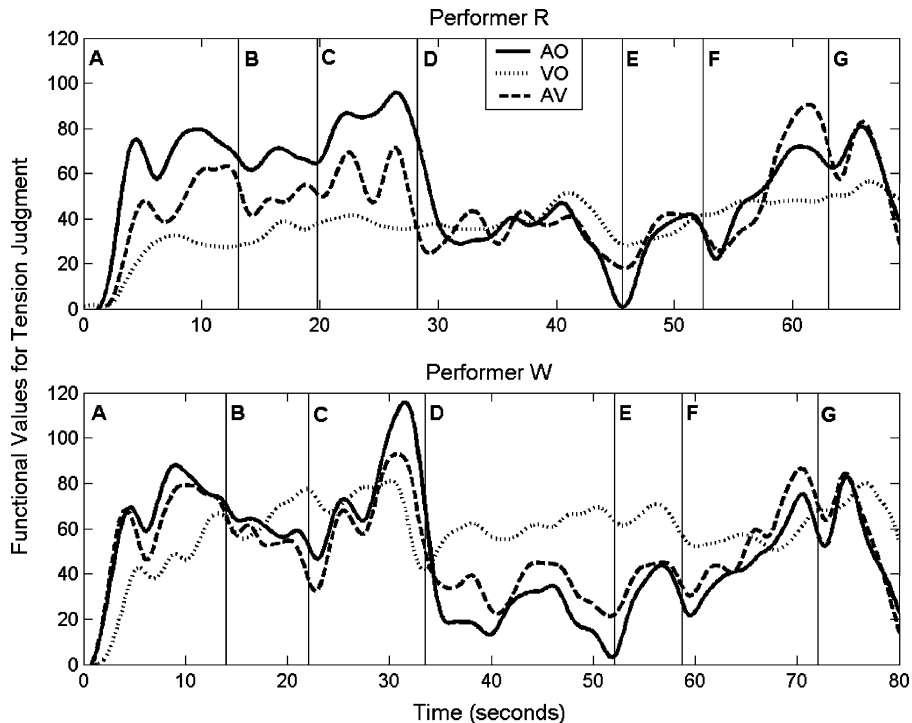


Fig. 4. Functional fitted means for both performers. Each curve represents the underlying trend for the tension judgments in a particular experimental condition: auditory only (AO), visual only (VO) and auditory+visual (AV). Vertical lines delineate major phrase boundaries in the piece.

The performers' movement styles account for the difference between VO fitted mean curves for the two performances. Performer R's movements were controlled and calm throughout, and his feet did not shift while playing. His expressive movements were subtle, flowing, and grounded. Performer W, on the other hand, moved a great deal, with highly emotive gestures. He took steps forward and back and assumed a variety of expressive postures. Accordingly, the VO mean for Performer R maintained a lower level with less variability than the VO mean for Performer W.

Though the AV and AO fitted means followed a similar contour for both performers, the magnitude of the AV curve differed systematically from the magnitude of the AO curve for substantial sections of the piece (see Fig. 4; Performer R, seconds ~5 to 30, and Performer W, seconds ~35 to 62). These systematic deviations were correlated with changes in the musical structure of the piece and with the relation between musical sound and performer movement, as elaborated below.

3.5.3. Relating tension to the musical score

Vertical lines in Fig. 4 (as well as in Figs. 5 and 6) delineate major phrase boundaries in the musical performances, as determined by a music theorist (A. Vishio, personal communication, April, 4, 2003). The phrase boundaries are displayed in the Stravinsky

score in Appendix A. It is notable that each phrase boundary is accompanied, or is followed closely in time, by a trough in tension ratings for both the AO and AV curves. Clearly the contour of tension in the performances was tightly linked to the phrasing structure in the piece, a finding that is consistent with past work by Krumhansl (1996, 2002) and Krumhansl & Schenck (1997). The phrasing structure was also reflected in the VO tension mean for Performer W: Tension tended to build-up during phrases and to drop at phrase boundaries or just after. Except for the boundary at phrase E, this trend is not obvious in the VO data for performer R. We now present an analysis of the performances with respect to musical content and visual content.

The composition may be thought of as comprising three sections (Friedland, n.d.), where the first and third sections are similar in musical content, while the second section is unique.

3.5.3.1. Section one. The first section extends from the beginning of the piece through ~ phrase C. (A double bar marks the boundary between phrase C and phrase D, see Appendix A.) There is a high note density with many fast runs, many high-pitched notes, a wide pitch range and a high level of loudness. These structural features of musical sound have been previously identified as being positively correlated with auditory tension

