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**TRANSCONTEXTUAL MECHANISMS IN CONTEMPORARY ART  
MUSIC**

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## ABSTRACT

Transcontextuality occurs in (contemporary art) music when musical material in one style is inserted into a work in a different style. The inserted material is termed a *transcontextual artefact* and has (at least) two contexts: a previous context, to which it traditionally belongs, and a present or new context, in which it is now heard. The term 'transcontextuality' encapsulates the idea of *transference* from one context to another. It also emphasises the importance of context. The phenomenon is context-dependent.

In transferring musical material from a previous context to a new work (the composer's own) a composer intentionally refers to the codes associated with the artefact and its source. The code which may be transmitted by an artefact can usually be described as belonging to one or more of several artefact-types, referring to: a style; a work; a composer's opus; or a genre. An artefact in contemporary Western music may also be 'transcultural', in that it refers to a non-Western culture.

A listener is expected to play the role of a decoder, potentially recognising transcontextual material, deciphering a code and consequently interpreting the meaning of an artefact in its (new) context. Code-transmission is partially dependent on the degree of decoder competence, and mismatches are possible between an encoder's envisaged code and a decoder's deciphered version.

## LIST OF ABBREVIATIONS

CD	compact disc
LP	long-playing record
Non-TC	non-transcontextual material
SC	score
TCA	transcontextual artefact
TP	cassette tape
'trans'	(transcontextual) transfer

Pitch is indicated as follows:

c''	the octave above middle c
c'	middle c and its octave
c	the octave below middle c

Where abbreviations apply to a specific diagram or section they are listed in an accompanying key.

## INTRODUCTION

### 1.1 Statement of aims

The aim of this thesis is to define a widespread phenomenon in contemporary music which will be termed 'transcontextuality'. The definition of this term will provide a tool to enable the analysis and greater understanding of an important facet of twentieth-century (art) music.

The wide-ranging nature of the phenomenon means that some limitations are inevitable. Many of these are discussed at an early stage in the study (section 1.3, page 13), but one of the most important limitations, which should be made clear immediately, is indicated in the title by the use of the word 'mechanisms'. The inclusion of this word is intended to show that this is an exploration of 'how transcontextuality works', rather than what particular examples might mean. The study will examine how a transcontextual artefact, representative of a particular musical style, is inserted into a contemporary work by a composer (encoder) and how it is detected and perceived by a listener (decoder).

It was decided to propose a theory of the mechanism of transcontextuality at an early stage in the research process. This approach was adopted in preference to an investigation of transcontextual meaning which could result from interviewing individual listeners to assess particular interpretations of musical examples. The development of the tools to enable the analysis of transcontextuality in its entirety was considered a precondition for any such exploration of meaning.

The invention of a terminology to deal with the phenomenon is an essential feature of the study, hence the provision of a glossary at the end of this thesis (page 171). This glossary allows easy access to the many transcontextual terms invented and explained during

the subsequent chapters. Some of the more important terms, which will be in constant use, are introduced in the following section.

## 1.2 Initial definitions and terminology

The initial working definitions of the terms presented in this section will be revised and refined as the study progresses, but this short introduction to the terminology will provide some preliminary understanding of the concepts involved.

A passage of transcontextual material is termed a **transcontextual artefact**<sup>1</sup> (hereafter abbreviated to **TCA**). A TCA is transferred from a **previous context**, with which it is usually associated, to a **present** or new context. The prefix '**trans**' is intended to encapsulate this idea of transference, so that the entire term 'transcontextuality' describes a transfer from one context to another.

One of the most important aspects of transcontextuality is that a TCA is used as a vehicle to transmit meaning about a previous context to a listener. The meaning which a TCA represents is encrypted as a code and is intended to be deciphered by a listener, who adopts the role of a **decoder**. A composer who includes a TCA in a work in order to transmit a code is an **encoder**, aware of possible meanings represented by a TCA.

The meaning associated with a TCA will be termed its **extrinsic context**. This is partially transmitted as a code, derived from a TCA's association with its previous context, and partially generated in a present context by a decoder's interpretation of the current version of a TCA.

The methods whereby a TCA is included in a present context (its entrance, passage and exit) or transformed (altered) within this new context can vary the character of a TCA. The version which results from its treatment within a new work is referred to as the **present**

---

<sup>1</sup>Throughout this thesis terms included in the glossary are in bold type at their first notable appearance in the main text.

**intrinsic context**<sup>2</sup>. The treatment of the musical materials within a present context may affect the transmission of a code and a decoder's interpretation of a TCA. Intrinsic context is therefore closely allied to extrinsic context. The term 'transcontextuality' encapsulates all four contexts—previous, present, extrinsic and intrinsic—as well as the concept of transference.

### **1.3 Ordering of the thesis and the strategy adopted**

This introductory chapter is mainly devoted to initial definitions, but there is also a brief case study of an excerpt from Pärt's *Symphony No. 2* (1966) in section 1.4 (page 15). From section 1.6 onwards the background of the term 'transcontextuality' is examined, especially its earliest use in Hutcheon (1985) and its relationship to other terms, such as 'parody' and 'pastiche'. Chapters 2, ('Decoding and Encoding'), 3 ('Contexts') and 4 ('Artefact-types', or classifications of TCAs) cover the three main areas of the study. Further to these, chapter 5 deals with references to non-Western cultures and chapter 6 ('Defining the Boundaries of Transcontextuality in a Broader Musical Context') examines several forms of reference in Western art music, namely representation, variations on a known theme, and neoclassicism, and considers how these are related to transcontextuality, concluding that some of the phenomena could be transcontextual. The epilogue (Chapter 7) considers possible wider applications for transcontextuality by examining further areas, such as transcontextuality in opera, and sampling in electroacoustic music. It also considers transcontextual re-uses of musical material in films and television advertisements.

The thesis is restricted, as stated in the title, to 'contemporary' (twentieth-century) art music, where transcontextuality becomes a prevalent feature. The phenomenon also occurs

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<sup>2</sup>The concept of previous intrinsic context is erroneous to a degree because a TCA is only transcontextual once the process of transfer from a previous to a present context is complete. Both present intrinsic context and the possibility of previous intrinsic context are discussed in greater detail in section 3.4 (i) of chapter 3, page 93.

prior to this period, although less often, hence the concentration on contemporary music<sup>3</sup>. One of the earliest composers to use transcontextuality to any extent was Ives, during the first two decades of the twentieth century. The number of examples of transcontextuality decreases in the period immediately following Ives's body of transcontextual work, but this is followed by an increase in the middle to late decades, especially in the works of composers such as Pärt, Schnittke and Maxwell Davies<sup>4</sup>. It should be noted that the limitation of the chronology to the twentieth century applies only to a *present context* (to the non-transcontextual material associated with a TCA in a work). A TCA itself may 'belong to' any period of music history and could also be non-Western or in a 'popular', rather than a purely art music genre.

The examples throughout the study are largely derived from instrumental music, partly to limit the scope of the thesis, but also to allow a concentration on the 'musical' aspects of transcontextuality. If, for instance, vocal music were considered the semantic content of any text would have to be examined. With dramatic musical works, such as opera, it would be necessary to investigate non-aural phenomena such as the plot, characterisation, visual prompts and so on. However, this limitation is not always strictly adhered to. Occasionally musical examples are drawn from, or contain elements of, vocal and electroacoustic music, because it is not always possible, or desirable, to discount all non-instrumental works.

Few large-scale case studies are attempted because transcontextuality is often only one facet of a single piece. Rather, excerpts of pieces are used to demonstrate a particular point or points. Furthermore, reference to a range of works is necessary to demonstrate the different facets of transcontextuality and concentration on any single piece would detract from the wide-ranging nature of the phenomenon.

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<sup>3</sup>The concept of a historical precedent for transcontextuality is referred to during the discussion of 'parody' on page 21.

<sup>4</sup>The table in Appendix I (pages 161 and 162) lists the contemporary transcontextual works referred to in approximate chronological order, and shows a cluster of examples during the 1960s, 1970s and 1980s. This chronological distribution may indicate that transcontextuality is most prevalent during these three decades. However, this can only be taken as a general guide because the table is not the result of a survey, rather it lists the examples utilised in describing the mechanism of transcontextuality.

## 1.4 A brief study of excerpts from Pärt's *Symphony No. 2*

A preliminary example of a TCA will help to demonstrate some of the concepts and terms discussed so far. This section is not intended to present an extensive case study but it introduces some techniques which are fundamental to an understanding of the methodology adopted, such as the idea of representing a TCA and any relevant excerpts of its accompanying non-transcontextual material in the form of a proportional line diagram.

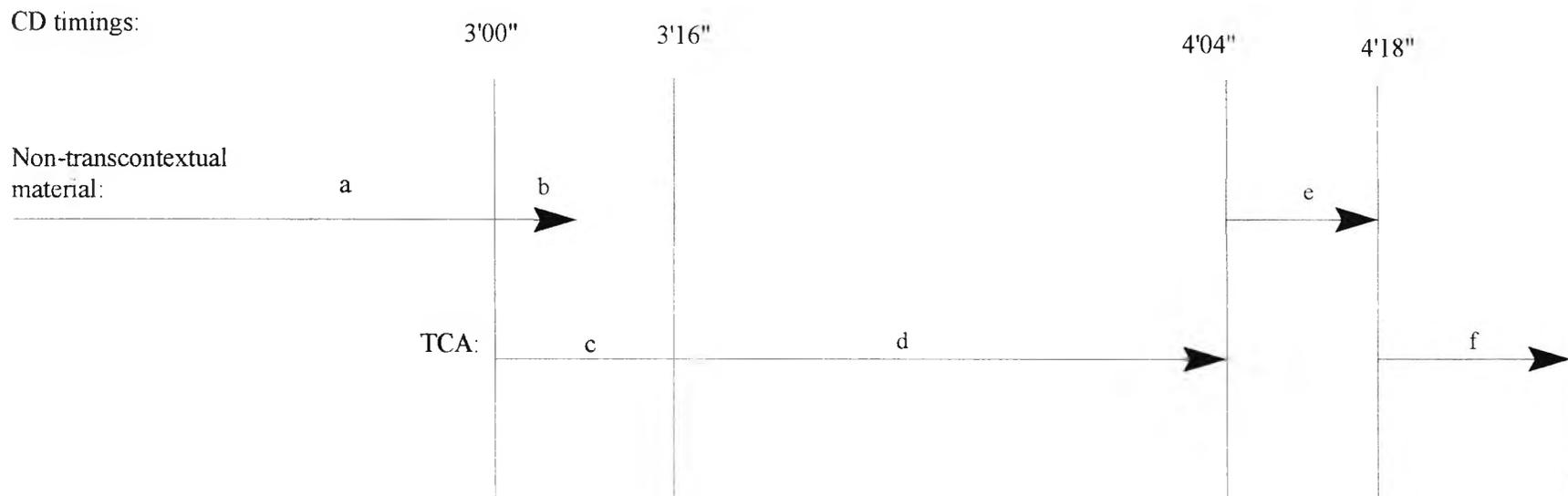
The TCA chosen for discussion occurs in the third movement of Pärt's *Symphony No. 2* (1966) (beginning at CD timing 3'00", continuing, with a brief interruption at 4'04"-4'18", to the end of the piece). This TCA is Pärt's orchestral transcription of a piano piece by Tchaikovsky called *Süsser Traum*<sup>5</sup>. **Figure 1.1** shows the layout of this TCA in the proportional line diagram format. The '**non-transcontextual material**' referred to consists of musical material which is not part of the TCA: Pärt's 'original' composed material that does not derive from a previous context<sup>6</sup>. This TCA is relatively brief, only participating in a short ending section, but it marks a significant departure from the style which makes up the rest of Pärt's *Symphony No. 2*. The contrasting styles of the non-transcontextual material and this TCA mean that the transcontextual excerpt is likely to be easily recognised by most decoders. Even where a decoder cannot recognise the piece *Süsser Traum* itself (because that particular decoder may have never heard this work before), several alternative previous contexts exist: for example, a decoder may recognise a tonal style of music associated with 'the past' or that

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<sup>5</sup>*Süsser Traum* is number 21 in Tchaikovsky's *Jugend-Album*, a collection of 24 pieces for piano, *Op. 39*. This piece is also known as: *Süße Träumerei*; *Douce Rêverie*; *Sweet Reveries* and *Sweet Dreams*. Likewise, *Jugend-Album* has several different titles: *Album à la jeunesse*; *Album pour enfants*; *24 pièce faciles à la Schumann* (Brown 1980, 633) and *Album for the Young*.

<sup>6</sup>The CD timings for Pärt's *Symphony No. 2* in Figure 1.1 are from a recording on the Chandos CD (9134) *not* from the BIS CD (434) which includes a considerably slower performance of the same piece.

The section of *Süsser Traum* referred to in this Figure is shown in Appendix II (page 163) as a manuscript excerpt of bars 29-48 (from approximately mid-way through to the end of the piece). In *Süsser Traum* bars 33-48 are the same as bars 1-16 but these are labelled 33-48 in Figure 1.1 because in the present context of *Symphony No. 2* they are preceded by 29-32 at section c of the TCA.



**Key:**

Section a represents the non-transcontextual material.

Section b represents the end of the non-transcontextual orchestral layer (including the sound of 'squeaky toys') which masks the start of the TCA at 3'00"-3'09".

Section c shows the introduction of the TCA. This TCA is revealed once the non-transcontextual material at section b ceases. Section c is based on a transcription for orchestra of bars 29-32 of *Süsser Traum*.

At section d the TCA continues with an accurate transcription of bars 33-47 of *Süsser Traum*. This section does not resolve on to the tonic in *Symphony No. 2*, but is interrupted by the non-transcontextual material at section e.

Section e consists of an orchestral interruption (strings 'tuning up' motif).

Section f is a transcription of bars 45-48 of *Süsser Traum*, but with altered dynamics. (The forte marking for bars 45-46 is not observed, all four bars being played piano by a reduced orchestra of strings and woodwind only.) This time the resolution on to the tonic is realised.

**Figure 1.1** The end of the third movement of Part's *Symphony No. 2*, showing the location of the TCA.

the previous context was composed by Tchaikovsky. These alternative previous contexts may result in various decoders detecting differing meanings for the TCA, but some form of decipherment will usually occur. Pärt, the encoder in this case, will be aware of a range of possible previous contexts. He can be confident that most contemporary Western decoders will decipher some approximation to his expected code (or envisaged transmitted meaning), even though he can never be sure of the exact version deciphered by any individual decoder.

A transcontextual code, transmitted via a TCA, is the 'contemporary' version of a TCA's meaning in that it is intended to be deciphered by today's decoders. In *Symphony No. 2* Pärt attempts to convey a code to his late twentieth-century audience, rather than to replicate any past meaning which might have been associated with this piece by Tchaikovsky's contemporaries. This means that a previous context may not necessarily be thought of as a 'past' context, rather it is a contemporary interpretation of the past. However, a TCA is *previous* for both an encoder and a decoder in the sense that it is always derived from a previous sonic experience<sup>7</sup>.

### 1.5 An initial four-point definition

Four contextual terms have been introduced: previous, present, extrinsic and intrinsic context. These terms are important for the study of transcontextuality but do not necessarily in themselves define the phenomenon. **Figure 1.2** shows a table of the four conditions which must be present for a TCA to occur. It describes the transcontextual process (transcontextuality 'as it happens'), rather than the finished TCA in retrospect because at this stage the phenomenon is better understood as a process.

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<sup>7</sup>The fact that the code associated with a TCA may be time-dependent can have implications for the life-span of that TCA. An artefact may be ephemeral if its previous context is unknown to future listeners so that no code can be transmitted. Alternatively, a code may change into a form not envisaged by its encoder, resulting in future mismatches. These possibilities are discussed in greater detail in section 2.7 of chapter 2, on page 51.

<p><b>1. Encoder intention</b></p>	<p>An encoder intends to encrypt information within a TCA and to transmit it to a listener who is expected to adopt the role of decoder. Transcontextuality does not encompass references which may be recognised by a listener but are unintentional as far as a composer is concerned.</p>
<p><b>2. 'Trans'</b></p>	<p>'Trans' indicates the transfer or 'switch' from a present to a previous context, which a decoder experiences on hearing a TCA. An encoder envisages that the relationship between the previous and present contexts will affect a decoder's interpretation.</p>
<p><b>3. Code</b></p>	<p>In referring to a previous context a TCA is used to convey a meaning. This meaning can be regarded as a code which needs to be deciphered by a listener (decoder). The deciphered version of a transcontextual code may vary among decoders, but an encoder can envisage likely decodings.</p>
<p><b>4. Decoder competence</b></p>	<p>A TCA must have the potential to be recognised, but certain TCAs may be inherently covert and are therefore less likely to be recognised by some decoders.</p> <p>Recognition and the nature of the code deciphered are dependent on the decoder's previous sonic experience.</p>

**Figure 1.2** Table specifying a four-point definition of the transcontextual process

The four-point definition is incomplete in some respects, but allows a brief preliminary overview of transcontextuality prior to the detailed account which forms the remainder of this thesis. It is intended only as a general guide, to show the four conditions which must be satisfied for transcontextuality to occur. However, this table should be borne in mind throughout the following chapters because it provides a useful diagnostic tool to determine whether or not a TCA occurs.

## **1.6 The origins of the term 'transcontextuality' and its relationship to the terms 'parody', 'irony' and 'pastiche'**

'Transcontextuality' is first used by Hutcheon in *A Theory of Parody* (1985). In this work she concentrates on defining parody, mainly in literature, although she also makes some passing references to music (along with architecture and the visual arts). Interestingly, the first appearance of any version of the term in Hutcheon's text is immediately followed by a reference to Stockhausen's *Hymnen* (1966-1967):

When Eliot gives Marvell's poetry a new context (or "trans-contextualizes" it)<sup>8</sup>, or when Stockhausen quotes but alters the melodies of many different national anthems in his *Hymnen*, parody becomes... a productive-creative approach to tradition... in Stockhausen's words his intent was "to hear familiar, old preformed musical material with new ears, to penetrate and transform it with a musical consciousness of today"<sup>9</sup>. (Hutcheon 1985, 7).

The excerpts of national anthems which Hutcheon refers to in Stockhausen's *Hymnen* are examples of TCAs. Hutcheon uses her version of the term ('trans-contextualize') as an aside because she concentrates on defining contemporary parody. (She never uses the term 'transcontextual artefact'.) However, by quoting Stockhausen's comments she demonstrates one

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<sup>8</sup>Hutcheon does not specify which of Eliot's poems she is referring to here, but Smith (1956) suggests that there are references to Marvell's poem *To His Coy Mistress* in three of Eliot's works: *The Yellow Fog* (Smith 1956, 19); *Whispers of Immortality* (1956, 41) and *The Waste Land* (1956, 84).

<sup>9</sup>Hutcheon cites Grout (1980, 748) as her source for this statement of Stockhausen's intention. Grout's source is unclear. However, in his bibliography Grout includes a book by Wörner (1973) which contains reproductions of some of Stockhausen's writings and includes the following, slightly different version of the statement: 'to hear with fresh ears musical material that is familiar, 'old', preformed: and to penetrate and transform it with a contemporary musical consciousness' Wörner (1973, 77).

of the major defining points of transcontextuality in music: the presence of a composer's intention to encode.

Although Hutcheon concentrates on defining 'parody', this, along with other related terms (such as irony, pastiche, borrowing, appropriation and quotation), has been rejected here in favour of 'transcontextuality' because this new word better encapsulates the process of code transmission and emphasises, above all, the importance of context. The terminology already in existence can pose major difficulties because many of the expressions have no definitive meaning and are used by different writers in different ways. However, although such terms are inadequate to describe the entire transcontextual phenomenon they may be useful to describe certain aspects of a particular TCA.

'Parody' typically suggests to most people an exaggerated, sometimes amusing, imitation of a work of literature, art, or music. There is often some intention to mock the source<sup>10</sup> of any re-used material. Hutcheon largely rejects this traditional meaning and re-defines parody to include neutral re-uses of material, where no mockery is intended, and 'respectful' parody (1985, 63) where re-use of material indicates homage to an original version<sup>11</sup>.

In music, 'parody' has several meanings. Tilmouth (1980a) provides two possible definitions: 'A term used to denote a technique of composition, primarily associated with the [sixteenth] century, involving the use of pre-existent material...' and a 'composition generally of humorous or satirical intent in which turns of phrase or other features characteristic of another composer or type of composition are employed and made to appear ridiculous,

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<sup>10</sup>The 'source' for a musical parody could be a specific piece or it could be more than one piece where a composer's opus is ridiculed.

<sup>11</sup> This re-definition is demonstrated to some extent when Hutcheon runs together versions of two terms: 'parody' and 'transcontextuality':

Parodic "trans-contextualization" can take the form of a literal incorporation of reproductions into [a] new work. (1985, 8—the second appearance of a version of the term 'transcontextuality').

The use of literal 'reproductions' is unlikely to result in mocking, which usually requires some transformation of the original to exaggerate its perceived 'faults'.

especially through their application to ludicrously inappropriate subjects...'. The first definition seems to indicate a neutral or possibly respectful re-use of material whereas the second indicates a different intention, where a composer mocks a source.

Most of the musical examples cited by Tilmouth are unlikely to be transcontextual. For instance, in defining 'neutral' parody Tilmouth concentrates on sixteenth-century parody masses (where re-use of material is a feature of the compositional technique of the period), and in defining 'mocking' parody he concentrates mainly on examples from operas of the eighteenth and nineteenth centuries<sup>12</sup>. However, as part of his article on parody, he also makes a passing comment on the re-use of material by Maxwell Davies, which can be regarded as transcontextual:

The remoteness in style of the model from that of the idiom in which it is placed in works like Peter Maxwell Davies's Taverner fantasias, which represent the current preoccupation with music based on borrowed material... engenders a conflict foreign to the total synthesis that was the aim of [sixteenth-] century parody. (Tilmouth, 'parody (i)' 1980a, 239).

Maxwell Davies's *First Fantasia on an In Nomine of John Taverner* (1962) begins with a TCA, close to Taverner's style. The material derived from this previous context is gradually developed into a 'contemporary style' which is continued in the *Second Fantasia* (1965)<sup>13</sup>. Transcontextuality, however, does not necessarily result in the 'conflict' which Tilmouth describes but there is usually at least a *contrast* between a TCA which derives from a previous context and the present 'contemporary' context in which it is situated. The transcontextual references in Davies's *Taverner Fantasias* are therefore, as Tilmouth points out, different to sixteenth-century musical parody because the twentieth-century TCAs give the impression that

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<sup>12</sup>Some historical precedents for transcontextuality may exist in genres such as parody masses and eighteenth- and nineteenth-century opera. For instance, references to 'Turkish' music in eighteenth-century opera could be intended to be deciphered as transcultural artefacts (TCAs which refer to non-Western cultures) for listeners of the period. However, this study concentrates on the prevalence of transcontextual examples in the twentieth century.

<sup>13</sup>Maxwell Davies also includes and further develops the material from these two fantasias in another work called *Seven in Nomine* (1963-1965).

they are not totally incorporated into the new work. They are left overt so as to be easily recognised by a decoder.

Certain other terms are often related to 'parody'. Hutcheon seems to reserve the term '**irony**' to describe a re-use of material where some kind of "criticism" of the original is intended, although her definition of this term is not always clear. Irony in language usually suggests the reversal of a surface-statement with the intention of meaning the opposite of what is said. Irony may therefore be hidden where the intended message is lost for the recipient who deciphers a contradictory meaning. As far as music is concerned, the use of a TCA does not usually indicate any such subterfuge. A TCA introduces a code related to a previous context but this is not necessarily either a negative code or a hidden code.

'**Pastiche**' is another term which describes certain types of re-use of material. This usually indicates an imitation or re-use of something from 'the past' in a work of art or in architecture, usually without mocking intent. Jameson (1991, 17) defines pastiche in this neutral way but does not, however, specifically refer to an association of this term with 'the past':

Pastiche is, like parody, the imitation of a peculiar or unique, idiosyncratic style...but it is a *neutral* practice of such mimicry, without any of parody's ulterior motives...Pastiche is thus *blank parody*... (My italics; Jameson 1991, 17).

Hutcheon cannot define pastiche in a similar way to Jameson because her definition of parody includes this type of neutral re-use or imitation of material. Pastiche, in Hutcheon's sense, indicates a re-use which 'operates more by similarity and correspondence' whereas parody seeks 'differentiation in its relationship to its model' (1985, 38).

As far as pastiche in music is concerned Strohm (1980, 288) uses the Italian version of the term ('pasticcio') to describe a very specific practice in seventeenth- and eighteenth-century opera where selections of 'favourite arias' were re-used in order to exploit their popularity. 'Pasticcio' was therefore motivated by commercial considerations rather than being intended to transmit a code.

'Pastiche' can be used in music to indicate a compositional exercise where a student attempts to imitate or reproduce stylistic features of highly regarded works or composers. It is also used to describe any stylistic simulation (common, for example, in music or sound tracks for film and television). These 'pastiche' are not necessarily transcontextual.

However, in some cases a TCA may technically be described as 'a pastiche' in that it simulates a musical style, rather than quoting a particular work or composer. For example, Schnittke's *(K)ein Sommernachtstraum* (1985)<sup>14</sup> begins with a TCA which is a simulation of Viennese Classical style. This TCA could legitimately be perceived by a listener as pastiche.

### 1.7 'Quotation', 'borrowing' and 'appropriation'

The term 'quotation' may be useful in describing some TCAs. It indicates a re-use of an excerpt of material from a specific work, where the excerpt is unchanged or only slightly changed. This applies to many TCAs. For example, the TCA in Pärt's *Symphony No. 2* could be described as a 'quotation' of Tchaikovsky's *Süsser Traum* because this TCA consists of material that is only slightly transformed (through orchestral transcription of a piano piece). However, in *Symphony No. 2* the identification of the specific source of the quotation (the identity of *Süsser Traum*) is not in itself particularly important. On hearing this TCA a decoder whose previous musical experience does not include *Süsser Traum*, need only be aware of a transfer to 'a past tonal style'.

In some cases the identification of a more specific source, rather than a generalised style, becomes important because the interpretation of a code may rely on knowing a previous context in more detail. For example, in Kagel's *Finale* (1981) there is a transformed quotation

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<sup>14</sup>Although the title of this piece is similar to Mendelssohn's *Ein Sommernachtstraum* (*A Midsummer Night's Dream*) none of Mendelssohn's music is recalled in *(K)ein Sommernachtstraum*. The title '*Not a Midsummer Night's Dream*' appears to refer to the fact that the piece was originally intended (according to Schnittke's comments in the booklet to accompany the CD) 'to be played in a concert of Shakespeare settings, though it has no direct connection with Shakespeare'.

(at CD timing 17'39") of the well known 'Dies Irae' theme which could refer to a version heard in the fifth movement of Berlioz's *Symphonie Fantastique*<sup>15</sup>. Kagel's alterations, such as substituting Berlioz's ominous sounding bells for the sound of squeaky toys (when the theme is repeated at 18'20"), deflate the 'original' code, concerned with death and the supernatural (Boyd 1968), and turn it into something altogether more comic. In this case the decoding of a generalised change in style where the TCA occurs, rather than Berlioz's version of the 'Dies Irae' or some alternate manifestation of this theme, would not be sufficiently precise to fully appreciate Kagel's ironic re-working of the original previous context or contexts<sup>16</sup>.

Quotation of, for instance, a melody or harmony occurs frequently prior to the twentieth century, but this need not necessarily result in transcontextuality. (We have already looked at Tilmouth's definition of parody, applied to parody masses of the sixteenth century and Strohm's definition of 'pasticcio', applied to eighteenth-century opera, neither of which is usually transcontextual). If a quotation is to be transcontextual it must be intended to provoke a transfer to a previous context. This is achieved to some extent by the fact that a TCA is in a contrasting style compared to its associated non-transcontextual material<sup>17</sup>.

'Borrowing' is another term employed in music to describe re-use of material, but this has been discarded in preference to 'transcontextuality' because 'borrowing' has previously been used to describe re-uses of musical material that are not necessarily intended by a

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<sup>15</sup>Many other composers have re-used the 'Dies Irae' theme. (Boyd 1968, 355-356 lists twenty-seven versions, dating from the nineteenth and early twentieth centuries.) However, Berlioz's *Symphonie Fantastique* includes what is perhaps one of the best known uses as far as today's decoders are concerned.

<sup>16</sup>There are numerous other examples where the quotation of a specific source is of importance to a code. These include: Ives's quotation of Beethoven's *Fifth Symphony* in the *Concord Piano Sonata* (1911-1912); Part's quotation of Bach's *Prelude No. 1* (also Gounod's *Ave Maria*) in *Credo* (1968) and Schnittke's quotation of Mozart's *Symphony No. 40* in *Moz-Art* (1976). All these examples are discussed in greater detail in the following chapters.

<sup>17</sup>'Quotation' is discussed in more detail as part of section 3.3 of chapter 3, page 87.

composer to transmit a code referring to a previous context. 'Borrowing' can even describe re-uses of musical material where listener recognition is highly unlikely<sup>18</sup>. Nevertheless, it may be appropriate to regard transcontextuality as a type of 'borrowing' in the sense that an artefact is 'borrowed' from a previous context and re-used in a present context, with both contexts existing simultaneously.

Transcontextuality could also be described as a type of musical '**appropriation**' where a TCA is 'appropriated' or 'taken from' a previous context and re-used in a present context. Certain dictionaries emphasise this 'taking' aspect in definitions of appropriation. For example, the *Oxford Dictionary* defines it as 'taking as one's own or to one's own use' and the *Oxford Advanced Learner's Dictionary* as to "take for ones' own use, especially without permission or illegally". The *Oxford Thesaurus* also lists 'seizure' as one alternative for this word. The notion of illegality which 'appropriation' can suggest makes it a useful term to describe non-art music forms of transcontextual re-use, such as sampling where (short) extracts from a source or sources are mixed into another track to form a new recording or performance, often without permission<sup>19</sup>.

In recent years appropriation has been used, especially in intercultural studies, to describe more neutral re-uses of material which derive from another culture. This neutral re-use of the term makes it similar to the term 'borrowing'<sup>20</sup>, although it may still have a negative implication, depending on its context. Like the term 'borrowing', appropriation may also apply to TCAs but, again, it has been used for other purposes to describe any re-use of material whether or not it is intended to transmit a code.

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<sup>18</sup>For instance, Krämer (1992) uses the word 'self-borrowing' to describe Berg's re-use of his own earlier material in later compositions. Such re-uses are likely to occur as a natural development of a composer's material and are unlikely to be intended for listener recognition.

<sup>19</sup>It may be useful to consider re-uses of recorded musical material, such as sampling, as a form of transcontextual activity. This possibility is discussed in the epilogue, page 158.

<sup>20</sup>This 'neutral' use of the word is reflected in the definition of 'appropriation' in the *Chambers Dictionary*: "to take to oneself as one's own".

## 1.8 'Collage' and 'montage'

'Collage' is defined by Bullock and Trombley (1988) as 'the sticking together of disparate elements to make a picture'. This term is most often applied to the construction of visual works of art and, although it predates postmodernism, has been adopted by many writers to describe a resurgence of this type of work. For instance, both Harvey (1990, 57) and Crimp (1985, 46) cite Rauschenberg's picture *Persimmon* (1964) (one of a series which includes a direct reproduction of Rubens's *Venus at Her Toilet* amongst pictures of trucks, helicopters and car keys) as an example of postmodern art. Harvey specifically uses the word 'collage' to describe Rauschenberg's picture. The linking of this term with postmodernism is significant because it will be argued (in section 1.12) at the end of this chapter that transcontextuality may be regarded as a manifestation of postmodernism in contemporary art music.

With the type of visual collage described above many elements can be seen by a viewer simultaneously and it may be appropriate to regard certain musical works as collages where multiple TCAs can be heard, as in the third movement of Berio's *Sinfonia* (1968-1969) or throughout Schnittke's *Symphony No. 1* (1969-1972). These musical works may be remembered by a decoder as a type of collage in retrospect because the many different excerpts of material can be retrieved from memory simultaneously. 'Collage' in this sense would describe a remembrance of the 'patchwork' of the whole piece, rather than individual TCAs.

However, 'collage' is an unsuitable term for many examples of transcontextuality because at any point in a transcontextual piece a decoder is usually 'in' either a TCA, associated with a previous context, or 'in' non-transcontextual material (or at the point of crossing). A decoder may not necessarily experience different contexts simultaneously (unless more than one layer of material is heard at once).

The term 'collage' is also inadequate to describe the full implications of transcontextuality because it suggests the juxtaposition of several different sources whereas

with a transcontextual work there may be only a single TCA (as in Pärt's *Symphony No. 2*, where the quotation of *Süsser Traum* at the end of the last movement is the only TCA in this piece). In most examples of transcontextuality in contemporary musical works there are fewer TCAs that the term 'collage' would suggest.

The term '**montage**' usually refers to the act or process of making a composite photographic or cinematic image. It is similar to collage, resulting from a collection of many different images, but 'montage' is almost exclusively reserved to describe the medium of film. However, Griffiths (1978, 198) refers to Stockhausen's *Hymnen* as 'composed montage', evoking a useful analogy between cinematic film and music (both temporal art forms). 'Montage' could be used to describe certain transcontextual works where many TCAs are heard in close proximity in preference to, or as well as, collage—montage could describe a decoder's impression of such a work whilst that work was in progress, whereas collage could describe the global impression of the work in retrospect (as remembered by a decoder).

### **1.9 'Polystylism' and 'pluralism'**

The two terms '**polystylism**' and '**pluralism**' have been used to describe changes in style which may occur within a twentieth-century musical work. Watkins (1994, 410) uses the term 'polystylistic music' to describe a type of musical collage which incorporates several different styles of music. Like 'collage' and 'montage' this term would imply there being more than one TCA in a single work: the prefix 'poly' suggesting a multiplicity of references. 'Pluralism' is a similar term, defined by Griffiths (1986, 139) as 'the use of different styles within a work, sometimes simultaneously'.

'Polystylism' has been used most often in connection with Schnittke's music. For instance, Watkins (1994, 410) refers to Schnittke's *Symphony No. 1* (which cites passages from 'Beethoven, Chopin, Strauss, Grieg, Tchaikovsky, the "Dies Irae", Haydn [and] jazz...'): Fanning (1990, 3) describes Schnittke's *Concerto Grosso No. 1* (1957, revised 1962) as the

'*locus classicus* of polystylisticism' and Morton and Collins (1992, 825) refer to the 'polystylistic nature' of Schnittke's music in general.

'Pluralism' is used less often solely in connection with Schnittke. This term appears to have been first used extensively by Zimmermann to describe his own music. Both Griffiths (1986, 139) and Rothärmel (1980, 688) comment that 'pluralism' in music was considered by Zimmermann to be similar to 'collage' in the visual arts.

Both 'polystylism' and 'pluralism' suggest many references within a single work and could conceivably be used to describe some works which contain many TCAs. However, some caution should be exercised in adopting terms associated with particular composers. It seems, for instance, that Zimmermann 'did not expect the listener to recognise his quotations, which often appear only fleetingly' (Rothärmel 1980, 688). This would mean that Zimmermann's pluralist music could not be transcontextual if the various musical excerpts were too brief and not intended to be recognised<sup>21</sup>.

### 1.10 'Double-coding'

Jencks uses the term '**double-coding**' (1991) to describe what he regards as 'Post-Modern' architecture where architects mix 'their own professional tastes and technical skills with those of their ultimate clients' (1991, 12). This often results in a mixture of modern (or 'high-tech') architecture with more traditional forms. 'Double-coding' is so-called because two codes are involved: those of the producer (architect) and those of the users of a building, or as Jencks (1991, 12) describes it, where architects are 'mixing their own professional tastes and technical skills with those of their ultimate clients—the inhabitants'. This is not quite the same concept as transcontextuality where an encoder (composer) intentionally transmits a shared code to a decoder (listener) via a TCA. With transcontextuality both codes are similar rather than

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<sup>21</sup>However, excerpts of re-used material *are* sometimes aurally detectable in Zimmermann's music. For instance, recognisable excerpts from several of Bach's chorales occur in Zimmermann's opera *Die Soldaten* (1958-1960). This opera is discussed in the epilogue, pages 157-158.

different.

However, 'double-coding' in Jencks's sense results in a mixture of styles in architecture which could be considered similar to the contrasting styles found in a transcontextual musical work. Furthermore, a TCA could be described as 'double-coded' because it can embody two contexts (both a previous and a present) within its intrinsic context. This embodiment of two contexts occurs even where a TCA is transformed in a contemporary work because it still represents a previous context (despite its disguise), yet at the same time it adopts certain facets of its present context.

### 1.11 'Style-modulation'

Dickinson defines the term '**style-modulation**' in music as:

The use of different musical styles within a single work in a way which is as calculated as any other element of control. (1989, 208 and 1996, 3).

There are several similarities between transcontextuality and style-modulation. For instance, the use of a TCA may result in different styles within one musical work (as in Pärt's *Symphony No. 2*, where the introduction of the tonal TCA, at the end of the work, is in a contrasting style to the atonal and aleatoric material in a 'contemporary style' which forms the remainder of the piece) and a TCA could also be described as 'calculated' in that it is *intended* by an encoder. Most importantly, Dickinson notices a prevalence of twentieth-century works which include more than one style of music.

However, there are some fundamental differences between the two: transcontextuality marks a shift in emphasis towards a listener's role as a decoder whereas Dickinson concentrates on a composer's viewpoint. (His 1996 inaugural lecture is entitled 'Style-Modulation as a Compositional Technique'). The use of the word 'modulation' could be said to describe a composer's interest in the technicalities of changing from one type of material to another. In music, 'modulation' usually describes a change in key, using a pivotal chord, or a more gradual progression of several chords in a continuous process, although Andrews

and Drabkin (1980, 455) suggest that modulation from one key to another may also occur as a 'direct leap', especially where there is a 'functional relationship' between the two keys. 'Style-modulation' could therefore describe both gradual and sudden changes in style. This is consistent with the notion of transcontextuality because changes between non-transcontextual material and a TCA or between different TCAs may also occur as a gradual process or a sudden 'leap'. However, the word 'transcontextuality' emphasises the different contexts involved, rather than the processes of change as a work progresses.

A further difference between style-modulation and transcontextuality arises with the concept of composer intention. For transcontextuality to occur an encoder must intend to transmit a code via a TCA but style-modulation would seem to include unintentional references. Dickinson (1996, 8) uses the example of a recording of a live performance of Cage's (largely aleatoric) piece *Variations IV*<sup>22</sup>:

Like Tippett, Cage quotes Beethoven<sup>23</sup> - the Credo from his Mass in D - but, unlike Tippett, Cage himself didn't plan this. It just happened... [This] is the texture of our everyday lives once we open our ears to it.

In this case, because the work is aleatoric to a large degree, specific references are not necessarily intended. Cage does not specify that musical artefacts of any sort must be included, only that the piece is for 'sounds or combinations of sounds' (Cage, 1963). However, it could be argued that Cage could foresee the possibility of musical artefacts and therefore some element of transcontextual intention may be present.

The inclusion of unintended references could be taken to infer that style-modulation is, to some extent, similar to the concept of 'intertextuality'<sup>24</sup>. This term is used in

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<sup>22</sup>Dickinson's cited recording of *Variations IV* is 'from a live performance at the Feigen-Palmer Gallery, Los Angeles' (1996, 9).

<sup>23</sup>Dickinson refers to an earlier discussion (1996, 6) of Tippett's *Third Symphony* (1970-1972).

<sup>24</sup>'Intertextuality' is defined by Bullock and Trombley (1988) as 'the necessary interdependence that any literary text has with a mass of others which preceded it'. Note also the differences between the two words 'intertextuality' and 'transcontextuality'. The word 'intertextuality' emphasises *text*, whereas 'transcontextuality' emphasises *context*.

contemporary literary criticism to describe inherent references in a text. The writer of the text need not be aware of these references. In contrast, with transcontextuality, a composer is always aware of a reference to a previous context because it is always intentional, even if covert, or 'hidden' to a degree. However, in Dickinson's cited recording of *Variations IV* it could be argued that it is the performers who show an intention to encode in this particular case.

## **1.12 An introduction to the concept of musical non-autonomy as a postmodern aesthetic**

The terms discussed in the preceding sections are all related to transcontextuality to a greater or lesser extent. Many of these terms have also been used in connection with the term postmodernism and it may be that transcontextuality could be considered as a manifestation of postmodernism in contemporary art music.

In discussions about contemporary culture certain writers have used 'postmodernism' to describe a general philosophy which seems to have arisen in the second half of the twentieth century after a period of 'modernism' (hence the prefix 'post'), which it contradicts to some extent. The term 'modernism' is itself problematic, particularly with regard to music, but Griffiths (1986, 122) suggests that it embodies 'a conscious pushing-back of the frontiers, and so is not inappropriate in connection with composers who have seen this as their aim: Varèse and Boulez, for instance'.

'Postmodernism' has proved equally difficult to define with regard to contemporary art music<sup>25</sup>. However, in many cases musical works in the late twentieth century show similarities to some examples of other areas of cultural production which have been labelled 'postmodern'. In architecture the inclusion of elements from the past or other sources in an

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<sup>25</sup>Clarke (1985, 157) acknowledges this difficulty when he writes that:  
...the label "postmodernism" is not commonly used in musical analysis. Most musicians... will admit to confusion when asked for a definition of the term in reference to their art.

otherwise contemporary building or work is a common theme (Jencks 1991), as it is in art (Harvey 1990, 54-57) and literature (Hutcheon 1985, 14).