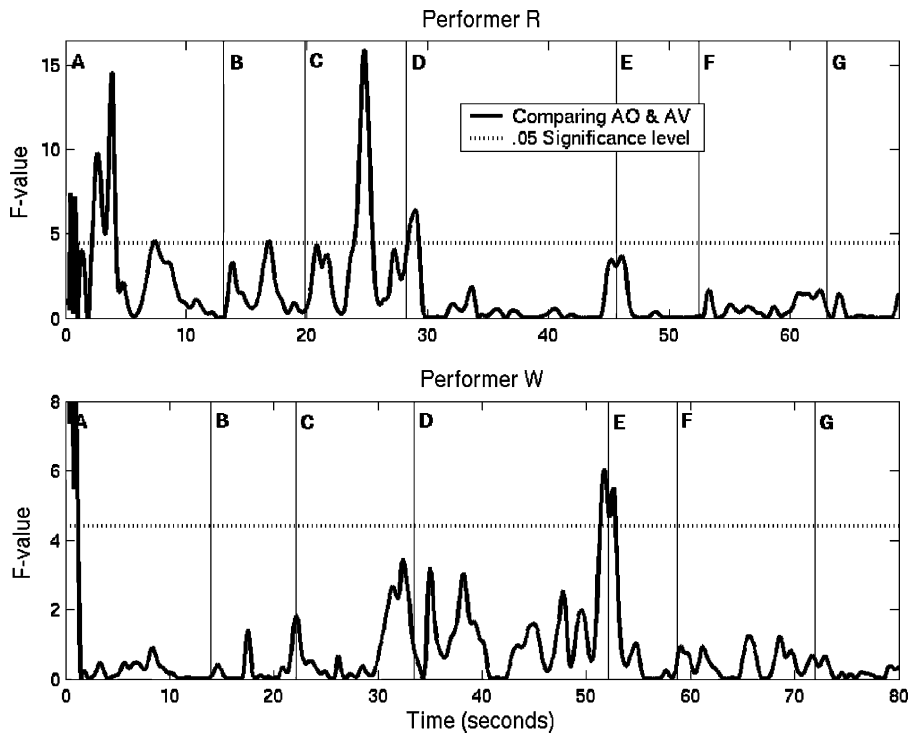


Fig. 5. Comparing mean tension judgments for the auditory + visual and auditory only groups. The solid line represents the F -value for the hypothesis that the two group means are different. When the F -value rises above the dotted line (the threshold for a $P < 0.05$ significance level) the difference between groups is significant. Vertical lines delineate major phrase boundaries in the piece.

(Krumhansl, 1996; Nielsen, 1983); the AO and AV tension ratings are accordingly high. Performer R's movements were characteristically smooth and controlled while Performer W's movements were highly expressive, with elaborate gestures occurring at the end of note clusters. VO tension was relatively low for Performer R and high for Performer W.

3.5.3.2. Section two. The second section spanned ~ phrases **D** and **E**. (The boundary at phrase **F** is marked in the score by a 16th-note rest and a breath mark.) The structural content of the music differed from section one in several ways: loudness dynamics were much lower, dropping from moderately loud to very soft. The note density was reduced; whereas the first section was composed of 16th and 30-s note runs (about nine notes per second within the runs), the second section was formed mostly with eighth notes (1/2 or 1/4 as many notes per second). The pitch height also decreased from section one to section two. These structural features of musical sound are negatively correlated with auditory tension (Krumhansl, 1996; Nielsen, 1983); AO and AV tension ratings were low. The musicians' movements did not dampen, but became even more punctuated, rhythmic, and expressive, especially Performer W's. The VO tension level remained as high as in section one.

3.5.4. Section three

The third section extended from ~ phrase **F** to the end. Features of musical structure found in section three are similar to those in section one: Fast runs with a wide pitch range and high loudness characterized the sound. (Recall that these features are associated with high tension in sound; the AO and AV tension levels rose accordingly.) The clarinetists' movements were also very similar to those found in section one: Performer R continued to move in smooth flowing contours while Performer W moved in bursts with motion arcs occurring at the end of note clusters. The VO tension level rose slightly for Performer R and remained at a similar level for Performer W.

It is notable that for both performers the AV mean curve eclipsed the other two curves in the latter portion of phrase **F**. This change in relations between sensory modalities was the only point in the score when the AV curve surpassed the AO and VO curves at the same time for both performers.

3.5.5. Functional F-tests

We compared the magnitude of tension ratings from the AO ($n=9$) and AV ($n=10$) groups using a functional significance test to determine *when* in the musical piece the difference between the AV and AO groups was significant; hence, we isolated the effect of visual information. An F -value was calculated as a function of time over the duration of each performance (shown in Fig. 5). The threshold value for $P < 0.05$ and $df = 1, 17$ is 4.45 (shown as the dotted horizontal line in Fig. 5). When the calculated F -value rose above 4.45, the difference between AV and AO groups was deemed significant.

In performing the functional F -tests, note that the threshold level of significance, $F = 4.45$, was not adjusted for the equivalent of multiple comparisons. Such corrections are still under development for non-stationary data with serial dependencies (Boker et al., 2002; Harvey, 1989). The functional F -tests were the formal equivalent of planned Tukey

LSD post hoc comparisons for each 100 ms time window, with a significance threshold of $P < 0.05$.

We analyzed the video footage frame-by-frame for the segments of interest (SOIs) identified by the functional F -tests. We only analyzed SOIs that occurred after second 4 in the piece (because of the typical unreliability of responses at the beginning of such judgments) and those that were longer than 0.5 s in duration (to focus upon the most important segments). One second of the performance prior to each significant section was included in the subsequent video analysis. Kuwano & Namba (1985) found that a delay time of about 1 s was typical for their continuous measurement. Other researchers have reported lag times of up to 3.25 s (see Schubert, 2001). We chose to include only the previous second for this analysis because it is likely that the rapidly changing nature of, and the participants' pre-exposure to the present stimuli kept lag times to a minimum.

There were two segments of interest in the Performer R data, one spanning seconds 24.0–25.4 and the other spanning seconds 28.4–29.2. A peak of musical intensity was reached during the first of the two SOIs. There was a fast melodic sequence that culminated in the highest pitched note in the entire piece of music. The AO group registered a high magnitude of tension. The AV group mean was also high, but significantly lower than that of the AO group level (see Figs. 4 and 5, Performer R, ~ second 25). Performer R's movements were relaxed and flowing—accordingly, the VO group registered a low level of tension. Performer R's smooth and calm movement contours contradicted the activity in sound. The effect of adding visual information over this SOI was to dampen the experience of tension for participants who could both hear and see the music.

The second SOI for Performer R occurred just as section two of the piece began (phrase D). As described above, section two differed dramatically from section one in that the music was much more subdued and quiet. The tension judgments decreased in magnitude for both the AV and the AO groups, but the AV mean decreased earlier than the AO mean, causing a significant difference between them (see Figs. 4 and 5, Performer R, ~ second 29). In the visual stimulus, Performer R's facial expression and body posture changed in anticipation of the new section, before the sound actually began. He adopted a lighter expression, in which his eyebrows were raised, as he took a breath with which to begin the next section. The visual component cued the change in mood for the AV group in advance of the sound.