Central to the idea of linking transcontextuality to postmodernism is the 'trans' (transfer) from a present to a previous context which a TCA engenders. A TCA in a contemporary work cannot be fully understood without reference 'outside' a present context to a previous context. This is a type of **musical non-autonomy**: a work refers 'outside itself' to other music which is not perceived by a listener as part of that work. Both the already known previous context and the new present context affect any meaning that may be deciphered by a decoder. 'Musical non-autonomy', in this transcontextual sense, is not strictly the opposite of the Kantian idealist notion of autonomy 'as the separation of art from life' (Waugh 1992, 17), but refers to the dual contexts involved within a single work. However, it could be argued that in adopting the roles of an encoder and a decoder a composer and a listener are required to draw upon past experiences (both musical and extra-musical 'life' experiences) to encrypt or decipher a code carried by a TCA. In this sense transcontextuality provokes a type of non-autonomy that is against Kantian philosophy. Past experience ('life') becomes crucial to deciphering the meaning of a TCA in a contemporary work. Transcontextuality could therefore be considered to engender a mixture of both musical non-autonomy and true (i.e. non-Kantian) non-autonomy.

It is partly transcontextuality's rejection of autonomy which links it to theories on postmodernism. Waugh (1992) states that a break with autonomy is what most writers consider to be a defining point for the concept of postmodernism:

The most important 'dominant' appearing throughout the vocabularies of both critics of and proselytisers for Postmodernism, is the concept of autonomy. Postmodernism, for both groups, represents a break with or modification of autonomy theories of art. (Waugh 1992, 99.)

Some writers place less importance than Waugh on the idea that the rejection of the aesthetic of autonomy is a defining factor of postmodernism, but non-autonomy is usually at least mentioned.

The concept of non-autonomy is not limited to music. It also seems to occur in examples from other media which have been described as 'postmodern'. For example, there are several photographs in Jencks's influential book on postmodern architecture (1991) where two or more contrasting styles appear to be used within the same building. These photographs include the interior of Hans Hollein's *Austrian Travel Agency*, 1976-1978 (Jencks 1991, 117) with its mixture of high-tech materials and non-Western references and Charles Moore's *Piazza d'Italia*, 1976-1979 (Jencks 1991, 118-119) where neon lights are combined with Ionic and Corinthian capitals and columns.

This thesis does not discuss postmodernism in detail, because its primary purpose is to define transcontextuality. However, transcontextuality may be regarded as demonstrating a particularly postmodern attitude to music.

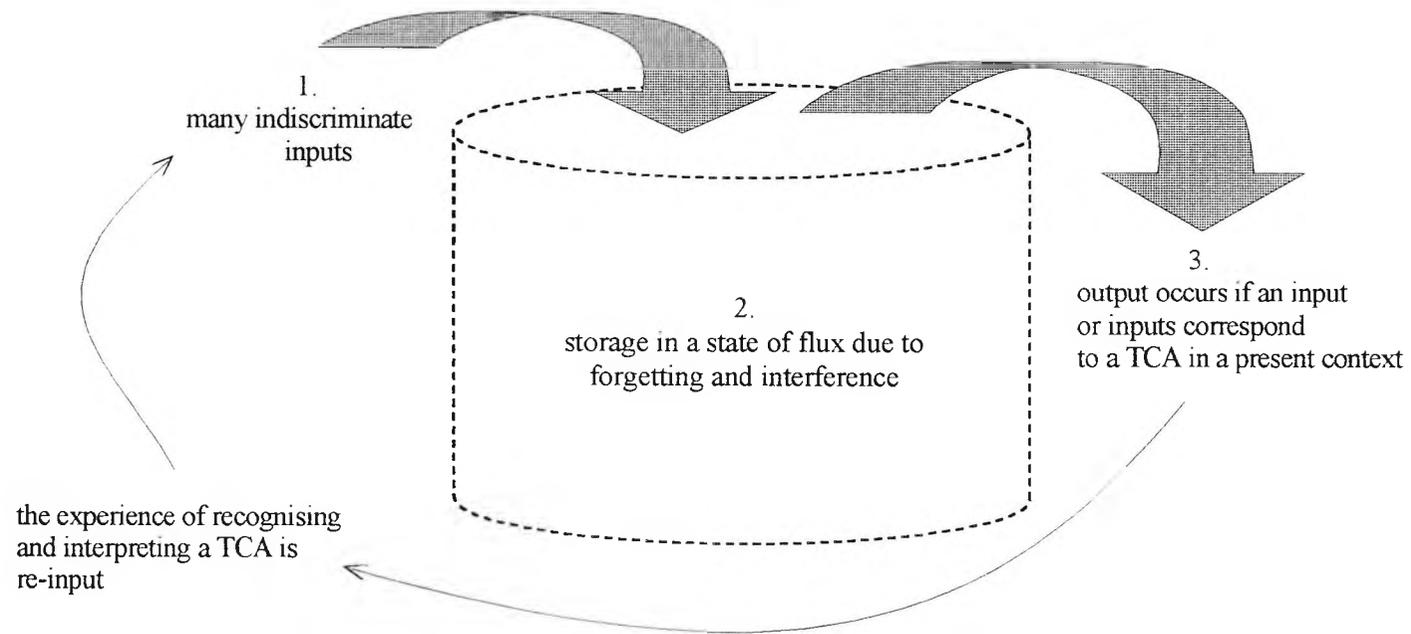
## DECODING AND ENCODING

### 2.1 Introduction: input, storage and output

A TCA is used as a vehicle to transmit a code, known both to a composer (an **encoder**) and a listener (a **decoder**). A decoder plays a crucial role as the decipherer of a code carried by a TCA, and in the decoding process is required to retrieve, or **output**, a past sonic experience from memory. An encoder intentionally provokes recognition of a previous context by allowing a TCA from an already known source to be aurally detected.

Output of a past sonic experience can only occur if a decoder has already experienced (**input**) and stored a sonic experience similar to the TCA. Input and output are both dynamic memory processes. **Storage** can be viewed largely as a 'holding' unit for a partially formed previous context, but is also to some extent dynamic (because the processes of forgetting and interference may change stored material over time). **Figure 2.1** shows input, storage and output as three stages in the processing of what may eventually become the previous context for a TCA.

A previous context, as far as a decoder is concerned, results from the outputting of a past sonic experience associated with the TCA in question. This output is not the same as the original input which has become transformed or 'aged' during its stay in storage. An exact match between a TCA and a stored sonic experience is not required for output to occur, merely some perceived similarity. For instance, a particular decoder may not be familiar with Tchaikovsky's piano piece *Süsser Traum* and yet that decoder may still find a match for the TCA at the end of Pärt's *Symphony No. 2*. Some stored sonic experience, such as music in a similar 'past' tonal style, can be output so that even where the specific previous context is not known, a reasonable match can be found.



**Figure 2.1** Input, storage and output

Each of the three stages of input, storage and output affects its successor. Input must occur before a previous context can be stored but an input may enter storage to be forgotten (and obliterated or lost) or altered (by interference) before it can reach output<sup>1</sup>. The circumstances at the point of input and the nature of a potential memory may increase or decrease the likelihood of forgetting or interference occurring in storage. For instance, a sonic experience which has autobiographical relevance for a particular decoder is probably less likely to be forgotten than more indiscriminate inputs—autobiographical memories of sonic experiences may be more durable due to their personal nature<sup>2</sup>. However, autobiographical sonic experiences may also be more likely to undergo interference, or re-working, due to the length of time that such experiences can persist in storage.

A potential output may remain in storage for a relatively long period of time, inhabiting a **long-term** store 'of essentially unlimited capacity' (Eysenck and Keane 1990, 135). The long periods of time involved and the capacity of storage means that there is potential for many possible previous contexts to be stored. Most decoders will have encountered versions of a potential previous context many times in different listening environments, which increases the probability that some sonic experience related to a TCA has been entered into storage and can be retrieved and output as a previous context for that TCA. However, storage is in a state of **flux**, continually changing because sonic experiences are either discarded or altered due to interaction with other sonic events. This may mean that an eventual output for a TCA bears little resemblance to the related sonic experience (or experiences) originally input.

The sonic experience at output of recognising, decoding and interpreting a TCA can be re-injected, or **re-input** into the long-term memory store (as shown by the linear feedback arrows in Figure 2.1). This may affect a future decoding of the same TCA, or a related TCA,

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<sup>1</sup>It is not known whether forgotten items are inaccessible or are erased entirely from the memory. Baddeley (1990, 243) presents several theories, none of which have been proven experimentally. Forgetting and interference are discussed in section 2.5 of this chapter, page 46.

<sup>2</sup>Autobiographical decoding is discussed in further detail in section 2.4, page 45.

because more information is available, resulting in a 'richer' (more detailed and more relevant) code or interpretation.

## 2.2 The possible effects of a change of context on recognition

All TCAs undergo a change of context (from a previous to a present context) but an encoder expects a TCA to be recognised, despite this context-change. This intention seems to be incompatible with some experimental evidence which suggests that a change of context may make recognition at the point of output more difficult or impossible. Baddeley (1990, 268) refers to what he calls the 'context-dependency effect', stating that '...there is no doubt that under some circumstances, material learned in one environment may be difficult to recall in a dramatically different context'. This statement could be interpreted as a contradiction of the effect that occurs with a TCA in music because it is the fact that a TCA is in a different style from its present context that *guarantees* recognition for most decoders. (The contrasting styles of transcontextual and non-transcontextual material may make a TCA more obvious.) For instance, the non-transcontextual material, or present context, for the TCA in Pärt's *Credo* consists of atonal (serial and aleatoric) material, whereas the TCA is firmly tonal (it is a quotation of Bach's *Prelude No. 1*). It is partly this contrast which makes the TCA overt in this case. If TCAs were affected by context-dependency Baddeley's theory would suggest that they are difficult to recognize, but this is not usually the case, unless a TCA is intended to be covert.

However, some of the concepts which Baddeley applies to his discussion of context-dependency in language may be useful to highlight the 'trans' or context-change which occurs with a TCA in music<sup>3</sup>. **Figure 2.2** demonstrates some of the similarities and differences between context-dependency and transcontextuality in music.

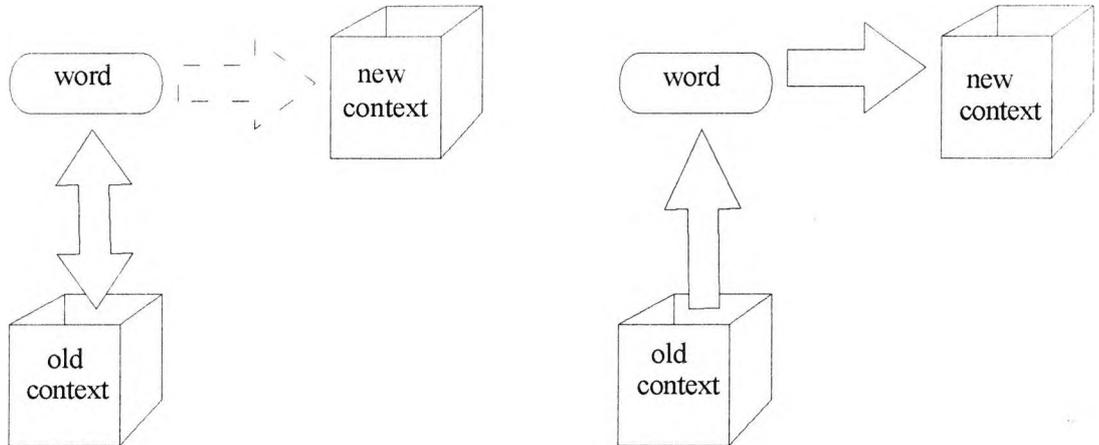
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<sup>3</sup>There are some difficulties in applying this language-based model to music. For example, a 'word' is used as the unit which changes contexts in Baddeley's study whereas the unit in this musical study is a TCA. The two units are arguably very different as far as, for instance, semantic content is concerned. However, Baddeley's model is investigated because the issue of potential context-dependency is essential in studying transcontextuality.

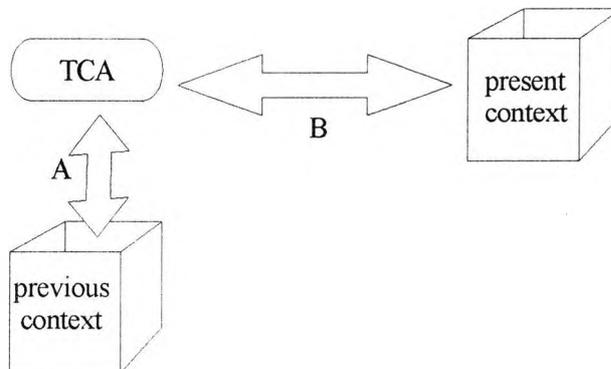
## 1. CONTEXT-DEPENDENCY (Baddeley):

a) interactive (context-dependency)

b) independent (no context-dependency)



## 2. CONTEXT-CHANGE ('trans'):



Key to diagram 2:

The arrow labelled 'A' represents the process of code encryption. The meaning associated with a previous context is represented by a TCA.

The arrow labelled 'B' represents the process of detecting a TCA and deciphering a code in a present context. This process is followed by an interpretation of the relevance of the code in its new context.

**Figure 2.2** A representation of Baddeley's theory of context-dependency compared to a diagram representing the context-change which occurs with a TCA

Baddeley describes two different types of context:

1. An **'Interactive context'** occurs where a word is changed by its context. With polysemous words such as 'jam' the meaning of the word changes, depending on whether it is preceded by 'strawberry' or 'traffic' (Baddeley 1990, 287). In this case the word is subject to a context-dependency effect because the word and its context cannot be separated without altering its meaning.
2. An **'Independent context'** occurs when a word is stored with its context and the context does not fundamentally alter the meaning of the word. Baddeley gives the example of the word 'city' which could be memorised with the words 'dirty' or 'village' (1990, 287). He surmises that the resulting memory traces would be different (the first conjuring a drab urban district and the second perhaps representing a small community district within a city). The accompanying words change the meaning of 'city' to some extent but do not fully alter its meaning. Despite these different memory traces there will be no context-dependency effect on recognition in a different context because the word and its context can be separated.

For a TCA the effect of a change of context is not necessarily to hinder recognition, but to generate meaning based on the contrast between a previous and a present context (the 'trans'). Figure 2.2 shows that a TCA is not truly independent of its previous context because it is used to transmit a code, which carries elements of the meaning associated with the previous context with it. (The TCA conveys the meaning of the previous context whilst being situated in the present context, or represents its previous context in a new work.) Nor is a TCA entirely interactive with its previous context because the previous context-dependency effect on recognition of a TCA is weak. Rather, it derives meaning from its previous context, but without demonstrating context-dependency. (An encoder can further reduce any likelihood of previous context-dependency of a TCA by presenting it as a 'block' of material and by using a potentially well known previous context, making the TCA overt or easy to recognise.)

### 2.3 (i) Decoder competence: the expert and the novice

A decoder who is capable of recognising a previous context of a TCA with a high degree of **specificity** may be regarded as 'competent'. A decoder with a high level of competence may recognise Tchaikovsky's *Süsser Traum* as the specific previous context for the TCA which concludes Pärt's *Symphony No. 2*, whereas another decoder may recognise this TCA as 'belonging to a past style'. Both of these are valid decodings, but the decoder who recognises *Süsser Traum* as a specific previous context is perhaps more informed and may be capable of regarding the TCA on a higher level, as representative of 'a past tonal style', as well as being a reference to Tchaikovsky. Such a decoder, with a range of possible previous contexts, may be more selective, deciding during or after listening which reference is more relevant for a particular TCA—the more competent decoder will not merely choose the most specific previous context. This means that a more detailed code, consisting of more than the minimum amount of information which a TCA could transmit, is likely to be conveyed to the more competent decoder, which in turn may lead to a more detailed interpretation of the entire symphony. In contrast, at the lowest level of competence, a TCA may not be recognised by a decoder, so that code-transmission does not occur and an interpretation must be based solely on a present context. As a general rule, a decoder will exhibit a relatively high degree of competence potential if that decoder has acquired a large number of past sonic experiences through extensive listening. Such a decoder may be described as an '**expert**'. In contrast a '**novice**' would have experienced only relatively few inputs.

However, the status of 'expert' or 'novice' will not always be fixed by the quantity of sonic experiences. For instance, a decoder who could generally be described as an 'expert' may have missed out on a specific listening experience. If this missed experience were an essential input in forming the previous context for a TCA the particular 'expert' would not decipher the detailed code which would normally be expected from this decoder. Similarly, a decoder who would generally be regarded as a novice may have certain areas of expertise, so that some

TCA's are more relevant to that decoder's musical experience than others.

Craik and Lockhart's level of processing theory (1972) focuses on this idea of varying degrees of 'quality'. It is summarised in Baddeley (1990, 160) as suggesting that certain inputs are processed at a 'superficial and shallow level... giving rise to relatively poorly retrievable traces, while deep and rich [inputs<sup>4</sup>] will leave traces that are considerably more durable'<sup>5</sup>. In this case greater 'depth' of processing implies 'a greater degree of semantic or cognitive analysis' (Craik and Lockhart, 1972, 675). An expert is not only more likely to have experienced a particular previous context than a novice but may also 'process' an experience differently so that it is both more likely to enter long-term storage and will be stored with more interpretive information or in more detail. This means that even where an expert and a novice decode the same level of specificity for a previous context of a TCA an expert will still decipher a more detailed code. For example, it is conceivable that both a novice and an expert have heard Tchaikovsky's *Süsser Traum* but an expert has more sonic experience before this previous context is heard which will mean an increased capacity for attention and interpretation (increased potential for learning) on hearing *Süsser Traum*. In storage this input stage of the TCA can interact with many different sonic events, such as sonic experiences of different performances of *Süsser Traum* or other pieces by Tchaikovsky or pieces from a similar stylistic period. These stored sonic events may also be accompanied by and interact with non-sonic information, such as literary knowledge, so that diverse elements may contribute to an output, resulting in a complex previous context.

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<sup>4</sup>Baddeley (1990, 160) uses the word 'encoding' to mean 'input'. Throughout this thesis 'encoding' is given a different meaning: it describes a composer's contribution to a TCA. A composer intentionally includes a TCA in a contemporary work because of its inherent code, and makes the code available to a decoder.

<sup>5</sup>Craik and Lockhart's level of processing theory is of only limited use. There are some fundamental problems associated with this theory (Baddeley 1990, 163) as an indication of expert or novice status, the most important being the problem of measurement. If recognition is specific then it is *assumed* that a deep level of processing has occurred. Conversely, a less specific level of recognition is assumed to be produced by a novice. No independent measurement of the depth of processing can be made.

In contrast to an expert, a novice is not only less likely to have experienced a relevant input but will also usually process sonic experiences in less detail. This may mean that a sonic event does not enter the long-term store (because of the lower quality of an input) or may be stored but be more easily forgotten. (Again, the quality is low so an input sonic experience may be discarded or obliterated.) If storage occurs at all it may be at a lower level of detail, which may result in a TCA being retrieved at a less specific level on recognition. It may also mean that a TCA is not recognised and therefore not retrieved from storage. However, this general 'novice' status of a decoder is not fixed. A decoder may increase the number of inputs over time, resulting in a greater likelihood of a quality decoding for a TCA or a general increase in the level of expertise through learning.

### **2.3 (ii) Decoder competence: the authenticity of a decoding**

All decodings which can be envisaged by an encoder are 'authentic', regardless of the degree of competence—it is the transmission of an envisaged code, or at least some approximation to that code, that is important. For example, the short second 'movement' of Pärt's cello concerto *Pro et contra* (1966) consists of a tonal 'Baroque' transcontextual cadence played by the orchestra<sup>6</sup>. The work as a whole evokes a concerto grosso form and the cadence could derive from many works belonging to this genre, giving a wide range of possible previous contexts. However, it is conceivable that a decoder might choose a more specific previous context and decode a particular composer, synonymous with this genre, or even, although perhaps less likely, a particular piece. Such a decoding could occur where a particular concerto grosso is well known. (For example, a cadence similar to this TCA occurs in the first movement of Corelli's *Christmas Concerto, Op. 6 No. 8 in G minor*, joining the opening

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<sup>6</sup>A proportional line diagram in Figure 3.19 on page 106 shows the layout of *Pro et contra*. The TCA discussed above is labelled section d.

'Vivace' to the 'Grave' section.) The TCA in *Pro et contra* is not a quotation, even though it could perhaps be *mistaken for* a quotation, so several degrees of specificity are possible. It does not matter if a listener (mistakenly) decodes specific quotations because this 'mistaken' decoding matches with encoder intention (it is therefore authentic). However, the decoding of a specific previous context in this case may indicate a lower degree of competence if it is the *only* previous context decoded because it may show that a decoder is unaware of the wider field of reference to a 'concerto grosso' genre. Conversely, a specific previous context may be detected as part of a range of decodings, where a more competent decoder is aware of the reference to a genre, but also recalls one specific concerto grosso or several concerti grossi. Any of these codes can be considered 'authentic', despite possible variations in levels of competence, because all are likely to match with Pärt's expected code to some degree<sup>7</sup>.

If a code is not transmitted, or a code which an encoder does not envisage is transmitted, a decoding can be described as 'less authentic' because a **mismatch** has occurred between an actual decoding and an expected decoding. Such mismatches may be affected by decoder competence, although a lower or higher than expected degree of competence is not always the cause. For instance, mismatches could occur between a contemporary encoder's envisaged code and a future decoder's deciphered code due to the time-specific nature of some codes<sup>8</sup> or a deciphered code may be autobiographical (personal) and known only to a particular decoder.

A further type of decoding, which could be regarded as authentic is '**tip-of-the-tongue**' decoding where a specific degree of authentic recognition occurs even though a previous context cannot be recalled to the extent of 'naming'. This phenomenon has been investigated

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<sup>7</sup>*Pro et contra* also ends with Pärt's transformed version of a Baroque cadence, at 2'46" in the third movement. This is labelled section f in Figure 3.19 on page 106. Again, this TCA could refer to many Baroque works. However, if a particular work has been evoked by the preceding transcontextual cadence at section d, a specific previous context may also be applied to section f.

<sup>8</sup>This potential for future mismatch is discussed in section 2.7 on page 51 of this chapter.

by cognitive psychologists, but only in so far as it relates to the recall of words. Eysenck and Keane (1990, 341) cite an experiment into the tip-of-the-tongue form of recognition by Brown and McNeill (1966):

The experimental approach adopted... involved reading out dictionary definitions of rare words, and asking their subjects to identify the word defined... If the subjects were unable to come up with the right word, but felt that the answer was on the tip of their tongue, then they tried to guess the initial letter, the number of syllables... It was clear that those in the tip-of-the-tongue state often had access to many of the features of the word they were trying to recall.

The tip-of-the-tongue phenomenon may have implications for the recognition of a TCA. It may mean that a decoder can still recognise a TCA and decipher its code, even when a previous context cannot be named. This may still demonstrate a high degree of decoding competence because it is the deciphering of a code that is important rather than the naming of previous contexts. However, in some cases it may also indicate a less authentic type of decoding if an encoder envisages that a particularly well known previous context will almost certainly be 'named'.

Both an encoder's and a decoder's perspective of a transcontextual code are valid, and usually these two versions will match to some extent. Where a mismatch occurs it does not necessarily negate either the encoder's envisaged code or the decoder's actual code. However, if an encoder's envisaged code mismatches with many decoded versions it may mean that the encoder's intended code is not viable. A decoder's mismatched code can never be regarded as totally wrong (it is merely 'authentic' or 'less authentic') because ultimately it is the decoders who are left to interpret the code. An encoder can attempt to direct a decoder's interpretation, but has no power to enforce a particular interpretation on each of the many different decoders who may hear a particular TCA. An artefact may still exist even if a code rarely matches. It is the encoder's intention to encrypt *something* and a TCA's *potential* to be deciphered that is important.

## 2.4 Autobiographical decodings and autobiographical encoding

An **autobiographical decoding** is individual to a particular decoder. A decoder may be reminded of an autobiographical association on hearing a TCA rather than, or as well as, receiving a code envisaged by an encoder. For instance, hypothetically, a decoder may have heard a recording of J. S. Bach's C major *Prelude No. 1* [BWV 846] on a particular birthday. If the same decoder subsequently heard the Bach TCA in Pärt's *Credo* (which includes excerpts of this Prelude) that decoder may be reminded of the birthday event and the personal associations linked with that event (such as a particular emotional state).

The route to the meaning of the TCA is likely to seem more direct for an autobiographical code than for a **collective code** because of its personalised nature, and this linear route may be taken in preference to, or before, any other. The eventual output may be complex, resulting from the interaction of many sonic events and non-sonic experiences in storage, relating to both autobiographical and collective (cultural) associations. Autobiographical decoding is not related to competence, although a particular decoder is likely to interpret an autobiographical code as 'deep' because of its detailed nature and personal significance.

It is also possible for a **shared autobiographical code** to be transmitted by a TCA. This occurs where an encoder envisages that an autobiographical code will be deciphered by a proportion of decoders. For example, the TCA in Pärt's *Credo* could be decoded as a reference to Gounod's *Ave Maria*, a piece which used to be popular and was often played at occasions such as weddings. This recognition of Gounod, linked to weddings in general or to a specific event, could occur for many decoders on hearing the TCA in *Credo*. Pärt (the encoder in this case) may be aware of this possible autobiographical decoding.

**Autobiographical encoding** may occur if an encoder invests a TCA with some personal meaning. It is unlikely that this type of autobiographical meaning could be encrypted in music

in a form which a decoder could recognise. However, if an encoder's autobiographical association is recalled via some form of programme note, a decoder may invest a TCA with that encoder's autobiographical interpretation. In this sense an encoder's autobiographical associations may become to some extent 'shared' with a decoder, but this will usually depend on the provision of a non-aural prompt. Where an encoder's personalised meaning is revealed to a decoder this may be an attempt to convey the strength of meaning which a TCA holds for that encoder and to create empathy between encoder and decoder. For example, Berg's *Violin Concerto* (1935) includes a TCA in the form of an excerpt of Bach's setting of the chorale *Es ist genug* (in the second movement of the concerto, at CD timings 7'24"-8'32"). Most editions and recordings comment on the dedication in the score, 'Dem Andenken eines Engels' ('In Memory of an Angel'), inferring that the concerto is a type of requiem for Berg's friend, Manon Gropius. Where this information is known to a decoder the transcontextual code associated with the chorale quotation may be interpreted as referring, not just to Bach, but also to Berg's personal grief.

## **2.5 Storage processes: forgetting and interference**

The recognition of a TCA triggers a memory of a previous context. This is not an exact re-experience of a previous sonic event because storage of a previous context is affected by the memory processes of forgetting and interference.

**'Forgetting'** in the context of this thesis means the loss of all or part of a memory from storage over a period of time: a previous context may have entered storage, but all or part of the experience may have been discarded so that output cannot occur. It does not matter whether a sonic experience is merely lost (obscured) or is obliterated (deleted) by the 'forgetting' process. What is important is that it is inaccessible so that a previous context and its code cannot be output. Again, forgetting can be related to competence: an attentive listener is likely to pay more attention to a sonic experience at input. If forgetting does occur this may

result in a TCA not being recognised, or being recognised with a lower than expected degree of specificity.

Experiments by cognitive psychologists, such as Ebbinghaus (1913, cited by Baddeley 1990, 233-236), show that the relationship between forgetting and time is not linear—a large amount of information is initially forgotten. Ebbinghaus suggests that most forgetting occurs in the first hour, and slows to only a small amount of loss after this initial period. Forgetting therefore usually occurs very shortly after input which means that the circumstances at input are extremely important with regards to the likely retention of a potential TCA, hence the efficient storage of a code by an expert because of a high quality input.

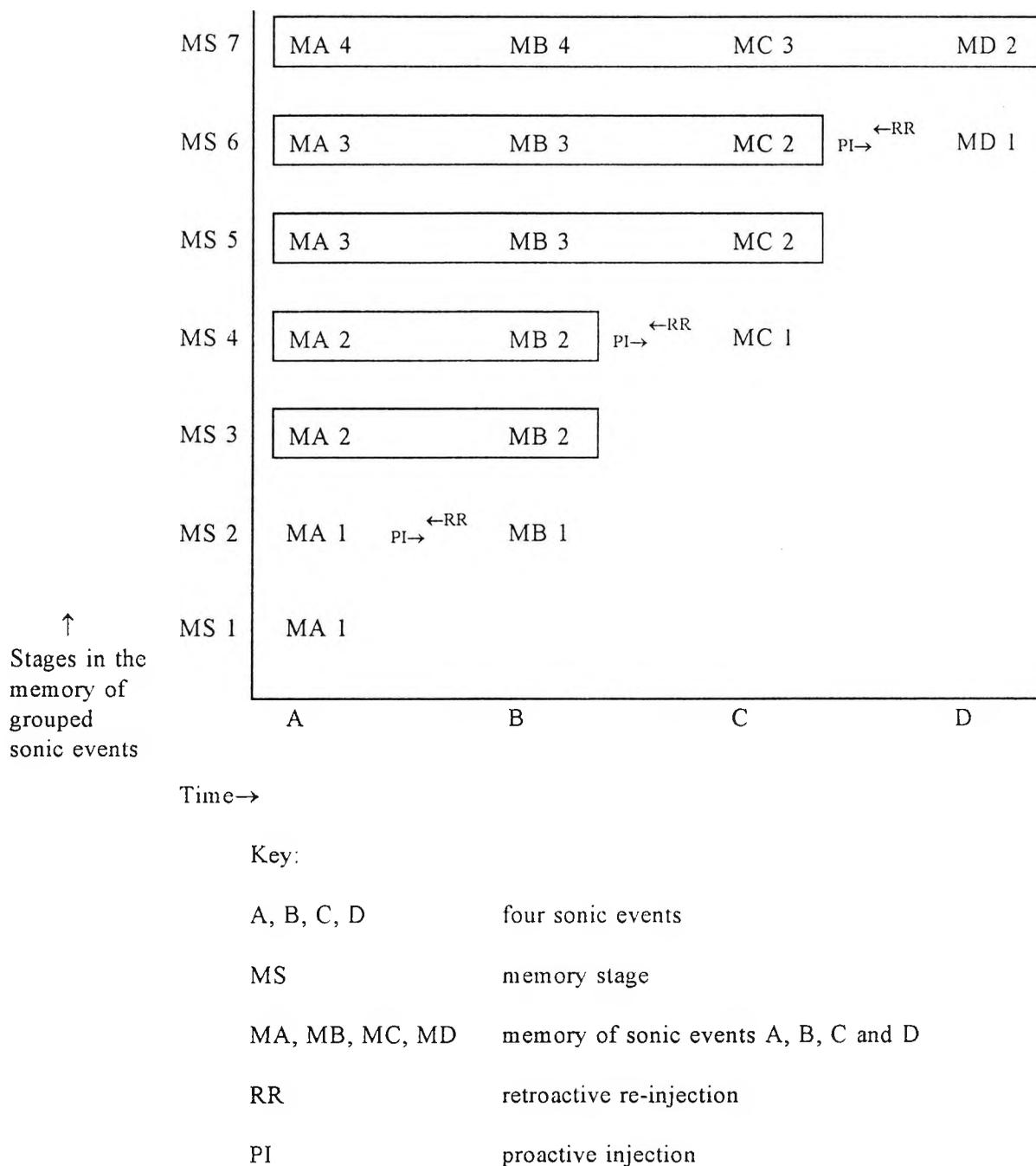
The second process which may affect a previous context during storage is called '**interference**'. This involves alterations to a memory which occur over time due to that memory's interaction with other sonic events in storage. There are two types of interference: **retroactive re-injection (RR)** where a later sonic experience affects an earlier one and **proactive injection (PI)** where an earlier sonic experience affects a later one. Both result in a memory which consists of elements from possibly many different sonic events with no distinct chronology<sup>9</sup>. **Figure 2.3** shows the effect of RR and PI on four hypothetical sonic events. These four sonic events (A, B, C and D) could represent the following:

- A The experience of hearing *Prelude No. 1* on a CD.
- B The experience of hearing Gounod's *Ave Maria* at a concert.
- C The experience of hearing *Prelude No. 1* at a concert<sup>10</sup>.
- D The experience of hearing *Credo* on a CD.

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<sup>9</sup>The terms 'retroactive interference' and 'proactive interference' are used in cognitive psychology. (Baddeley 1990 cites experiments by McGeoch 1931, Slamecka 1960 and Loftus 1979) to describe the effects of later learning on recall (Baddeley 1990, 248) and earlier learning on later learning (1990, 251). These terms are related to the two invented for this study ('retroactive re-injection' and 'proactive injection') but are not used in exactly the same sense. RR and PI in this chapter are limited to the interaction of similar sonic events, whereas the main experimental evidence for interference in Baddeley (Münsterberg 1908 and Loftus 1979) centres around the manipulation of witness statements by suggestions implanted during subsequent questioning.

<sup>10</sup>Sonic events A and C both involve listening to *Prelude No. 1*. These sonic events, although related, occur in different listening environments and at different times. This means that A and C form two distinct sonic events.



**Figure 2.3** The effect of retroactive re-injection (RR) and proactive injection (PI) on grouped sonic events<sup>11</sup>.

<sup>11</sup>Appendix III, page 164, shows another version of this diagram with only one 'time' axis. Figure 2.3 is, perhaps less correctly, split into two axes. It is felt that the version with two axes is initially easier to understand, so it is this version which is shown above.

The four related sonic events may form a group of memories in storage because there are similarities of musical content at each event. RR and PI will only occur if the memories are grouped by a decoder because of some perceived similarity.

At memory stage 1 (MS 1) in Figure 2.3 sonic event A is heard and stored as memory MA 1. This memory will have already been influenced by the circumstances at input and may be subject to forgetting at an early point during storage. MA 1 is therefore not an exact replica of sonic event A. At memory stage 2 (MS 2) recognition of the similarities between sonic events A and B means that RR and PI can occur, where earlier and later sonic events interact in storage to create a larger, more detailed, single entity (at MS 3). The processes of RR and PI recur on hearing sonic event C to form the group of memories at memory stage 5 (MS 5). At this point sonic events A and B have already been altered three times: the first alteration occurred when these events were initially stored as MA 1 and MB 1; the second occurred because of the interaction of MA 1 and MB 1; and the third alteration occurred when both interacted with MC 1.

At sonic event D the TCA in *Credo* triggers the output of the group of memories at memory stage 5 (MS 5) as the previous context of the TCA. The interference process means that the code for this TCA is based on a group of memories, rather than a past experience of any one sonic event. The TCA will itself interact with and eventually join this group (MS 6 and 7). The group at MS 7 may be subject to further interference and either elements or all of the group may be subsequently forgotten.

These groups can occur for related sonic events whether or not a TCA is involved, but **grouped sonic events** have special significance for transcontextuality because they show that an interpretation can be derived from several disparate sources, only some of which can be known to an encoder. An encoder has a 'rough outline' of envisaged previous sonic experiences which may be output as a previous context for a TCA by a decoder but the actual sonic events and the interaction of these events will be different for every decoder. However,

an encoder does not need to know all of these details, only to be aware that some form of coding can occur. Even where there is interference an encoder can envisage a probable decoding.

## 2.6 Encoder intention

An encoder's intention to encrypt a code in music via the use of a TCA is essential to the definition of transcontextuality. This intention is often manifest in the manner of presentation of a TCA. In *Credo* a relatively rapid 'switch' from the orchestral and choral material to the 'block' of solo piano music (for instance, at CD timing 1'23"<sup>12</sup>) accentuates the strong stylistic differentiation between the non-transcontextual material and the TCA. An artefact is often made more obvious by such contrasts with non-transcontextual material, in this case the contrast between the tonal TCA and atonal non-transcontextual tone row and aleatoric material.

Where a TCA is not so evident there must still be an intention to encode. This can be achieved by using an extremely well known previous context. For example, in Ives's *Concord Sonata* one of the TCAs is a quotation of the first movement theme from Beethoven's *Symphony No. 5*. This TCA does not become really explicit until mid-way through the third movement ('The Alcotts'), but the fact that Ives chooses to use quotations of such a well known piece as a previous context could be a signal of an intention for recognition, even for the less explicit references earlier on in the movement and earlier in the work. These may be recognised retrospectively or on a subsequent hearing.

Intention to encode may be detected in works with some degree of aleatoricism. In such a work an encoder may have less control over the final version of a TCA but this does not necessarily negate the presence of transcontextual intention. For instance, in Kagel's

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<sup>12</sup>A proportional line diagram (Figure 3.3) on page 69 shows the layout of *Credo*.

*Ludwig Van* (1970) there is no notated score. In this work performers are shown a film or pictures of a room where the walls and furniture have been covered with excerpts from scores of Beethoven's music. The performers then improvise a piece, based on what they have seen. We can surmise that this process is likely to result in TCAs because excerpts of Beethoven's music are likely to be either more or less evident. Even though Kagel does not have complete control over the resulting TCAs (because of the aleatoric aspects of this piece) there is still some intention to transmit a code 'about Beethoven' in a contemporary work via probable TCAs.

## 2.7 Time-dependence

An encoder's envisaged code may not match a future deciphered code if a TCA is **time-dependent** and becomes lost or changed as time passes. Time-dependence may be a feature of certain TCAs. For example, in Pärt's *Credo* there are at least two possible specific previous contexts for the TCA: Bach's *Prelude No. 1* and Gounod's *Ave Maria*. For the generation of decoders who were listening to music in the 1940s and 1950s *Ave Maria* is likely to be a dominant (preferred) previous context. (The piece had a resurgence of popularity during this period partly because it was sung by a well known popular performer of the time called Deanna Durbin.) However, for a later generation of decoders this particular '*Ave Maria*' previous context may have been lost or lessened, making Bach's *Prelude No. 1* the most dominant previous context for the TCA in *Credo*.

Such code-changes over time mean that mismatches between a contemporary encoder's intended code and an actual future decoding may occur, resulting in the deciphering of less authentic codes even when a future decoder has a high degree of competence. Furthermore, the previous context of a TCA may be forgotten, so that it may not be recognised at all by future listeners. Certain TCAs could therefore be ephemeral.

The loss of a TCA's code may be less likely for TCAs which are based on established previous contexts. For instance, we can guess that the TCAs referring to Beethoven's *Symphony No. 5* in Ives's *Concord Sonata* are more likely to survive intact than some TCAs with less durable previous contexts, such as the 'foxtrot' TCAs in Maxwell Davies's *St. Thomas Wake* (1969). However, these are only suppositions because whether or not a TCA's code proves resistant to alteration or loss over time will be dictated by (as yet unknown) cultural trends and future listening habits.

## 2.8 Overt and covert artefacts

A TCA may be evident and easy to recognise for most decoders (**overt**) or it may be less evident and therefore more difficult to recognise (**covert**). The literal quotation of Bach's *Prelude No. 1* near the beginning of Pärt's *Credo* (at CD timing 1'23") provides an example of an overt TCA. In this case it is difficult to imagine that Pärt's intention behind presenting such an untransformed excerpt of a widely known previous context is for anything other than recognition at a specific level. This can be contrasted to Ives's use of a more covert TCA at the beginning of the third movement of the *Concord Sonata* (at CD timing 0'00"-0'25"). Here the first movement motif from Beethoven's *Symphony No. 5* is subverted by the changes to harmony and tempo. The dynamic is also altered (the motif is first played quietly, not the forte dynamic associated with this motif at the very start of the *Fifth Symphony*) and the motif is extended by a short cadential melodic figure.

Covertiness is usually caused by transformation (where a TCA is altered or disguised) or masking (where a TCA is obscured by other material)<sup>13</sup>. The duration of a TCA may also play a role because a decoder may need a certain amount of time to 'fix' on to a TCA if

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<sup>13</sup>Transformation is discussed in greater detail in section 3.4 (iii), page 101. Masking is discussed during section 3.4 (ii) on integration, page 99.

recognition is to occur. Relatively brief TCAs may therefore be more covert.