There was a single SOI for Performer W that lasted from 51.4 to 52.7 s. In sound, a very low note, played at the softest loudness dynamic in the entire piece, diminished into inaudibility. A brief silence followed, and then a series of quiet notes began the next phrase. Performer W's movements were active during this segment, as they were throughout. His body rose with the clarinet through the low note, following a contour that peaked in height just after the sound could no longer be heard. By then, he was leaning to his left with his eyebrows raised. He appeared to experience the music intensely. Performer W's body and clarinet then followed a descending contour. He coordinated a breath with the downward motion, and the next series of notes began after a controlled forward movement, for which a step was taken. The expressive visual activity thus contradicted the calm and quiet content in sound. AO and AV curves were at their lowest levels during this SOI, but the tension level for the AV group was significantly higher than that of the AO group (see Figs. 4 and 5, Performer W, ~ second 52). The VO group responded with high ratings of tension (see Fig. 4, Performer W, ~ second 52).

The addition of visual information during this SOI significantly increased the level of experienced tension.

3.6. Phrasing

The phrasing judgments revealed what points in time participants perceived phrase boundaries in the music as well as their sense of phrasing contour. The phrasing analyses we employed focus upon temporal coincidence (or lack thereof) in judgments, as well as similarities in contour across the presentation conditions.

3.6.1. Outliers and missing data

Missing data for phrasing were dealt with in the same way as missing data for tension. After removing outliers, 29 participant judgments remained for Performer R (nine VO, 10 AO, and 10 AV) and 29 for Performer W (nine VO, 10 AO, and 10 AV).

A programming error affected data for the first 4 s in some of the judgments. For Performer R, five judgments were affected (one AO, one AV, and three VO). For Performer W, seven judgments were affected (four AO, two AV, and one VO). All data were intact for the remainder of each performance (65 s for Performer R and 76 s for Performer W). For the functional modeling, the missing data were replaced by an average of the intact judgments in the same condition. The missing data were simply left out of the group means used in correlation analyses.

3.6.2. Scaling

The data were scaled from 0 to 1 for each participant's phrasing response to eliminate differential use of the slider. The phrasing judgment is a temporally based structural measure for which the magnitude does not have meaning; hence, scaling eliminated uninformative information beyond response contour.

3.6.3. Correlation analysis

The scaled judgments were averaged across participants and within presentation conditions. As with the tension ratings, we used two measures of correlation to assess relations across perceptual modalities. Spearman correlation values and results from the parametric correlation with serial dependence removed are shown in Table 2. Correlations ranged from 0.41 to 0.81. The strongest correlations were between AV and AO curves for both performers, as they were for the tension judgments. However, the correlations between AV and VO and between AO and VO were strong as well. The only non-significant *P*-value was associated with a parametric comparison between AO and VO mean curves for Performer R, though the effect size (an averaged ρ of 0.41) points to a positive relation between phrasing conveyed by sound and phrasing conveyed through vision (Cohen, 1990).

3.6.4. Functional modeling of the data

We used 150 B-splines to model the data. The maximum root mean square error obtained between a participant's judgment and the corresponding functional model was kept at less than 9% of the full range of values.

Table 2
Intercorrelations between group phrasing judgments

	Performer R (df = 19/df = 688)			Performer W (df = 19/df = 798)		
	AO	VO	AV	AO	VO	AV
AO: Spearman	1	0.47**	0.73**	1	0.49*	0.78**
APC		0.41	0.74**		0.57*	0.81**
VO: Spearman	–	1	0.68**	–	1	0.56**
APC			0.69**			0.71**
AV: Spearman	–	–	1	–	–	1
APC						

* $P < 0.05$, two-tailed. ** $P < 0.01$, two-tailed. Spearman, Spearman's ρ ; APC, averaged parametric correlation; AO, audio only condition; VO, visual only condition; AV, audio–visual condition.

3.6.5. Fitted mean curves and smoothing

We applied a smoothing function to the fitted means with a value $\lambda = 0.001$ for the phrasing data. The smoothing parameter was of a smaller magnitude than that for tension because phrasing analyses focused upon timing details that would have been obscured with more smoothing. Scaling the data does not change the effect of the lambda smoothing value.

The fitted mean curves are shown in Fig. 6 along with lines delineating major phrase boundaries (as in Figs. 4 and 5). The deep troughs and high peaks in the mean curves were aligned across groups. Though the magnitudes of the curves differed, all three group means followed a similar contour over the course of the performances. Each major phrase boundary co-occurred with, or was followed shortly by troughs in the phrasing fitted means. Thus, the high-level phrasing structure was conveyed through all presentation modalities. Note also the agreement across groups for registering sub-phrase boundaries, as evidenced by synchronous troughs within the major phrases.

3.6.6. Analyzing a transition between musical sections

An inspection of the fitted mean curves over a span of time corresponding to the transition into phrase **D** (at the beginning of section two, as discussed above) yielded two related observations. We chose to focus on this transition because it marked the only time when a major section boundary co-occurred with a double bar marking in the score. During a pause in sound that followed the fermata (the longest silence within the piece for both performers), the effect of visual information could be observed. Additionally, this transition was the point of maximum contrast in the performances—the preceding musical material was markedly different from that which followed. The section of interest for Performer R spanned seconds 25.5–30.5. The section of interest for Performer W spanned seconds 30.5–35.5. Fig. 7 shows a close-up of the fitted means during the transition.