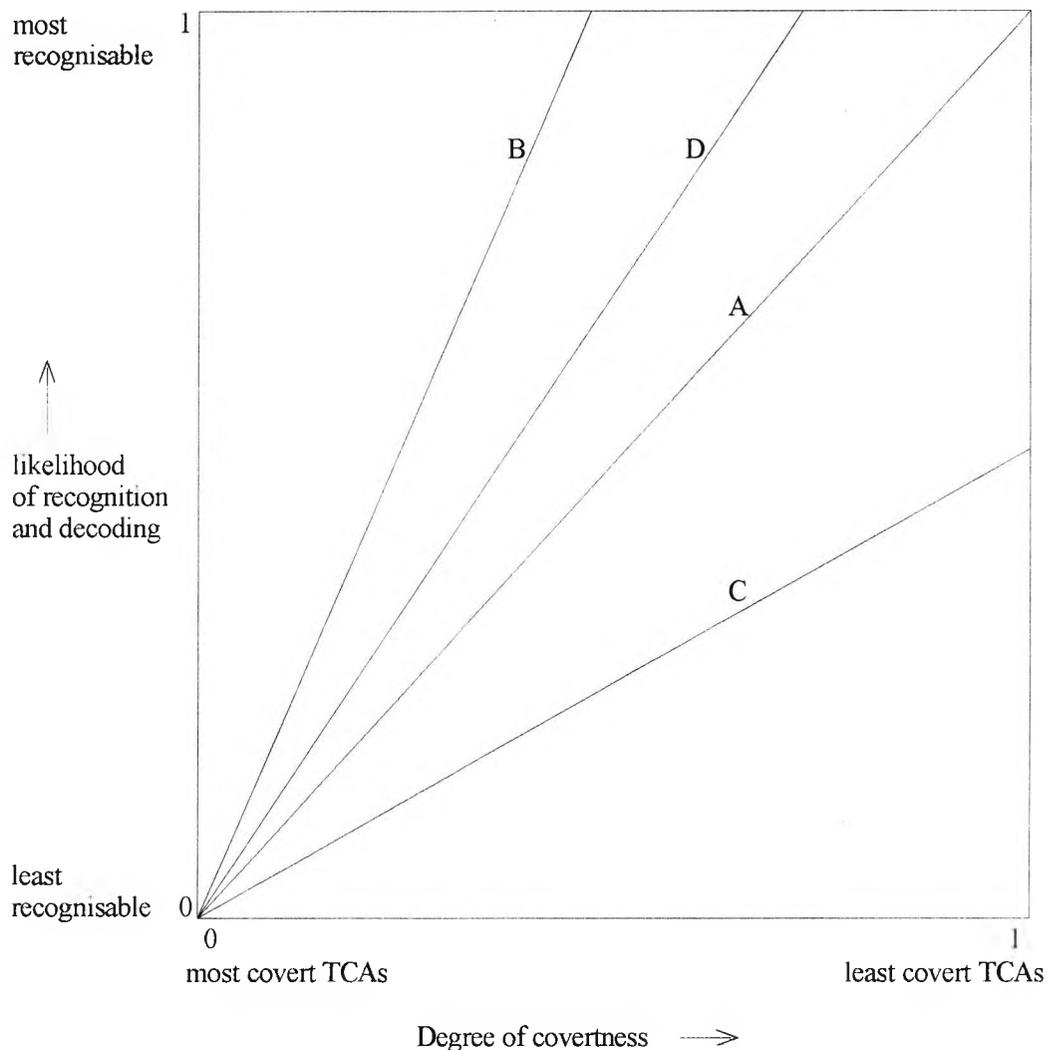
The level of covertness is not static for all decoders. An expert decoder may find a TCA that has been transformed and masked easy to recognise (overt) whereas a less competent decoder may find the same TCA covert and difficult to recognise. However, if a decoder has access to a piece more than once, the repeated listening experience may reveal the previously covert TCA. Both decoder competence and repeated listening can alter the perceived level of covertness of a TCA as far as a particular decoder is concerned. **Figure 2.4** shows the effect of competence and repeated listening on the likelihood of recognition and decoding of covert TCAs. Line A represents an inherent level of covertness, or the level of covertness as experienced by most decoders. Lines B and D represent decreases in covertness, where the TCA is revealed, whilst C represents an increase, where the TCA becomes further obscured.

If a quoted piece or style is so covert that it can never or only rarely be recognised it may not be a TCA. There must be intention for recognition and it is unlikely that an encoder misjudges the transformation, masking or brevity of a TCA to such a degree that it becomes impossible to decode. However, an encoder may misjudge the amount of information which can be absorbed by a potential decoder during a single hearing and further listenings may be necessary to uncover such a covert TCA. Even the most covert of TCAs must appear on the horizontal scale (0-1) somewhere, with some likelihood of recognition.

From a transcontextual viewpoint, overt TCAs are most successful because recognition and code-transmission is highly likely for the majority of decoders. However, once an overt TCA has been decoded it may become inactive and have little to contribute to the further interpretation of a piece on a second or third listening. A covert TCA is less successful at transmitting a code but does not become inactive on a future listening<sup>14</sup>. (It is gradually

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<sup>14</sup>In practice, repeated listening is more likely to occur if a work which includes a TCA is available to a decoder as a recording (as opposed to a live performance). On recorded media a TCA may be revealed by adopting certain listening strategies, such as pin-pointing a TCA and re-visiting it many times. This may give a different aural impression to that envisaged by an encoder. For instance, it may be that the non-transcontextual material is backgrounded in a way that was not originally intended.



Key:

Line A represents an inherent level of covertness caused by transformation, masking or brevity. This inherent level is the ratio (say 1:1) between the likelihood of recognition and the degree of covertness.

Line B shows the position of the line after repeated listening. In this case recognition is more likely for all decoders. The ratio increases to say 2:1 for an average decoder. The inherent level of covertness of a TCA has remained the same but a decoder has listened to the TCA more than once so that the potential for recognition is increased.

Line C represents the perceived degree of covertness for a novice decoder, who is less likely to recognise a covert TCA. The ratio alters to say 0.5:1, giving the impression of a greater than actual level of covertness for this particular decoder.

Line D represents the perceived degree of covertness for an expert decoder who is not only more likely to recognise even the most covert TCAs but may also decipher a more detailed code. The ratio in this case increases to say 1.5:1.

**Figure 2.4** The effect of repeated listening and varying degrees of decoder competence on the likelihood of recognition and decoding of covert TCAs.

revealed.) Figure 2.5 illustrates some general value judgements on overt and covert TCAs, using a 'Balance Model'.

## 2.9 External (non-aural) prompts

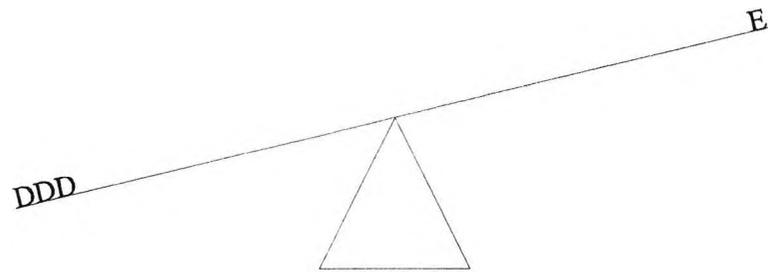
Although transcontextuality is an essentially aural phenomenon, recognition may be affected by 'external prompting'. External prompts will usually be in the form of written information about a piece, such as programme notes or a CD booklet. However, more unusual prompts also occur. For example, in Maxwell Davies's *St. Thomas Wake* the harp plays an original John Bull pavan (on the 'St. Thomas' theme) as a TCA towards the end of the piece (beginning at CD timing 17'10", bar 483<sup>15</sup>). Short excerpts of this pavan are interspersed among the more familiar 'foxtrot' transcontextual material, played by a dance band. The score of the piece functions as a visual and external (non-aural) prompt at this point because the harp TCA is printed in what appears to be an 'older' form of notation, graphically mimicking the pavan score. The score even includes what appears to be John Bull's signature (signed Dr. Bull on score page 99, at the end of the second system). This old-style notation is a visual prompt for the performer but is also a non-aural prompt for any decoder with access to a score. This prompt does not affect the transcontextual status of the material but may add 'authenticity' to this particular TCA.

External prompts may also provide a decoder with information applicable to the decoding of a TCA *before* that TCA is heard, which may have an effect on recognition. For instance, if a decoder reads that Pärt's *Credo* includes quotations from *Prelude No. 1* that decoder will probably output any associations related to the Prelude from storage in some form before hearing the TCA. If this occurs, a previous context for this TCA has already been retrieved which will make recognition more certain because a decoder has already been alerted

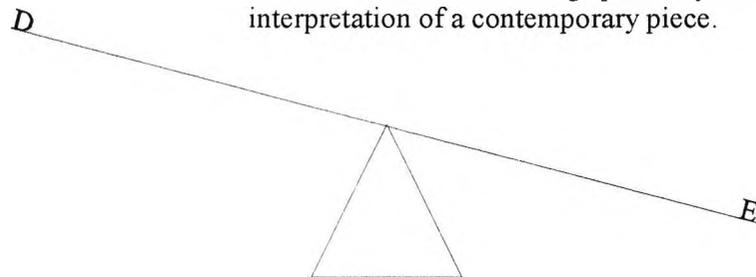
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<sup>15</sup>This excerpt from the TCA is labelled section h in the proportional line diagram of *St Thomas Wake* at Figure 3.17, page 97.

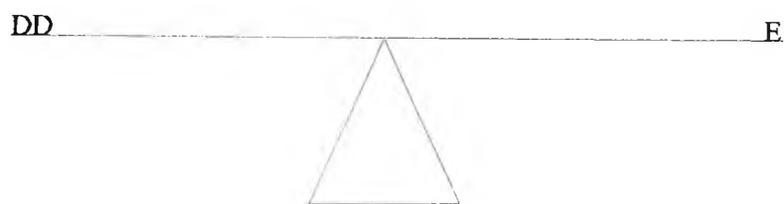
An **overt TCA** may be recognised by a high proportion of decoders, resulting in successful code-transmission most of the time. Such a TCA may have little to offer a decoder on a repeat listening.



A **covert TCA** may only be recognised by a few decoders on a first listening. This results in less successful code-transmission but the TCA may have more to offer on a second or third listening, possibly resulting in a richer interpretation of a contemporary piece.



A **hypothetical 'balanced TCA'**. An encoder has not misjudged either the degree of success of the code-transmission or the success of a TCA with regards to its ability to withstand repeated listening and to contribute to an interpretation.



Key:

- D a hypothetical group of decoders
- E a hypothetical encoder

**Figure 2.5** A 'Balance Model': general value judgements on overt and covert TCAs.

to the possibility and therefore approaches the work with a different listening strategy, prepared for recognition.

An external prompt encountered *after* hearing a TCA, may change a decoder's interpretation in retrospect. A type of retroactive re-injection may occur where the later information provided by an external prompt retroactively affects a memory of a TCA already situated in storage. This alters and updates an interpretation within the memory to take account of the new information acquired from a prompt.

External prompts need not only include information about the piece which is currently being decoded. For instance, Schnittke uses many TCAs in his music and a decoder who has some experience of his work may expect to recognise material in a (so far unheard) piece by this composer. Such a decoder may 'look for' a TCA during any subsequent hearing and may be prepared for the possibility of experiencing recognition. This altered expectation may lead to a different decoding approach compared with that of a decoder with no previously formed expectations of Schnittke's work.

## CONTEXTS

### 3.1 Introduction

Transcontextuality is a context-dependent phenomenon—it is the *context* of a TCA which changes significantly (from previous to present); the TCA itself is common to both contexts<sup>1</sup>.

The purpose of the context-change is to import and generate meaning.

This chapter focuses upon the three main 'context' areas:

1. Extrinsic context. This is the meaning associated with a TCA—the context 'outside' the music, generated by the musical materials (or intrinsic context). An extrinsic context of a TCA is partially transmitted as a code, derived from a TCA's association with its previous context, and partially generated afresh by a decoder's interpretation of a TCA in a present context.
2. Previous context (the context from which a TCA is derived).
3. Present context (the context which a TCA is transferred to)<sup>2</sup>. This can be thought of as the present *intrinsic* context, the word 'intrinsic' suggesting a focus on the musical materials within a work.

### 3.2 (i) Extrinsic context: a semiotic approach to TCAs

This section introduces a semiotic approach to transcontextual meaning, by regarding a code as a signified network. A TCA is a musical *sign*, representing information that is understood by both an encoder and a decoder. It has two aspects common to all signs: a signifier (the

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<sup>1</sup>A TCA in a present context may be transformed compared to its appearance in a previous context, but it retains some similarity to its previous context. Material which is so transformed compared to a previous context that it is no longer recognisable to a majority of decoders is probably non-transcontextual. At such a level of transformation there seems to be no encoder intention for recognition.

<sup>2</sup>Strictly speaking, a present context could be regarded as the non-transcontextual material that surrounds a TCA, rather than the work as a whole. However, this chapter only deals with the treatment of TCAs and their interaction with non-transcontextual material. This area of discussion which includes both a TCA and the non-transcontextual material is termed 'present *intrinsic* context'.

musical materials which comprise a TCA) and a signified ('meaning' which a TCA conveys). The signifier could be analysed with regards to 'purely' musical aspects such as harmony, rhythm or melody and the signified is derived from the association of this signifier with a previous context. A meaning is intentionally transmitted as a code by an encoder to a decoder, via the physical sounds of a TCA. This transmitted meaning forms part of the extrinsic context, whilst the musical materials, or signifier, are the intrinsic context of a TCA.

The idea of the sign was first defined by Saussure with reference to linguistics:

The linguistic sign unites a concept and a sound-image... [A sound-image is] the psychological imprint of the sound, the impression that it makes on our senses... I call the combination of a concept and a sound-image a *sign*... *arbor* is called a sign... because it carries the concept 'tree', with the result that the idea of the sensory part implies the idea of the whole... I propose to retain the word *sign* to designate the whole, and to replace *concept* and *sound-image* respectively by *signified* and *signifier*... (Cited by Nattiez 1990, 3-4).

For a TCA the 'sound-image' is the musical materials, while the 'concept' is the meaning.

A TCA can be thought of as a special type of sign or, more correctly, a sign-system, comprising a signifier with many signifieds. The many signifieds contained in the system are 'built' during a TCA's stay in a previous context and accumulated over time as the previous context is heard on different occasions and attracts further cultural associations as a result of its repeated use. This meaning is transferred with a TCA to a present context and transmitted as a code.

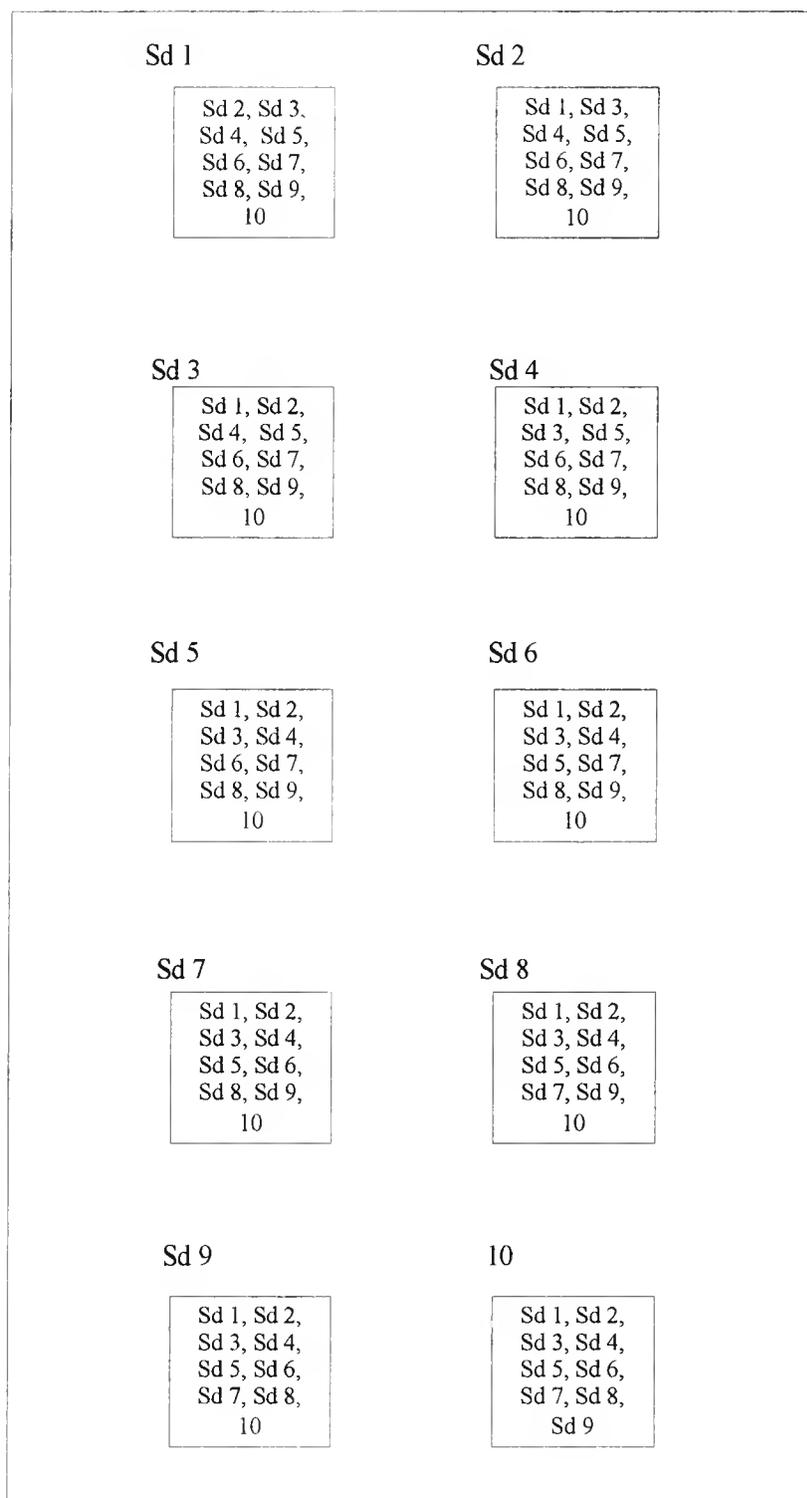
Figure 3.1 shows a signified network, using the TCA in Pärt's *Credo* as an example<sup>3</sup>. In this case the TCA's signifier varies, depending on Pärt's treatment of the previous context material. For instance, the harmony of the opening to *Credo* is derived from Bach's *Prelude No. 1*<sup>4</sup>, but the *Prelude*'s previous context is disguised and made to appear similar to choral

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<sup>3</sup>A proportional line diagram in Figure 3.3 (page 69) initiates a more detailed discussion about this particular TCA and its associated previous contexts.

<sup>4</sup>Figure 3.15 on page 92 shows a close harmonic similarity between the opening of *Credo* and the beginning of *Prelude No. 1*.





Key:

Sd signified

Sd 1 'sentimental'

Sd 2 'maudlin'

Sd 3 'spiritual'

Sd 4 'solemn'

Sd 5 'tradition'

Sd 6 'ceremony'

Sd 7 'intimacy'

Sd 8 'happy' (wedding signifieds)

Sd 9 'happy' (birthday signifieds)

10 gateway

**Figure 3.1** The signified network.

works by Handel, perhaps recalling a specific piece, such as *Zadok, the Priest*<sup>5</sup>. (The alterations to the signifier therefore attract different or extra signifieds to those of the unaltered version.) After this 'Handel' opening the TCA's signifier in *Credo* is based more closely on what could be regarded as either, or both, Bach's *Prelude No. 1* and Gounod's *Ave Maria*, revealing further signifieds.

Each square in the network represents a signified or a group of signifieds. The key to the diagram lists ten possible individual signifieds or groups which could be included in the signified network in this instance. It is impossible to itemise every meaning which the TCA in *Credo* could transmit to every decoder, and different decoders may disagree as to the exact nature of the signifieds that should be included in any network. The signifieds denoted in the key offer some sensible suggestions as to the potential scope of meaning which can be transmitted by a single TCA. This standard network does not attempt to provide an exhaustible list for all decodings, but rather it suggests a mechanism for the coding process.

The signified network operates as an infinite regression, all signifieds potentially leading to all others in the network. Thus each of the signified boxes 1-10 in the diagram contains all other signifieds, because all are interconnected, forming a web which contributes to transcontextual meaning. Even where a particular decoder initially chooses to focus on one signified or signified group it is likely that this decoder will still be aware of further signifieds<sup>6</sup>.

In this particular example of a network for the TCA in *Credo* the signifieds which contribute to the code could include meanings associated with the various possible previous

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<sup>5</sup>These previous contexts are discussed on page 91.

<sup>6</sup>All TCAs may be classified as referring to at least one of the following categories: a musical style; a particular work; a composer; an art music genre or a genre 'outside' art music. (These categories are discussed in detail in chapter 4, beginning on page 108.) The signified network discussed here does not *limit* meaning, but it gives an indication of a wide range of possibilities, whereas the concept of 'artefact-type', discussed in chapter 4, is a tool to limit and classify the potential areas of code.

contexts of Handel's choral works, Bach's *Prelude No. 1* and Gounod's *Ave Maria*<sup>7</sup>. Decodings may vary between decoders but also a particular decoder may have mixed, seemingly incompatible, signifieds for any TCA. For instance, perhaps *Ave Maria* evokes Sds 1 and 2, described as 'sentimental' and 'maudlin'<sup>8</sup>, and yet this previous context may also be considered to convey an element of 'spirituality' or 'solemnity' (Sds 3 and 4), partly because of its religious text. The association of the opening version of the TCA with *Zadok, the Priest* could convey signifieds that are representative of 'tradition' (Sd 5) or 'ceremony' (Sd 6), whereas the connection with Bach's *Prelude No. 1* may provoke more intimate signifieds (Sd 7), associated with the simplicity and contemplative nature of the solo keyboard piece.

The meaning associated with shared autobiographical signifieds and the innumerable possible autobiographical codes should also be included as part of the network. For example, the association of *Ave Maria* with a wedding (Sd 8) or *Prelude No. 1* with a particular birthday (Sd 9, as discussed on page 45 in the preceding chapter) may provoke happy memories on re-hearing excerpts of these previous contexts in *Credo*. Square 10 (representative of a group of signifieds) is included in the network to show that many more signifieds exist than are listed here. This square therefore provides a 'gateway' to further meanings that could be included in the signified network, but that are absent in Figure 3.1.

There are some problems in viewing musical meaning as a signified network. For instance, the key uses what are really language signs in an attempt to encapsulate music signifieds, and therefore consists of *descriptions* of signifieds, rather than *actual* signifieds. No real hierarchy is therefore intended by the numbering of the signifieds (1-10) in this standard network because a hierarchical arrangement of language signs would not necessarily reveal any more *musical* meaning.

A further problem is the infinite regression which results from trying to describe a

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<sup>7</sup>Other arrangements of Bach's *Prelude No. 1* exist such as Moscheles's *Melodisch-Contrapunktische Studien* for cello and piano, but Gounod's is perhaps the best known to contemporary decoders.

<sup>8</sup>Cooper (1980, 583) describes Gounod as 'more than ready to cater to the demand for sentimental ballads and songs of maudlin piety' in connection with *Ave Maria*.

signified. The description itself becomes a sign (with attendant signifiers and signifieds) and so any signified has potential for 'endless commutability' (Silverman 1983, 15). We can add elements to the infinite regression in an attempt to encapsulate the original signifieds, but each time more signifieds are added new signs are generated. In trying to 'pare down' the meaning of a sign we actually increase it, or as Peirce (1983, 15) says, a signified can never be revealed 'it is only changed for something more diaphanous'.

A signified network for any particular TCA may change over time. The network is to some extent defined by the decoders of Western culture but these decoders may alter the network by adding new signifieds to join the network or by shedding other signifieds.

### **3.2 (ii) Extrinsic context: Molino's model**

A viable code can be transmitted by a TCA because such an artefact is a construct potentially comprehensible to both an encoder and a decoder who both share a similar (Western) musical culture. The code represented by a TCA has been 'built' by individuals of the same culture, including particular encoders and decoders. To demonstrate this building process it is helpful to cite Molino's model of communication. This is the preferred communication model in Nattiez's work on the semiology of music (1990)<sup>9</sup>. Molino's model is cited in Nattiez (1990, 10-19) as:

**producer → trace ← receiver**

where → is the poietic process, 'the process of creation' (Nattiez 1990, 11-12) and ← is the esthetic process, where a receiver '*constructs* [a] meaning' (Nattiez 1990, 12). In music this model can be adapted where the producer is a composer and the receiver is a listener.

In Nattiez's work the trace is the physical embodiment of the process of creation

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<sup>9</sup>Molino's model of communication also formed part of Nattiez's discussion in a lecture entitled 'Introduction to musical semiology: illustrated by an example from Debussy' given at City University, London, 16.1.95.

(1990, 11-12). For instance, in music it may represent a score or a recording. This trace, what Nattiez later calls the neutral level (1990, 12), is usually independent of poiesis and esthesis. Here it is the concepts of poiesis and esthesis which are useful to the discussion of extrinsic context rather than the concept of the neutral trace.

The direction of the second arrow in Molino's model suggests that the poietic process cannot of itself lead to the transmitting of a message to a receiver, hence the rejection (by Molino and Nattiez) of the classic model of communication:

**producer → message → receiver**

Note that the direction of the arrows in the classic model of communication could suggest a passive listener, who is a potential vessel for a composer's intended meaning, but does not contribute to meaning. Nattiez agrees with Molino and does not believe in this idea of a 'passive receiver' (the second arrow is reversed in Molino's model), preferring instead to show that a receiver contributes an esthetic process which is different from, but no less important than, a producer's (poietic) contribution.

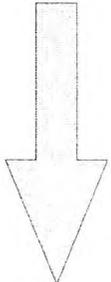
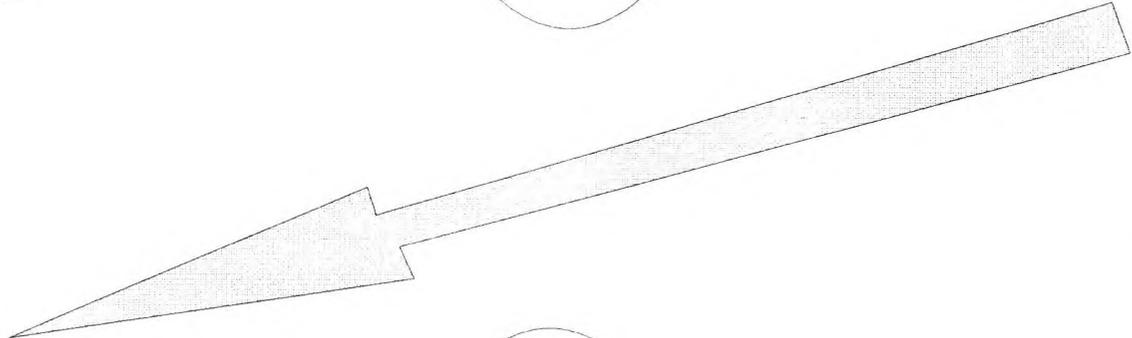
Molino's model and the classic model of communication can be combined, to some extent, to provide a new model which demonstrates the role of a producer and a receiver in the encoding and decoding of a TCA. In this case a producer's (encoder's) intended meaning *is* transmitted in a present context to some degree. The successful transmission of an encoder's meaning is partially dependent on factors which cannot be controlled by an encoder, such as the degree of decoder competence, but still some shared meaning is intended to be transmitted and has the potential to be received. A receiver (a decoder) constructs a meaning for a TCA in a present context. This is partially retrieved from a transmitted code and is partially that decoder's 'own' (esthetic) construction.

**Figure 3.2** shows an adaptation of Molino's model applied to a previous and a present context of a TCA. The present context is Pärt's *Symphony No. 2* whilst the specific previous

**Previous context:**



**Present context:**



**Figure 3.2** An adaptation of Molino's model applied to the TCA in Pärt's *Symphony No. 2*

context for the TCA in this case is Tchaikovsky's *Süsser Traum*<sup>10</sup>. This adaptation shows that a poietic and an esthetic process are applied to two musical constructs: Tchaikovsky's *Süsser Traum* and the TCA in Pärt's *Symphony No. 2*. Both the producer (Pärt) and the receiver (a Western decoder) have previously undergone esthetic process 1: they have both shared the first esthetic process and each has contributed to the construction of the meaning of *Süsser Traum* for contemporary Western culture. An encoder and a decoder do not need to have contributed exactly the same meaning to the previous context, only to have shared in esthetic process 1. This shared experience means that when an excerpt of this piece is re-used in a present context as a TCA (the present context in this case is Pärt's *Symphony No. 2*) a listener is reminded of the meaning of *Süsser Traum*. (In this sense the TCA *represents* the previous context in its entirety, even though it is only an excerpt of the previous context.) An encoder is aware of the possibility that a decoder will remember the esthetic experience of *Süsser Traum* because that encoder has undergone a similar esthetic process. A decoder also undergoes a further esthetic process (2), interpreting a TCA in a present context and constructing a further meaning for Pärt's *Symphony No. 2*.

Esthetic process 1 in Figure 3.2 is operated by twentieth-century receivers. This twentieth-century view of the meaning that *Süsser Traum* holds may not match the esthetic viewpoint of Tchaikovsky's contemporaries or poietic process 1—the code is based on *Süsser Traum's* current associations<sup>11</sup>. The code that Pärt envisages is likely to be similar to that of his contemporary audience. However, the construction termed *Süsser Traum* is altering over time because it is partially dependent on receiver manipulation. This means that the code transmitted by the related TCA may also change over time because it is dependent on the changing meaning of the previous context. The shifting code combines with esthetic process

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<sup>10</sup>The previous context could be *Süsser Traum* (the specific piece) but this piece is not well-known so it is perhaps more likely to be music in a similar (tonal) style to this work for a contemporary Western decoder.

<sup>11</sup>The meaning of a work is not fixed but it is dependent on current listeners, or as Nattiez says: 'The thing to which the sign refers is... contained within the *lived experience* of the sign's users' (1990, 7-8).

2 (which itself is likely to alter over time) to construct a meaning for Pärt's *Symphony No. 2* that is continually changing.

### **3.2 (iii) Extrinsic context: interpreting a TCA in a present context (including a case study of Pärt's *Credo*)**

It was stated at the beginning of this chapter that the extrinsic context of a TCA has two elements:

1. The code associated with a TCA, derived from its previous context.
2. An interpretation, generated by the treatment that a TCA receives in its present context (such as its interaction with non-transcontextual material or any transformation processes applied).

This section concentrates on the second element of meaning by suggesting some possible interpretations of TCAs situated in present contexts. We have already considered several aspects of coding, where a TCA derives meaning by its association with a previous context. Despite the separation of these two extrinsic aspects (code and interpretation) for the purposes of this discussion it should be noted that these are not entirely discrete because a decoder's interpretation of a contemporary transcontextual piece will be based on both an imported code and the interaction of a TCA with its accompanying non-transcontextual material within a present context.

It is impossible to list definitive interpretations for all examples of transcontextuality, but some sensible suggestions can be made. For example, in Maxwell Davies's *St. Thomas Wake* the 'foxtrot' TCAs are played by a dance band in contrast to the non-transcontextual 'contemporary' material played by an orchestra. This division of forces (which would also provide a visual prompt for a decoder at a live performance) accentuates the contrast between the 'serious' non-transcontextual material and the TCAs played by the 'comic', amateur dance band. (The dance band proves that it is amateur by beginning the work with a false start—CD timing 0'00"-1'40".) The piece is based almost entirely on the contrast embodied between two

groups of 'comic' versus 'serious'<sup>12</sup>.

A more complex example of an interpretation based on contrast can be suggested for Pärt's *Credo* (*für klavier, gemischten chor und orchester*). The TCA consists of various versions (both transformed and untransformed) of Bach's *Prelude No. 1*. A proportional line diagram of *Credo*, outlining the different sections of the TCA and the non-transcontextual material, is shown in **Figure 3.3**.

At the beginning of *Credo* there is some doubt as to the identity of section a. It is not until section b, with the entrance of an untransformed version of an excerpt of Bach's *Prelude No. 1*, that most decoders can be sure of a previous context<sup>13</sup>. At section c the *Prelude* material is transformed and accompanied by interpolations of non-transcontextual material but a less transformed version of *Prelude No. 1* returns towards the end of the piece, at section d. The final section, e, reiterates the C major tonality which is associated with the *Prelude No. 1* previous context and the TCA in the present context. It may be that even the single pitch C ♯ becomes transcontextual by the end of the piece<sup>14</sup>.

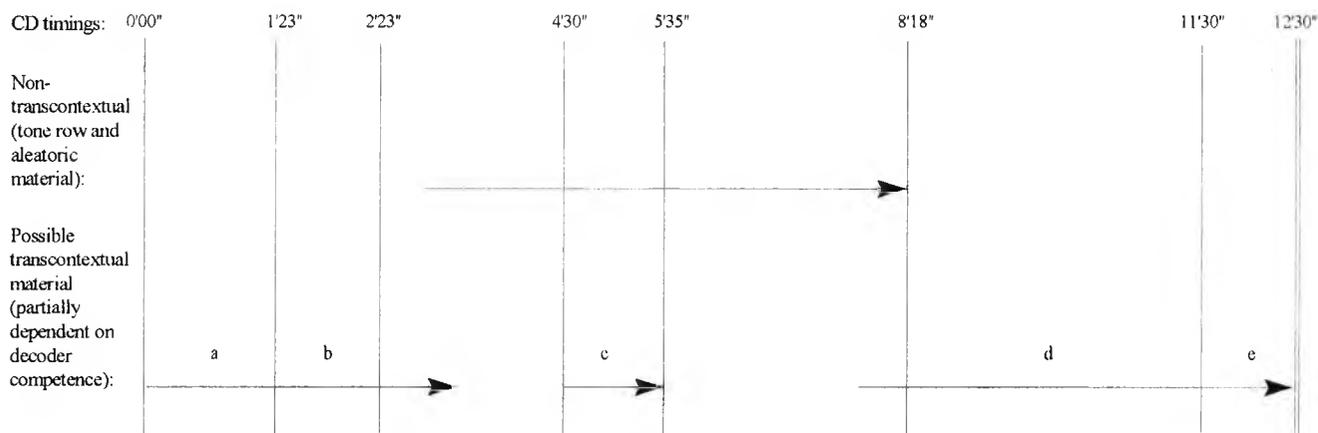
The variations in tonality, the inclusion of a TCA, with its associated code, and the religious Latin text all combine to suggest a particular interpretation. The code imported by the TCA is therefore only one facet of this piece. This code combines with the other aspects within the present context to generate a further extrinsic context. In the discussion which follows it will be suggested that the placement of these TCA-excerpts contribute to an

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<sup>12</sup>According to the CD booklet which accompanies the Collins Classics CD this division between the two groups (the dance band and the orchestra) would be further emphasised in a live performance by the dance band's dress of boater and striped blazers, providing a visual contrast to the more traditionally dressed members of the orchestra.

<sup>13</sup>Gounod's *Ave Maria* is an alternative previous context to Bach's *Prelude No. 1* because *Ave Maria* is a re-working of the *Prelude*, re-used in its entirety to form an accompaniment to a vocal line.

<sup>14</sup>The pitch C ♯ is certainly related to the TCA, partly because of the contrast between the atonality of the non-transcontextual material as opposed to the clear C major tonality of the TCA throughout the piece. Schnittke uses a similar opposition between tonality and atonality in *Quasi Una Sonata* (1987), a piece that is mostly atonal (with some aleatoricism) but with an occasional G minor chord. The repetition of the chord at various points allows a listener to 'hook on to' the G minor tonality. Towards the end of the piece (for instance, at CD timing 19'22") the chord is repeated many times to confirm the G minor tonality. It may be that in this case the G minor chord is perceived as a TCA merely because it is tonal and is associated with a 'past style' in contrast to the atonal material associated with a contemporary present context.



**Key:**

Section a is based on the harmony of bars 1-19 of Bach's C major *Prelude No. 1* (from book 1 of *Das Wohltemperierte Klavier*). The text ('Credo in Jesum Christum') is sung by a large choir and is set to the harmony of the Prelude. (The orchestra doubles this harmony.) This section may not be recognised as a TCA because it is transformed (the instrumentation, texture, pacing and rhythm are altered). Alternatively, it may be recognised retrospectively on hearing the untransformed version of the Prelude at section b.

Section b consists of a quotation of bars 20-29 of *Prelude No. 1*, played on a piano. There is very little alteration of the Prelude material (the first half of the equivalent of bar 29 is transposed an octave higher and the second half two octaves higher). Followed at 2'23" by C major material which leads into a tone row. The tone row gradually builds to its full horizontal and vertical form immediately prior to section c<sup>15</sup>.

Section c is the most transformed version of *Prelude No. 1*. An excerpt from the Prelude (bars 1-24) is fragmented and played retrograde either one octave higher or lower than, or at the same pitch as, the previous context. The orchestra and choir interpolate excerpts of the tone row and its associated **twelve-note verticalities**<sup>16</sup>.

Section d includes the return of the *Prelude No. 1* material. The tone row and twelve-note verticality recedes. C major intervals return immediately prior to 8'18" to introduce the final version of *Prelude No. 1*. (This time the Prelude is presented in its entirety, although without repeats.) This version is initially transposed one octave higher than the previous context pitch (equivalent to Prelude bars 1-19). The choir accompaniment doubles the harmony of the Prelude.

Section e consists mainly of C major material (which finishes the piece). A decoder has been aurally trained throughout the piece to associate C major with the TCA and may now view this final section as part of the TCA.

**Figure 3.3** An annotated proportional line diagram of Part's Credo showing the five sections of the TCA

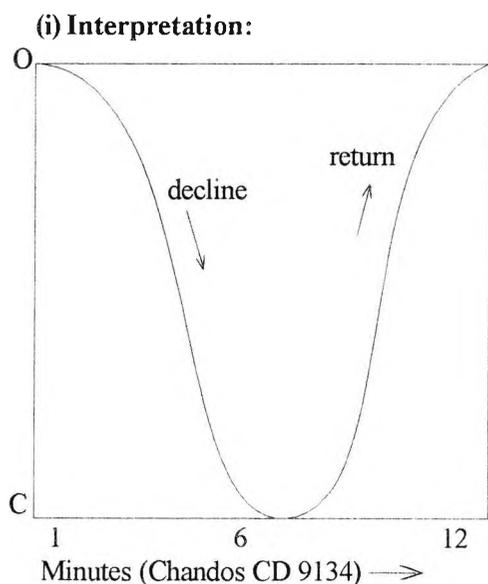
<sup>15</sup>The twelve notes which form the horizontal tone row are repeated vertically, spread over more than one octave, and are called a 'twelve-note verticality'. The horizontal tone row and an accompanying series of twelve-note verticalities are shown in manuscript form in Appendix IV, page 165. This appendix shows a version heard immediately prior to section c at CD timings 4'25"-4'27".

<sup>16</sup>This section is discussed in greater detail in Figure 3.18, page 103.

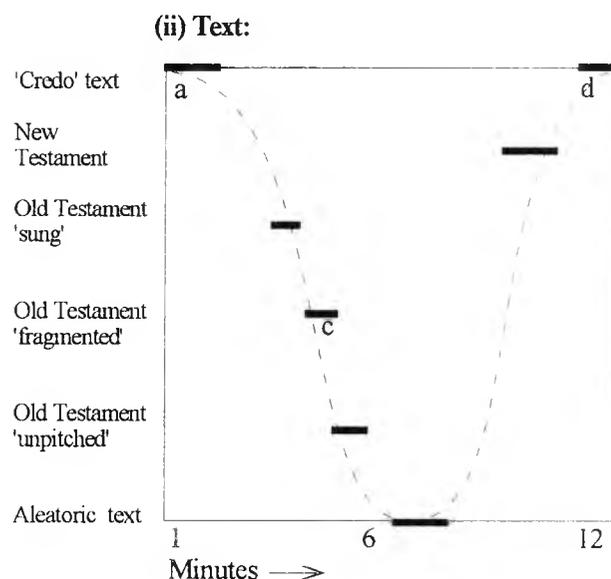
interpretation for *Credo* in its entirety of 'religious order' at the beginning of the piece, followed by a decline into 'religious chaos' and finally a return to 'religious order' towards the end of the piece, signalled by the return to C major. The inclusion of a religious (Latin) text contributes to this programme. **Figure 3.4** consists of four graphs to show a correlation between the various elements in *Credo*. Graph (i), showing a possible interpretation of the piece as a whole, is derived from a combination of the three other graphs: (ii) text, (iii) tonality, and (iv) TCA.

Sections a and b of the TCA serve to establish the C major tonality, associated with *Prelude No. 1*, at the beginning of *Credo*. This C major tonality returns at the end of the piece with sections d and e of the TCA. The association of the least transformed versions of the TCA with the C major tonality at the beginning and end of the piece correlate to the points which represent 'religious order', as shown by a comparison of graphs (i), interpretation and (iv), TCA.

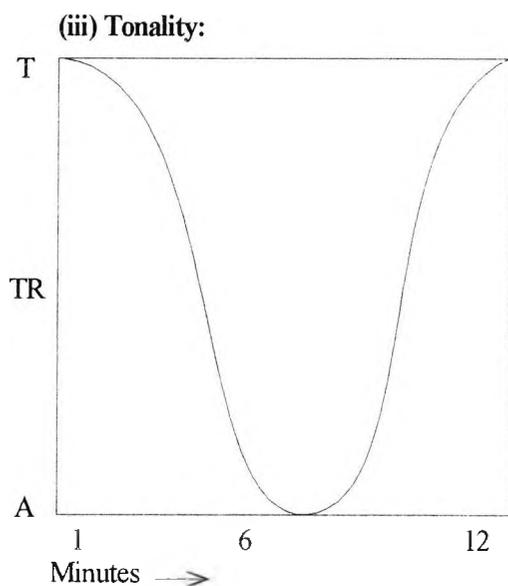
Graph (ii) shows that sections a and d of the TCA (associated with a C major tonality) are set to a 'Credo' text which also contributes to the representation of 'religious order'. The most transformed version of the TCA, at section c, is associated with a representation of a 'religious decline' and is accompanied by an Old Testament-derived text ('oculum pro oculo, dentem pro dente'). This text is split into its constituent syllables and excerpts, sung by the choir, are interpolated into the TCA between CD timings 4'30" and 5'35", so that both the text and the TCA are fragmented by the interpolations. In contrast, the earlier Old Testament text which follows section b (and precedes section c) is not fragmented. It therefore seems that the Old Testament text is associated with a 'decline' from 'religious order'—the more fragmented the text the steeper the decline. Once the Old Testament text is presented in an unpitched form the TCA is absent, and it remains absent during the aleatoric section when any 'text' which the choir may choose to sing is indecipherable (for instance, at CD timing 6'40"), marking the deepest point of 'chaos'. The decline from order is therefore represented by a progression from a 'Credo' text, through various versions of the Old Testament text, to the chaos represented



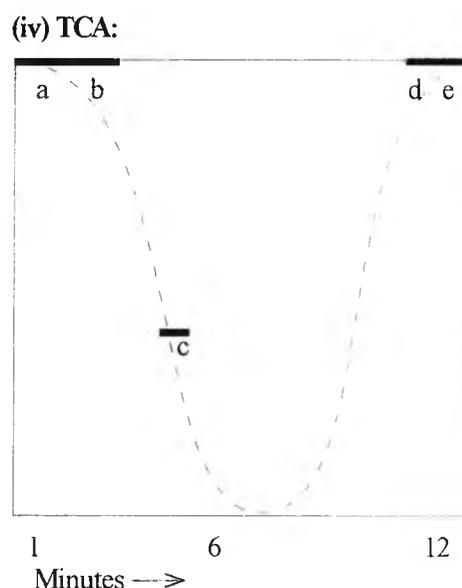
Key to graph (i):  
 O represents 'religious order'  
 C represents 'religious chaos'



Key to graph (ii):  
 a, c, and d represent three sections of the TCA.  
 Only these sections are accompanied by a text.  
 Elsewhere the text is heard alongside non-transcontextual material.



Key to graph (iii):  
 T Tonal  
 TR Tone row  
 A Aleatoric



Key to graph (iv):  
 Section a is the opening of *Credo*, based on the harmony of *Prelude No. 1*.  
 Section b of the TCA is a quotation of *Prelude No. 1*.  
 Section c is the most transformed version of the TCA.  
 Section d represents the re-establishment of a less transformed version of the Prelude.  
 Section e is the C major material, adopted as transcontextual.

**Figure 3.4** The correlation between an interpretation and the text, tonality, and the positioning of the TCA in Pärt's *Credo*

by the aleatoric 'text'. The New Testament text ('autem ego vobis dico: non esse resistendum injuriae...') heralds a return to order and a return to 'Credo' towards the end of the piece<sup>17</sup>.

The tonality of *Credo* is represented as a curve, rather than discrete steps, in graph (iii) because the design of the tone row means that excerpts from the horizontal row are initially compatible with the TCA key of C major. The manuscript excerpt in **Figure 3.5** shows a group of C major intervals at the beginning of the row<sup>18</sup>:



**Figure 3.5** The tone row from Pärt's *Credo*

The design of the row initially favours these 'C major intervals' (when the row is used only in its horizontal form, without twelve-note verticalities) because it is not until pitch 7 (F#) that any accidentals foreign to C major are heard, but also because pitches 1 and 2 (C and G, the tonic and dominant) are used to hint at a C major tonality. This allows an aural impression of gradual transitions from C major to the tone row and back. An example of such a transition occurs at score figure 4, CD timing 2'49", when the first horn plays a forte muted note on pitch c' after a general pause. This commences a section where it seems that the C major tonality continues for a while but we hear a gradual move away from C major towards atonality as the section progresses. The muted horn c' could be considered both to mark the start of the tone row and as a continuation of C major material.

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<sup>17</sup>A table in Appendix V, page 166, summarises the Latin text in *Credo* and gives some indication of the origins of this text. This table also shows that the New Testament text largely contradicts the Old Testament text. By using both texts Pärt is emphasising these contradictions.

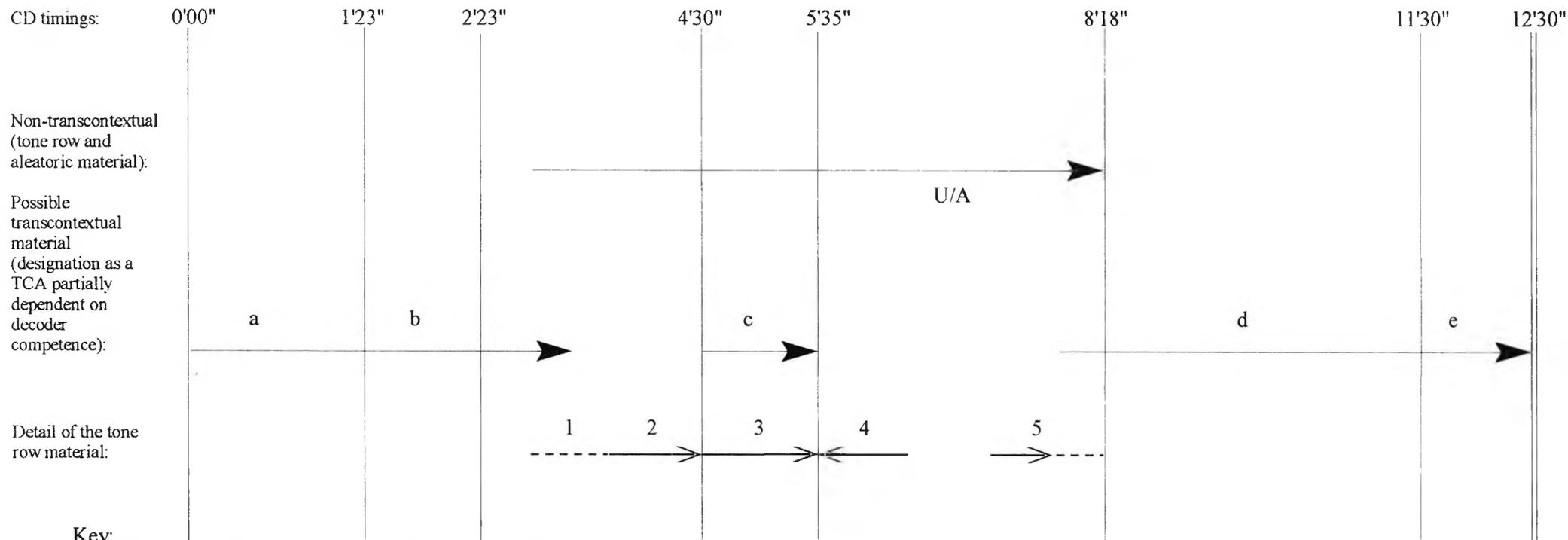
<sup>18</sup>This version of the tone row is taken from the double bassoon statement of the row at score figure 15, bars 138-141. It consists of a sequence of fifths climbing a whole tone scale.

A succession of twelve-note verticalities is derived from the row (as shown in Appendix IV, page 165). When the row and verticalities are heard together this combination is perceived as atonal. The transition from the tone row with its full twelve-note verticalities to the aleatoric material cannot necessarily be aurally detected at any one discrete point, so this transition, like the transition from C major to the tone row, is shown as a curve rather than a step in graph (iii). Almost a reverse of these techniques is used to progress from the aleatoric section back to C major for the ending of *Credo*. This time Pärt introduces a retrograde version of the row (after section c of the TCA). **Figure 3.6** shows an adaptation of the proportional line diagram of *Credo* to demonstrate the treatment of the tone row material in greater detail. The arrows representing the tone row (1-5) are different in character from the solid headed arrows in that they do not represent time, but indicate whether the tone row is presented forwards or in its retrograde form.

The retrograde transformation applied to the TCA at section c is echoed by the retrograde transformation of the tone row during section 4. A decoder will not usually detect the retrograde transformation of the row because the tone row is less familiar than the Prelude and therefore comparisons between untransformed and transformed versions are more difficult. It may be easier to detect this retrograde transformation technique when it is applied to section c of the TCA because the untransformed version of the TCA has already been heard (at section b) and a decoder is already familiar with the (untransformed) previous context of *Prelude No. 1*. This allows a comparison between the transformed TCA at section c and the already established 'normal', or non-retrograde, versions.

### **3.3 (i) Previous context: specific and hypothetical previous contexts and the concept of 'best fit'**

A previous context of a TCA may be either specific or hypothetical. As a general rule, a **specific previous context** may be decoded wherever an encoder re-presents material from a particular work. Where no particular work is quoted a previous context may be described as **'hypothetical'**. For example, the TCA in *Credo* refers to a work (Bach's *Prelude No. 1*) and its



**Key:**

a, b, c, d, e

U/A

-----

1

2

3

4

5

represent sections of the TCA or TCA-related material.

shows the approximate position of the non-transcontextual unpitched choir material (U), followed by the aleatoric material (A).

represents the use of intervals from the 'C major area' of the row.

The C major excerpts from the start of the row. This builds to the full row and twelve-note verticalities at 2.

The full tone row and twelve-note verticality, immediately prior to section c (the most transformed version of the TCA).

The gradually decreasing horizontal row and full twelve-note verticalities are interpolated into the most transformed version of the TCA.

A twelve-note verticality is sung by the choir and is repeated 24 times in total. This is sung to the Old Testament text and is immediately followed by the retrograde row, built alongside unpitched choir material. The full retrograde row is stated just prior to the unpitched and aleatoric section.

Excerpts of the row and twelve-note verticalities are interpolated with a 'C' pedal note. C major excerpts of the row, played by the brass, initially mask certain points at the start of section d of the TCA (at score bars 365, 370, 375, 381 and 387), although these soon recede.

**Figure 3.6** The detail of the non-transcontextual tone row material in Pärt's *Credo*

previous context is therefore *specific*. In contrast, the TCA in Schnittke's *(K)ein Sommernachtstraum* mimics a Viennese Classical style. This previous context is *hypothetical* in that there are many works which could conceivably match with the generalised style that Schnittke reproduces, but no single work is an exact replica.

Whether a previous context is specific or hypothetical depends, at least to some extent, not only on an encoder's choice of TCA but also on the degree of decoding competence. A specific previous context may exist for a TCA but it may be unknown to one particular decoder or to many decoders. For instance, Schnittke's *Moz-Art*, for two violins, is mainly derived from quotations of excerpts from an incomplete fragment of sketches of a piece by Mozart called *Musik zu einer Faschingspantomime*, KV 416d<sup>19</sup>. Even though a specific previous context (KV 416d) exists for this piece it is unlikely to be aurally identified by most decoders because this particular previous context is not widely published or performed, partly because of its incomplete state. It is therefore less likely to have been part of a decoder's input, and the obscurity of this specific previous context means that a hypothetical 'Mozart style' will probably be output. Presumably, Schnittke does not expect such an obscure previous context as KV 416d to be recognised and a 'style' decoding can therefore be considered authentic in that it matches the encoder's intention.

The output of a hypothetical previous context for the majority of the transcontextual material in *Moz-Art* can be contrasted with the likely output elsewhere in the same work. At score figure 31 there is a brief, but literal, quotation of the well-known first movement theme from Mozart's *Symphony No. 40 in G minor*, KV 550. The switch<sup>20</sup> to recognition of such a well known specific previous context (*Symphony No. 40*) is in sharp contrast to the hypothetical previous context of 'Mozart's style' which has already been established by the

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<sup>19</sup>Schnittke's *Moz-Art* is discussed in further detail during section 3.3 (iii) on page 88.

<sup>20</sup>In *Moz-Art* the 'switch' is from one TCA to another (from the 'hypothetical' TCA to the '*Symphony No. 40* TCA') rather than a switch between a TCA and non-transcontextual material.

quotations of the lesser-known KV 416d<sup>21</sup>.

Even where an encoder feels that a specific previous context is not particularly obscure it may be difficult for a less competent decoder to recognise. A decoder uses a process of 'best fit' to determine a previous context for a TCA, choosing the best approximation known to that particular decoder. Figure 3.7 demonstrates 'best fit' and shows that it spans a range of possibilities from 'specific' through to 'hypothetical' categories of previous context.

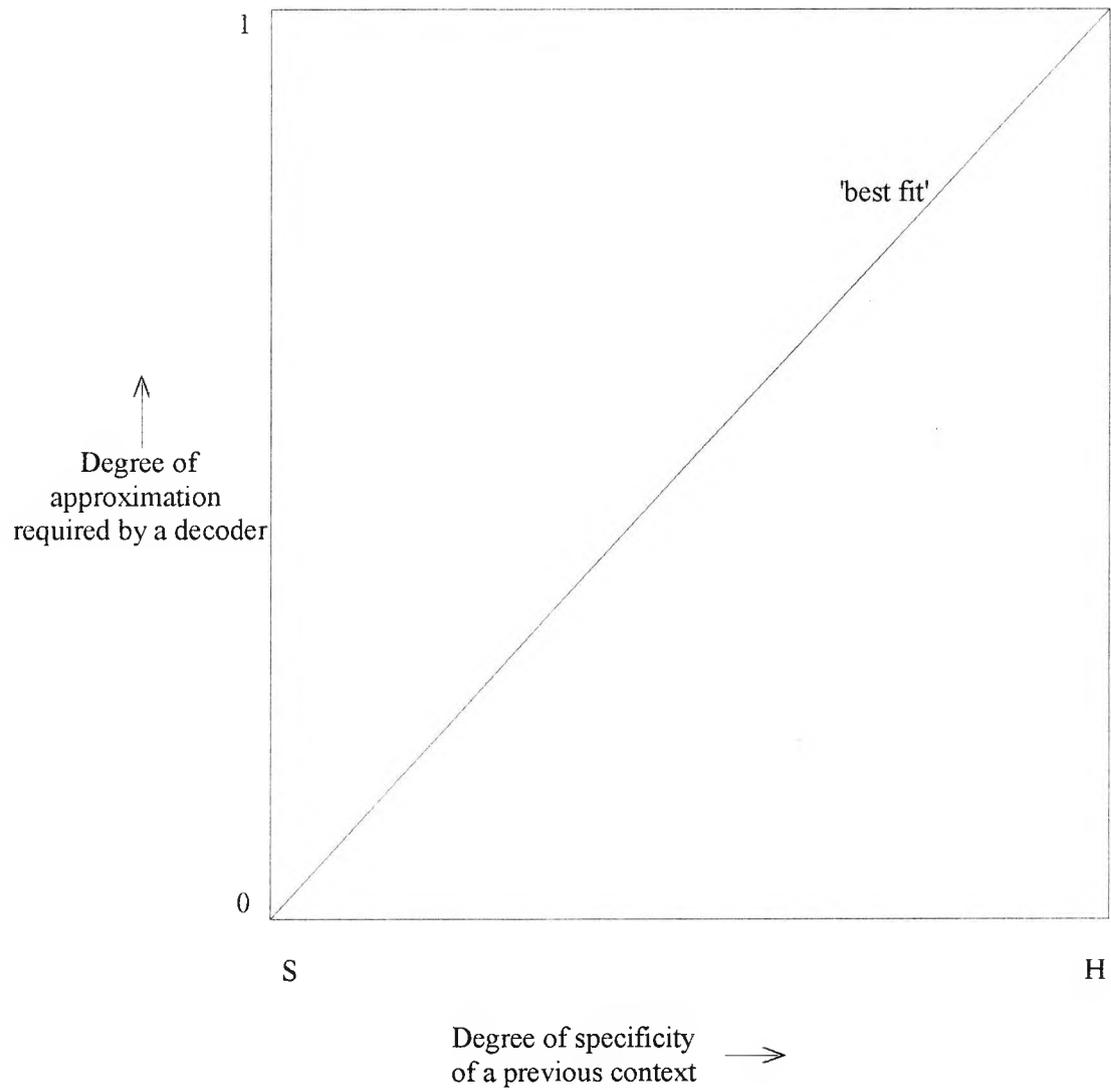
On hearing a TCA a decoder will attempt to output its best match. This will be the most accurate match known to that particular decoder and may not be the best match envisaged by an encoder, if the decoding is less authentic. If an autobiographical match exists it may be decoded in addition to, or instead of, any of the usual (envisaged) 'best fits' for a TCA. A decoder may attempt to output several options known to them, ranging from [0, S] to [1, H] if at all possible. For example, if the specific previous context of KV 416d is known to a decoder for Schnittke's *Moz-Art* it could be output in preference to, or as well as, 'Mozart's style', even though Schnittke may not expect this particular previous context to be decoded.

Where no specific previous context (no [0, S] match) can be output for a TCA an approximation will occur: a decoder outputs the nearest known match as a previous context. For example, the best possible 'fit' for the TCA in Pärt's *Symphony No. 2* could be considered to be Tchaikovsky's *Süsser Traum*, although several 'good fit' alternative previous contexts also exist and are probably more likely to be known. The next nearest match for this TCA could be 'in the style of Tchaikovsky' or 'in a past tonal style', both hypothetical previous

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<sup>21</sup>An orchestral version of this piece, *Mozart à la Haydn* (1977), has been recorded on the Deutsche Grammophon label. Both pieces are based on fragments of KV 416d and include a 'Symphony No. 40' TCA. In the recorded version the interpolation of an excerpt of Mozart's *Symphony No. 40* can be heard between CD timings 8'03-8'07".

*Mozart à la Haydn* not only refers to 'Mozart'. It is so-called because the members of the orchestra leave one by one at the end of the piece (a reference to the first performance of Haydn's *Farewell! Symphony No. 45 in F# minor* where the performers supposedly left one by one in a similar manner). This reference to Haydn is not a TCA in the sense that it is not an aural reference which causes a transfer to a previous context, unlike the other references to Mozart in the piece.



Key:

- S Specific previous context.
- H Hypothetical previous context.
- 0 No degree of approximation required to recognise a TCA.
- 1 Greatest degree of approximation required to recognise a TCA.

**Figure 3.7** The concept of 'best fit'

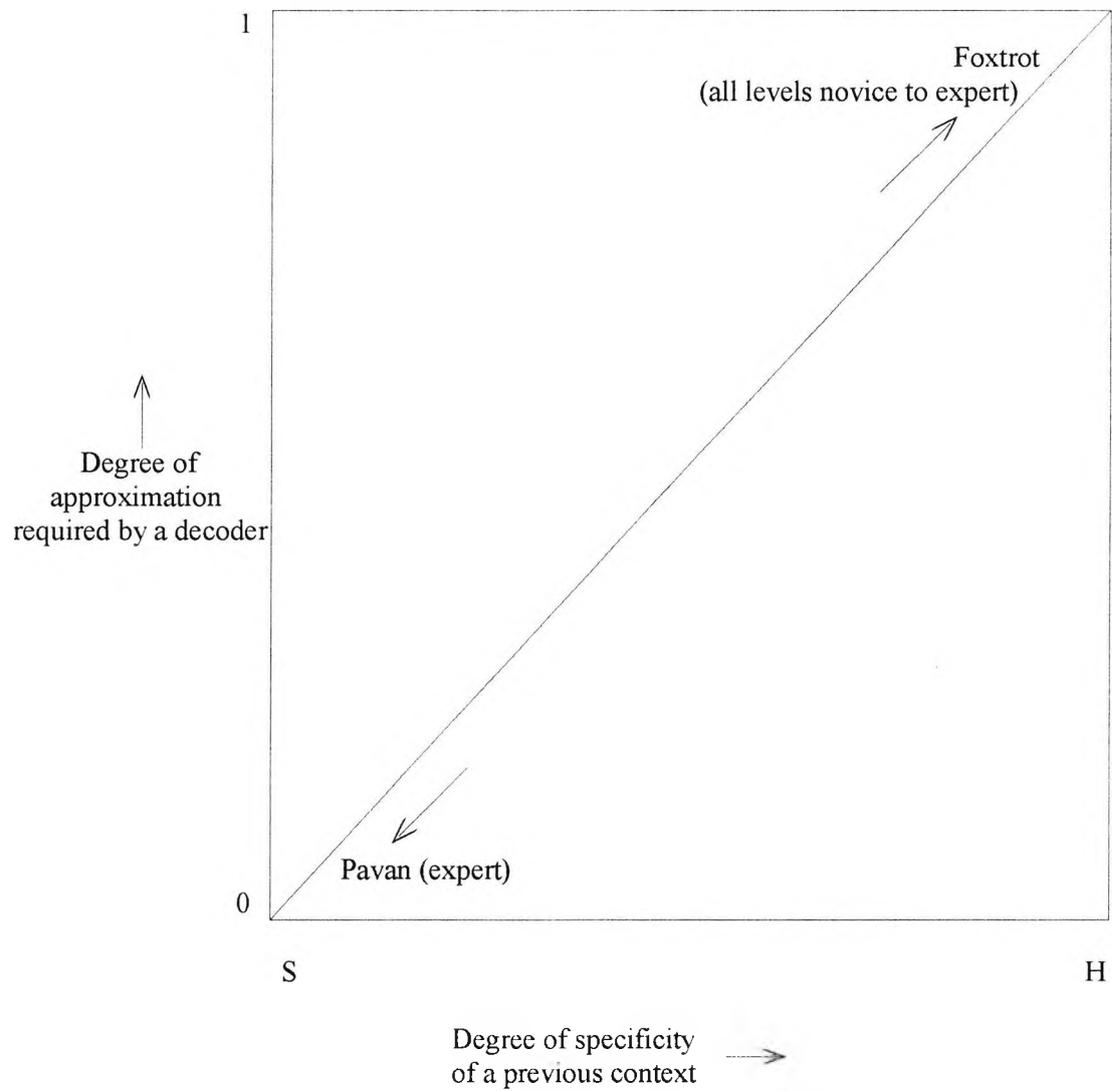
contexts, although the reference to Tchaikovsky's style is the more specific of the two and may be output in preference to, or as a refinement of, a reference to a more generalised tonal style.

In some cases widely varying previous contexts could exist for a TCA because of differences in decoder 'best fit'. For example, in Maxwell Davies's piece *St. Thomas Wake* the primary previous context for a majority of decoders during most of this work is a hypothetical 'foxtrot style'. However, a decoder who is an expert on early music may recognise the specific pavan by John Bull on which the foxtrot material is based, obscuring the expected 'foxtrot' previous context. **Figure 3.8** illustrates the probable differences of 'best fit' between most decoders and an expert decoder for this piece.

In most cases, whether a specific or hypothetical previous context is decoded is not particularly important because the code may be similar for either (for *Moz-Art* the code may not drastically alter if KV 416d is decoded rather than 'Mozart's style', although the code may be more 'refined', including extra signifieds). However, in the case of, for instance, *St. Thomas Wake* an expert and a novice decoding could result in different codes, although all decoders, regardless of the level of competence, are likely to realise that Maxwell Davies intends most of his potential audience to recognise a 'foxtrot' previous context. Nevertheless, for some experts a decoding may be skewed in a way that is not necessarily intended by the encoder, favouring a 'pavan' code.

### **3.3 (ii) Previous context: a case study to show the manipulation of a 'best fit' previous context by transformation in Pärt's *Wenn Bach Bienen Gezüchtet Hätte...***

An encoder can manipulate a decoder's probable 'best fit' by transforming, and therefore possibly disguising, a specific previous context so that only a hypothetical match can be found. This technique is used in Pärt's *Wenn Bach Bienen Gezüchtet Hätte...* (1976-1984) where the TCA is transformed to disguise the specific previous context of J. S. Bach's B



Key:

- S Specific previous context.
- H Hypothetical previous context.
- 0 No degree of approximation required to recognise a TCA.
- 1 Greatest degree of approximation required to recognise a TCA.

**Figure 3.8** 'Best fit' for an expert decoding as opposed to the majority of decodings for Maxwell Davies's *St Thomas Wake*

minor *Prelude No. 24* [BWV 869] from *Das Wohltemperierte Klavier*, book 1.

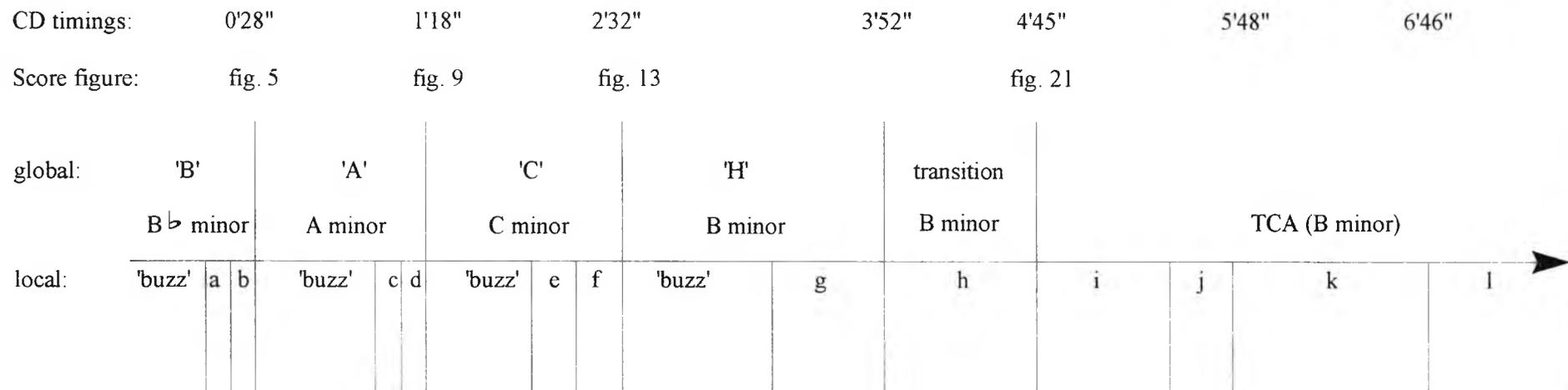
Figure 3.9 shows a proportional line diagram of Pärt's *Wenn Bach Bienen Gezüchtet Hätte...*, with the final TCA identified as sections i-l. On a global level the structure of this piece is based on progressively longer sections of material in B♭ minor, A minor, C minor and B minor (a B-A-C-H schema). Each of the sections increases in duration, the longest B minor section (which includes the TCA) ending the work. Figure 3.9 shows the general layout of the entire piece. This is accompanied by the manuscript excerpts in Figures 3.10 to 3.13 to facilitate a comparison of the four sections (i-l) of the TCA with the relevant excerpts from Bach's *Prelude No. 24*.

The TCA undergoes various transformations compared to its previous context. The tempo of the TCA is altered—it is considerably slower than the usual performance tempo of *Prelude No. 24*<sup>22</sup>. The bass line of the TCA is notated in crotchets with a metronome marking of 76 crotchets per minute (TCA section i in Figure 3.10) whereas in performances of the *Prelude* a similar metronome marking is applied to quaver notation, resulting in a (performance) tempo approximately twice as fast as the TCA.

The change in timbre, which occurs during the transcription from a keyboard prelude to the wind quintet and strings of the TCA, serves as a further disguise for the specific previous context. The walking bass of the *Prelude* is performed by low pizzicato strings whenever it is heard (TCA sections i and k in Figures 3.10 and 3.12). Additional pitches are added at first by the higher strings and piano (Figure 3.10, bars 1-4 of section i), subsequently joined by successive members of the wind quintet (in bars 5-7 of section i, Figure 3.10). This material recedes, during section j of the TCA (Figure 3.11) but the pizzicato low strings restart the walking bass for section k (Figure 3.12). Again the gradual addition of woodwind instruments occurs, this time forming a crescendo with octave displacements, derived from the walking bass at the apex of the crescendo (bars 22 and 23 of the TCA in Figure 3.12).

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<sup>22</sup>The tempi from three CD recordings of different performances of Bach's *Prelude No. 24* were measured on a metronome. In Schiff's performance (1984) there are 84-88 crotchets per minute, but a faster tempo of approximately 96-100 crotchet beats per minute is adopted by Moroney (1988). Jarrett (1988) uses the greatest range of tempi, varying between 70-80 crotchets per minute.



**Key:**

Section a represents a violin and piano B flat minor motif (beginning at CD timing 0'13").

Section b is a piano retrospective TCA (CD timing 0'22"). A walking bass motif similar to section b reappears at d and f and is also a feature of the TCA. These sections may be recognised as TCA-related in retrospect.

At section c an A minor motif is heard twice (CD timing 0'54").

Section d is a second piano retrospective TCA (CD timing 1'11").

At section e a C minor motif is heard three times (CD timing 1'57").

Section f is a third piano retrospective TCA (CD timing 2'22").

At section g a B minor motif is heard four times (CD timing 3'22").

Section h marks the transition from the non-transcontextual material to the TCA-ending. This section crescendos to *fff*, then reduces, first to a thinner texture, then to silence prior to the start of the TCA at section i.

TCA section i The beginning of the B minor TCA, derived from Bach's B minor *Prelude No. 24* from book 1 of *Das Wohltemperierte Klavier*.

TCA section j Transition: only minimal reference to the Prelude.

TCA section k Bass and piano octave displacements (similar to the retrospective TCAs at sections b, d and f) are heard for two bars at CD timing 6'07". The material is still derived from *Prelude No. 24*.

TCA section l The final extended 'Baroque cadence'. This is a transformed quotation of excerpts from Bach's *Prelude No. 24*, but with a tierce de Picardie (a D sharp rather than a D natural) in the final chord.

**Figure 3.9** A proportional line diagram of Pärt's *Wenn Bach Bienen Gezüchtet Hätte...*



TCA section j:

11 12 13 14 15 16

strings dim.

woodwind only  
dim. to pp

piano and violin

flute

Prelude No. 24 (bars 6-8):

Figure 3.11 Section j of the TCA from Pärt's *Wenn Bach Bienen Gezüchtet Hätte...* and bars 6 to 8 from Bach's *Prelude No. 24*



TCA section 1:

31 32 33 34 35 36

a tempo

strings only arco.

craso. mf

dim. p

Detailed description: This musical score shows six measures of music for strings. Measure 31 is marked 'a tempo' and 'strings only arco.'. Measures 32-34 are marked 'craso. mf'. Measure 35 is marked 'dim.' and measure 36 is marked 'p'. The music is in 4/4 time and features a melodic line in the upper voice and a supporting bass line.

*Prelude No. 24* (bar 16 and the first half of bar 17):

Detailed description: This musical score shows two measures of music from Bach's Prelude No. 24. The first measure is bar 16 and the second is the first half of bar 17. The music is in 4/4 time and features a melodic line in the upper voice and a supporting bass line.

The ending of the *Prelude* (half of bar 46 and bar 47):

Detailed description: This musical score shows the ending of Bach's Prelude No. 24, covering the second half of bar 46 and bar 47. The music is in 4/4 time and features a melodic line in the upper voice and a supporting bass line.

**Figure 3.13** Section 1 of the TCA from Pärt's *Wenn Bach Bienen Gezüchtet Hätte...* and two excerpts from Bach's *Prelude No. 24*

The crescendo in section k is followed by a diminuendo and a reduction in the number of instruments so that the final bar of the section (bar 30, Figure 3.12) is performed by the lower strings only. The final section of the TCA (section l in Figure 3.13) is reserved for arco strings, with no woodwind or piano.

As well as these changes to tempo and timbre, which affect the whole TCA, each of the sections i-l is treated differently, hence the division of the TCA into four for the purposes of this discussion. In section i treble clef material from *Prelude No. 24* is initially omitted. This is shown by a comparison of section i with bars 1-5 from *Prelude No. 24* in Figure 3.10. The omission of the Prelude material continues until bar 3 where some minimal treble clef pitches in common with the Prelude begin to be added (for instance, f' and e''), but as more notes in common with *Prelude No. 24* are included these are masked by the addition of extra, non-Prelude pitches (as in bar 6 of the TCA). The walking bass is the dominant feature of this section which may suggest that Pärt wishes to evoke a hypothetical previous context. This step-wise rising or falling bass movement, with the occasional large interval, is common to the Baroque ground bass technique of many composers<sup>23</sup>.

In section j (Figure 3.11) the walking bass which has been such a feature of the TCA up to this point is omitted completely, and throughout this section there is little reference to the Prelude. However, the prominent bass line, which began the TCA, returns for section k (Figure 3.12), this time with the flute initially adding sparse treble clef material. As before, when more of the Prelude material is added it is usually masked by extra material (for instance, in bar 24 and 25).

Bars 22 and 23 in this section (k) recall the piano octave displacements which have occurred amongst the non-transcontextual material prior to this TCA (labelled sections b, d and f in Figure 3.9 on page 81). It is at this point that these preceding sections may be

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<sup>23</sup>Hudson (1980, in an article on 'ground') gives manuscript examples of German Baroque grounds from Ahle's *Misericordias Domini* (1665) and Schmelzer's *Sonatae unarum fidium* (1664). Both excerpts demonstrate step-wise bass movement with occasional large intervals.

recognised as TCA-related (retrospectively).

The final section of the TCA (section I in Figure 3.13) is scored for strings only and is based on two excerpts from the Prelude: bar 16<sup>24</sup> and the first half of bar 17 is 'stitched together' with the final bar-and-a-half of the Prelude (the first half of bar 46 and bar 47) to form a cadence. Pärt also alters the final chord, including a tierce de Picardie, changing the D ♯ of the Prelude to a D ♮ in bar 36 of the TCA (Figure 3.13). This alteration may be included because it is a device common to many baroque works<sup>25</sup> so that if a decoder detects the specific previous context of *Prelude No. 24* as one of several possible previous contexts the focus is shifted away from the Prelude and towards a hypothetical 'Bach style' or 'Baroque style'.

Pärt's transformations of the material from Bach's *Prelude No. 24* hide the specific previous context, making this a more specialised type of TCA, less easily aurally detectable. However, the more direct reproduction of the Prelude harmony in section I may reveal sections i to k as transcontextual in retrospect where these have not already been detected. The 'Bach' prompt in the title and the contrast between the beginning of section i with the preceding 'buzzing' material further aid the detection of the TCA; even so certain decoders may not recognise the specific previous context of *Prelude No. 24*.

### 3.3 (iii) Previous context: the meaning of 'quotation'

As far as transcontextuality is concerned the term 'quotation' can indicate a re-use of material from a particular work or it could indicate re-use of a 'style'. In this transcontextual sense a TCA is always a 'quotation' of some type of previous context. However, not all musical

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<sup>24</sup>In bar 16 of the Prelude (Figure 3.13) the third and fourth beats of the uppermost part are notated as a quaver followed by two semiquavers and a crotchet. This rhythm is consistent with the TCA, which doubles the note values. However, in the well-respected Bärenreiter Kassel edition of Bach's collected works (edited by Alfred Dürr) this rhythm is written as four quavers.

<sup>25</sup>Piston (1985, 59) describes the use of the tierce de Picardie in the eighteenth century as 'almost a mannerism'. Bach used Picardy thirds in many of his works, although he did not include one at the end of the B minor *Prelude No. 24*. Piston cites two examples of works by Bach which include Picardy thirds: *Prelude No. 4* (1985, 59) and *Chorale No. 320, Gott sei uns gnädig* (1985, 216).

quotations are TCAs. For a quotation to be transcontextual it must be sufficiently different from a present context to ensure a 'switch' to a previous context. Composers of the past have often quoted melodies, as in the numerous examples of variations on known themes, but usually such re-used material is assimilated to form a new work and is not transcontextual. Although a listener may recognise a reference to already known material, such re-uses do not normally generate an esthetic transfer to a different context<sup>26</sup>.

Some of the difficulties in defining 'quotation' in relation to transcontextuality can be demonstrated by examining Schnittke's piece, *Moz-Art* for two violins. The material throughout this work is all 'quotation' in that the piece is based almost entirely on Mozart's KV 416d (446), a fragment of *Musik zu einer Faschingspantomime für zwei Violinen, Viola und Baß*<sup>27</sup>, except for a brief interpolation of an excerpt from Mozart's *Symphony No. 40*. The term 'quotation' could be used here in the sense of a 'reproduction of Mozart's KV 416d score', or more accurately the *Mozart Neue Ausgabe* Bärenreiter Kassel edition of the surviving fragments of his score. However, this reproduction sounds more or less like 'Mozart', depending on the accuracy of Schnittke's imitation and his choice of transformation technique. **Figure 3.14** represents a possible decoding for *Moz-Art* which sometimes contradicts the actual source of the material.

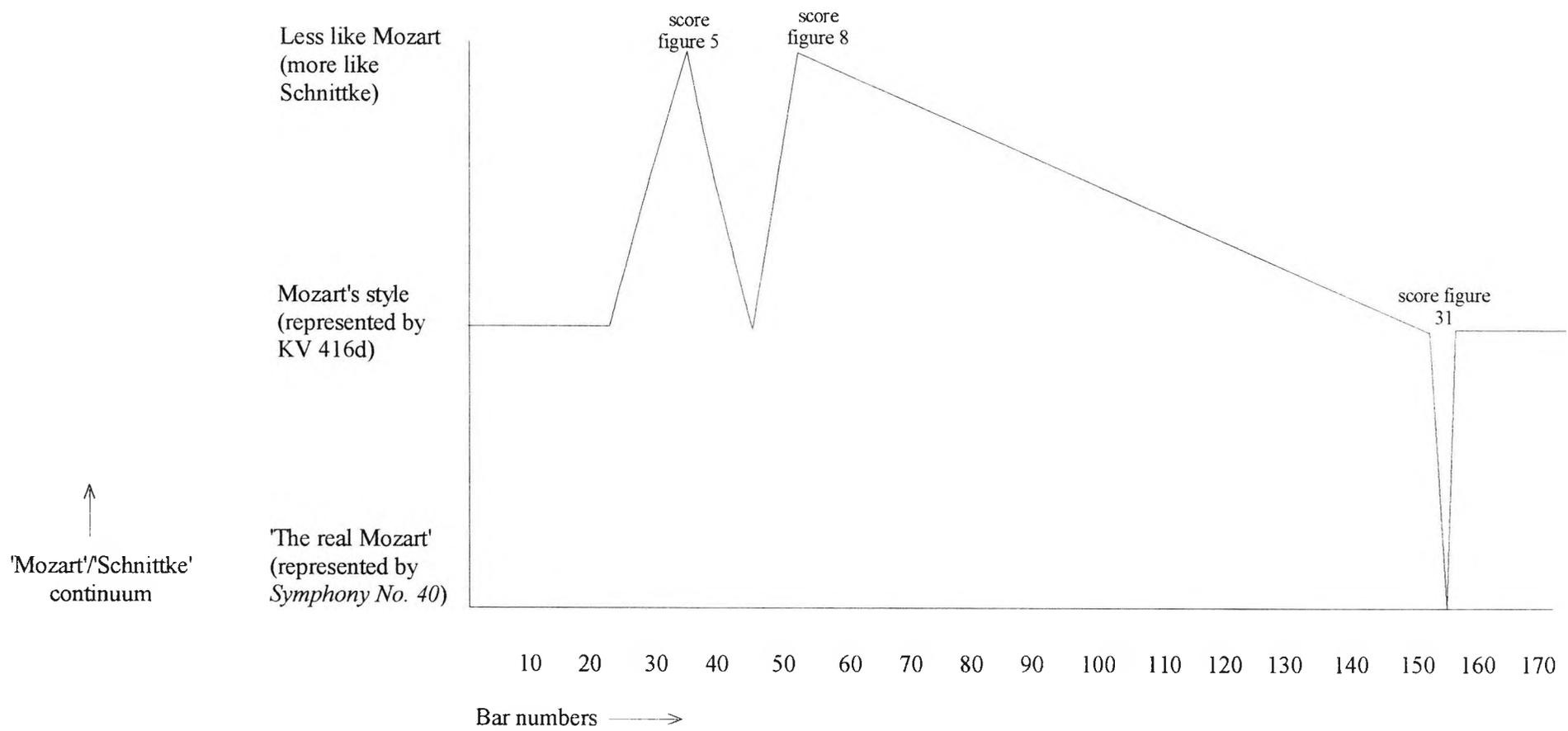
At the start of the piece (bars 1-28) the material is all derived from excerpts of KV 416d (scene 1, bars 1-17 from the 'B' draft of the *Mozart Neue Ausgabe* edition)<sup>28</sup>. This gradually begins to sound less like 'Mozart' by bar 29 (at score figure 4) where the two violins continue to 'quote' material from KV 416d, although in different keys (the first violin's

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<sup>26</sup>The possible exceptions to this general rule are discussed in chapter 6.

<sup>27</sup>KV 416d survives only as fragments with score annotations. The annotations mention five characters: Pantalon, Colombine, Harlequin, Pierò and der Dottore. There is no indication that these characters are intended to sing, but their names could perhaps suggest that the music is intended to accompany a comic theatrical work. The fragments of music are divided into fifteen 'numbers' (in the final 'B' draft). These numbers seem to indicate the various scenes of the work (they are labelled 'scena' in the 'A' draft).

<sup>28</sup>Appendix VI (pages 167-170) lists all the excerpts of KV 416d quoted in *Moz-Art*.



**Figure 3.14** Graph summarising a possible decoding of Schnittke's *Moz-Art*

material is from scene II, bars 1-4, in D minor, against the second violin's material from scene XII, bars 1-4 in D major then in B minor).

At bar 32 (score figure 5) the first violin's material (from scene II, bars 13-15) is subjected to a timbral transformation where a performer is directed to 'whistle' material. This may be decoded as non-transcontextual or as a transformed TCA and therefore more like Schnittke or less like Mozart, depending on the particular decoder. The timbral transformation is followed by a return to 'Mozart' (at score figures 6 and 7) with quotations of scene XI, bars 1-16 by the first violin and scene III, bars 1-15 by the second violin. The only detectable transformation here being the combination of different scenes.