There was a major pause in sound between phrases **C** and **D**. A long held note came to an end to conclude phrase **C** (shown in Fig. 7 by the first vertical line in each panel; second 26.5 for Performer R and second 31.5 for Performer W) followed by a pause in sound, after which phrase **D** began (shown in Fig. 7 by the second vertical line in each panel; second 28.3 for Performer R and second 33.5 for Performer W). Refer to the score in Appendix A, at the fermata before phrase **D**. The VO group responded more slowly to the end of

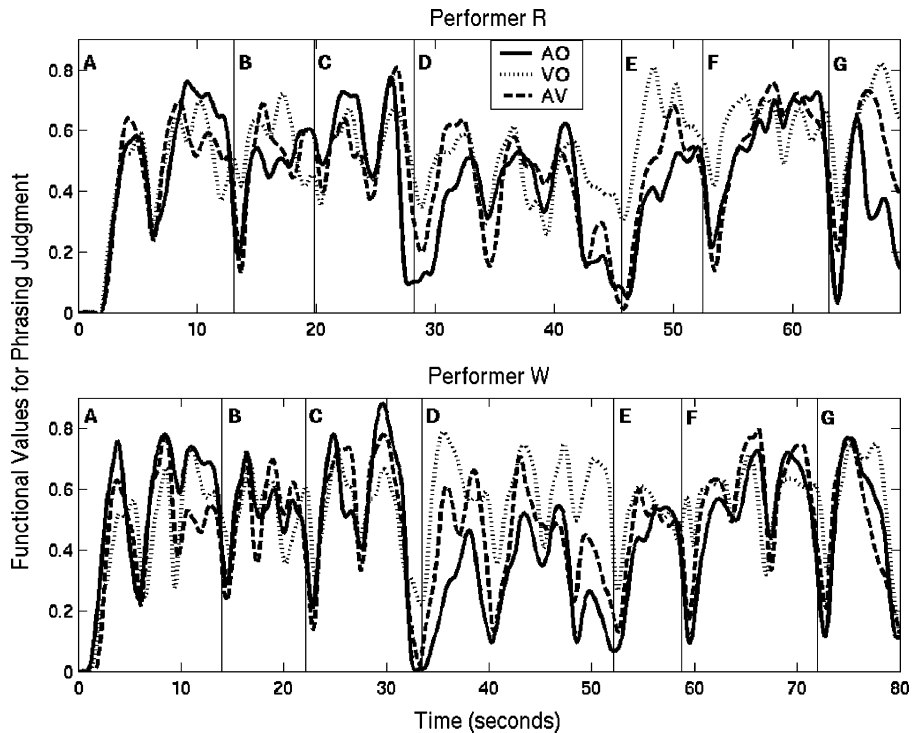


Fig. 6. Fitted mean phrasing judgments curves for the three presentation conditions and for each performer. Though the stimuli varied across presentation conditions, and were completely different for the auditory only and visual only groups, the major troughs and peaks are aligned. Vertical lines delineate major phrases in the piece.

the concluding phrase than did the AO group, as indicated by a weaker slope in the fitted mean curves. The slope of the AV mean curve is between those of the other groups. Note that the VO and AV groups were faster to react to the new phrase than was the AO group.

An inspection of the video footage during the transition region yielded the following observations: The clarinetists' bodily gestures and postures extended beyond the final note of the (auditory) phrase and continued into the silence. Performer W's left hand lifted off the clarinet, in synchrony with the note's conclusion, and then slowly fell as the silence ensued. Performer R arrived at an extreme posture for the final note of the first section, with his clarinet bell high in the air. He held that posture past the end of the note and into the following pause in sound. The clarinetists' bodily gestures and postures also anticipated the new phrase that followed the silence. Before the first note of the new phrase began, the clarinetists made certain gestures, including breathing and movements of the clarinet, which cued the onset of the coming phrase. Performer R took a quick breath, changed his facial expression and adjusted his posture in preparation for the new phrase. Performer W raised his clarinet while breathing deeply, and then swooped his clarinet downward. The new note began when he reached the bottom of that trajectory. These gestures influenced phrasing judgments for participants who could see the performances.

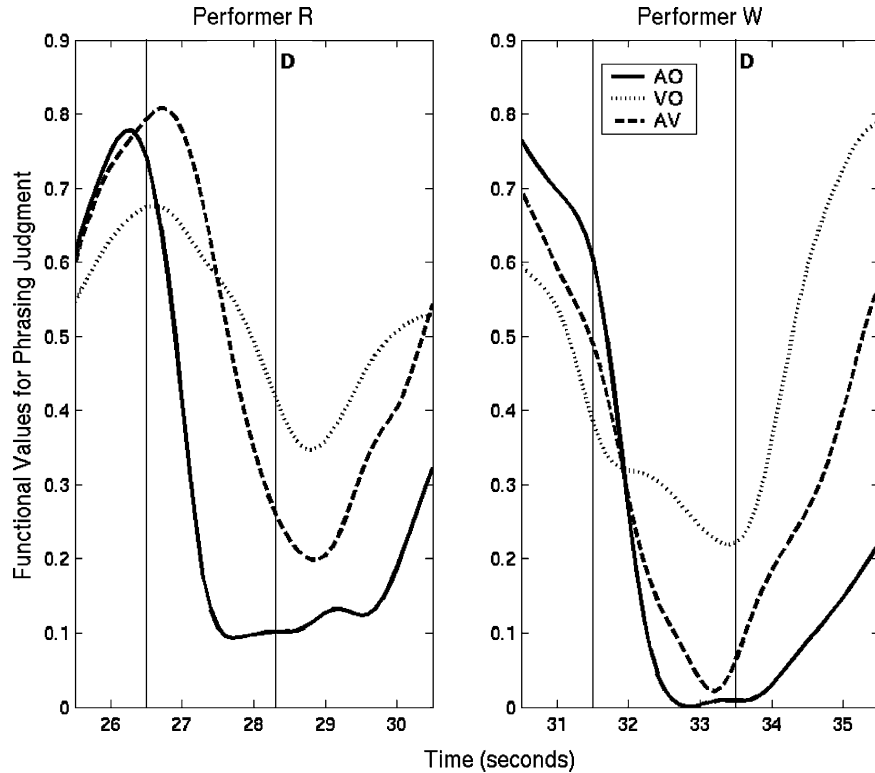


Fig. 7. Phrasing functional fitted means for a temporal region corresponding to a pause between sections, when the sound stopped. The groups reacted to the end of the previous phrase (first vertical line) and to the beginning of the next phrase (second vertical line, beginning phrase **D**) with different latencies, depending upon whether the visual component was available.

3.6.7. Analyzing a difference in interpretation across performers

The music theorist, A. Vishio, analyzed both performances individually in addition to contributing an a priori musical analysis of the score. (The phrase boundaries shown in Figs. 4–6 are based upon the a priori analysis.) In his analysis of each performance, Vishio noted differences between the interpretations of the two performers. In particular, Performer W added a major phrase boundary at a point within phrase **F**. The location of this boundary is labeled “**F2**” in the score of Appendix A and in Fig. 8, which shows a close-up view of the phrase surrounding **F2**. There is a shift to a higher register of notes at **F2**, following a short breath mark with no rest. Performer R interpreted **F2** as a continuation of phrase **F** that added a flourish to the written G5 note preceding the breath mark. He played the written 16th notes leading up to **F2** at the same tempo as the 16th notes following the breath mark (see Appendix A). His G5 note prior to **F2** was short in length (~ 0.6 s) and the following pause in sound was brief (~ 0.2 s). In addition, Performer R played a crescendo into and through the G5 note preceding **F2**, while maintaining the same trajectory of loudness into **F2**. These acoustic cues (continuity in

loudness and tempo, and brevity of interruption) served to merge the segments before and after **F2** into one perceptual entity—one phrase in sound. In vision, the short breath at **F2** was an obvious cue for segmentation, and Performer R raised his clarinet slightly during the pause (probably to accommodate the expansion of his lungs). However, his continuity of movement was not broken across the **F2** boundary, and he did not deviate from a forward-facing stance until the held **G5** note preceding phrase **G**, when he made a circular motion with his body and clarinet to cue the end of a longer phrase. The continuity of Performer R's motions and posture bridged the breath pause at **F2** to create a unified phrasing percept for those who could see the performance. In general, Performer R's interpretation of the piece was expressed through sound and movement to influence observers' perceptual organization of temporal structure. The segments preceding and following a breath marking at **F2** were perceived as a single phrase across presentation conditions.

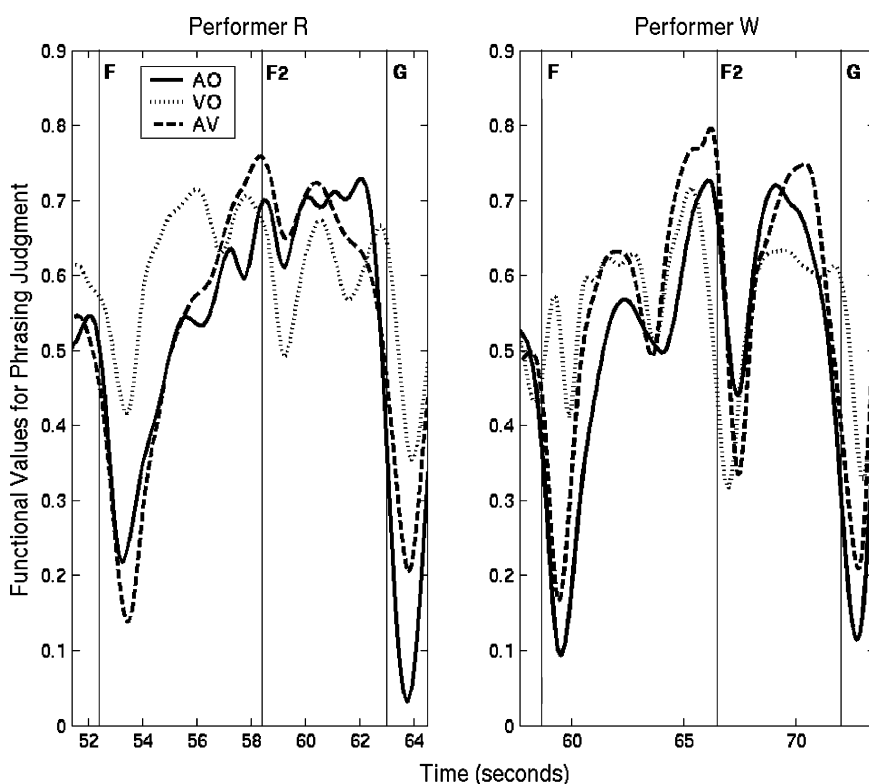


Fig. 8. Phrasing functional fitted means for a temporal region during which Performer R and Performer W interpreted the phrasing structure differently. According to a music theoretical analysis of the performances, Performer W placed a major phrase boundary at the location marked **F2**, whereas Performer R treated the stretch from **F** to **G** as a single phrase. The performers' interpretations were reflected in the judgments for all presentation conditions: Participants perceived a major phrase boundary at **F2** in the performance by Performer W, but not in the performance by Performer R, as revealed by trough depth in the mean phrasing judgments. (Letters and corresponding vertical lines refer to phrase boundaries in the score shown in Appendix A.)