At bar 52 (score figure 8) the timbral transformation returns, this time the treatment is applied to scene XI, bars 17-20 in the first violin, accompanied by a pizzicato version of scene III, bars 23-36 in the second violin. This is followed by what could be perceived as a gradual decrease in the degree of transformation applied to the KV 416d material until largely untransformed excerpts of KV 416d reappear (at approximately score figure 23). A *ritardando* and pause at bar 155 (score figure 31) is followed by what could be regarded as 'the real Mozart', represented by a 'literal' quotation of the beginning of the first movement theme from Mozart's *Symphony No. 40*. This quotation is 'literal' in that it is both likely to be known to a decoder and it is untransformed, so that there is no doubt as to the specific previous context. The piece finishes with a return to KV 416d, or 'Mozart's style'. Therefore, even though much of the material is derived from KV 416d (a possible specific previous context) it is unlikely to be recognised as 'quotation', but rather as Schnittke's imitation of Mozart's style. In contrast the excerpt of Mozart's *Symphony No. 40* is likely to be decoded as a quotation, because it is so familiar.

Where a particular work is extremely well-known, as with Schnittke's quotation of Mozart's *Symphony No. 40* or Ives's quotations of Beethoven's *Fifth Symphony* in the third movement of the *Concord Sonata*, the imitation of the 'style' of a previous context may not

be the most important factor to show that a TCA has a different identity to its current present intrinsic context. These quotations and transformed quotations are not necessarily representative of Mozart's or Beethoven's style, but the previous contexts retain credibility because they have a strong identity that is not assimilated into the new work. The intention behind using such familiar references is to cause a 'switch' to a previous context known to many decoders. In this sense these are 'literal' quotations where a specific previous context is likely to be detected.

On occasion the exact provenance of a TCA can be difficult to define. For example, at the beginning of *Credo* (section a) the TCA is 'a quotation of', in the sense of 'a reproduction of', the harmony of J. S. Bach's *Prelude No. 1*. This is demonstrated by the manuscript excerpts in **Figure 3.15** which show a reduction of the first 19 chords of *Credo* and a reduction of the first 19 bars of *Prelude No. 1*. There is a close harmonic similarity between the two excerpts. Despite the similarity it is unlikely that a decoder will immediately choose *Prelude No. 1* as a previous context for the opening of *Credo*. It is perhaps more likely that a decoder will choose a similar choral setting for a previous context, such as a generalised style similar to Handel's choral works or a more specific choral previous context such as Handel's *Zadok, the Priest*<sup>29</sup> instead of the keyboard *Prelude No. 1* and it is therefore perhaps better described as 'a quotation of Handel's choral style' rather than a quotation of the Prelude. However, a decoder may retrospectively recognise that section a is in fact based on the harmony of *Prelude No. 1*, once the Prelude is played on the piano at section b and the reference to this specific previous context becomes overt. Nevertheless, section a is ambiguous and may not be recognised at all, even in retrospect.

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<sup>29</sup>The first two chords, I→II<sup>7</sup>d, of *Credo* are particularly distinctive. These chords, borrowed from *Prelude No. 1*, are similar to the first two chords sung by the choir (at bars 23 to 24) in *Zadok, the Priest*. This similar opening where the highest voice part moves upwards by a semitone, over a tonic which remains constant, coupled with the block chord movement and large choir, also common to both the opening of *Credo* and *Zadok, the Priest*, may mean that *Zadok, the Priest* could be a further possible specific previous context for section a (as well as Bach's *Prelude No. 1* and Gounod's *Ave Maria*). The original version of *Zadok, the Priest* is in D major, here, of course, transposed to C.

*Credo:*

addition of  
brass and timpani

strings only

piano solo  
begins at  
chord 20  
(bar 16)

1 2 3 4 | 5 6 7 8 | 9 10 11 12 13 | 14 | 15 16 17 18 19 |

choir, woodwind,  
horn and strings

choir, woodwind, horn  
and strings only

choir and strings

*Prelude No. 1:*

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19

**Figure 3.15** Manuscript excerpts to show a close harmonic similarity between a reduction of the first 19 chords of Pärt's *Credo* and a reduction of the first 19 bars of Bach's *Prelude No. 1*

The TCA in *Credo* is unusually lengthy, which may be a further indication that Pärt does not intend section a to be decoded as relating to any previous context. Figure 3.16 demonstrates these unusual proportions by comparing the proportion of transcontextual material in *Credo* (including section a) with four other pieces by Pärt (*Collage sur B-A-C-H*, *Pro et contra*, the third movement of *Symphony No. 2* and *Wenn Bach Bienen Gezüchtet Hätte...*)<sup>30</sup>. If this first section of *Credo* were regarded as non-transcontextual the proportion of transcontextual material would be lowered slightly. However, discounting section a would still give a higher than normal proportion of transcontextual material.

To summarise, 'quotation' in a transcontextual sense indicates a decoder's 'best fit'. A quotation can be regarded as 'literal' where a decoder detects a specific previous context or less explicit where a hypothetical style is detected, regardless of the encoder's chosen poetic strategy.

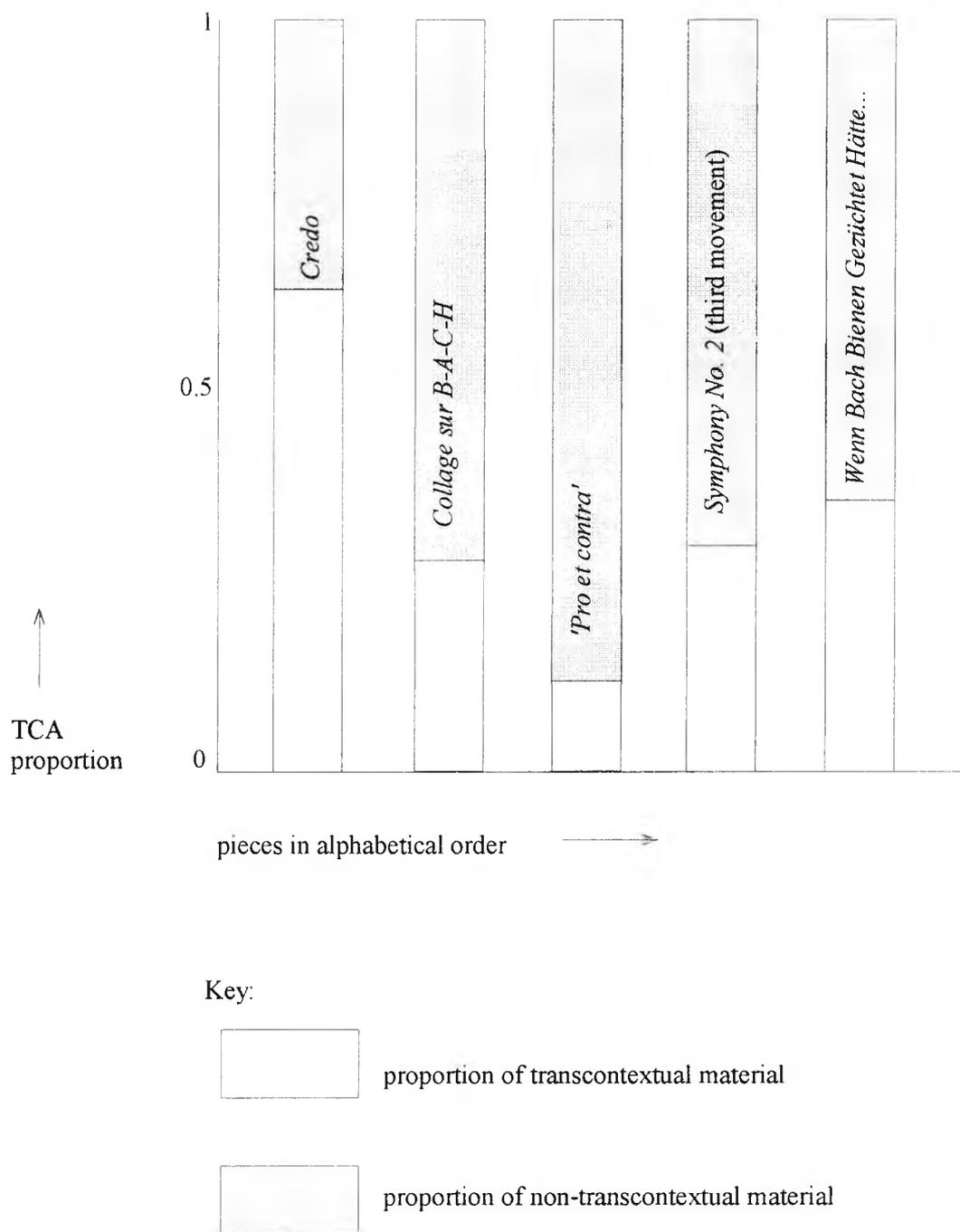
### **3.4 (i) Present intrinsic context: introduction and definition**

A present context is the non-transcontextual material which surrounds a TCA—an artefact is 'in' its present context. When a TCA undergoes a contextual change from a previous to a present context it is the context that changes rather than the TCA. This section concentrates on the treatment of a TCA in a present *intrinsic* context, how it is transformed, or integrated with non-transcontextual material, the word 'intrinsic' suggesting a focus on the musical material itself, rather than on its 'extrinsic' context or meaning. The discussion of present intrinsic context involves consideration of a transcontextual piece in its entirety, including both transcontextual and non-transcontextual material.

Many elements of intrinsic context have already been discussed, especially in the

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<sup>30</sup>The proportions in Figure 3.16 were calculated by dividing the duration of the transcontextual and non-transcontextual material, measured in seconds from the CD, with the duration of the piece. The Chandos 9134 CD was used in all cases, except *Pro et contra* where BIS 434 was used. This strategy of using relative proportions means that the measurements should be generally similar for any performance of these works, despite possible variations in tempi.



**Figure 3.16** Bar chart to show the proportion of transcontextual and non-transcontextual material in five pieces by Pärt

preceding section on the meaning of quotation which looked at the treatment of the transcontextual elements in Schnittke's *Moz-Art* and Pärt's *Credo*. A certain degree of overlap between sections is unavoidable because the various aspects of transcontextuality cannot be easily compartmentalised, but rather they work together as a single entity.

*Previous* intrinsic context is, to some extent, an erroneous concept because a TCA is only transcontextual once the process of crossing from a previous to a present context is complete. It is not possible to identify the portion of a previous context which becomes a TCA until it is compared to its associated present context. Furthermore, there may be no specific, identifiable previous context if a TCA is hypothetical. However, in some circumstances, where a specific previous context can be identified, comparisons between present intrinsic and previous intrinsic context may be useful. For example, at the end of Pärt's *Wenn Bach Bienen Gezüchtet Hätte...* the final chord of the TCA incorporates a tierce de Picardie. It is interesting to compare this to the specific previous intrinsic context of *Prelude No. 24*, which ends with a B minor tonic chord, because Pärt's alteration to the previous context is perhaps intended as an amusing 'twist', using a Baroque 'mannerism' (Piston 1985, 59) to alter Bach's original version.

### **3.4 (ii) Present intrinsic context: techniques of integration**

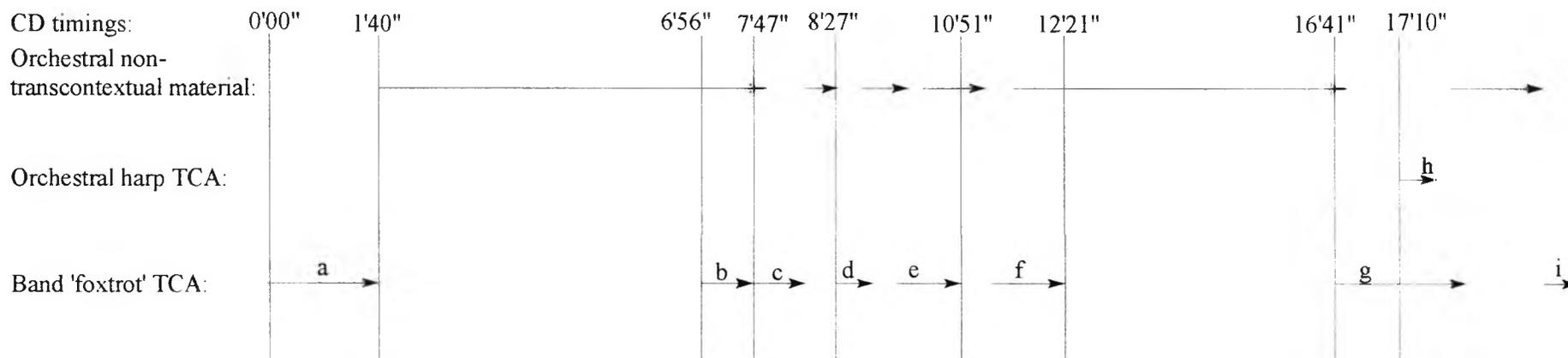
The term 'integration' is used to describe the way in which an encoder chooses to present the entrance of a TCA, its passage and its exit. These three stages of the progression of a TCA may be, to varying degrees, hidden or evident. Integration can be divided into two techniques: relatively sudden change from one type of material to another (described as either 'juxtaposition' or 'interpolation') and less sudden change between transcontextual and non-transcontextual material or between different TCAs. This second technique may create an overlap between one type of material and another. Where the overlap is sustained the technique is termed 'layering', but if only the beginning or end of the two types of material overlap it is termed 'merging'.

'Juxtaposition' involves sudden change from non-transcontextual material to a TCA or vice versa. A decoder experiences a rapid change, which may be unexpected, initiating a switch of recognition on hearing a TCA. Juxtaposition is often used to accentuate the contrast between non-transcontextual material and a TCA or between different TCAs.

Several examples of juxtaposition occur in Maxwell Davies's *St. Thomas Wake*. In this piece juxtaposition is used to accentuate the dichotomy between a dance band, which plays the 'foxtrot' TCAs, and the non-transcontextual material played by an orchestra. For example, at CD timing 8'27" a bass trombone enters (*forte*) to signal a wind variation of the foxtrot (at section d in Figure 3.17). This is juxtaposed with the preceding short excerpt of non-transcontextual orchestral material. The aural impression is that the non-transcontextual material is truncated at this point by a dominant version of the foxtrot TCA. Another example occurs at CD timing 10'51" where a band foxtrot TCA (at section e in Figure 3.17) appears to be truncated by the orchestra (even though some orchestral material begins before this point). The sudden cessation of the TCA, accentuated by a *sforzando-piano* drum roll at the cut-off point, gives the impression of juxtaposition.

'Interpolation' describes a technique of integration similar in effect to juxtaposition in that the change is often relatively rapid, but here a TCA can be regarded as embedded in non-transcontextual material, rather than placed beside it. Often, the impression is one of the interruption of a line of non-transcontextual material which continues after the interpolation of a TCA. In Pärt's *Pro et contra* the second movement consists entirely of a Baroque cadence in D minor (section d in Figure 3.19, page 106). This interpolation is heard as a tonal interruption or an 'island of recognition' amongst otherwise non-transcontextual material. The fact that this is an isolated 'movement' means that there are short silences before and after the TCA which serve to accentuate the interpolation in this case.

The difference between interpolation and juxtaposition is that with interpolation there is an implied continuation of the non-transcontextual material throughout the passage of a TCA. If a significant length of time is occupied by an interpolation it may be that the beginning and end of the interpolated material is heard as two instances of juxtaposition. The



Key:

At section a the 'foxtrot' style is not yet obvious but the 'amateur dance-band' concept is introduced by the band's 'false start'. An expert may detect a specific previous context of John Bull's *Pavana. St. Thomas Wake*.

Section b begins as a slow foxtrot which masks the orchestra, followed by a gradual *accelerando*.

At Section c a new version of the 'foxtrot' TCA begins, creating an overlap with the orchestral non-transcontextual material.

Section d is the fourth version of the TCA, juxtaposed with the preceding non-transcontextual orchestral material at approximately 8'27". (The bass trombone dominates this version of the TCA).

At section e the TCA (beginning at approximately 9'53") masks the orchestra. It suddenly ceases at 10'51", giving the aural impression of juxtaposition with the non-transcontextual material which follows.

The version of the TCA at section f is gradually overlaid by orchestral non-transcontextual material. The TCA is truncated at 12'21".

Sections g and h mark the seventh version of the TCA, begun by a 'honky-tonk' piano. This is joined by interpolations of transcontextual material played by the orchestral harp at h.

Section i is the final version of the TCA, played by the dance band piano.

**Figure 3.17** A proportional line diagram of Maxwell Davies's *St. Thomas Wake*

interpolated section must be heard as a single 'inserted' entity; where it is lengthy a decoder may have lost track of the start of the interpolation and its end may therefore be heard as an isolated juxtaposition, not related to the start of the section.

Interpolation can occur where the continuous line of a single TCA is interrupted by non-transcontextual material. For example, in the third movement Pärt's *Symphony No. 2* the TCA, a transcription of Tchaikovsky's *Süsser Traum*, is interrupted by a 'tuning up' motif played by the strings (between CD timings 4'04" and 4'18")<sup>31</sup>. The TCA continues, after this interruption, to the end of the piece. In this case the interpolation may affect the interpretation of the TCA—the section of TCA which follows the interpolation is quieter and seems to have been 'weakened' by the interruption of non-transcontextual material and continues for only a short time until it recedes to silence at the end of the piece.

One TCA may be interpolated into another (different) TCA, thereby requiring a decoder to switch from one artefact to another and back again. For example, the interpolation of Mozart's *Symphony No. 40* (at CD timing 8'03"-8'07") in Schnittke's *Mozart à la Haydn* is heard as an interruption of the hypothetical 'Mozart style' which constitutes the TCAs and transformed TCAs of the rest of this work. An 'island' of recognition of a specific previous context (*Symphony No. 40*), as opposed to a hypothetical previous context ('Mozart's style'), causes a decoder to switch previous contexts at this point. This interpolation is heard as an interruption by 'the *real* Mozart' amongst less familiar material 'in the style of Mozart'.

**Layering**, the second main type of integration, occurs where two types of material are heard simultaneously. In Maxwell Davies's *St. Thomas Wake* once section f (identified in Figure 3.17, page 97) of the TCA is under way a decoder is aware of two layers: a TCA, dominant during the second half of this section, and a background of non-transcontextual, orchestral material. The orchestral material gradually increases in dominance, truncating the TCA at CD timing 12'21". The impression of a gradual increase in dominance of the non-

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<sup>31</sup>This interruption is labelled 'section e' in the proportional line diagram of this piece, Figure 1.1, page 16.

transcontextual material is created by a long orchestral crescendo from 12'06" to 12'21" but the fact that the TCA is already familiar and can be recognised means that a decoder is likely to 'fix' on to the TCA, no matter how dominant the orchestra becomes, until the TCA is completely obliterated.

In *Credo* several layers of sung choir material form the background to the largely untransformed version of the TCA at section d (identified in Figure 3.3, page 69). A decoder is aware of the TCA, despite these other layers, because different versions of the same TCA have already been heard earlier in the piece. This means that a decoder can be aware of the TCA but can also pay attention to the text and other material sung by the choir. So the TCA is not necessarily subverted by the layering process.

The technique of 'masking', (usually) where one layer dominates another layer, is used extensively in the second movement (*Allegretto*) of Ives's *Symphony No. 4* (1909-1916). For example, at CD timing 3'40"-3'50" and again at 9'48"-10'06" a loud trombone quotation of 'Beulah Land' masks the underlying material. (The trombone quotation at these points is a TCA not only because of the quotation of a well-known 'tune' but also because this instrumentation is associated with a 'marching band style' throughout the movement.) The aural impression is of a foreground TCA with a background of material which cannot necessarily be deciphered, creating a sense of a spatial division between the layers. The background material is not completely obliterated, but is mostly less prominent. Despite the brevity of these transcontextual episodes, the masking technique allows an aural 'hook' for a decoder, distracting attention away from other layers or towards the transcontextual material, depending on a particular decoder's focus. These momentary TCAs allow a 'safe haven' for a decoder to rest amongst a complex, shifting structure. Although one layer may be dominant a decoder may be aware of both and choose to fix on a background layer during subsequent listenings.

A layer which masks another layer need not necessarily be the more dominant in the sense of the louder, rather it is a question of a decoder's focus. For instance, where a TCA

(with a 'known' previous context) and non-transcontextual material are heard together it is likely that a decoder will focus on the 'familiar' transcontextual material. In this sense the non-transcontextual material is masked. This may occur even where the non-transcontextual material is the louder of the two layers.

Two different TCAs are layered in the fourth movement ('Hurluberlu') of Bolcom's *Orphée-Sérénade* (1984). At CD timing 1'11" the woodwind play dotted rhythms which begin a TCA reminiscent of an early 'Baroque style'. At 1'18" a violin-led second layer enters which is more like a later 'Classical style'. The second violin layer is the louder once it enters but a decoder is still aware of the underlying woodwind TCA because this was the first layer and has become established. This means that, at least initially, the louder layer does not really 'mask' the underlying layer because its familiarity allows it to be detected. These two distinct TCAs continue simultaneously (and *accelerando*) until CD timing 1'54" when a forte distorted (cuivré) horn note slices through both layers to begin a non-transcontextual section<sup>32</sup>.

**Merging** occurs where there is a momentary overlap during a transition from one section of material to another, and it may involve masking. In a typical merging a decoder focuses on an established first layer whilst a second layer surreptitiously enters before the first layer recedes. In Pärt's *Symphony No. 2* the TCA in the third movement begins at CD timing 3'00" but the non-transcontextual material continues until 3'09" and initially overlays the start of the TCA<sup>33</sup>. Gradually the TCA establishes its dominance until it is interrupted by an interpolation of non-transcontextual material at CD timing 4'04"-4'18" (section e). Merging may allow a decoder to acclimatise gradually to the transfer to a previous context which is initiated by a TCA, rather than to experience the abrupt change associated with juxtaposition or interpolation.

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<sup>32</sup>The sixth movement of Bolcom's *Orphée-Sérénade* ('Energique') also contains a TCA, derived from the fourth movement of Mozart's *Haffner's Serenade*, KV 250.

<sup>33</sup>This area of merging is labelled section b in the proportional line diagram of Pärt's *Symphony No. 2* at Figure 1.1, page 16.

### 3.4 (iii) Present intrinsic context: transformation

A TCA undergoes a change of context, which in itself could be described as a type of 'transformation'. However, in this study the term 'transformation' refers to the changes made to a TCA once it is situated in a present context. To detect a transformation a decoder must compare a TCA either to a corresponding previous context, already known to that decoder, or to a different version of a TCA in its current context. This process of comparison is partially dependent on where a TCA is situated within a piece. For instance, the opening ('false start') version of the band foxtrot TCA in Maxwell Davies's *St. Thomas Wake* (at CD timing 0'00"-1'40") can initially only be compared to a previous context, whereas later transformations of the TCA can be compared to the preceding versions of that same TCA.

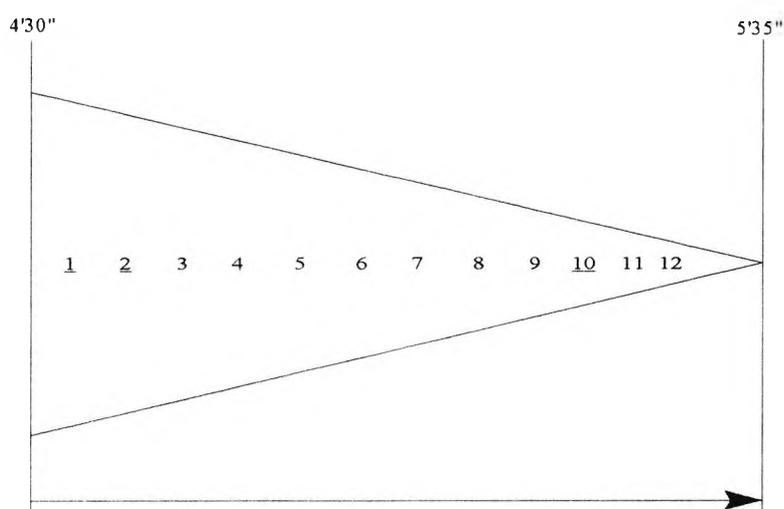
Where only one instance of a TCA occurs, transformation may affect a decoder's choice of previous context. This has already been demonstrated in the study of Pärt's *Wenn Bach Bienen Gezüchtet Hätte...* (in section 3.3 ii, beginning at pages 78) where the 'real' specific previous context of Bach's *Prelude No. 24* is 'hidden' or disguised, to a degree, through transformation. As a result of these transformations a decoder may choose a hypothetical previous context, rather than the specific previous context of *Prelude No. 24*, or may only detect the TCA in retrospect. This doubt as to the nature of the previous context occurs in part because there is only one TCA in this piece so a decoder has no choice other than to compare the transformed TCA to a 'best fit' previous context, rather than to possible preceding less transformed versions in the same piece.

In the third movement of Ives's *Concord Sonata* ('The Alcotts') transformation is also used to disguise a previous context—references to the famous motif from the first movement of Beethoven's *Fifth Symphony* are made covert. As we noted previously (in the discussion on the conversion of artefacts, page 52), the Beethoven motif at the beginning of the movement is disguised, and it is not until CD timing 1'35", when we hear a more overt version of the motif, that many decoders will recognise a specific previous context. Once the more overt, less transformed, versions of the TCA begin to be heard a decoder may realise that the movement

prior to this point refers to Beethoven's *Fifth Symphony*. This means that the transformations at the beginning of the movement could operate as retrospective TCAs which can only be recognised once the prompt of the overt version of the TCA has been heard.

Where more than one version of a TCA exists in a present context it may be compared to its other versions as well as to a previous context, thus becoming part of the development of the materials within the work. It therefore has an intrinsic role in the development of material as well as an extrinsic meaning. In Pärt's *Credo* the most transformed version of the TCA (at CD timing 4'30-5'35", or section c in the line diagram of the piece in Figure 3.3, page 69) can still be recognised as being associated with the previous context of *Prelude No. 1*. This is partly because all sections of the TCA, both transformed and untransformed, are played by a piano, the instrument most closely associated with the Prelude in listeners' minds. Furthermore, the transformation is not introduced until the specific previous context has been established by a preceding untransformed version of the TCA (at section b in Figure 3.3, page 69).

**Figure 3.18** shows the twelve sections of the most transformed version of the TCA from *Credo*, the triangular format indicating the gradual diminution of the TCA (in duration). Each of the twelve blocks consists of a retrograde excerpt of Prelude material with some choir accompaniment and an orchestral tone row interpolation followed by a general pause. (The numbers representing blocks 1, 2 and 10 are underlined in Figure 3.18 to show that detailed descriptions of these three sections are given in the key. (For the other sections a similar type of treatment can be assumed.) This version of the TCA has an intrinsic function of the most developed or varied manifestation of what has by now become a 'theme' for the piece. However, it also maintains the extrinsic context ('what *Prelude No. 1* means') and may be considered representative of the point where the Prelude begins to 'decline' into 'religious chaos' away from the 'religious order' represented by less transformed versions (as shown in graph iv of Figure 3.4, page 71).



Key:

The numbers 1-12 indicate the twelve component parts of the transformed version of the TCA at section *c* in *Credo*.

At section 1 The piano plays retrograde versions of the equivalent of bars 24, 23 and 22 of *Prelude No. 1*. Bar 24 is at the correct pitch (the same pitch as the Prelude), bar 23 is transposed one octave higher and bar 22 one octave lower. The choir (basses) sing the syllable 'o' on the pitch g over the second half of this version of the Prelude.

This piano section is followed by an orchestral interpolation of all 12 horizontal notes from the tone row with 12 twelve-note verticalities. Finally, a general pause, lasting for three bars, finishes the block.

At section 2 The piano plays retrograde versions of bars 21, 20 and just over half of bar 19. Bar 21 is at the correct pitch, bar 20 is transposed one octave higher and bar 19 is transposed one octave lower. The choir (tenors and basses) sings 'cu' on pitches g' and c during the second half of this section of the Prelude.

This is followed by an orchestral interpolation of 11 horizontal notes from the tone row with 11 twelve-note verticalities and a two-bar general pause.

Sections 3-9 consist of the continuing alternation of transformed Prelude material (overlaid with a single syllable sung by the choir), orchestral tone row-derived material, and general pauses. All three of these components diminish in length with each section.

At section 10 The piano plays a retrograde version of the equivalent of part of bar 3 of the Prelude at the correct pitch. The choir overlays the second half (full choir *ff*), singing the syllable 'pro' on the pitches f' #, d'', c'' #, a', e b'', b', g', a b, e and c (10 verticals from the row).

This is followed by an orchestral interpolation of 3 horizontal notes from the tone row with 3 twelve-note verticalities and a general pause lasting 3 beats.

At sections 11 and 12 the material reduces to only part of bar 1 from the Prelude, and the interpolation of only one note from the tone row by section 12. Finally, the choir sings a full twelve-note verticality.

**Figure 3.18** The twelve sections of the most transformed version of the TCA in Pärt's *Credo*

During section c, interpolation is used as a transformation technique rather than as a technique of integration. A decoder does not switch to the non-transcontextual material every time a tone row and general pause interpolation occurs, but is likely to hear all twelve blocks as a single section of transformed TCA. This is partly because of the brevity of the interpolations, which means that the implied continuation of the Prelude material is strong throughout.

An encoder may use transformation to alter the perceived status of material. For example, Schnittke uses timbral transformations in *Moz-Art*, perhaps to change the transcontextual status of material derived from a previous context. At score figure 5 (shown as the first peak on the graph in Figure 3.14, page 89) the first violin quotes pitches from Mozart's KV 416d, more specifically from scene II, bars 13-15 (the black notes in Schnittke's score). At the same time white notes are ghosted a perfect fourth above, or certain pitches are whistled (or played flageolet) an octave higher. The timbres created are not usually associated with Mozart but are probably heard as Schnittke's contemporary transformations, although a decoder may still be aware of some connection with the transcontextual 'Mozart' material. This contemporary style may be decoded as either a transformation of the TCA or as non-transcontextual material (and not 'Mozart'), depending on the particular decoder. It could also be regarded as both Schnittke and Mozart by the same decoder, depending on a chosen focus.

Transformations to a TCA, thereby altering its status, also occur in Schnittke's *(K)ein Sommernachtstraum*. In this piece the least transformed version of the TCA (at CD timing 0'00"-1'11") is in a Classical style. This initial version of the TCA is also the theme with subsequently transformed versions of the opening TCA, forming a series of variations on that theme. Occasionally the TCA-theme is recapitulated to remind a decoder of the previous context. (An example of a recapitulation occurs at CD timing 9'35"-9'59".) Most of the variations are in a 'contemporary style' not associated with Viennese Classicism, but because the TCA is also the theme for the piece the two are linked and the theme is established as transcontextual. This means

that the 'contemporary'-sounding transformations are not necessarily heard as non-transcontextual, but as variations on a transcontextual theme. The theme cannot be separated from the TCA—it *is* the TCA. Aurally this is detected as a 'warping' of the TCA, rather than the obliteration of a previous context by contemporary material. However, this piece is still about the contrast of a past style with a contemporary style, like many pieces where a TCA in a past style is heard alongside a non-transcontextual contemporary style<sup>34</sup>.

### 3.4 (iv) Present intrinsic context: retrospective TCAs

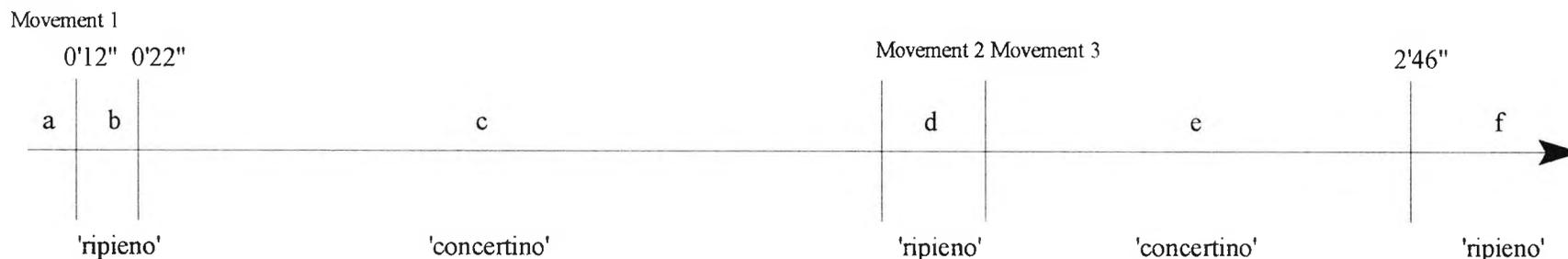
A retrospective TCA is not recognised as transcontextual at the moment when it is first heard. It becomes transcontextual once a decoder hears a later TCA in the same work and connects this (in retrospect) with the earlier material, revealing its identity. For example, Pärt's cello concerto *'Pro et contra'* begins with a **retrospective TCA** in the form of a D major chord, immediately followed by atonal non-transcontextual material. The proportional line diagram in Figure 3.19 plots this D major opening and its later, related TCAs.

The D major chord at the beginning of *'Pro et contra'* (section a) is only recognised as an artefact once the tonal TCA at movement 2 is heard (section d). A single D major chord would not usually be a TCA, but here it is transcontextual merely because it is tonal and is associated with the later tonal TCAs (sections d and f), rather than the atonal non-transcontextual material which forms the remainder of the work.

Several retrospective TCAs also occur in Pärt's *Wenn Bach Bienen Gezüchtet Hätte...* at sections b, d and f (identified in the proportional line diagram of this piece at Figure 3.9, page 81). The three sections are walking bass excerpts played by the piano. A similar bass

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<sup>34</sup>(*K*)*ein Sommernachtstraum* is a later reworking of Schnittke's *Gratulationsrondo* for violin and piano. *Gratulationsrondo* is also in the form of a theme and variations but none of the variations is in a 'contemporary' style, rather it is in a (Viennese) Classical style throughout. *Gratulationsrondo* is not transcontextual because there is no dichotomy between material in a Classical style and material in a contemporary style.



Key:

Movement 1:

Section a is a retrospective TCA in the form of a D major chord played by the orchestra. This is followed by a two-second silence.

Section b is orchestral atonal non-transcontextual material, possibly representative of a 'ripieno' section. (The piece is not 'in' concerto grosso form, but a concerto grosso is evoked.)

Section c is atonal (tone row) non-transcontextual material played by the cello, accompanied by a group of twelve 'solo' instruments. There is a reduction to single notes from the cello, interspersed with silences just before section d. This material could be considered a 'concertino' section.

Movement 2:

Section d is a TCA (a Baroque cadence in D minor, played by the orchestra). This could be decoded as deriving from a previous hypothetical 'concerto grosso' context or a specific previous context (a specific concerto grosso), depending on the decoder.

Movement 3:

Section e is atonal non-transcontextual material. This is played by the cello and 'solo' instrumental group. (The tone row is now more prominent than previously.) Approximately one second of silence precedes section f.

Section f is a TCA (another Baroque cadence played by the orchestra). Again, this could be decoded as belonging to either a hypothetical previous context or a specific previous context.

**Figure 3.19** A proportional line diagram of Pärt's cello concerto 'Pro et contra'

movement is recalled throughout most of the TCA which ends the piece, although it is usually played by the strings and wind instruments. However, at one point a walking bass is reiterated by the piano in displaced octaves (bars 22 and 23 of Figure 3.12, page 84). The displaced octaves seem to make this excerpt more obvious. The three sections, b, d and f could either be recognised as retrospective TCAs as soon as the final TCA begins, or not until the piano reiterates a version in displaced octaves. Until the final TCA is heard a decoder will not necessarily recognise sections b, d and f as transcontextual because these sections are not in themselves particularly representative of a previous style.

For Schnittke's piece *Suite im Alten Stil* (1972), for violin and piano, a decoding may be allocated to the entire work retrospectively. This work, in five movements ('Pastorale', 'Ballett', 'Menuett', 'Fuge' and 'Pantomime'), is almost exclusively a pastiche in the style of an eighteenth-century suite. Only a short section in the fifth movement (at CD track 10 between timing 1'45" and 2'02" where the violin holds a dissonance) is not necessarily compatible with this style. A decoder may be reminded at this point that the piece is written by a contemporary composer, destroying the aural impression which has been gained so far that it is an eighteenth-century work. This means that the whole work up to this point could be a TCA, but we do not realise this until the interruption of a non-compatible 'contemporary' dissonance in the fifth movement.

*Suite im Alten Stil* is an unusual example. Normally a TCA is 'in' a present context and is proportionally a shorter section compared to the non-transcontextual material in a piece, but in *Suite im Alten Stil* these usual proportions are reversed. However, this does not mean that the roles of transcontextual and non-transcontextual material are changed. It is still the retrospective TCA (which in this case forms the majority of the work) that transmits a code to a decoder, but the code in this case is only triggered towards the end of the piece.

## ARTEFACT-TYPES

### 4.1 Introduction to the concept of 'type'

At the beginning of the previous chapter a semiotic approach to transcontextual meaning described a code as a signified network. Each TCA has its own network, consisting of different individual, but related, signifieds which form a web of meaning. Despite these variations in the detail of each TCA's network certain artefacts may be comparable in some respects. For instance, the TCA in Pärt's *Credo*, which refers to both a specific work (*Prelude No. 1*) and a particular composer (J. S. Bach), is comparable at a general level to the TCA from Mozart's *Symphony No. 40* in Schnittke's *Moz-Art*, which also refers to a specific work and composer<sup>1</sup>. In all these cases an important part of the transmitted code relies on a decoder recognising a specific work and composer. These TCAs, which transmit a similar type of code, can be classified as a single group or 'artefact-type'. In the above examples at least two artefact-types are involved: reference to a composer and reference to a specific work.

Rather than trying to describe individual signified networks in detail, artefact-types are useful in referring us to possible areas of transcontextual code. Signified network descriptions are problematic in that it is impossible to denote every signified which a decoder may decipher. Artefact-types, although more generalised, are useful because type-descriptions are likely to be consistent with a majority of decodings, both envisaged and actual.

Many TCAs in contemporary Western art music can be classified within one or more

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<sup>1</sup>Several of the pieces discussed so far are by Pärt and Schnittke, but other composers also utilise this type of specific reference. For instance, Shostakovich includes quotations of excerpts from Rossini's opera *William Tell* in the first movement of his *Fifteenth Symphony* (1971) (at CD timings 1'44", 2'02", 3'47", 5'49" and 7'27").

of five artefact-types. These are categories of reference to:

- 1 a musical style
- 2 a particular work
- 3 a composer
- 4 an art music genre
- 5 a genre 'outside' art music<sup>2</sup>

These five categories do not attempt to describe autobiographical or other less authentic decodings individual to a particular decoder (and therefore usually unknown to an encoder). Such less authentic decodings cannot sensibly be described by a 'type' classification because each decoding is unlikely to be comparable to any other. Further to these exclusions, the categories do not include TCAs which refer to non-Western previous contexts. These *transcultural* artefacts are discussed separately in chapter 5 because of the different decoding issues involved.

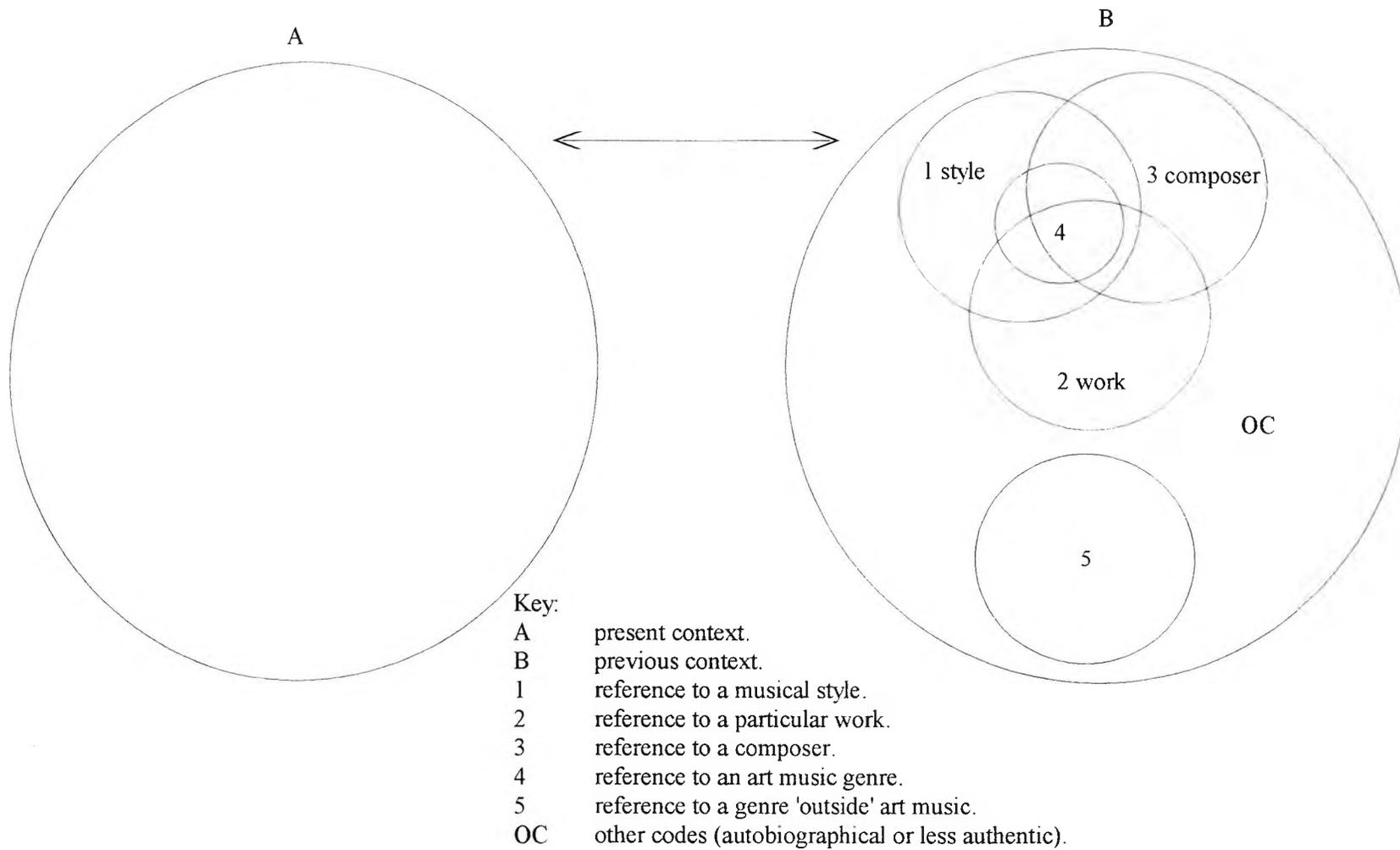
Although the artefact-types are listed above as five separate categories, types 1-4 are not normally mutually exclusive. **Figure 4.1** shows a Venn diagram which depicts the relationship among the five artefact-types, showing the areas of intersection and overlap among types 1-4.

The two large circles, A and B, represent the two main contexts for a TCA: a present context and a previous context. The large previous context circle (B) contains five possible artefact-types. The first four artefact-types operate within art music. Type 5 refers 'outside' art

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<sup>2</sup>This study focuses on transcontextuality in art music so that a type 5 TCA occurs when an art music piece includes a TCA which refers 'outside' art music, as with the 'foxtrot' TCAs in Maxwell Davies's *St. Thomas Wake*. In contrast, type 4 TCAs occur entirely *within* an art music context, for instance, where the TCA refers to a 'concerto grosso' genre in Pärt's *Pro et contra*. Type 4 genre references may also occur entirely within non-art music, but these are not covered in detail in this study (although the existence of this type of reference is acknowledged on pages 115 to 116), because of the art music focus.

It is not always appropriate to divide music into the two broad genres of 'art' and 'non-art' music. However, for the purposes of the discussion of artefact-type this division is useful because the code transmitted by a type 5 TCA is about a non-art music previous context, situated within an art music present context.



**Figure 4.1** Venn diagram of the five artefact-types

music and is separated from the other art music types<sup>3</sup>.

Type 1 TCAs refer to 'a musical style'. This is true of all TCAs in the sense that a TCA causes a transfer to a previous context in a different style from a present context, so all the categories 1-5 could be said to describe 'a previous context style'. However, this 'switch' in style may not be the most important aspect of a TCA for a decoder<sup>4</sup>. 'Style' may also occur as an artefact-type description where no work or composer can be output for a TCA by a decoder. For instance, for the TCA at the end of Pärt's *Symphony No. 2* the contrasting tonal style is perhaps more likely to be recognised by most decoders than Tchaikovsky's *Süsser Traum*. In this case the TCA belongs to categories 1, 2 and 3 (style, work and composer), but category 1 may provide the best description of the most likely decoding.

The first three artefact-types are related in that they occur together in many examples. For instance, in (*K*)*ein Sommernachtstraum* the TCA could be predominantly described as 'in a Classical style' (type 1) because it is derived from a hypothetical previous context rather than a specific work. An intersection with 'work' and 'composer' artefact-types is also possible for this TCA because particular works by composers of the period (such as Mozart or Haydn) may describe a decoder's 'best fit'. Where TCAs are derived from a specific previous context all three types are still possible. For example, in Druckman's *Prism* (1980) the TCAs refer to Charpentier's *Médée* (1694), Cavalli's *Il Giasone* (1648) and Cherubini's *Medea* (1797)<sup>5</sup>, forming a piece in three movements, which refers to three specific previous contexts (and to

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<sup>3</sup>The type 5 category is shown as a single circle at present, for the sake of simplicity, but this is divided into various sub-sections in Figure 4.2, page 115.

<sup>4</sup>Meyer (1956, 64) uses the term 'style system' to indicate generalised traits in common and reserves the term 'style' for 'the more particular variants and modifications of a style system made at different epochs within the same culture or by different composers within the same epoch'. Using Meyer's terminology, all TCAs belong to a different style system to their present context, but certain (type 1) TCAs are also in a particular style.

<sup>5</sup>These three specific previous contexts are cited as the sources for *Prism* by Walsh (1986) in the programme notes on the record sleeve and by Porter (1982) in a review of a performance of the piece in *The New Yorker*.

the 'Medea' myth). In this case the TCAs are derived from particular works, but where a decoder is not familiar with these specific previous contexts, references to past musical styles, such as a 'Baroque' style, could be decoded.

Artefact-type number 4 will be accompanied by at least one of the first three types (particularly a 'style'-type) in that a TCA could not usually refer to an art music genre without at least referring to a style and possibly also a work and a composer. A type 4 TCA is unlikely to refer *only* to an art music genre because 'style' is usually an important accompaniment to this type. (This is indicated by the placing of the type 4 circle mostly within the type 1 'style' circle in Figure 4.1<sup>6</sup>.) For example, an aspect of the code for the TCAs in Pärt's cello concerto *Pro et contra* includes a reference to a 'concerto grosso' genre of Western art music. Both of the TCAs in this piece (the cadence at movement 2 and the cadence at the end of the work, sections d and f in Figure 3.19, page 106) could conceivably derive from a particular concerto grosso where a decoder's 'best fit' included a specific work. These are type 4 TCAs but are also type 1 (referring to a past style), type 2 (they could belong to a specific work or works) and type 3 (they could recall particular composers)<sup>7</sup>. The non-transcontextual material in this piece is played by a type of 'concertino' group, consisting of the cello plus twelve other 'solo' instruments, whereas the TCAs are played by a larger 'ripieno' group (the full orchestra). The 'concerto grosso' code is confirmed by the concertino and ripieno-like relationship of the different instrumental groups throughout the work.

A type 5 TCA occurs when a non-art music genre, or what could often colloquially be called a 'popular' musical style, is included in a contemporary art music piece, creating a contrast between an art music present context and a TCA in a different genre 'outside' art

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<sup>6</sup>The placing of this circle is further examined in Figure 4.5, page 121 which shows a different (but erroneous) placing of the type 4 circle.

<sup>7</sup>A short survey of possible specific previous contexts for the TCAs in *Pro et contra* found similar cadences in the following pieces: Corelli's *Concerto Grosso in G minor, Op. 6 No. 8*; Manfredini's *Concerto Grosso in C, Op. 3 No. 12*; Torelli's *Concerto a Quattro in G minor, Op. 8 No. 6* (for the first TCA) and Handel's *Concerti Grossi, Op. 6 No.s 11 and 12* (for the second TCA).

music. No intersection with other types occurs because this is the only artefact-type referring to non-art music. For all other types, a TCA included within an art music present context (an art music contemporary piece), also refers to a previous art music context. This means that artefact-types 1-4 belong to the same broad genre of 'art music', as does any non-transcontextual material within a present context: the entire present intrinsic context is an art music genre.

Type 5 genre TCAs are used extensively by composers such as Ives and Maxwell Davies. In many works (for example, *Three Places in New England*, *Central Park in the Dark*<sup>8</sup>, *Decoration Day* and *Symphony No. 4*) Ives utilises a 'marching band' type 5 genre<sup>9</sup>. In Maxwell Davies's *St. Thomas Wake* the 'foxtrot' TCAs played by a dance band operate in a similar fashion. These type 5 TCAs contrast to the more 'serious' non-transcontextual material, referring outside art music to other areas of cultural production<sup>10</sup>.

Both Ives and Maxwell Davies often include many type 5 TCAs within a single work. Tippett, however, uses a different approach, including fewer type 5 TCAs which are lengthier. For example, in Part 2 of Tippett's *Symphony No. 3* the soprano and trumpet begin a 'blues' TCA<sup>11</sup> at CD timing 6'26" (track 3) which continues until approximately 9'26", with what could be considered as a brief interruption of non-transcontextual material at 9'05"-9'17". This

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<sup>8</sup>Kirkpatrick (1980, 421) classes *Central Park in the Dark* as the second movement in a work called *Two Contemplations for Small Orchestra*. (The first movement is called *The Unanswered Question*.) However, both movements are often performed as separate pieces.

<sup>9</sup>These TCAs refer to a non-art music genre from an art music point of view but, could also be considered to refer to a narrow 'marching band' genre within the broader category of non-art music. (In Figure 4.2, page 115, a 'marching band' TCA would occupy the area labelled 5d).

<sup>10</sup>Maxwell Davies uses a version of the same 'foxtrot' TCA in both *St Thomas Wake* (section f in Figure 3.17, page 97, at CD timing 11'19") and *Eight Songs for a Mad King* (1969) (during the seventh song, at CD timing 22'42"-23'49"). These TCAs are extremely similar. Davies even introduces both with four paused chords and truncates the ending of the TCAs at the same point. A comparison of these two works, containing almost identical TCAs, shows that the code is transmitted solely by the TCAs because the type 5 code remains the same, despite greatly differing present contexts.

<sup>11</sup>Dickinson uses the word 'blues' to describe this section in his inaugural lecture (1996). The 'blues' terminology is adopted here. Even though the word 'blues' has no strict definition it is clear in this example that a type 5 TCA occurs: there is a 'switch' from the art music non-transcontextual material that constitutes the remainder of the work.

lengthier TCA is the only type 5 TCA in the symphony, so a decoder does not experience the constant transference to and from a previous context which would be likely in pieces by Ives or Maxwell Davies.

Tippett repeats this technique of including only a single but lengthy TCA in *Festal Brass with Blues* (1983), where the second movement (lasting 4'00" minutes) forms a type 5 TCA. This piece raises an important issue: if the second movement were performed on its own it would not be a TCA. For this to be decoded as a TCA the 'outside' movements must be included because these dictate the non-transcontextual present art music context which begins and ends the piece, contrasting with the type 5 TCA in the middle movement. With such lengthier TCAs recognition and decoding occur towards the beginning of the TCA. This is followed by a period where a decoder then 'settles' into listening to the particular genre but is disturbed again into a transference to a present context once the non-transcontextual material occurs after the end of the TCA.

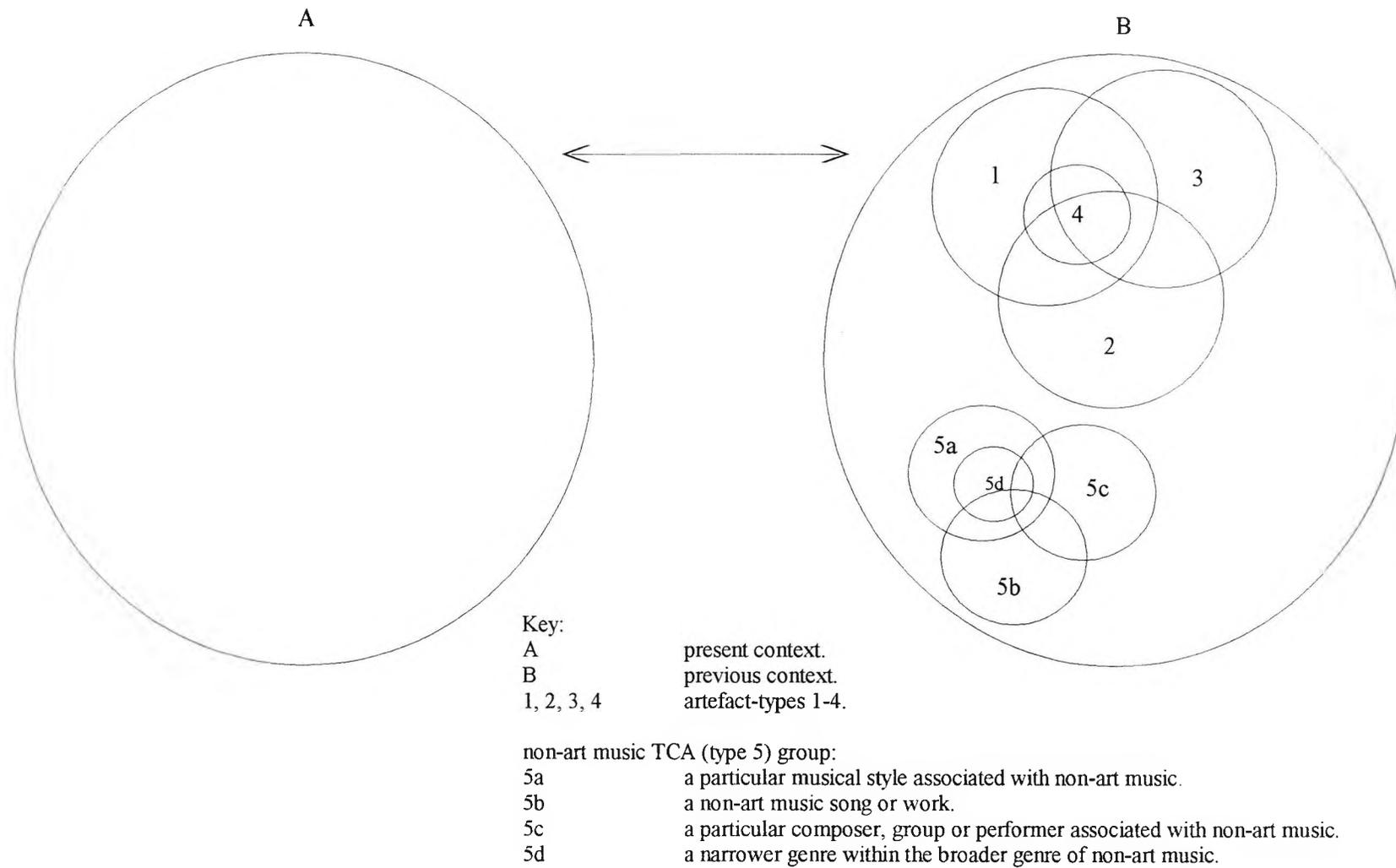
Significant type 5 TCAs are also utilised in other important contemporary works such as Berio's *Laborintus II* (1965). At the beginning of CD track 2 (until approximately 1'49") the instruments interject 'jazz'-style improvisations (beginning with a stringed bass, but also including a drum kit and trumpet) accompanied by complex vocalisation. This type 5 'jazz' reference ceases once taped sounds are introduced when an electroacoustic episode begins to dominate and the 'live' vocalisations then become less evident<sup>12</sup>.

In the first Venn diagram at Figure 4.1 the type 5 classification was shown as a single circle to demonstrate the point that types 1-4 all belong to the same art music broad genre in contrast to type 5, which belongs to a non-art music genre. The modified **Figure 4.2** shows the type 5 classification as four intersecting circles rather than a single circle.

Artefact-type 5 can be divided into the four sub-sections, represented by the circles 5a, 5b, 5c and 5d. A type 5 TCA (5a) could refer to a musical style (for instance, the 'foxtrot style' used by Maxwell Davies in *St. Thomas Wake*) or a particular person, or people,

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<sup>12</sup>This section, beginning at score letter V, is aleatoric to a degree, but an annotation in the score recommends improvisation based on the 'free jazz style of the sixties'.



**Figure 4.2** Venn diagram to demonstrate the four sub-sections of artefact-type 5

associated with a non-art music genre such as a composer, a popular music group or a performer (5c). A type 5 TCA could also refer to a particular non-art music work (5b). Perhaps this could be a particular popular song, as in *Dead Elvis* (1994?) for string quartet, (by the American composer, Michael Daugherty) which includes quotations of songs associated with Elvis Presley (a type 5b and 5c reference)<sup>13</sup>. A type 5 TCA could also be considered representative of a particular genre, such as the 'marching band' genre referred to by the TCAs in the second movement of Ives's *Symphony No. 4* (5d). These four sub-sections are not mutually exclusive in that a single TCA may encompass more than one group.

## 4.2 Type-determination

An encoder who chooses to use a TCA in a work will expect certain codes to be transmitted by that TCA. In this sense an encoder determines the TCA type whereas decoders are usually responsible for determining a focus on one particular type. For instance, an encoder may envisage all three primary types (an art music style, work and composer) to be decoded for a TCA but in practice most decoders may only decode 'a musical style' (a type 1 decoding). In this case, even though most decoders only decipher a type 1 TCA all three primary types are relevant to a code-description to some degree.

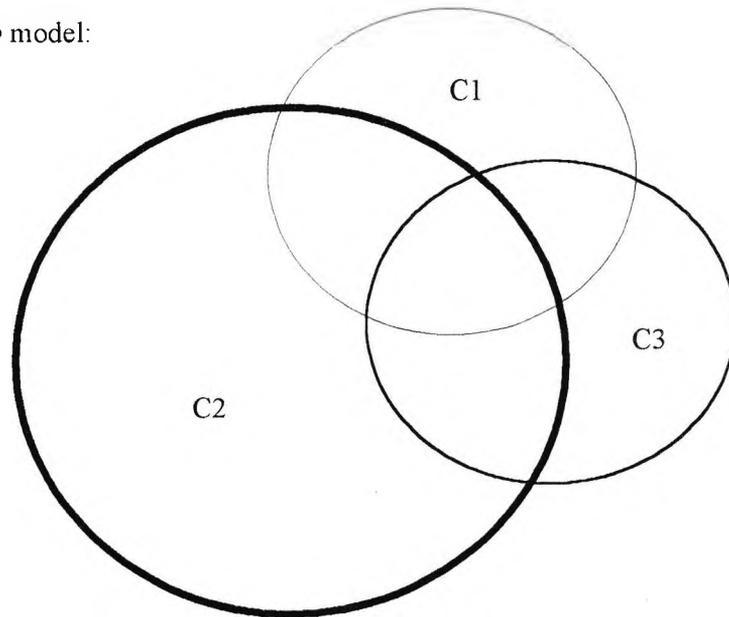
Based on the evidence from particular examples of TCAs, a general model of 'type' can be extracted to explain the origins of the artefact-type descriptions. This model can be thought of as containing the comparable extracts from TCAs' signified networks. **Figure 4.3** shows the contribution made to the model by the TCA from *Credo*.

In *Credo* a focus on the 'work'-type is likely (because of the well-known *Prelude No. 1* and *Ave Maria* specific previous contexts). This focus is shown by the enlargement of the

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<sup>13</sup>One of the songs *Its Now or Never* has a rich history. The version known as *O Sole Mio* has been recorded by many singers, including famous performers such as Pavarotti, and is extremely well known, especially in Italy. It was also used in Great Britain in a series of comic television advertisements for *Cornetto* icecream, which could add an element of amusement to this previous context for British decoders. However, perhaps in America the 'Elvis' connection remains the strongest. The code in this case therefore depends, to some extent, on the cultural origins of the decoder.

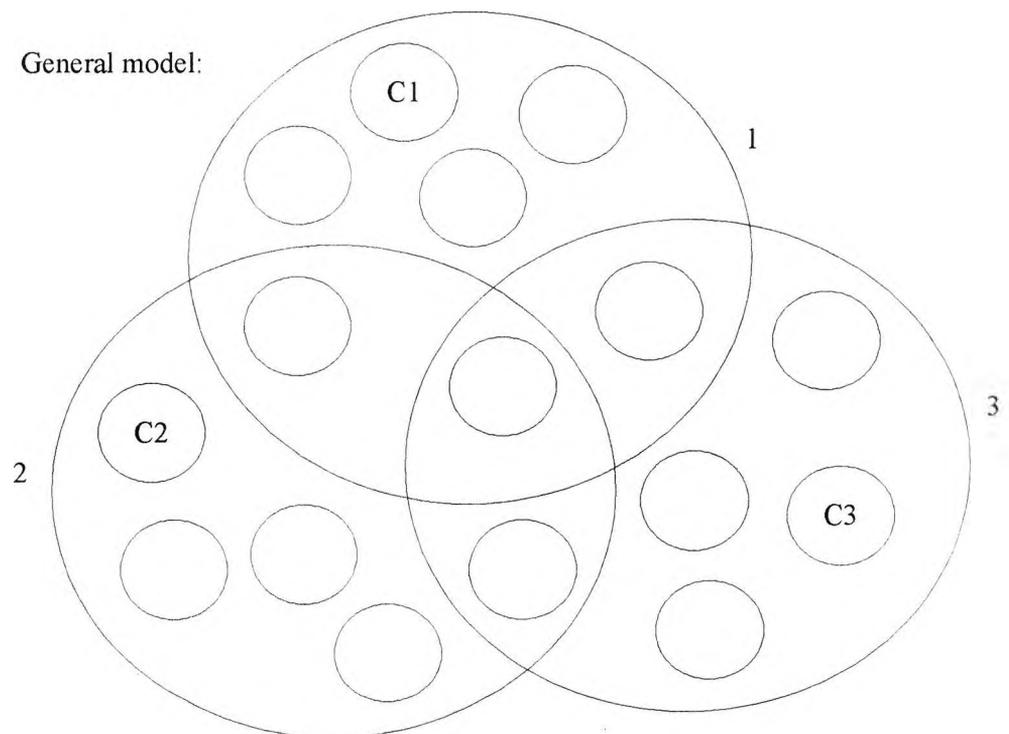
*Credo* model:



Key to the '*Credo*' model:

- C1 reference to a past musical style.
- C2 reference to *Prelude No. 1* or *Ave Maria* (the likely focus), with a possible further reference to *Zadok, the Priest*.
- C3 reference to the composers Bach or Gounod, with a possible further reference to Handel.

General model:



Key to the general model:

- 1 reference to a musical style.
- 2 reference to a particular work.
- 3 reference to a composer.
- C1, C2 and C3 examples of artefact-type, drawn from *Credo*, which contribute to a general model.

**Figure 4.3** A general model of three artefact-types derived from a model of types in *Credo*

C2 circle in the *Credo* model with bolder edges. However, in the general model all types are given equal weight because this emphasis is lost among the mass of other examples which may not focus on a specific work, but rather on a hypothetical style.

In the artefact-type model for the TCA from *Credo* the circles C1, C2 and C3 represent references to a past style, the works *Prelude No. 1* and *Ave Maria*, and the composers Bach and Gounod. These circles can be viewed as 'containing' the signifieds suggested in the network on page 60. The C1, C2 and C3 circles contribute to the three artefact-types for a general model, forming an element of the general 'style', 'work' and 'composer' categories. The circles C1, C2 and C3 form only single examples of type-descriptions in a general model, amongst other examples, represented by the smaller blank circles which accompany C1, C2 and C3. The greater the number of TCAs which contribute to this model the more accurate it becomes.

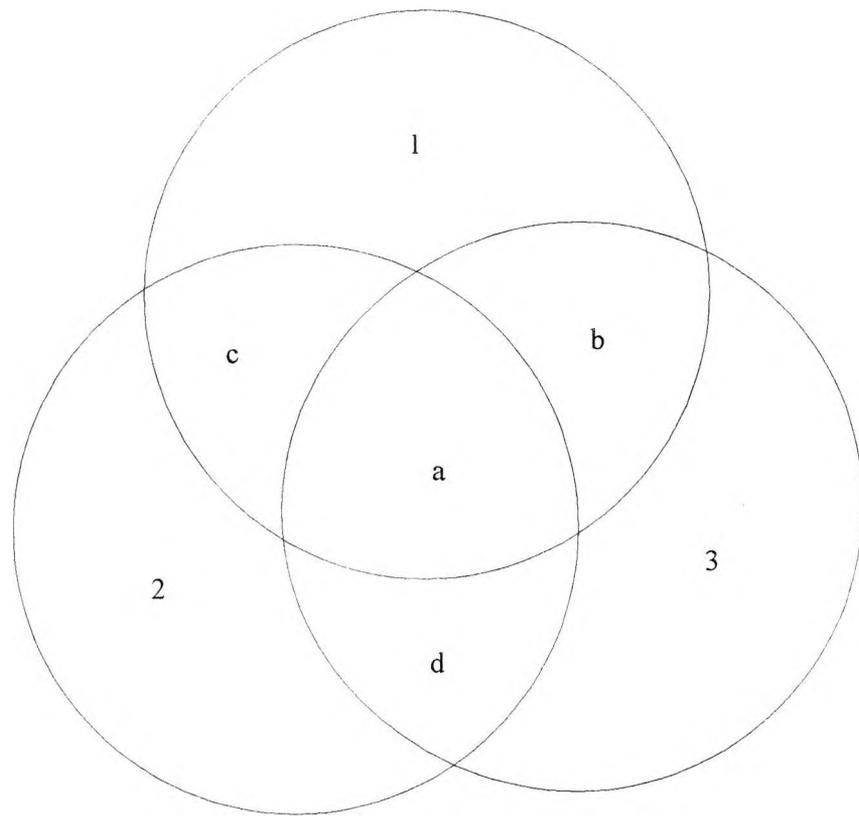
### **4.3 The likelihood of the Venn diagram intersections**

The first three artefact-types overlap, creating four areas of intersection, labelled a, b, c and d in **Figure 4.4**<sup>14</sup>. The central area of intersection (a) is likely to be applicable to many examples of TCAs where all three of the primary types (of reference to an art music style, work and composer) could apply. The application of all three types by an encoder for a single TCA means a range of decoder competence can still result in deciphering some form of authentic code. Even where a decoder chooses to focus on one particular type there remains a central overlap in a general model where all three types are possibilities. This area (a) is likely to be representative of an encoder's envisaged code.

Area b on the Venn diagram, which represents the intersection of the 'style' and

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<sup>14</sup>The further areas of intersection created by the addition of artefact-type 4 are shown in Figure 4.5, page 121.



Key:

- 1 reference to a musical style.
- 2 reference to a particular work.
- 3 reference to a composer.
- a the intersection of 1, 2 and 3.
- b the intersection of 1 and 3.
- c the intersection of 1 and 2.
- d the intersection of 2 and 3.

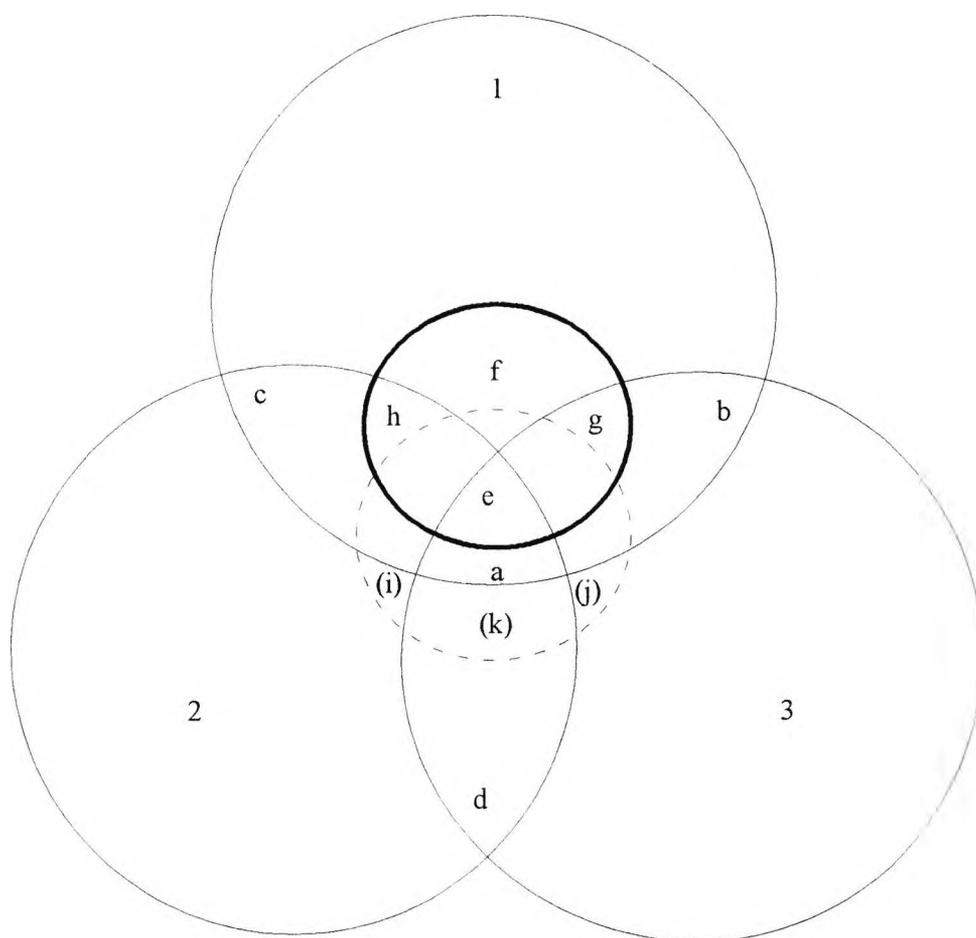
**Figure 4.4** The areas of intersection between the 'style', 'work' and 'composer' circles

'composer' artefact-types, could occur where a TCA mimics a composer's style without referring to a particular work. For example, the most lengthy TCA in Schnittke's *Moz-Art* could be recognised as mimicking both a generalised (Viennese) Classical style and a more specific style associated with Mozart. However, because this TCA is from a largely unknown unfinished fragment (KV 416d) it is unlikely that Schnittke intends a particular work to be decoded, so in this case there is no intersection with type 2.

The overlap of types 1 and 2 (style and work) which forms intersection c is perhaps less likely to occur than intersections a and b. This area may represent a possible combination of types where the composer of a specific previous context is little known or anonymous, so that a quoted work is better known than its composer. This intersection may also occur for a TCA where all three types apply but a less competent decoder is not familiar with the composer of a previous context. In this case the decoding of the intersection could be caused by a lower degree of decoder competence than was envisaged by an encoder.

Area d is formed by the intersection of 'work'- and 'composer'-types. Again this is a less likely area of overlap, but it could occur where 'style' is not an important element of transcontextual code. For instance, at CD timing 17'39" in Kagel's *Finale* the piano could be considered to quote the second theme in the fifth movement from Berlioz's *Symphonie Fantastique*. This TCA is not particularly reminiscent of a musical 'style' (even though it marks a change in style from the non-transcontextual material) but it is so well known that a previous context, which carries predominantly 'work' and 'composer' codes, is likely to be evoked.

Further areas of intersection are created by the addition of the type 4 circle to the diagram. These areas are labelled e, f, g and h in **Figure 4.5**. All of the intersections e-h include at least type 4 (reference to an art music genre) and type 1 (reference to a musical style) because references to a genre within art music will usually occur as a sub-set of style, even where these are accompanied by 'work'- and 'composer'-types. For instance, if a specific previous context were decoded for the TCA which forms the second short 'movement' of Pärt's



Key:

- 1 reference to a musical style.
- 2 reference to a particular work.
- 3 reference to a composer.
- artefact-type 4, reference to an art music genre.
- - - an erroneous position for artefact-type 4.
- a, b, c, d the areas of intersection between the 'style', 'work' and 'composer' circles.
- e the intersection of 1, 2, 3 and 4.
- f the intersection of 1 and 4.
- g the intersection of 1, 3 and 4.
- h the intersection of 1, 2 and 4.
- (i) the erroneous intersection of 2 and 4.
- (j) the erroneous intersection of 3 and 4.
- (k) the erroneous intersection of 2, 3 and 4.

**Figure 4.5** The further areas of artefact-type intersection

'*Pro et contra*', such as Corelli's *Concerto Grosso Op. 6 No. 8*, it could be said that a composer and a work have been decoded. However, in this case the detection of a work and composer can be viewed as a more specific manifestation of a 'concerto grosso' code, itself a more specific form of a 'past style' decoding. This decoding would therefore be represented by area e in Figure 4.5, encompassing all four types.

Area f represents a decoding of a more hypothetical previous context where no particular concerto grosso or composer is recognised. In the case of a genre (such as a concerto grosso) which encompasses a large number of different works, it may not be appropriate to focus on a single example, so the less specific decoding represented by area f could be more similar to the encoder's envisaged code.

Area g could occur where a decoder has in mind a specific composer who worked in a particular art music genre. Area h represents perhaps the least likely area of intersection which occurs where the composer is unknown.

Areas i, j and k represent the areas of intersection which would be created if the type 4 circle were moved to a more central position (indicated by the dashed circle). Area i would represent a decoding of an art music genre with only a work, j with only a composer and k with a composer and a work (but without a 'style' decoding). These areas are erroneous to a large degree because an art music genre can be viewed as a more specific area of a *style* reference—a decoder has probably already recognised a musical style before narrowing the field to a particular genre synonymous with that style.

#### **4.4 Transcontextual self-allusion**

'Self-allusion' TCAs occur when both a previous and a present context are composed by the same person. Such a TCA is primarily related to a type 3 'composer' reference, but it could also be related to other artefact-types. For example, it would be related to 'work'-type where

a composer includes a TCA in a new piece which derives from a particular work previously written by that composer.

Stockhausen uses this self-allusion technique in *Mikrophonie II* (1965) when he includes taped extracts from some of his earlier works, including *Carré*, *Momente* and *Gesang der Jünglinge* (Maconie 1990, 146)<sup>15</sup>. These extracts are directed at an elite audience of decoders who are conversant with Stockhausen's music and can recognise the specific previous contexts. Listeners who do not have any previous experience in listening to Stockhausen's work may still be aware that some of the taped extracts are alien to the choral present context because sometimes there is a contrast between foreground 'live' choir material and background tape, but these listeners will be unable to decipher the 'self-allusion' code. The extracts are made more obvious, at least initially, because the foreground choir material (forming the present context) recedes when the taped transcontextual extracts are heard (for example, at CD timings 3'07"-4'37"), making detection likely.

Self-allusion is not always transcontextual. Many composers re-work material from earlier pieces and include it in a new work, but this development of materials over time often occurs naturally as a result of a composer's wish to revise or expand previous ideas and is not usually intended to be transcontextual. However, it is not always possible to be certain about a composer's exact intentions. Perhaps a composer does not originally anticipate that a reference to an earlier work will be detected by most audiences, but, if the earlier work becomes better known, a 'self-allusion' code may be provoked. This could be viewed as exposing a code that was always present, or it could be that a code that was never intended to exist is projected on to the music by current audiences.

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<sup>15</sup>Maconie (1990, 147) reproduces an extract from the score of *Mikrophonie II* which shows, what Maconie calls a 'sound-window' (beginning at score number 19) where a taped extract from *Momente* is heard.

#### 4.5 A sub-type: reference to a form

A reference to a musical form in art music is not usually a viable way to define a code for a TCA. 'Form' is normally applied to the structure of a whole piece or movement. A TCA, on the other hand, is generally an excerpt which constitutes part of a larger whole. A TCA may contribute to the form of a piece but a discussion of 'form' would describe a present intrinsic context in its entirety, inclusive of both non-transcontextual and transcontextual material. This would describe a relationship within a present intrinsic context (and would be to do with techniques of integration) rather than the code associated with a TCA and its previous context.

Despite these reservations, 'form' may be an aspect of a TCA's code. If a TCA is in the style of a Baroque dance movement, such as a minuet<sup>16</sup>, it is conceivable that a decoder would decipher some reference to, for example, binary form as part of that TCA's code. In this case a reference to a form may be caused if a specific previous 'minuet' context known to a decoder is in binary form. This TCA-type is closely allied to a 'genre'-type because many genres in art music are associated with particular musical forms.

'Form' is a rather specialised type of decoding and it should be noted that no significant examples of TCAs which refer specifically to form have been found. However, there may be certain TCAs where 'form' is an element of the code. For example, Pärt's *Pro et contra* could be said to evoke a concerto grosso form. It is the piece in its entirety which evokes this form, rather than the individual TCAs, but the previous context referred to by the TCAs and their role in the structure of the present intrinsic context are linked.

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<sup>16</sup>Tilmouth (1980b, 707) suggests that 'dance movements of the Baroque period furnish by far the greatest number of examples [of binary form]' and gives the minuet from Purcell's first harpsichord suite as an example.

#### 4.6 A note on instrumentation

An encoder may choose to utilise instruments associated with the past or with a popular genre, but this does not necessarily cause a TCA. For instance, if a harpsichord is included in a twentieth-century work there may be some form of reference to 'the past' because this instrument is perhaps associated, by today's listeners, with music of the eighteenth century and earlier. However, where there is no transfer to a previous context a TCA cannot be said to occur—there must be a stylistic change for non-autonomy to be provoked. A harpsichord could be integrated into a twentieth-century autonomous hybrid, which has no detectable change from present to previous context.

Choice of instrumentation, although it cannot cause a TCA, can be used to confirm the authenticity (provenance) of an artefact's previous context, making recognition more likely. For example, the TCA in the second movement of Pärt's *Collage sur B-A-C-H* (1964) (at CD timings 0'00"-0'41" and 1'19"-2'02") is a transcription of excerpts from Bach's *Six English Suites*. (Namely, the sarabande from *Suite No. 6 in D minor*, BWV 811). The instrumentation for this TCA includes a harpsichord and oboe, with some minimal doubling from the strings, in contrast to the non-transcontextual dissonant transformation of the material, played by a piano and a larger group of strings. It may be that the combination of the oboe and harpsichord accentuates the previous 'past style' context for this TCA, making the contrast with the non-transcontextual material greater and a TCA with perhaps not a particularly obvious previous context more overt for some decoders.

The TCA in Berg's *Violin Concerto* (at CD track 2, timings 7'24"-8'32") is a quotation of one of Bach's settings of the chorale *Es ist genug*<sup>17</sup>. In this case the TCA is played by the woodwind which mimic the sound of a pipe organ, with sustained tones, timbrally distinct

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<sup>17</sup>Berg quotes Bach's harmonisation of the chorale in its entirety. (He only alters the key, transposing the chorale from A major to B♭ major.) Pople (1991, 36) comments on the significance of this: '[Berg] had evidently taken the crucial decision to quote Bach's harmonisation of *Es ist genug* rather than merely use the familiar melody of the chorale in some other way.'

from the surrounding material. This is an interesting example because the woodwind timbre adds credence to the 'chorale-style' previous context. The woodwind instrumentation makes the TCA overt partly because a decoder has so far become accustomed to the non-transcontextual violin and orchestral timbre and because the chorale is homophonic, forming a contrast with the non-transcontextual material. The new contrasting woodwind combination of timbres accentuates the switch to the TCA<sup>18</sup>. However, instrumentation in itself cannot constitute an artefact from a previous context. It may be a form of coding, but it can only add credence to an existing artefact.

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<sup>18</sup>The TCA does not become overt until the woodwind enter with the four-part harmony of the chorale at bar 142. The solo violin has already begun to quote the upper part of *Es ist genug* at bar 136 but this is probably only heard as TCA-related in retrospect. It requires the four-part chorale harmony and woodwind timbre to make the TCA overt.

## TRANSCULTURAL ARTEFACTS

### 5.1 Defining the term 'transcultural' in the context of Western art music

The preceding chapters have included the following assumptions:

1. A TCA is heard in a present Western art music context.
2. A TCA derives from a previous Western context. This need not necessarily be a previous 'art music' context (for type 5 genre TCAs) but so far a previous context has always been 'Western'.
3. An encoder and a decoder are both receivers of a previous Western context. Some in-depth experience of Western music is needed to recognise and decode a TCA<sup>1</sup>.

This chapter introduces the concept of a **transcultural artefact**, which crosses from a previous non-Western context to a present Western art music context. For this transfer to occur 'non-Western' music and 'Western' music must be envisaged, at least initially, as two distinct groups. In the context of this study a transcultural artefact is intended to be decoded by a Western audience. Thus assumption 1 above is maintained, although some adjustment is required to assumptions 2 and 3.

Defining the 'cultural' component of the term 'transcultural' is problematic but Blacking (1987, 32) makes the following statement which goes some way towards providing a definition of 'a culture':

To become a conscious, acting individual, as distinct from being a unique, reacting organism, a human being has to share and subscribe to the restrictions on

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<sup>1</sup>In some of the musical examples, already analysed, a present and previous Western context is not defined by the nationality of an encoder, but rather by a shared European heritage and compositional pedagogy. (For instance, Schnittke was born in Russia but his early training in Vienna could have influenced the borrowed styles in pieces such as (*Kein Sommernachtstraum*).

communication by means of which each society maintains a diverse discourse, whose processes and patterns of thought and social interaction can be analysed as a culture (note that culture is an abstract, analytical concept: you cannot be a member of a culture). In so far as groups and individuals choose to belong or address themselves to a particular society, even the most radical innovator must subscribe to at least part of its universe of discourse.

'A culture', therefore, is the ideas or concepts both generated and shared by many interacting individuals. These individuals form a 'cultural set' because they share a similar social and historical background, which may be partially dictated by geographical location. The 'musical culture' of a group is likely to have a distinctive 'sound' because of the use of musical instruments which are perhaps unique to that culture. Certain aspects of the music, such as the chosen temperament or rhythms, may also be distinctive and contribute to the characteristic 'sound'. The members of a cultural group are likely to generate a meaning for their music which can be easily understood by themselves and, to a lesser extent, by certain 'outsiders' who have gained some degree of access.

Hypothetically, a transcultural artefact may cross (or transfer) from the music of any culture to any other culture. However, it cannot be assumed that the phenomenon of transcontextuality occurs outside contemporary Western music and this study does not examine non-Western musics in detail, only transcontextual non-Western references included in Western works. For the purposes of this discussion, a present context is always Western and a previous context is always non-Western. A definition of 'Western' and 'non-Western' itself is problematic, partly because it must encompass such a large body of music. However, most Western decoders will have at least some concept of what constitutes 'Western art music' as opposed to 'non-Western music'.