In contrast to Performer R, Performer W interpreted **F2** as a new phrase that lead into phrase **G**. His timing on the 16th note run just before **F2** fluctuated and the tempo taken after the breath mark did not clearly match that of the previous segment. The held G5 note prior to **F2** was comparatively lengthy (1.3 s), as was the pause for breath (0.3 s). Performer W's loudness dynamics did not carry a common trajectory before and after the **F2** division. Performer W's approach in sound lead to the perception of two distinct psychological units, separated by the breath boundary at **F2**. Performer W's movements also conveyed a clear boundary at **F2**, as evidenced by a low trough in the VO group mean at that point. He deviated from a forward-facing posture during the G5 note preceding **F2**, moving his clarinet and body in a circular motion; he made a similar motion during the G5 note preceding phrase **G**. The changes in posture at each G5 note acted as strong perceptual cues for separating the preceding and following segments. The difference in the performers' interpretations was clearly reflected in the phrasing judgments.

The judgment curves corresponding to Performer R do not show a salient trough at **F2**, only a subtle sub-phrase boundary (see Fig. 8). (Note that the strongest dip is in the VO mean-curve. The short breath might have played a more important role for the VO group in determining phrase duration than it did for the AO and AV groups.) The judgments made in response to Performer W show a strong phrase boundary at **F2**. This contrast between performers exemplifies the sensitivity of the continuous phrasing judgment to variations in musical interpretation, and it also shows that performers' idiosyncratic phrasing intentions are conveyed through both sound and body movement.

4. Discussion

The present study of musical performance contributes to a larger context of studies of the cognitive dynamics of multi-sensory integration. Relations between auditory and visual modalities differed markedly for the two aspects of experience explored here: tension and phrasing. The visual modality conveyed tension information that was largely *independent* from sound, though there were some convergent segments when visual and auditory information matched. In contrast, the sense of phrasing conveyed by vision and sound was remarkably similar. The information relevant to each task may account for the different relations between modalities for tension and for phrasing.

The tension judgment drew participants' attention to emotional experience. Emotions in music are dependent upon a variety of perceptual attributes in sound, including pitch, tempo, mode, harmony and loudness, all of which involve interactions between high- and low-level auditory cognitive processes (Balkwill & Thompson, 1999; Gagnon & Peretz, 2003). There is a high density of emotional and tension-related information in the Stravinsky score. Whether or not body movements can convey the complexity of emotion that is available in musical sound is a matter of current interest. Krumhansl & Schenck (1997), for example, found evidence that choreographed dance conveyed much of the same emotional content as the accompanying musical piece. What aspects of visual experience elicit an emotional response such as tension?

Dance theorists have hypothesized that visual tension is induced by the initiation of movement, force, weight, and rate of movement (Frego, 1999), as well as the interaction between different forces, including those generated by the body and by the force of gravity (Sheets, 1966). Dancers perform with freedom of movement in three-dimensions; their hands, legs, torso and head can move in a great variety of expressive patterns. Musicians, on the other hand, can only move expressively within the constraints of the instrument they are playing.

Each musical instrument requires a specific coupling between the performer and that instrument; the coupling must be maintained in order to produce quality sound and accurate music. The expressive movements of musicians certainly convey emotive qualities, as evidenced by the dynamic VO judgments in the present experiment. However, limitations on movement might prevent a perfect correspondence between emotion conveyed visually and emotion conveyed through sound. For example, the clarinet limits facial expression, an important interface for emotional communication between individuals (Ekman, 1992; Planalp et al., 1996). Additionally, the mapping between movement and sound differs from instrument to instrument. A trombonist, for example, slides the right hand up towards the body to increase pitch, whereas an upright bass player slides the right hand down away from the body to increase pitch. Furthermore, computer-based instruments can use mappings between sound and body movement that are completely arbitrary (Levitin, et al., 2002; Smalley, 1997.) Considering these constraints, it is not surprising that the contour of emotional experience found in sound was not completely correlated with that in vision. From another perspective, performers may often use gestures and facial expressions to convey emotions that are not present in the sound, the obvious case being when a performer moves her hands in preparation for touching the instrument and making a sound. Experiments involving instruments for which there are fewer (or different) restrictions upon movement and facial expression (e.g. piano, voice) will be instructive. In addition to the instrument being played, the genre of music being performed also influences expressive movement. For example, a Dixieland clarinet player will likely have a different movement vocabulary compared to a Western classical clarinetist. We view the present work as an initial step towards understanding the impact of seeing a musician perform.

The phrasing judgment focused participants' attention on their perception of structural form in musical performance. There is an inherent temporal correspondence between events in a musician's sound and in body movement; some change in body state accompanies every change in sound. For example, fast finger (and/or lip and tongue) movements accompany fast runs with high note density—when the sound stops changing rapidly, the musician's articulators also cease to move rapidly. The contour of body movements over time may also correlate with phrasing contour. The clarinetists who performed for the present study rarely mimicked melodic contour with their movements, but their motion sequences often extended over approximately the same duration as the concurrent musical phrase. The correspondence between body motion and sound, as well as the temporal nature of the judgment, may explain why a similar phrasing contour was identified across presentation conditions.

We present a discussion of the tension and phrasing results below.

4.1. Tension

Sound played the dominant role in determining the contour and trajectory of emotional experience for those who could both hear and see the performances. This finding is consistent with Krumhansl and Schenck's (1997) ballet study. However, in contrast to that study, we found that vision and audition elicited dissimilar experiences of tension for the most part. (The segments for which AO and VO mean curves did follow a similar contour suggest that the visual channel and the auditory channel can convey some of the same affective information, at least over short durations of time.) Additionally, the VO mean for Performer W was aligned with the high-level phrasing structure, as were the AO and AV means for both performers. If the visual information is partially redundant with the auditory information, it may serve to support, modify, presage or confirm content in sound.

The tension data revealed effects of inter-performer variation in movement style. The tension level conveyed visually differed markedly across clarinetists, with higher and more dynamic VO ratings for Performer W. Therefore, different manners of movement elicit different tension ratings, and more expressive gestures and variations in posture will tend to generate higher levels of tension for observers.

Though sound dominated the emotional (or tension) contour of experience for those who could both hear and see the performances, visual information did affect the overall magnitude of tension experienced. The fitted mean curves revealed stretches of time in the performances during which the AV mean consistently deviated from the AO mean; there were periods during these stretches of time when the curves differed significantly in magnitude, as determined by functional *F*-tests. These segments of interest (SOIs) occurred when the tension conveyed in sound contrasted with the tension conveyed visually. For example, seeing Performer R's smooth and controlled body movements served to *dampen* the tension experienced when the sound contained loud, high pitched and fast moving melodic lines. Conversely, visual information served to *increase* experienced tension when Performer W's punctuated and highly expressive movements contrasted with the subdued and quiet sound. These SOIs exemplify naturally occurring discrepancies in emotional content conveyed through vision and sound. In response to the independent sensory streams, participants did not ignore one or the other modality, but integrated the two into an amalgamation influenced by both sight and sound. These findings show that the emotion conveyed visually does indeed contribute to the overall experience, and that sound and vision interact in an observer's experience.

The visual aspect sometimes presaged a change in emotion before it was conveyed by sound. Adjustments to Performer R's facial expression and body posture cued an emotional change in the performance prior to a new musical section. These anticipatory cues modified affective experience for AV group members, who registered a decrease in tension before the AO group did. Thus, the visual information was found to add to the overall affective experience by cueing a change in mood.

Relations between sensory modalities towards the end of the piece suggest that an interaction effect occurred when the visual and auditory modalities were present. For both performers, the AV mean eclipsed both the AO and VO mean curves in magnitude, just as pitch height, loudness level and note density grew to high levels. This suggests that the

presence of both sound and vision led to an emergent tension—the effect was lost if either sensory component was removed.

Across all three sections of the piece, the visual modality influenced the observers' experience of tension in important ways. Further investigations are necessary to determine if seeing a performance brings the experience of an observer closer to the experience of the performer. We would expect such an effect in light of studies by Davidson (1993) and Runeson and Frykholm (1983), and research pointing to a mirror neuron system in the human brain (Dimberg & Thunberg, 1998; Fadiga, Fogassi, Pavesi, & Rizzolatti, 1995; Hatfield, Cacioppo, & Rapson, 1994; Levenson, Ekman, & Friesen, 1990; Rizzolatti, Fadiga, Gallese, & Fogassi, 1996; Rizzolatti, Fadiga, Matelli, Bettinardi, Paulesu, & Perani, 1996). The analyses discussed above, concerning the influence of facial expressions and expressive movements, provide preliminary support for the hypothesis that the mental states of a performer are conveyed when he or she is seen as well as heard.

One might argue that it is not the tension level in the VO condition that is influential, but just its presence. This perspective would view the visual component as a distracter that simply dampens the extremes of experience felt in the AO condition. Some intuitive sense supports this interpretation. There are concertgoers who prefer to close their eyes so that they may concentrate upon the sound of the music. Perhaps the participants who could see as well as hear the performances simply experienced an overload of information that dampened their capacity to follow the extremes of musical emotion. However, this hypothesis cannot account for the exaggerated tension experienced in section three of the piece for participants in the AV condition, nor can it account for the fact that the visual component only had a significant effect when the VO mean differed from the AO mean in a consistent way.

4.2. *Phrasing*

The visual modality proved to be rich with information about the phrasing structure in each performance. Body movement conveyed much of the same structural information as the auditory channel, as evidenced by strong correlations between AO and VO mean curves and similarities in mean contour. In spite of the fact that there was no physical overlap in the stimuli presented to the VO and AO groups, they both perceived the same underlying phrasing structure. This finding mirrors that of Krumhansl and Schenck's (1997) ballet study in which structural measures were found to be similar for their AO and VO groups.

The fact that participants were able to extract phrasing segmentation from the visual component alone demonstrates high-level pattern processing capabilities in visual perception. As mentioned above, the Stravinsky piece was chosen for its lack of rhythmic meter, thus eliminating a potential experimental confound. The performers' movements were not laden with metrical cues corresponding to beats and measures, but were idiosyncratic and highly expressive; yet the VO participants were still able to identify phrase boundaries and contours in the music. Therefore, the various movements and expressive gestures formed a gestalt from which observers extracted the intended phrasing structure.

In addition to carrying information about phrasing structure that was redundant with sound, the visual modality also augmented the participant's sense of phrasing with

additional information. For example, during a transition between major sections of the piece, the performers' movements and postures extended into the pause in sound, elongating the sense of phrasing for participants who viewed the performance. Also, the performers made certain gestures (breathing and movements of the clarinet), which cued the beginning of a new phrase. Due to these anticipatory gestures, the sense of phrasing began earlier for participants who saw the performers. These effects are analogous to co-articulation gestures in speech, for which movements of vocal articulators begin before speech sounds are initiated, and are influenced by preceding articulations as well (Levelt, 1989).

The phrasing judgments revealed that participants in all three presentation conditions perceived the music theoretical phrasing structure of the composition, as evidenced by major troughs in judgment curves at all important phrase boundaries (see Fig. 6). Additionally, differences in musical interpretation between the performers influenced the participants' judgments (see Fig. 8). The musicians' interpretations of phrasing structure were conveyed not only through hearing, but also through seeing the performances, further supporting the hypothesis that a person's intentions and mental states are conveyed to a viewer through body movement (Davidson, 1993; Dittrich, Troscianko, Lea, & Morgan, 1996; Runeson & Frykholm, 1983). In this case, the mental state involved musical intentions related to phrasing structure and emotional contour.