Nettl (1985, 5) lists what he considers to be 'the shared traits' of traditional Western art music. The three main points from his list are:

1. A 'system of functional harmony'.
2. Performance by 'groups... with a form of dictatorial leadership'.

3. 'The notion that planning is important, with the norm of the carefully composed piece, meticulously rehearsed, and performed the same every time.'<sup>2</sup>

We could think of many examples of Western music where Nettl's definition could apply but there are, of course, numerous exceptions. It could be argued that Nettl's three traits cannot be applied to twentieth-century Western art music with any consistency: the idea of functional harmony is not necessarily compatible with, for instance, atonality; there are many examples of works written for a solo instrument (requiring only one, independent performer); the notion of control may also be diminished, through the use of, for instance, aleatoricism and improvisation. Nettl's definition is based, at least to some extent, on a historical (pre-twentieth-century) concept of Western art music. It should also be noted that this definition partly depends on the idea that Western art music is an *opposite* of non-Western music, so an inferred definition of non-Western music is also evident.

Nettl does not mention instrumentation as a factor in defining Western music, but this is important. The timbre of instruments which are historically associated with Western music can be aurally detected as distinct from the timbre of non-Western instruments<sup>3</sup>. Most Western decoders would have no trouble in identifying the instrument if a musical phrase were played by, for instance, a violin. If the same phrase were played by a non-Western instrument a Western decoder may be able aurally to identify the instrument as 'not Western'. Instrumentation therefore has a significant effect on whether or not a contemporary Western

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<sup>2</sup>Nettl lists several other ideas on how his basic three-point definition of Western art music could be refined. These are: 'the concept of radical innovation in musical context or style in composition; the principle of control as exhibited in notation; the concept of music as something sufficiently independent of other domains of culture that times [and] venues... are not rigorously determined by religious... or social constraints; emphasis on doing what is difficult and showing it off...'

<sup>3</sup>Although I do not want to discuss the identification of timbre in detail, it is worth noting that McAdams (1993, 173) lists the elements of timbre which allow identification by a listener as: 'information present in the attack portion, information concerning the spectral envelope and its evolution through time extracted during the sustain portion, and the presence of small, random variations in the component frequencies.'

decoder considers music to be 'Western' or 'non-Western' in origin<sup>4</sup>.

## 5.2 Ethical dilemmas: the transcultural artefacts in Fanshawe's *African Sanctus* and Stockhausen's *Telemusik*

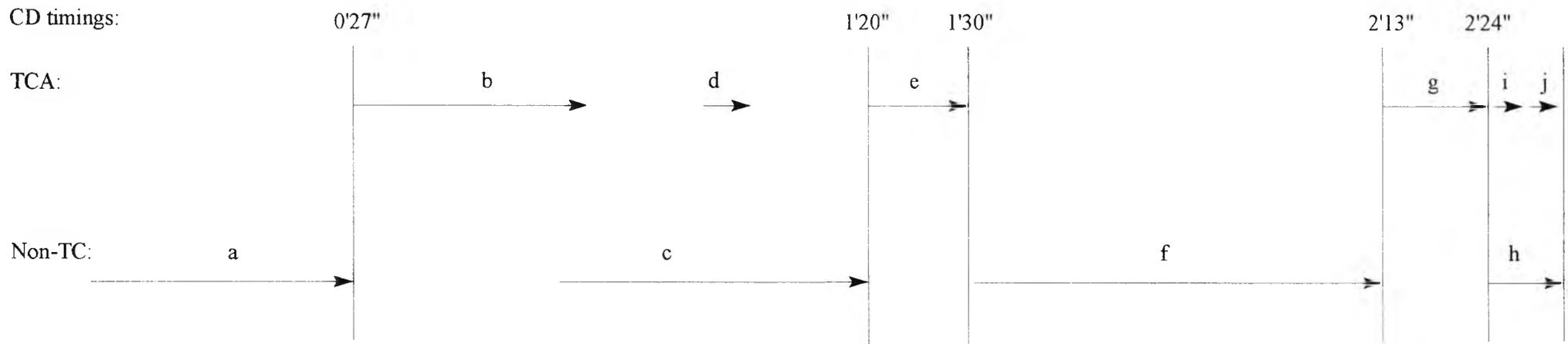
Examples of transcultural artefacts occur in Fanshawe's *African Sanctus* (1972). In this work the artefacts are excerpts from field recordings of indigenous African musical performances, whilst the non-transcontextual material consists of Fanshawe's composed 'Western' present context for choir and orchestra. **Figure 5.1** shows a proportional line diagram of the first movement of this work.

The field recordings (at sections b, d, e, g, i and j) are heard as transcultural artefacts with an 'African' previous context, whereas Fanshawe's composed material forms the Western present context. This is partly because Fanshawe's own material begins the piece (section a) and initially sets a Western present context for the entire work. It is the Western non-transcontextual material which dominates the first movement: the artefact is shortened (at sections d, e and g) once it has initially been presented for recognition at section b and is also 'backgrounded' (towards the end of the movement at sections i and j) when it gradually reduces in importance as the Western present context is foregrounded, largely masking the transcultural material.

*African Sanctus* is intended for a Western audience, for reception and decoding in the West, and any transmitted code is based on a Western view of a non-Western culture. Western decoders cannot necessarily decode the meaning which a non-Western (indigenous) listener would associate with this particular music. Such a re-use of a transcultural artefact in a Western present context poses ethical problems because of the likely superficiality of a Western decoding which derives from the 'out-of-context' use of the music. These ethical

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<sup>4</sup>Instrumentation is discussed further in the section on interculturalism, beginning on page 138.



Key:

TCA A transcultural artefact (sections b, d, e, g, i and j): excerpts of a field recording, listed in the booklet which accompanies the CD of *African Sanctus* as 'Bwala dance of the Acholi people' from North Uganda.

Non-TC 'African Sanctus' (sections a, c, f and h), sung by the choir, and composed by Fanshawe.

**Figure 5.1** A proportional line diagram of the first movement of Fanshawe's *African Sanctus*

concerns seem to be further compounded in the second movement of *African Sanctus* where an artefact is extracted from its cultural context, and Western concepts of art music are enforced. In this movement an excerpt of a field recording of a Mu'azzin's call to prayer at the Muhammad Ali Mosque in Cairo is overlaid (beginning at CD track 2, timing 0'24") with non-transcontextual material performed by a Western choir. This overlaid Western material imposes the Western functional harmony of the choir on to the non-Western vocalisations. Furthermore, a Western decoder need have no knowledge of the semantic content involved or the cultural and religious significance of the appropriated material.

Stockhausen's *Telemusik* (1966) shows what is perhaps a more successful use of transcultural artefacts. In this case the artefacts are in the form of tape recordings of non-Western music which Ernst (1977, 62) describes as 'The folk elements... extracted from African, Amazon, Brazilian, Hungarian, Spanish, Russian, Chinese, Vietnamese, Balinese and Japanese cultures', although a Western decoder may not detect the specific cultural origins of the re-used material, only a vaguely 'non-Western' previous context. The transcultural elements are 'intermodulated among themselves and electronic sources' (Ernst 1977, 62). The non-transcontextual material (or 'non-transcultural material' in this instance) is not particularly representative of a Western decoder's concept of 'Western music' because any cues as to the cultural identity of the sounds are absent. However, the non-transcultural material forms a significant contrast to the transcultural artefacts. Despite the intermodulations which transform the artefacts, and despite their brevity, most can be recognised by a Western decoder because of the contrast between material which has a previous non-Western context (a transcultural artefact) and material which has no previous context and is 'non-transcultural' or 'Western' by default. The non-transcontextual and non-Western elements seem to be more compatible in *Telemusik* than in *African Sanctus* because Stockhausen's work is not based on the contrast of a traditional concept of Western art music versus non-Western music.

### 5.3 Transcultural decoding: a further adaptation of Molino's model

The adaptation of Molino's model in chapter 3 (Figure 3.2, page 65) shows that both an encoder and a decoder are partially responsible for constructing a previous context for the TCA at the end of Pärt's *Symphony No. 2* which is based on Tchaikovsky's *Süsser Traum*, or some other, hypothetical, previous context. Both contribute to the meaning of a previous context and share the experience of having undergone a similar esthetic process (esthetic process 1). This shared esthetic process only occurs because an encoder and a decoder share the same Western culture. The 'culture' associated with any particular group of people is itself partly constructed by the shared past and present esthetic processes of that group so that there is a type of 'feed-back' in operation. Esthetic processes are partly responsible for forming a culture and, conversely, a culture partly dictates likely esthetic processes<sup>5</sup>.

In the case of a transcultural artefact a more complex adaptation of Molino's model is required because the construction process of a previous context will include esthetic contributions from non-Western as well as Western receivers. **Figure 5.2** shows a further adaptation of Molino's model, using the transcultural artefact from movement 1 of *African Sanctus* ('Bwala dance of the Acholi people'<sup>6</sup>) as an example.

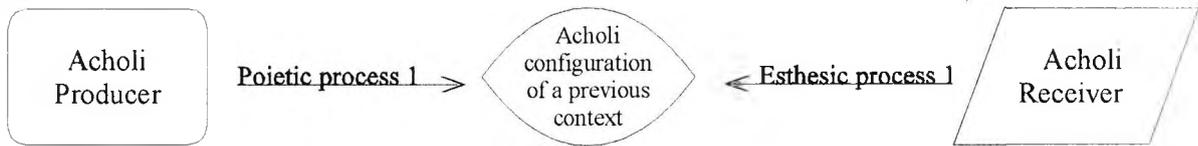
There is a danger in trying to apply Molino's model to the TCA in *African Sanctus* in that the model of communication is a Western model—it cannot necessarily be applied to a non-Western previous context. The concepts of a separate 'producer' (composer) and 'receiver' (listener) may not apply to the music of a non-Western culture. However, this Western model is maintained to allow a comparison with the previous adaptation in Figure 3.2 and its associated theory, and because some form of poietic and esthetic process, resulting

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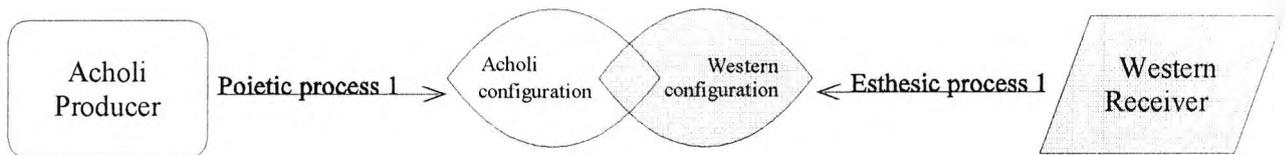
<sup>5</sup>The numerous poietic processes generated by a group of people are also partly responsible for the construction of their culture. Any 'producer' in a culture will also be a receiver of other producer's works and therefore will also contribute esthetic processes.

<sup>6</sup>This is Fanshawe's description of the field recording that is used as a TCA, from the CD booklet accompanying the Silva Classics CD.

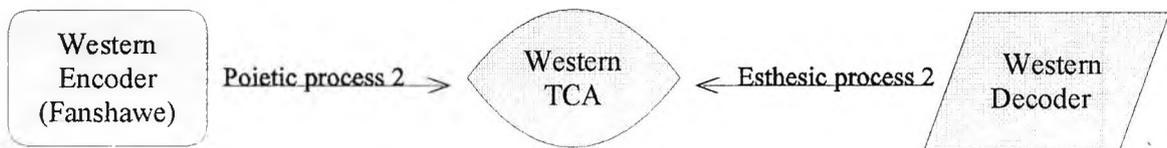
**Acholi (non-Western) previous context:**



**Previous context with a Western Receiver:**



**Western present context (*African Sanctus*):**



Transcultural artefact:  
'Bwala dance of the  
Acholi people'.

**Figure 5.2** A further adaptation of Molino's model applied to a transcultural artefact

in a previous context and a present context must still occur.

Figure 5.2 shows that the previous context for the Transcultural artefact from the first movement of *African Sanctus* has two possible configurations: the first is constructed by a non-Western (Acholi) producer and receiver. The second is constructed by a non-Western (Acholi) producer and a *Western* receiver. The resulting Acholi and Western configurations of previous contexts are different.

In the Western present context of *African Sanctus* an encoder transmits a Western code to a Western decoder. An Acholi contribution to a previous context is unlikely to be evident at this point. The transcultural artefact does not match exactly either previous context but a code can still be transmitted via this artefact because both an encoder and a decoder have operated as receivers for a version of its previous context. The code is based on the shared Western esthetic process. The previous context does not hold an inherent meaning which can be transferred to the artefact because the meaning is dependent on the esthetic process of the indigenous receivers. These different constructions occur even though 'the sound' of the music (the signifier or 'sound-image') is similar in all cases, although the listening environment, including the social function of the music, and the cultural origins of the decoders have changed.

The Western encoder will usually be a receiver of the specific piece or performance which constitutes a previous context. The Western decoder shares a similar esthetic process, but it is unlikely that a decoder has received a previous context in such a specific form. It is much more likely that Western decoders treat all non-Western previous contexts known to them as a possible 'best fit' for any transcultural artefact.

#### **5.4 A semiotic explanation of transcultural artefacts**

In the preceding example two different configurations of a previous context were shown to exist, even though the signifier (the sound of the music) remains constant. It is the signified associated with that music which changes, depending on which cultural group is responsible

for constructing meaning.

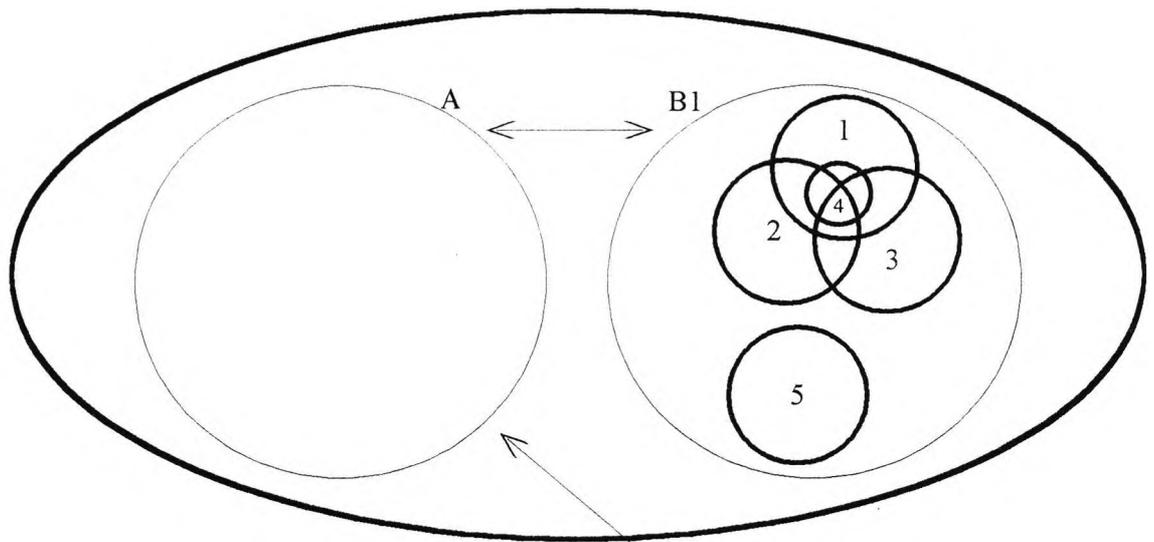
For a Western decoder the signifieds transmitted by a transcultural artefact are likely to be categorised as a single 'non-Western' artefact-type. This classification depends on a view of Western music and non-Western music as two large separate signified groups, as shown in **Figure 5.3**. The two ellipses in the diagram represent the two signified groups. When transcontextuality occurs within the Western music ellipse a Western decoder can decipher a code based on the different classifications or artefact-types in Western music. However, when an artefact is transcultural a Western decoder may not access innumerable indigenous signifieds. It is a Western view that is projected on to a transcultural artefact and it is Western signifieds which an encoder intends to form the code for a Western audience. The transcultural artefact may therefore be 'reduced', in some sense 'incorrectly', to a further artefact-type (type 6) by Western decoders.

## **5.5 Cultural mismatches**

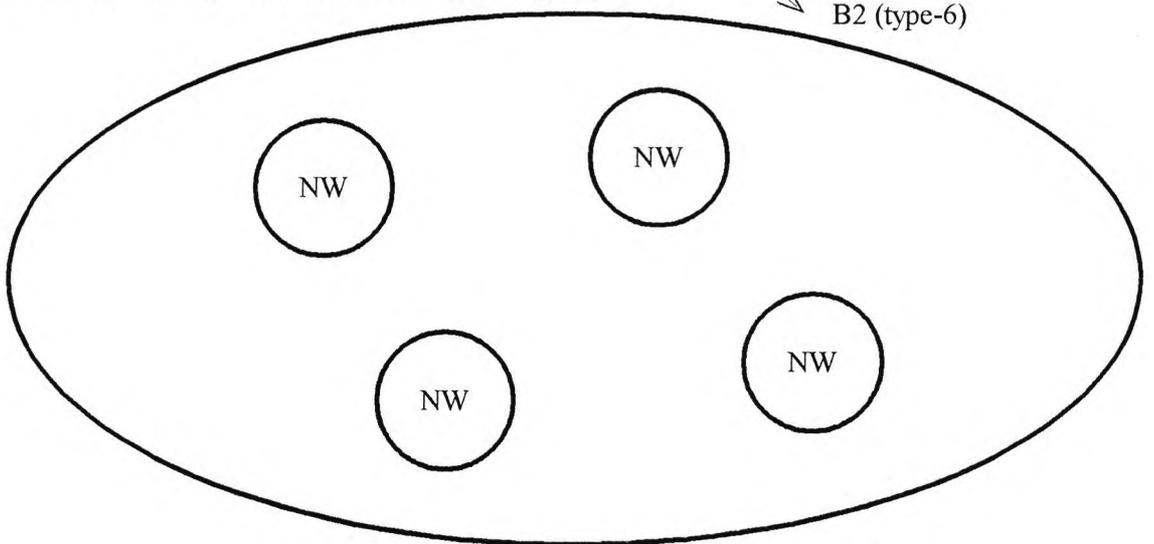
Some Western decoders with comparatively more experience of a particular non-Western culture may detect a more detailed code, closer to the indigenous meaning of a previous context. As a decoder's level of experience of a non-Western culture increases the likelihood of access to non-Western signifieds increases. In some ways this more comprehensive decoding could be regarded as a mismatch with a Western encoder's intention (although an encoder could be aware of this possibility) because it is likely that a Western encoder expects a Western decoder to have little in-depth experience of the particular non-Western culture.

An encoder may direct an artefact at a particular group of decoders which can lead to mismatches if the same artefact is heard by decoders of a culture other than the target group. For instance, in *African Sanctus* Fanshawe includes sections of a 'wedding song', recorded at Luxor, in his 'Gloria' and a 'courtship dance' from West Sudan in the 'Credo'. The

Western music signified group:



non-Western (for example Acholi) music signified group:



Key:

- A Western present context.
- B1 Previous context of a Western TCA, divided into five artefact-types.
- B2 The non-Western previous context for a transcultural artefact. The entire non-Western ellipse may be classified ('incorrectly' from an Acholi point of view) as a type 6 TCA.
- NW The non-Western signifieds and signified groups, which may not be accessed by a Western decoder.

**Figure 5.3** Diagram showing Western music and non-Western music as differing transcontextual signified groups

target Western audience is unlikely to be familiar with the social significance of these excerpts for the African cultures concerned, but an indigenous decoder may find the inclusion of music with a specific social function into a Westernised Mass strange or inappropriate. Outside the intended Western audience *African Sanctus* may not be interpreted as Fanshawe envisages.

## 5.6 Interculturalism in contemporary music

In contemporary music a transcultural artefact (an explicit non-Western signifier) is a far less common occurrence than the complex mixing which often occurs between Western culture and non-Western cultures. Euba (1989) uses the term 'intercultural' to describe music which results from this mixing process. He defines 'intercultural music' as music 'in which elements from two or more cultures are integrated' (1989, 116). (His use of the word 'integration' does not suggest the contrast of a non-Western musical signifier with a Western signified which may occur in the case of a transcultural artefact.) Euba also includes musical activities in the term 'intercultural', such as when a non-Western performer is involved in a performance of Western art music or a non-Western composer writes a work in an essentially Western art music style.

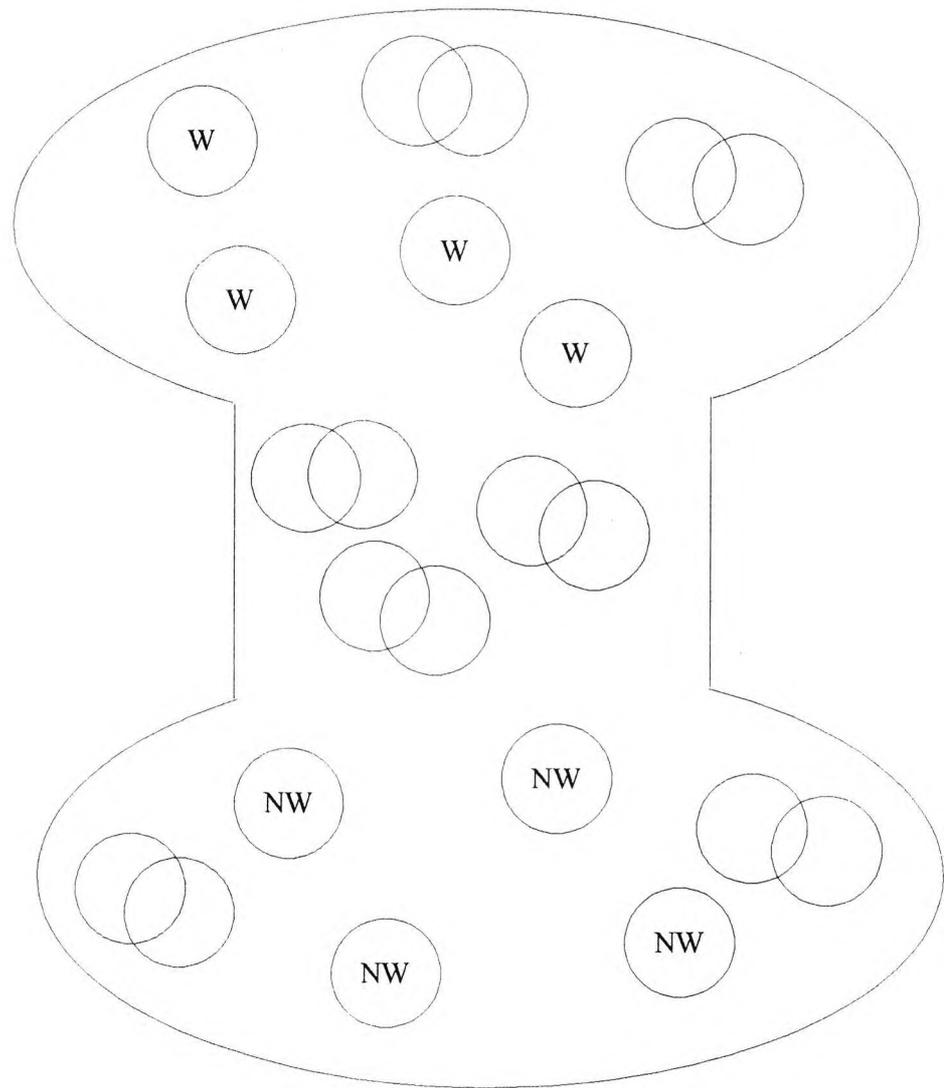
The notion of interculturalism can extend to works or performances that include mixtures of Western and non-Western instrumentation. The use of a particular instrument or combination of instruments may be relevant in establishing the identity of a transcultural artefact. Indeed, instrumentation may play a role in establishing the credibility of any TCA, whether or not it is transcultural. For example, Berg's use of the woodwind to mimic the timbre of a pipe organ in his *Violin Concerto* may lend authenticity to the quotation of Bach's *Es ist genug* by accentuating the chorale-style previous context. As far as a transcultural artefact is concerned authentic (non-Western) instrumentation and singing styles are essential. In both *African Sanctus* and *Telemusik* the credibility of a previous context is established and

maintained because the transcultural artefacts in both these pieces are in the form of field recordings. This means that any instrumentation and vocalisations will always be authentically 'non-Western'.

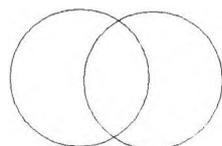
However, the use of non-Western instrumentation in itself does not necessarily provoke a transcultural artefact. For instance, Abou-Khalil's *Arabian Waltz* is scored for traditional Persian instruments, such as an oud and frame drums, and a string quartet. A Western decoder can recognise the mixture of Western and non-Western instrumentation but there is no 'switch' in style from Western to non-Western. The entire piece forms an autonomous hybrid and no transcultural artefacts are heard. In this particular case the hybrid (to Western ears) may sound more 'Persian' than Western. Such musical fusions are better described by Euba's term, 'interculturalism'.

Interculturalism in music may extend to phenomena that are not aurally detectable. This is different to transcontextuality, where an artefact is intended to be detected by a Western decoder. However, conversely, interculturalism is compatible with transcontextuality, at least to some extent, because a degree of cultural integration (between non-Western and Western cultures) may result in transcultural artefacts.

Up to this point we have assumed that the signified ellipse which represents non-Western culture is entirely separate from the ellipse representing Western culture (in Figure 5.3). These separate ellipses demonstrated that a transcultural artefact crossed or transferred from one culture to another. Even where cultural integration occurs, cultures usually maintain a certain degree of independence. So the concept of the separate ellipses is correct, at least to some extent, in most cases. However, **Figure 5.4** demonstrates a possible process of combining a Western with a non-Western signified group where the ellipses begin to merge. Here, each group maintains a degree of independence by conserving some Western or non-Western signifieds whilst also integrating with another culture.



Key:  
 W            Western signifieds  
 NW          non-Western signifieds

 New hybrid signifieds

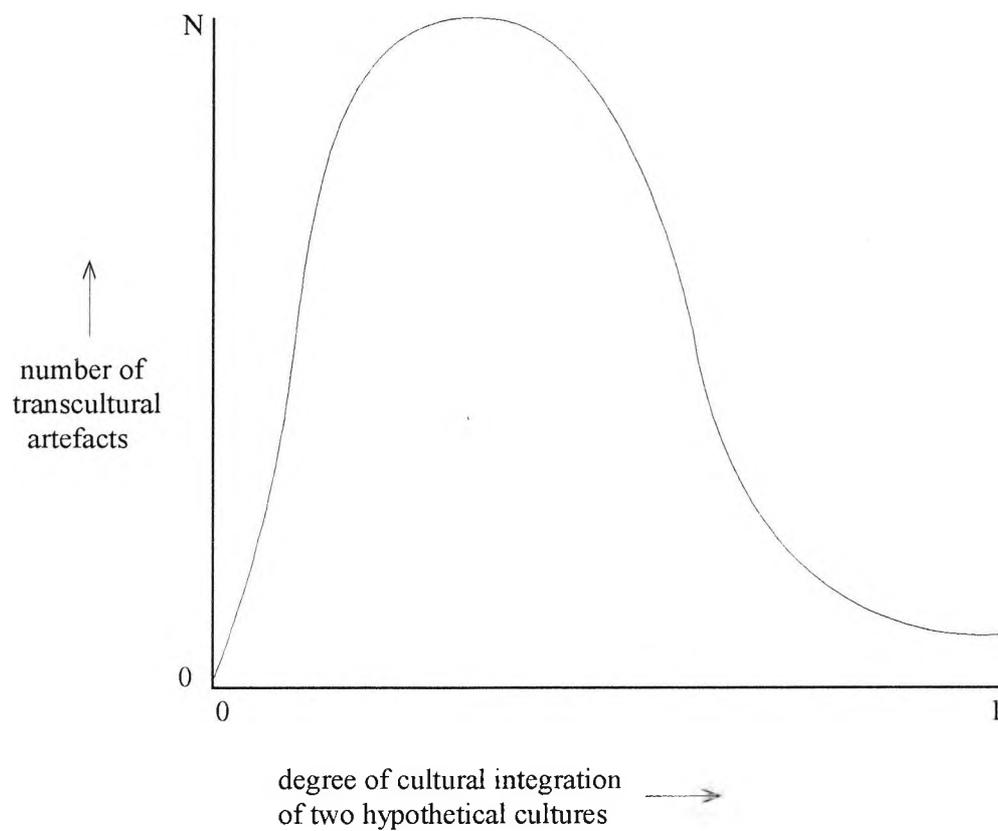
**Figure 5.4** The interaction of Western and non-Western signifieds

The diagram shows a simplified version of the Western ellipse from Figure 5.3 combining with a non-Western ellipse. The idea that the two signified groups must be separate (isolated) if a transcultural artefact is to cross from one culture to another must be adjusted to allow for some degree of integration. Transcontextuality can still operate when cultures begin to merge because some of the historical signifieds may be maintained as belonging to either the 'original' Western (W) or non-Western (NW) culture. New hybrid signifieds, not particularly representative of either culture, are also generated by the combining process and exist alongside other historical signifieds which maintain their cultural identity. Over time these historical signifieds may combine or mutate to become part of the new hybrids.

The combining process may reduce the likelihood of transcultural artefacts occurring in Western music as more and more hybrid signifieds, caused by interaction with non-Western cultures, are created. Purely 'Western' and 'non-Western' signifiers and signifieds may begin to disappear. The graph in Figure 5.5 shows this probable decrease in the number of transcultural artefacts at a high level of cultural integration.

For a transcultural artefact to occur, some small degree of knowledge of another culture is required. This means that no artefacts will occur at a hypothetical 0 degree of cultural integration. At some low level of interaction artefacts can occur even though the two hypothetical cultures are largely independent at this point. Initially, as the degree of cultural integration increases, the number of transcultural artefacts also increases. The profile of the curve therefore moves towards N (representing any relatively large number of artefacts). However, at a high degree of cultural integration transcultural artefacts are less likely to occur because the basis for the code ('another culture') no longer exists, so the curve moves back towards the horizontal axis at this level of integration.

Despite the combining process, historical signifieds may remain. This means that the curve in the graph is never likely to reach completely the horizontal axis at 1 because some degree of cultural independence may be maintained, even at a high level of integration.



key:

N An indefinite, relatively large, number of transcultural artefacts.

**Figure 5.5** Graph to show a probable decrease in the number of transcultural artefacts at a high level of cultural integration

The fusing of musical styles is prevalent amongst contemporary cultures because of the high degree of integration of non-Western musics into Western society. In many cases such fusions are not transcontextual because the identity of the non-Western and Western material is blurred. For a transcultural artefact to occur an aurally detectable non-Western previous context must be maintained.

## DEFINING THE BOUNDARIES OF TRANSCONTEXTUALITY IN A BROADER MUSICAL CONTEXT

### 6.1 Introduction: the concept of boundaries

Certain musical phenomena that are not transcontextual may appear to exhibit some general similarity to TCAs. For instance, there are numerous examples of musical works (such as sets of variations on a known theme) where re-used, pre-existing musical material exhibits a high potential for provoking non-prompted aural recognition from a listener. There are also instances where elements of past musical styles are re-used to form a new work (such as with certain examples of neoclassicism). Furthermore, non-prompted aural recognition could occur in certain instances of representation in music if a listener recognises something extra-musical such as events, concepts, animals or objects.

Musical phenomena with some similarity to transcontextuality can be envisaged as existing in a 'boundary' area between material which has already been confirmed as transcontextual and other material that is not transcontextual<sup>1</sup>. The discussion of the 'boundary' in this chapter covers some of the most likely areas of music to be confused with the phenomenon of transcontextuality and includes the three subject-areas of representation, variations on a known theme, and neoclassicism. The differences and similarities between these three subject-areas and transcontextuality will be discussed in the following sections (6.2 to 6.5). Since representation, variations on a known theme, and neoclassicism are large subjects in their own right each area will be examined only in so far as it relates to refining the definition of transcontextuality and its operation in contemporary art music.

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<sup>1</sup>Musical material which is not a TCA is referred to as '*not* transcontextual' in this chapter. This is to distinguish this material from the *non*-transcontextual material heard alongside a TCA in a present intrinsic context.

## 6.2 Representation

'Representation' in music in its broadest sense can be said to occur when music 'stands for' or 'embodies' something. Music which 'represents', symbolises something 'outside itself', usually something extra-musical, such as an object, a concept, the environment, or an emotion<sup>2</sup>.

When music 'represents' something extra-musical, some form of coding process is embodied in the translation from an extra-musical context to a musical context. A TCA may also be considered to be a form of representation in that an artefact embodies the various possible meanings associated with a previous context. (It 'represents' its previous context in a present context.) However, a useful initial distinction between 'representation in music', as it is generally understood, and a TCA is that 'representation' usually means the embodiment of something *extra-musical* in music, whereas a TCA represents the *musical* codes associated with its previous context.

Representation of the extra-musical in music can carry a high potential for intended aural (non-prompted) recognition. This high potential for recognition seems particularly likely where there are representations of birds in instrumental music because the pitch and rhythm of birdsong can be imitated in a stylized form by Western musical instruments<sup>3</sup>. A famous example of the imitation of birdsong, where several specific birds are represented through instrumental mimicry, occurs towards the end of the second movement ('*Scene am bach*') of

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<sup>2</sup>Examples where these 'representations' in music occur are almost too numerous to choose from, but it is possible to cite a few of the most well-known cases. It may be that the representation of an object (a spinning wheel) occurs in Schubert's *Gretchen am Spinnrade* or the representation of 'chaos' (a concept) occurs at the beginning Haydn's oratorio *The Creation*. Haydn's *Creation* also provides what could be interpreted, often with the aid of text, as representations of the environment, for instance, the sea (in the aria '*Rolling in Foaming Billows*') and many famous examples of the representation of animals (everything from whales to worms) and birds (in '*On Mighty Pens*').

Representation of emotion can be more difficult to define (Meyer 1956, 6; Kivy 1984, 4 and Walton 1997, 58). However, an example may occur in Berg's *Violin Concerto*. We could surmise, partly because of the influence of external autobiographical information, that the quotation of Bach's setting of the chorale *Es ist genug* somehow expresses grief at the death of Manon Gropius.

<sup>3</sup>Even in examples of pieces where representations of birds are complex and personalised (as with, for instance, Messiaen's re-use of elements of birdsong in his *Catalogue d'Oiseaux*) recognition, although less likely, cannot be entirely ruled out.

Beethoven's *Pastoral Symphony (No. 6)* at bars 129-136 where the clarinet represents a cuckoo, the oboe a quail, and the flute a nightingale, by imitating their distinctive song or call<sup>4</sup>. Whether or not the specific birds which are represented are recognised is not particularly important, but rather a more generalised extra-musical category of 'birds' will be recognised by most listeners<sup>5</sup>.

There is some potential for recognition, but extra-musical references have been discounted as not being transcontextual because these do not usually engender a true transfer from a previous to a present *musical* context. On first inspection it would appear reasonable to argue that with representation there is an extra-musical previous context and a musical present context. For instance, in the *Pastoral Symphony* it could be argued that the birdsong excerpts cause a switch to an 'extra-musical' previous context 'outside' the 'musical' present context of other sections of the *Symphony* where no extra-musical representation occurs.

The concept of an extra-musical previous context and a musical present context would depend on a listener being able to switch from a 'musical' type of deciphering to an 'extra-musical' type. Although this is not considered in this thesis to be transcontextual, the idea of a switch from extra-musical to musical could have some precedent in investigations on the cognitive psychology of listening. McAdams (1993), in a study on the recognition of sound sources, suggests that sound is aurally detected as deriving from one of three categories: natural acoustic events, musical sounds, and speech (his classifications). If we consider only non-verbal sound in the memory we would be left with the two areas of musical sounds and extra-musical sounds (assuming that extra-musical sounds are similar to McAdams's classification of 'natural acoustic events').

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<sup>4</sup>Imitation of birdsong also occurs in vocal music. For instance, in Janequin's *Le Chant des Oyseaulx* certain words are treated as onomatopoeic, imitating the song of various birds, such as a cuckoo.

<sup>5</sup>Some clarification is needed here: it is 'a bird' or 'birds' that are represented through their song. A stylized imitation of birdsong in music is recognised which leads to the deciphering of what that imitation represents.

This model of two sound-categories might suggest that when birdsong is recognised during a musical work there is a 'switch' away from a musical sound-category (which could form the present context) towards an extra-musical one (which could form a previous context) and back again when the imitation of birdsong ceases. This hypothetical switch would be similar to a transcontextual transfer from a present to a previous context. However, such a transfer does not occur because a listener perceives imitations of birdsong in such works as the *Pastoral Symphony* as *musical* material (Wishart 1996, 131). The imitations are stylized for performance on acoustic musical instruments and are heard in a musical context. A listener does not perceive these representations as an accurate mimicry, in the sense that they do not listen as an ornithologist might to bird-sounds in the environment, which means that there is no transcontextual 'switch'<sup>6</sup>.

Representation of extra-musical sounds in music forms part of a musical sound-category, even though a listener may be led to think extra-musically. In this study a TCA always refers to a musical previous context, provoking a transfer to a different musical context<sup>7</sup>.

### 6.3 Variations on a known theme

Where a composer chooses to re-use a pre-existing theme in order to form the basis for a set of variations, that theme has the potential to be recognised by a listener. If the re-used material is well known there is an increased potential for non-prompted aural recognition by a majority of listeners.

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<sup>6</sup>However, it could be possible for the birdsong excerpts in Beethoven's *Pastoral Symphony* to become transcontextual because an encoder could use these as the basis for a TCA in a contemporary work. In this case the codes would be *musical*—referring to Beethoven's *Pastoral Symphony* as a specific previous context.

<sup>7</sup>In electroacoustic music non-musical material may be transcontextual if it provokes a transfer to a different context. However, this possibility is beyond the scope of this thesis because it raises questions relating to the nature of sounding phenomena. This is a different area of study, going beyond the 'mechanisms' of transcontextuality in instrumental music.

Comparable intentions may form an ulterior motive for both the use of certain TCAs and for variations on a known theme. A composer may choose to re-use existing material as a theme so that a listener can compare the already familiar material of the theme with a composer's new variations. This could enable the aural detection of some of the compositional processes applied to the theme to form the variations. Such a motive may also lie behind the use of a TCA. For instance, in section c of *Credo* (heard as the most transformed version of the TCA, mid-way through the piece at CD timings 4'30"-5'35") excerpts of material derived from the previous context of *Prelude No. 1* are played in retrograde, and transposed one octave higher or lower. *Prelude No. 1* is already known to be the source for section c because a transfer to a previous context has already occurred earlier on in the work at section b (CD timings 1'23"-2'23", where the piano quotes bars 20-29 from the Prelude with only a negligible degree of transformation). An aural comparison of section c with section b and the already known specific previous context of *Prelude No. 1* means that the retrograde transformation and octave displacements applied to section c may be detected<sup>8</sup>. The intended recognition of the compositional techniques applied to section c in *Credo* is an intention which occurs in addition to any transcontextual intention to encode.

Variations on a theme are not usually transcontextual because the *style* of a theme is not necessarily so different from the variations which follow as to cause a transfer to a previous context. A theme will usually be accepted as part of a new autonomous work by a listener, who does not experience a 'switch'. This can be contrasted to a TCA where a non-autonomous transfer to a previous context is caused by the differences in style between the contemporary non-transcontextual material in the present context and the TCA.

When a theme is 'borrowed' from a well known, perhaps historically significant,

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<sup>8</sup>It is more difficult to detect the retrograde transformations and octave displacements in *Credo* when these techniques are applied to the non-transcontextual tone row and twelve-note verticalities because this is less familiar material (with no previous context). It may be that Pärt is using the TCA to demonstrate the transformation techniques which are then continued and applied to the non-transcontextual material.

composer's work that theme may be intended to signify an admiration for, or homage to, the original composer. (This could be thought of as a further type of representation in music where a theme 'represents' some aspects of a particular composer's work.) As a general rule, this is not usually a form of transcontextual coding because it does not normally involve a 'trans' or 'switch' to a previous context: the borrowed material is integrated into the style of the current work, but there are some significant exceptions where the theme *is* transcontextual. For instance, in Schnittke's (*Kein Sommernachtstraum*) the theme at the start of the piece is a TCA, with the variations consisting of several degrees of transformation of the transcontextual theme. Some of the variations, in a 'contemporary' style, may be considered to form the present intrinsic context of this piece. In this case it is the *style* of the theme which makes it transcontextual.

Many other composers have re-used musical material without mimicking a previous style, thereby resulting in pieces that are not transcontextual, even when a 'theme' can be recognised. For instance, Brahms's *Variations on a Theme by J. Haydn* ('*St. Anthony Variations*'), *Op. 56a* do not include excerpts which could be mistaken for 'Haydn'. Neither the theme, nor any of the variations, attempts to replicate Haydn's setting—Brahms assimilates the pre-existing theme into his own new autonomous work. Unlike Schnittke's transcontextual re-use, Brahms does not attempt to 'sound like' Haydn.

In Rzewski's set of piano variations, *The People United Will Never Be Defeated: 36 Variations On a Chilean Song* (1975), the recognition of the theme is not usually transcontextual (for most decoders) but particular variations may be, such as the switch to a blues style in variation 13 (CD track 14). The recognition of the theme ('The People United') in itself does not normally cause a switch because it is accepted as part of an autonomous work. Variation 13 causes a transfer to a previous context by introducing a different broad genre style (type 5) TCA.