4.3. *Considering the musician*

The investigation presented here was tailored towards quantifying the experience of observers and interactions between seeing and hearing musicians perform. However, the data and analyses are rich with information about the musicians as well (e.g. their movement patterns, relations between expressive gestures and the musical sound, and the communication of musical interpretation through body movement). We see this research as a preliminary step towards understanding not only the source and utility of musicians' expressive gestures, but also fundamental processes in human communication spanning language and music.

Why do musicians move expressively at all, even though it is possible to perform music accurately while restricting such gestures almost entirely (Wanderley, 2002)? In addition to influencing the audience's experience of the performance, as discussed in this paper, expressive movements might significantly affect the musician's experience as well, through mechanisms linking the motor system with emotional system(s) in the brain (Gellhorn, 1964; Hatfield et al., 1994; Levenson et al., 1990). Furthermore, Wanderley and Vines (*in press*) posit that a musician's body movements and corresponding musical sounds arise from the same 'expressive unit' in the performer's mind—the original expressive unit is conveyed through two complementary channels that each carries different information content. (Whereas musical sound changes over time in pitch, harmony, rhythm and timbre, body movement changes over time in three-dimensional space and in relation to emotional states associated with postures and facial expressions.) This idea is analogous to McNeill's 'growth point' (McNeill, 1999) and to Quek and colleagues' 'idea unit' (Quek, McNeill, Bryll, Duncan, Ma, & Kirbas, 2002), both of which hypothesize that speech and gesticulations that accompany speech arise from a single source in the mind of a speaker.

The study of musicians' gestures and the perception of musical performances opens the way to a more complete understanding of the human communicative process, in terms of the sender, the receiver, and multiple modalities of information transfer.

5. Conclusion

This paper explored the ways in which visual and auditory information, separately and together, convey *emotion* (as indexed by tension) and *structure* (as indexed by phrasing). Consistent with findings in the domain of speech communication, we found evidence for independence of information transmitted through the visual and auditory domains, with a certain degree of redundancy. As in the case of speech, in which the visual movements of lips are constrained by the phonemes being uttered, musicians' movements are to some extent constrained by the particular notes being played. Nevertheless, musical-equivalents of *paralinguistic gestures* (such as head movements, eyebrow raising, and postural adjustments) convey a significant amount of information that reinforces, anticipates, or augments the auditory signal. At times, the experience of tension and phrasing for participants who both *saw* and *heard* the performances was enhanced compared to judgments made by participants receiving information from only one sensory modality. At other times, the addition of visual information served to dampen the intensity of emotional response—seeing the musician may have revealed complexities in the emotional character of the music, leading to a more comprehensive interpretation of the piece or to greater aesthetic satisfaction.

We observed a substantial influence of high-level cognitive processes on interactions between auditory and visual modalities. The cognitive set established by task instructions determined how input from vision and audition would combine to form the overall experience. Cognitive set appears to modulate a gating mechanism controlling the influence of each modality. A bias towards the auditory channel was evident for the tension judgment, for example. One can imagine a task that would bias visual input: a continuous judgment of “amount of movement,” for which visual stimulation might play the strongest role in the overall percept. Each sensory modality's contribution to a participant's experience thus depended upon the experimental task. For the continuous tension judgment (indexing emotion), the auditory component consistently dominated, although visual information did take precedence at key points in the musical score. In contrast, auditory and visual modalities contributed more equally to the experience of phrasing.

The present study adds to knowledge of multi-sensory integration for conflicting input from vision and audition. Research into speech and ventriloquism effects has investigated perceptual conflict extensively (Bertelson, 1999; Massaro, 1987, 1998; McGurk & MacDonald, 1976), often using short, artificially created stimuli to induce varying levels of incongruity between seeing and hearing. The investigation presented here compliments these past efforts by capitalizing upon naturally occurring incongruities in a lengthy perceptual context: musical performance. In accordance with previous research, we found that a contrast between sound and sight usually caused an emergent cognition that was some amalgamation of the information in the two senses. Thus, the perceptual processes

involved in short, artificially generated incongruities are active under ecologically valid circumstances as well. A contribution of the present work was to quantify the nature of sensory integration by showing when auditory information takes precedence over vision, and vice-versa. This forms a step towards understanding those underlying stimulus factors that lead to the dominance of a sensory modality. Notable in the present experiment, for example, were moments near phrase boundaries when musicians' visual gestures provided cues as to what would next occur.

The *continuous tension judgment* indexed real-time emotional experience in response to clarinet performances, and the *continuous phrasing judgment* revealed the perceptual organization of musical structure over time. The visual and auditory channels tended to convey independent streams of emotional information, but much of the same structural information. The movements of musicians were found to be important for cueing phrase beginnings and endings, for augmenting or dampening musical affect, and for anticipating changes in emotional or structural content. Both phrasing and tension judgments corresponded well to music-theoretical interpretations of the musical structure, thus validating the judgments and demonstrating a sensitivity to musical form across perceptual modalities. Finally, interaction effects strongly suggest that the auditory and visual channels mutually enhance one another to convey content, and that an emergent quality exists when a musician is both seen and heard.

Musical performance, like speech and dance, involves a multi-sensory experience in which sound and visual stimulation interact over time. The mental processes underlying such cross-modal interactions are of central importance to our understanding of the relations between senses, perceptual organization, and ultimately the ways in which mental representations of the world are formed out of (often contradictory and ambiguous) sensory input. The present investigation showed that the body movements of musicians influence the cognitions of observers in ways that can be quantified, opening the doors to further investigations of real-time multi-modal perception.

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II

Clarinete en La de préférence. Preferably Clarinet in A

M.M. : 168

A

B 7.

C 9.

D *mf* *mp* *p*

E *subito pp* *mp*

F *mf*

F2 *mf*

G *subito meno f*

sombrier le son ritardando (poco)

Appendix A

THREE PIECES FOR CLARINET SOLO, SECOND PIECE

By Igor Stravinsky

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