Furthermore, a theme that does not seem transcontextual to most decoders may be

decoded as a TCA by others. It could be argued that the theme of *The People United Will Never Be Defeated* was transcontextual in Chile in 1975, when it was composed because the popular song on which this theme is based became the anthem of the Chilean resistance against Pinochet's dictatorship during the 1970s (Wolff, 1993)<sup>9</sup>. The encoder (Rzewski) clearly intended that the theme should convey a political message, and this theme may still convey certain codes, although many are likely to be lost to today's decoders<sup>10</sup>.

## 6.4 Neoclassicism

Both 'transcontextuality' and 'neoclassicism' describe phenomena which involve some type of re-use of a musical style, which could conceivably result in parody. Whittall (1980, 104) defines 'neo-classical' (he prefers the hyphenated version of the term) as:

A term used to describe the style of works by certain [twentieth]-century composers, who, particularly during the period between the two world wars, revived the balanced forms and clearly perceptible thematic processes of earlier styles... Since a neo-classicist is more likely to employ some kind of expanded tonality, modality or even atonality than to reproduce the hierarchically structured tonal system of true (Viennese) Classicism, the prefix 'neo-' often carries the implication of parody, or distortion of truly Classical traits.<sup>11</sup>

Works that are usually regarded as neoclassical are not transcontextual because they do not normally include material sufficiently indicative of a different style of music to cause a transfer to a previous context. Any re-uses of 'style' in neoclassicism are often more generalised and do not include the specific switch in style from a present to a previous context which transcontextuality engenders, although there may be some overlap between the two

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<sup>9</sup>However, this theme ('The People United') has since been adopted for political use in countries other than Chile. For instance, it was sung on the miners' picket lines during the strikes in the 1980s. It has a complex history because of these changing uses.

<sup>10</sup>In this case there are two reasons for the potential mismatch: the theme is particularly time-dependent (associated with the 1970s) and it may be aimed at a particular cultural group of (Chilean) decoders.

<sup>11</sup>Whittall acknowledges, later in his article, that there are certain problems with this definition, but for the purposes of discussing neoclassicism as a 'boundary' subject for transcontextuality this short definition will suffice.

phenomena. Neoclassicism can often be described as more 'internal' in that it arises from a composer's interest in past musical works, styles or forms and this interest is not necessarily intended to be projected to a listener as a specific phenomenon. As Whittall (1980) points out in the final paragraph of his article, even expert musical analysts have difficulty in distinguishing between music derived from pre-existing models, and twentieth-century contributions in works that have been labelled 'neoclassical'.

A 'neoclassical' work, such as Prokofiev's *Classical Symphony*<sup>12</sup>, could be regarded as embodying music in the style of, for instance, Mozart or Haydn. However, on the whole it forms an 'autonomous pastiche' in that transfers from or to a previous context are difficult to detect. This neoclassical type of reference can be contrasted with a piece which contains a TCA, such as *(K)ein Sommernachtstraum*, where Schnittke alternates between reproducing a Classical style (at the start of the work, to form a TCA) and a different 'contemporary' style (with some of the variations). The TCA, in this case, sounds as if it could have been composed by someone from the (Viennese) Classical school in that it is an accurate imitation, in contrast to the non-transcontextual material which could only have been composed by a contemporary composer. The TCA in *(K)ein Sommernachtstraum* contributes to a 'non-autonomous pastiche' which does not necessarily 'fit' with its present contemporary context.

However, it may be that certain neoclassical works are regarded as transcontextual by some decoders. For instance, Stravinsky's *Oedipus Rex* includes elements which could be deciphered as referring to previous operatic styles. Nevertheless, as a general rule, transcontextuality seems to accentuate the non-autonomy of a work by including styles which contrast greatly, whereas in most neoclassical works any shifts in style seem to be less marked, perhaps indicating that transcontextual artefacts are not intended.

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<sup>12</sup>Although the term 'neoclassicism' is often applied to the middle period works of Stravinsky, certain other works are also cited as examples. For instance, Whittall (1980) refers to Prokofiev's *Classical Symphony* and also to Satie's *Sonatine Bureaucratique*.

## 6.5 Transcontextuality in context

The four phenomena of transcontextuality, representation, variations on a known theme, and neoclassicism are related in that they may all conceivably provoke recognition. Figure 6.1 shows that this shared potential for recognition can generally be regarded as the main similarity among these phenomena.

Within the 'recognition ellipse' in Figure 6.1 there are three different types of circle: 're-use of musical material'; 'intention to encode' and 'reference to something extra-musical'. Only transcontextuality (T) always includes both re-use of musical material and intention to encode. V and N are not usually transcontextual because they do not always demonstrate this intention. R is also not transcontextual in that it is usually taken to include extra-musical references that do not cause a transfer to a previous context in instrumental music. Recognition is never certain for any of the four phenomena, and where it does not occur T, R, N and V will be outside the recognition-ellipse.

The four main categories of T, R, N and V are not necessarily exclusive, as the preceding discussion has shown. Several areas of intersection (a, b, c, d, e, f and g in Figure 6.1) are created by the overlapping circles. Intersections a, and b show that V, and N may be transcontextual. For instance, variations on a transcontextual 'known' theme could be said to occur in Schnittke's *(K)ein Sommernachtstraum* (area a) and certain neoclassical works, such as Stravinsky's *Oedipus Rex*, may be regarded as transcontextual by some decoders (area b). The overlap of T, V and N is also theoretically possible, although less likely, where a neoclassical work includes a transcontextual variation on a known theme (area c). The remaining areas of intersection (d, e, f and g) are not transcontextual. These may occur where a variation on a known theme or a neoclassical work include representations of something extra-musical (intersection d, caused by the overlap of V and R, and intersection e, caused by the overlap of N and R), or where a known theme is included in a neoclassical work (the overlap of V and N at intersection f). The intersection of R, V and N may also occur (area g), but again this is unlikely, and is also not transcontextual.



## **6.6 A revised version of the four-point definition**

It is now possible to bring all the various elements of transcontextuality together to provide a more detailed version of the definition first shown in Figure 1.2, page 18. The following points summarise the four essential ingredients of transcontextuality:

### **1. Encoder intention**

A composer's intention to encode is crucial to the definition of the phenomenon—without the presence of transcontextual intention, a TCA cannot be said to occur. However, in certain cases it may be difficult to determine whether or not transcontextual intention exists, for instance, where a work includes self-allusion.

By choosing to use a TCA an encoder refers to the meaning that has become associated with its previous context and that is developed over time due to subsequent cultural usage of that original context. Both an encoder and a decoder are assumed to have esthetic experience of the previous context and to understand similar associations because of shared cultural experience. However, the details of an actual decoding may vary, leading to a mismatch. Mismatches may occur where an encoder and a decoder have different cultural experiences, belong to different cultures, or because an encoder has misjudged the type of information conveyed by the TCA.

### **2. 'Trans'**

The 'trans' is the switch in the listening process which a decoder experiences during a transcontextual work. Such a work could be described as 'non-autonomous' in that it embodies both a previous and a present context. A listener must refer 'outside' a present context to decode and interpret a TCA. This 'switch' may occur as a gradual process, or more suddenly, depending on the mode of presentation of a TCA. Relatively sudden switches occur where a TCA is juxtaposed with, or interpolated into, non-transcontextual material. Less sudden switches, resulting in a dawning awareness of a TCA, occur where a TCA is merged with

surrounding non-transcontextual material or gradually revealed once masking material recedes.

A decoder's 'trans' experience can be influenced by an encoder's version of a TCA. For instance, transformation may cause a TCA to be covert, making it less easily recognisable and hindering the detection of a previous context, or the use of different instrumentation in the present compared to the previous context may change a TCA's nature. In some cases a decoder may not access a previous context immediately, only recognising an excerpt as transcontextual in retrospect because the identity of a TCA is not revealed until further information about its transcontextual status is discovered.

### **3. Code**

The code which a TCA bears is derived from the meaning associated with its previous context. Further transcontextual meaning is generated by a decoder's interpretation of a TCA.

A code can be described as a signified network where the meaning consists of many interconnected signifieds, represented by the musical materials that comprise the TCA. A code can also be viewed as belonging to one or more of five artefact-types (referring to a style, work, composer, art music genre or a genre 'outside' art music). Further to these five types, a TCA may be transcultural (a possible sixth artefact-type) where a code refers to a non-Western previous context.

### **4. Decoder competence**

There must be some potential for recognition of a TCA and the subsequent deciphering of a code. The transmission of a code is dependent, to some extent, on the degree of competence exhibited by a decoder, which can range from novice to expert levels, depending on factors such as the number and quality of input sonic events previously experienced, and the decoder's capacity to store and output experiences relevant to the deciphering of a TCA. However, a decoding should not be regarded as 'wrong', but rather as 'more authentic' or 'less authentic', depending on whether it matches or does not match an encoder's envisaged code. Most decoders will output some approximation to an encoder's expected code, using a process of

'best fit', finding the nearest matching previous context or contexts. An encoder may choose to make a TCA inherently covert (by transformation, masking or brevity), intending it to be deciphered by only the most competent decoders, or choose to make the TCA overt and apparent to many decoders, regardless of competence.

## EPILOGUE: THE WIDER IMPLICATIONS OF TRANSCONTEXTUALITY

The view of transcontextuality as an entirely aural phenomenon, limited to art music, that has been adopted in the preceding pages is a necessary simplification<sup>1</sup>. The following discussion attempts to rectify some of the limitations of the discussion by suggesting further manifestations of transcontextuality in art music, such as in opera and electroacoustic music, and non-art music forms, such as 'plunderphonics', and transcontextuality in television advertising and films.

Opera may embrace elements of transcontextuality. However, an examination of this area would involve a different study from the one already undertaken due to the complexity caused by the interaction of different media. Such a study could not concentrate on purely 'musical' phenomena but must consider other aspects such as the visual and textual contexts of the musical material.

Zimmermann's opera, *Die Soldaten*, includes excerpts of recognisable material. For example, one of the more overt references occurs in the second scene of Act 2 where there is a quotation of excerpts from Bach's setting of the chorale *Ich bin's, ich sollte büßen*, BWV 16 from the *St Matthew Passion* (Kontarsky 1991, 34). These 'Bach' excerpts contribute to a stylistic change that could be aurally detected by most decoders and could be regarded as transcontextual. (The excerpts can be heard on CD1, track 12 and begin at 7'26", continuing till approximately 8'05".) It may be that in performance, aspects of this opera other than the music are transcontextual. For instance, Rothärmel (1980, 688) comments on the music and

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<sup>1</sup> Even within these limits, it has not always been possible to avoid the semantic implications of text in vocal music, as in the discussion of Pärt's *Credo*, or the role of non-aural aspects, such as the visual prompts in Maxwell Davies's *St. Thomas Wake*, caused by the separation of the 'foxtrot' dance band and the 'non-transcontextual orchestra' in performance. These problems occurred because the self-imposed limits of 'art music' and 'instrumental music' do not always reflect the musical reality.

scenery in the 'Intermezzo' from Act 2 of *Die Soldaten* which precedes the second scene:

When the work concerned is an opera... the idea of pluralism can extend to visual as well as musical materials. The Intermezzo from Act 2 of *Die Soldaten* exemplifies pluralism in sound: the organ plays the *Dies irae* chant; trombones and tubas join in with the Bach chorale *Wenn ich einmal soll scheiden* [BWV 72 from the *St Matthew Passion*]; above this there are two marches in different tempos from the stage ensemble; and four high trumpets give out another chorale, *Komm, Schöpfer Geist* [BWV 370]. Scenically the opera uses five planes of action, the end of Act 2 combining three scenes on three planes at the same time.

Although Rothärmel refers to 'pluralism' here, some of the references she cites may only be aurally detectable to certain decoders as TCAs. The trumpet layer which she refers to is particularly evident (at CD1 track 11, 1'45"-2'07"), despite its brevity, partly because of the relatively high tessitura and the brass sonorities which create a contrast to the surrounding material, in a different 'march' style. According to Rothärmel's observations, it could be inferred that the scenery in *Die Soldaten* would seem to reflect, or perhaps assist, the aural transcontextuality by including several different visual contexts.

Another music genre which has not been considered in detail, is electroacoustic music, where many significant examples exist. For instance, sampling of recorded previous musical contexts plays a prominent role in Wishart's *Musical Box*. In Ferrari's *Music Promenade* many excerpts occur in quick succession, and Subotnick quotes well-known excerpts from two of Schubert's songs ('*Erlkönig*' and '*Wohin*' from *Die Schöne Müllerin*) alongside computer-generated material in *The Key to Songs*.

Sampling also plays an important role in so-called '**plunderphonic**' music (Davies 1996, 10), often associated with rap musicians. In such music short excerpts of recorded musical material are inserted into a new track, with the intention that 'the original work is given new meaning through the act of being placed in a new context' (Porcello 1991, 71-72). This type of music is considered to be a particularly postmodern phenomenon by many writers, such as Porcello (1991, 77), Manuel (1995, 225) and Savage (1995, 30). 'Plunderphonics' has connotations of illegal or illicit re-use of materials. Some commentators (for instance, Porcello

1991) regard sampling without permission as theft, whereas others consider that exponents of this type of musical re-use have an artistic right to access sources<sup>2</sup>. The ethics and possible illegality of such re-uses would need to be investigated to cover this area which may require an examination of the commercial recording industry.

These ethical considerations may have some relevance to the study already undertaken. For instance, transcontextuality may involve the unsanctioned re-use of a composer's work or inappropriate transcultural re-uses, where the receiving culture is ignorant of the social significance of the music. However, these issues have not been discussed in detail because this complex area is extrinsic to the purely musical 'mechanism' of transcontextuality, and requires a different approach.

Transcontextuality may be useful in studying musical meaning in other twentieth-century phenomena, such as television advertisements, where music is re-used in a new context<sup>3</sup>. Cook (1994, 28-30) describes the interaction of excerpts from Mozart's *Marriage of Figaro* overture with its accompanying visual imagery in a *Citroen* car advertisement. He points out that the meaning of the commercial as a whole is that the car 'represents an ideal synthesis of art and technology', with the music representing the 'art' side of this equation. He goes on to say that this 'is what the music means *here*... nobody would claim that it means the same thing in its original role'. Musical meaning is imported but it is also, to some extent, created or altered in its new (advertising) context. This re-use of musical material in television advertising is similar to the types of transcontextuality discussed so far, in that the imported musical material is assumed to embody a code associated with a previous context. In television advertising an

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<sup>2</sup>Davies (1996, 10) discusses the case of John Oswald who was forced to destroy mastercopies of one of his plunderphonic works because a particular track was based on a song by Michael Jackson. Oswald's work has since been defended by recording artists such as the Grateful Dead, who have given him 'free access' to their archive.

<sup>3</sup>*Classic Commercials* is a themed CD of excerpts of art music used in television advertisements. Some of the most well known excerpts, included on this CD are: Orff's '*O Fortuna*' (from *Carmina Burana*, advertising *Old Spice* aftershave); Dvořák's '*Largo*' (from the *New World Symphony*, advertising *Hovis* bread); Delibes '*Flower Duet*' (from *Lakmé*, advertising *British Airways*) and the second movement from Mahler's *Symphony No. 7* (advertising *Castrol GTX* engine oil).

imported code is intended to help sell a product and an advertiser wishes a musical code to portray a certain (desirable) image. However, this type of transcontextuality is not purely sonic and a study of this phenomenon would need to consider, for example, the music's role in relation to other media.

It may also be appropriate to apply transcontextuality to film music or music for television drama, where re-uses of musical material are prevalent. In these cases music is imported because it is considered to convey some code to an audience. However, transcontextuality in film and television music would also require a different slant on the study. This transcontextual form is dictated, to some degree, by the particular function of the music (perhaps it is used to dictate or enhance a mood, historical period or location) and is not therefore the same as the 'purely musical' manifestation of transcontextuality that has been investigated in this thesis.

Transcontextuality may prove to be all-pervading, featuring in many areas of contemporary (not exclusively sonic) art. It is a much wider cultural phenomenon than the limited area discussed here, but it was necessary to reduce transcontextuality to its basic elements and confine it to a particular area of music in order to provide a clear foundation. This approach contributes a methodology which can be adopted in future transcontextual studies about, and involving, music, and provides a reference-point for a potentially extensive and complex field of research. Many of the invented terms could be adapted for use in other art-based subjects to describe similar phenomena. The study therefore provides the conceptual tools to enable a useful approach to thinking about complex issues that have so far proved difficult to define.

## APPENDIX I

### A chronology of the transcontextual works referred to

The dates of composition listed below are from Morton and Collins (1992) unless an alternative source is given in brackets. Key to alternative sources: NGD *The New Grove Dictionary of Music and Musicians*; AMP Associated Music Publishers score; CDB compact disc booklet; UE Universal Edition score.

COMPOSER	WORK	DATE (of composition)
Ives	<i>Three Places in New England</i>	1908-1914? (NGD)
Ives	<i>Decoration Day</i>	1912 (NGD)
Ives	<i>Central Park in the Dark</i>	1906 (NGD)
Ives	<i>Symphony No. 4</i>	1909-1916 (AMP)
Ives	<i>Concord Sonata</i>	1911-1912 (AMP)
Berg	<i>Violin Concerto</i>	1935
Schnittke	<i>Concerto Grosso No. 1</i>	1957, revised 1962
Zimmermann	<i>Die Soldaten</i>	1958-1960 (NGD)
Maxwell Davies	<i>First and Second Taverner Fantasias</i>	1962 and 1965
Maxwell Davies	<i>Seven in Nomine</i>	1963-5
Pärt	<i>Collage sur B-A-C-H</i>	1964
Berio	<i>Laborintus II</i>	1965
Stockhausen	<i>Mikrophonie II</i>	1965
Pärt	<i>Symphony No. 2</i>	1966
Pärt	<i>'Pro et contra'</i>	1966
Stockhausen	<i>Telemusik</i>	1966

[continued over]

COMPOSER	WORK	DATE
Stockhausen	<i>Hymnen</i>	1966-1967
Pärt	<i>Credo</i>	1968
Berio	<i>Sinfonia</i>	1968-1969
Maxwell Davies	<i>St Thomas Wake</i>	1969
Maxwell Davies	<i>Eight Songs for a Mad King</i>	1969
Schnittke	<i>Symphony No. 1</i>	1969-72
Kagel	<i>Ludwig Van</i>	1970
Tippett	<i>Symphony No. 3</i>	1970-1972
Shostakovich	<i>Symphony No.15</i>	1971 (NGD)
Schnittke	<i>Suite im Alten Stil</i>	1972
Fanshawe	<i>African Sanctus</i>	1972 (CDB)
Rzewski	<i>The People United Will Never Be Defeated</i>	1975
Schnittke	<i>Moz-Art</i>	1976
Pärt	<i>Wenn Bach Bienen Gezüchtet Hätte...</i>	1976-1984 (UE)
Schnittke	<i>Moz-Art à la Haydn</i>	1977
Druckman	<i>Prism</i>	1980
Kagel	<i>Finale</i>	1981
Tippett	<i>Festal Brass With Blues</i>	1983
Bolcom	<i>Orphée-Sérénade</i>	1984 (CDB)
Schnittke	<i>(K)ein Sommernachtstraum</i>	1985
Schnittke	<i>Quasi Una Sonata</i>	1987
Daugherty	<i>Dead Elvis</i>	1994? (date received from publisher)

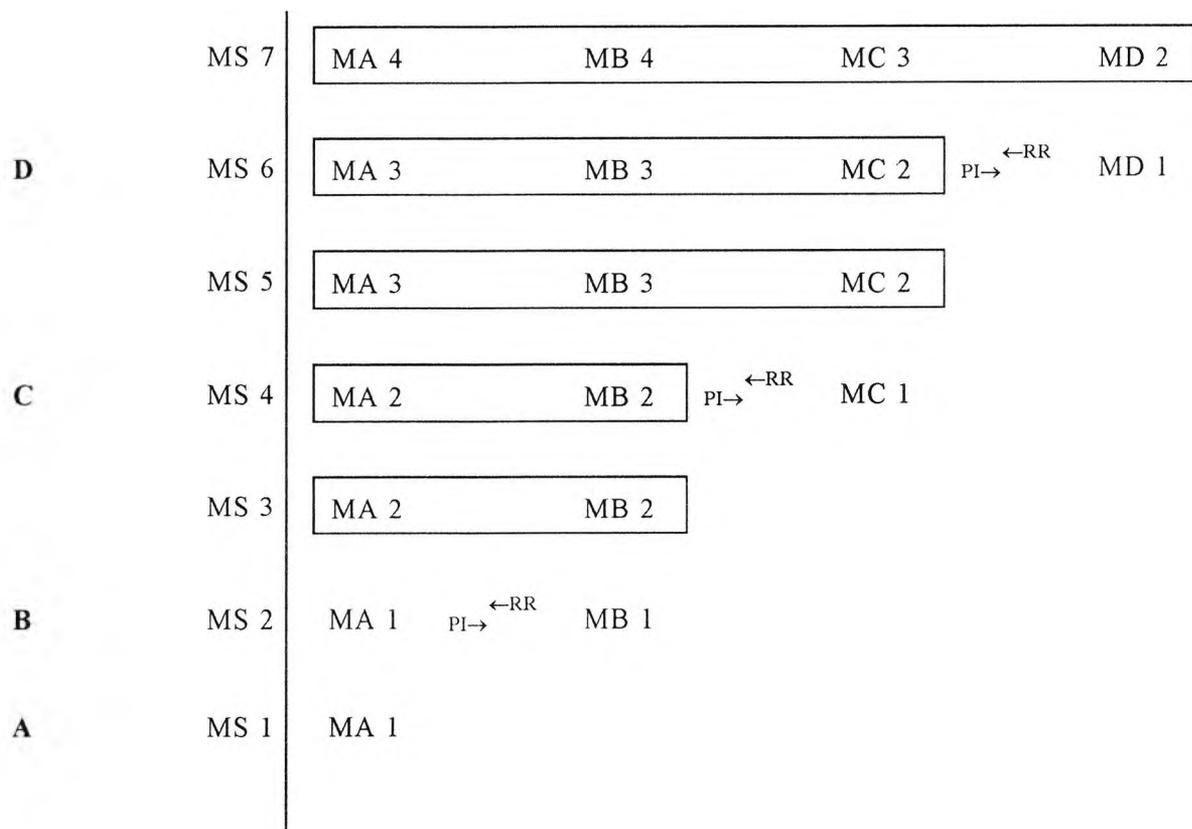
Musical score for measures 29-32. The system consists of two staves. Measure numbers 29, 30, 31, and 32 are indicated above the staff. The music is in 4/4 time. Measure 29 starts with a forte (*f*) dynamic. Measures 30 and 31 feature accents (>) and a decrescendo (*dim.*) dynamic. Measure 32 continues the decrescendo.

Musical score for measures 33-36. The system consists of two staves. Measure numbers 33/41, 34/42, 35/43, and 36/44 are indicated above the staff. The music is in 4/4 time. Measure 33 starts with a piano (*p*) dynamic. Measure 35 features a crescendo (*cresc.*) dynamic. The system concludes with a fermata over the final note of measure 36.

Musical score for measures 37-40. The system consists of two staves. Measure numbers 37, 38, 39, and 40 are indicated above the staff. The first ending is marked "1st". Measure 37 starts with a forte (*f*) dynamic. Measure 38 features a decrescendo (*dim.*) dynamic. Measure 39 starts with a piano (*p*) dynamic. Measure 40 continues the piano dynamic.

Musical score for measures 45-48. The system consists of two staves. Measure numbers 45, 46, 47, and 48 are indicated above the staff. The second ending is marked "2nd". Measure 45 starts with a forte (*f*) dynamic. Measure 47 starts with a piano (*p*) dynamic. Measure 48 features a decrescendo (*dim.*) dynamic.

APPENDIX II Manuscript excerpt from Tchaikovsky's *Süsser Traum*



↑  
 Stages in the  
 memory of  
 grouped  
 sonic events  
 in  
 Time

Key:

- A, B, C, D            four sonic events
- MS                    memory stage
- MA, MB, MC, M    memory of sonic events A, B, C and D
- RR                    retroactive re-injection
- PI                    proactive injection

**APPENDIX III** A further version of the diagram to show retroactive re-injection (RR) and proactive injection (PI) on grouped sonic events

Twelve-note  
verticality  
↓

Tone row →

The musical score displays ten staves, each representing a different instrument. The instruments and their corresponding staves are: oboe (ott.), flute (fl.), oboe (ol.), bassoon (ol. b.), fagot (fg.), contrabassoon (ofg.), cor Anglais (cor.), trumpet (tr.), trombone (tbn.), and another trombone (tbn.). Each staff shows a sequence of notes with fingerings indicated by numbers 1-12 below the notes. The notes are arranged in a way that demonstrates the twelve-note verticality of the tone row.

The second note in the double bassoon part is printed in the score at bar 144 as an F. This is assumed to be a misprint. The correct pitch for this part to fit with the tone row would be a G.

**APPENDIX IV** The full horizontal tone row and twelve-note verticalities from Pärt's  
*Credo*

Text	Score bar numbers and CD timings	Origin of text
'Credo, credo, credo in Jesum Christum, in Jesum Christum'.	Bars 1-15; CD 0'00"-1'22".	Latin Mass
'Audivistis dictum: oculus pro oculo, dentem pro dente'.	Bars 27-32; CD 2'23"-2'45".	Old Testament: Exodus 21:24; Leviticus 24:20 and Deuteronomy 19:21.
'O-cu-lum pro o-cu-lo, den-tem pro den-te'.	Bars 153-227; CD 4'32"-5'35"	Old Testament.
'Oculum pro oculo, dentem pro dente'. (Repeated ten times.)	Bars 228-257; CD 5'35"-6'00".	Old Testament.
Aleatoric text.	Bars 304-353; CD 6'40"-7'37".	Cannot be deciphered.
'Autem ego vobis dico: non esse resistendum injuriae, non esse, non esse resistendum injuriae, injuriae, non esse resistendum, non esse resistendum'.	Bars 356-400; CD 7'48"-11'30".	New Testament: Matthew 5:39.
'Credo, credo'.	Bars 402-404; CD 11'39"-11'57".	Latin Mass.

Crocker (1980, 29) defines the 'Credo' as an 'affirmation of Christian belief, sung as part of the Latin Mass between the Gospel and the Offertory'.

Matthew 5:38 and 5:39 (New Testament) provides a translation for most of the Latin text heard in *Credo*: 'Ye have heard that it hath been said, an eye for an eye, and a tooth for a tooth: But I say unto you, That ye resist not evil: but whosoever shall smite thee on thy right cheek, turn to him, the other also' (King James Bible).

In the table the 'eye for an eye, tooth for a tooth' text is listed as an 'Old Testament text' because in Matthew 5:38 this phrase is only cited so that it can be immediately contradicted, whereas in the Old Testament it is not refuted.

#### **APPENDIX V** Table summarising the text and the origins of the text from Pärt's *Credo*

## APPENDIX VI

The excerpts from Mozart's KV 416d quoted in Schnittke's *Moz-Art*

Schnittke's <i>Moz-Art</i>		Mozart's KV 416d	
score figures	bar numbers	scene number	bar numbers
1	1-11	I	1-10
2	12-21	I	1-10
3	22-28	I	11-17
4	29-32	II <sup>1</sup>	1-4
		XII	1-4
5	33-35	II	13-15
		XII	5, 14 and 7
6	36-43	XI	1-8
		III	1-7
7	44-51	XI	9-16
		III	8-15
8	52-55	XI	17-20
		III	23-26
9	56-63	XI	21-28
		III	28-44

---

<sup>1</sup>Schnittke's *Moz-Art* is for two violins, so quotations of material from two different scenes may occur simultaneously.

Schnittke's <i>Moz-Art</i>		Mozart's KV 416d	
score figures	bar numbers	scene number	bar numbers
10	64-68	XI (?)	29-33
		III	44-52
11	69-73	XI	34-38
		III	61-71
12	74-77	XIII	1-4
		X	5-8
13	78-81	XIII	5-6
		X	1-4
14	82-85	XIII	7-8
		X	5-8
15	86-89	XIII	9-10
		X	9-12
16	90-93	XIII	11-13
		X	13-16
17	94-95	X (?) <sup>2</sup>	2 (?)
18	96-100	VI	1-4
		VI	5 (?) and 6

<sup>2</sup>A question mark in brackets signifies that the material bears only a slight resemblance to the excerpt from KV 416d suggested as a previous context.

Schnittke's <i>Moz-Art</i>		Mozart's KV 416d	
score figures	bar numbers	scene number	bar numbers
19	101-104	VII	1-7
		VI	1-4
20	105-112	VII	8-11
		VII	5-8
21	113-116	VIII	1-4
		VI	1-8
22	117-120	VIII	5-8
		II	5-8
23	121-124	IX	1-4
		VII	35-38
24	125-130	IX	5-10
		VII	39-44
25	131-134	VII	14-17
26	135-138	VII	18-21
27	139-141	VII	21-24
		VII	21-23
28	142-145	VII	25-28
		IX	1-4
29	146-151	VII	29-30, 69-72
		IX	5-10

Schnittke's <i>Moz-Art</i>		Mozart's KV 416d	
score figures	bar numbers	scene number	bar numbers
30	152-155	IX	1-4
		VII	25 and 27-28
31	155-157	Mozart's <i>Symphony No. 40</i> (KV 550)	1-3
31	158-161	IX	7-10
		VII	72-75
32	162-165	VII	76-79
		I	10-18
33	166-174	I	10-18
		VII, I, VII	76-79, 17-18, 45

## GLOSSARY

Each of the definitions in this glossary is followed by a section, chapter or appendix number and a page reference in square brackets.

### **appropriation**

A term generally used to imply the taking of material for one's own use (sometimes with a negative connotation) or, in Western music studies, to indicate the re-use of music from another culture. [1.7, 25]

### **artefact-type**

A group or class of TCAs which derive from similar previous contexts. [4.1, 108]

### **authentic decoding**

A decoding where a decoder's deciphered code matches an encoder's envisaged code. [2.3, 42]

### **autobiographical decoding**

This occurs when a deciphered code for a TCA is individual to a particular decoder (and is perceived as personal). Such decodings are not usually envisaged by an encoder. [2.4, 45]

### **autobiographical encoding**

An encoder may invest a TCA with an autobiographical meaning. It is unlikely that this meaning could be encrypted in a form which decoders could recognise, unless a decoder knows an encoder personally or has some other access to an encoder's autobiographical meaning. [2.4, 45]

**balanced TCA**

An idealised type of TCA that is neither too covert nor too overt. [2.8, 56]

**best fit**

A process of approximation, where a decoder outputs the most accurate 'known' match for a TCA. When a TCA is derived from a previous specific context, unknown to a decoder, that decoder may still output a fair (hypothetical) match. [3.3, 76]

**block**

A TCA, or a section of a TCA, that has a distinct beginning and end, as opposed to a TCA that is gradually revealed, or recedes relatively slowly. [2.6, 50]

**borrowing**

A term to describe any re-use of material (including material not intended to be recognised). [1.7, 24]

**code**

The meaning associated with a previous context, represented by a TCA and intended to be transmitted to a decoder. [1.5, 18; 6.6, 155]

**collage**

A term mostly used in the visual arts to indicate 'the sticking together of disparate elements to form a picture' (Bullock and Trombley 1988). [1.8, 26]

**collective code**

A non-autobiographical code known to an encoder and many decoders. [2.4, 45]

**competence, decoder**

A competent decoder is capable of recognising a previous context of a TCA with a high degree of specificity (where this is appropriate). A less competent decoder may recognise a less specific or less relevant previous context. [1.5, 18; 2.3, 40; 6.6, 155]

**composer, reference to a**

An artefact-type or classification of TCA (type 3) where an important part of the code depends on a decoder recognising a particular composer. [4.1, 109]

**context-dependency effect**

A phenomenon described by Baddeley (1990, 268) where 'material in one environment may be difficult to recall in a dramatically different context'. [2.2, 37]

**covert TCA**

An artefact made relatively difficult to recognise due to transformation, masking or brevity. [2.8, 52]

**decoder**

A listener who is expected to decipher the code associated with a TCA. [1.2, 12; 1.5, 18; 2; 6.6, 155]

**double-coding**

A term, used by Jencks (1991), to indicate buildings where two different elements result from the mixing of an architect's code and a client's code. [1.9, 28]

**encoder**

A contemporary composer who encrypts a TCA within a work with the intention that a code should be deciphered by a listener (a decoder). [1.2, 12; 1.5, 18; 2; 6.6, 154]

**envisaged code**

An encoder's version of a transcontextual code, or the code which an encoder expects a decoder to decipher. [2.3, 42]

**expert**

An expert decoder is usually a listener with a wide range of sonic experience, likely to be capable of recognising even the most covert TCAs. [2.3, 40]

**external prompt**

Any non-aural information (such as programme notes) about a TCA which may affect decoding. [2.9, 55]

**extrinsic context**

This has two aspects: meaning derived from a previous context transmitted as a code, and meaning generated in a present context due to a decoder's interpretation of the interaction of a TCA with non-transcontextual material or with other TCAs. [1.2, 12; 3.2, 58]

**flux**

The changing state of a decoder's stored sonic experience, due to forgetting (loss or obliteration) and interference (the mixing or interaction of separate sonic events). [2.1, 36]

**forgetting**

Loss or obliteration over time of all or part of a memory so that output of a sonic experience cannot occur. [2.5, 46]

**form, reference to a**

A possible artefact-type or classification of TCA where a transmitted code refers to a particular musical form (or the 'structure' of a previous context), such as binary form. [4.5, 124]

**genre, reference to a**

Describes two possible classifications of a TCA: in art music where a TCA refers to a genre (type 4) or where a TCA in an art music present context refers to a non-art music previous context (type 5). [4.1, 109]

**grouped sonic events**

Stored sonic events which are perceived as similar by a decoder. These similar events form a single group or class within the memory. [2.5, 49]

**hypothetical previous context**

The source for a TCA when it is derived from (or is perceived as originating from) a style, rather than a specific work or composer. [3.3, 73]

**independent context**

Used by Baddeley (1990, 28) to describe a context which does not alter the meaning of a word, so that a word and its context can be separated (the opposite of 'interactive context'). [2.2, 39]

**input**

The first of three stages in a decoder's processing of a sonic experience. This could contribute to the formation of the previous context of a TCA if it survives the next two stages (storage and output). [2.1, 34]

**integration**

The entrance, passage and exit of a TCA and its interaction with non-transcontextual material or other TCAs in a present intrinsic context. There are two main classes of integration: those involving sudden change from one type of material to another (juxtaposition and interpolation) and those involving less sudden change (merging and layering). [3.4, 95]

**intention, encoder**

An encoder (composer) intends to encrypt information within a TCA and to transmit it to a listener who is expected to adopt the role of decoder. If musical material can be recognised by a listener, but there is no intention to encode, then that material cannot be regarded as transcontextual. [1.2, 18; 2.6, 50; 6.6, 154]

**interactive context**

A term used by Baddeley (1990, 268) to describe a context which alters the meaning of a word so that the word and its context cannot be separated (the opposite of 'independent context'). [2.2, 39]

**interculturalism**

A term used by Euba (1989, 116) to describe music 'in which elements from two or more cultures are integrated'. [5.7, 138]

**interference**

A process which may occur during the storage of a sonic experience where there are alterations to a memory over time due to its interaction with other stored sonic events. [2.5, 47]

**interpolation**

A technique of integration where a TCA is embedded in non-transcontextual material, or vice versa, giving the impression that one type of material has been temporarily interrupted by another type. Interpolation may also occur when one TCA is interpolated by another TCA. [3.4, 96]

**irony**

In language this usually suggests the reversal of a surface-statement with the intention of meaning the opposite of what is said. [1.6, 22]

**juxtaposition**

A technique of integration which involves sudden change from non-transcontextual material to a TCA or vice versa. Juxtaposition could also occur between different TCAs. With this technique there is an identifiable 'point of change'. [3.4, 95]

**layering**

A technique of integration where two types of material are heard simultaneously (either non-transcontextual material with a TCA or different TCAs). [3.4, 98]

**long-term store**

A memory store of almost unlimited capacity which has the potential to hold information for many years. [2.1, 36]

**masking**

This occurs when one layer (non-transcontextual or a TCA) in a present intrinsic context is more prominent than another. An encoder may almost obliterate a masked layer but a decoder may bring it back into prominence by choosing to focus on that (backgrounded) layer. [3.4, 99]

**merging**

A technique of integration where one type of material overlays the start or finish of different material. Merging can occur between non-transcontextual material and a TCA or between different TCAs. This may include a type of masking, where an established layer hides the start of a new layer. [3.4, 100]

**mismatch**

A mismatch occurs where an encoder's envisaged code for a TCA is different to the actual code as deciphered by a decoder. [2.3, 43; 5.5, 136]

**montage**

A term mostly applied to film media to describe the act or process of making a composite photographic or cinematic image. [1.8, 26]

**non-transcontextual**

Any material in a contemporary musical work that is not a TCA, but surrounds or is heard alongside the transcontextual material, forming a present context. [1.4, 15]

**novice**

This term usually describes a decoder with relatively little sonic experience, although a listener who could generally be described as a novice may demonstrate a higher than expected degree of expertise in some cases. [2.3, 40]

**output**

This can only occur if a decoder has already input and stored a sonic experience perceived as similar to a TCA. It is this stage in a decoder's processing of a sonic experience that forms the actual previous context of a TCA as far as a decoder is concerned. [2.1, 34]

**overt TCA**

A transcontextual artefact that is evident and easy to recognise for most decoders. [2.8, 52]

**parody**

A term used to describe various re-uses of material either where the intention is to mock the source or where a re-use is more neutral. [1.6, 20]

**pastiche**

A term which usually describes a neutral re-use of material 'from the past', but in music it can also describe any stylistic simulation. [1.6, 22]

**plunderphonics**

A term used to describe the illegal or unethical re-use of sampled recordings (Davies 1996, 10). [7, 158]

**pluralism**

A term first used to describe Zimmermann's music, defined by Griffiths (1986, 139) as 'the use of different styles within a work, often simultaneously'. [1.9, 27]

**polystylism**

A term often associated with Schnittke's music. It describes the use of several styles within one work. [1.9, 27]

**present context**

The new context or non-transcontextual material that surrounds or is heard alongside a TCA. [1.2, 12; 3.4, 93]

**present intrinsic context**

This includes both a TCA and its surrounding non-transcontextual material: how these two interact and how a TCA may be altered (or transformed) in a present context. [1.2, 12; 3.4, 93]

**previous context**

The context which a TCA is transferred from. As a general rule a previous context may be 'specific' when a TCA derives from a particular piece or it may be 'hypothetical' when the TCA refers to a more generalised style. [1.2, 12; 3.3, 73]

**proactive injection (PI)**

One of two types of interference (the other being retroactive re-injection) where an earlier sonic experience in storage affects a later one. [2.5, 47]

**quotation**

A term usually used to indicate the re-presentation of already known material, either in the same form or transformed compared with the original. Such re-uses in music may be transcontextual if they are intended to be deciphered by a decoder. [1.7, 23; 3.3, 87]

**re-input**

The experience of recognising and interpreting a TCA may re-enter storage and contribute to a future output to form a more detailed previous context for the same TCA or a related TCA. [2.1, 36]

**retroactive re-injection (RR)**

One of two types of interference (the other being proactive injection) where a later sonic event in storage affects an earlier one. [2.5, 47]

**retrospective TCA**

Material not decoded as a TCA as soon as it is heard, but only in retrospect because of its association with a TCA or TCAs which follow it. [3.4, 105]

**self-allusion**

A rather specialised type of TCA which occurs when both a previous and a present context are composed by the same person. [4.4, 122]

**shared autobiographical decoding**

A type of autobiographical decoding perceived as personal by a decoder, but one that may apply to many decoders and could conceivably be envisaged by an encoder. [2.4, 45]

**sign**

A TCA can be viewed as a sign which represents a previous context, divisible into the two parts of signifier and signified. The musical materials that comprise a TCA are the signifier and the 'meaning' of a TCA is the signified. A single TCA has many potential, connected, signifieds which form a signified network. [3.2, 58]

**specific previous context**

The source for a TCA when it is derived from, or is perceived as originating from, a particular work. [3.3, 73]

**specificity, degree of**

Various points on a continuum ranging from the least specific decoding (where a decoder recognises a generalised musical style) to the most specific decoding possible (where a decoder recognises a particular work). [2.3, 40; 3.3, 73 and 75-78]

**storage**

The second stage (following input) in a decoder's processing of a sonic experience which could form the previous context of a TCA. An input may be lost or obliterated at this stage, due to forgetting, or altered, due to interference with other sonic events. [2.1, 34; 2.5, 46]

**style-modulation**

A term used by Dickinson (1989, 208 and 1996, 3) to describe 'the use of different styles within a single musical work in a way which is as calculated as any other element of control'.

[1.11, 29]

**style, reference to a**

One of the artefact-types or classifications of TCA (type 1), occurring where no work, composer or genre is recognised by a decoder, but rather a more generalised musical style.

[4.1, 109]

**switch**

The process of changing from non-transcontextual to transcontextual material or between different TCAs as perceived by a decoder. [1.5, 18]

**time-dependence**

A TCA is time-dependent if it cannot be recognised by future decoders or if the future code is not as the encoder originally envisaged. [2.7, 51]

**'tip-of-the-tongue' decoding**

A particular type of decoding where recognition of a previous context occurs, but the previous context is not recalled to the extent of naming. [2.3, 43]

**'trans'**

A prefix to signify the crossing of an artefact from one context to another. For example, in '*trans*contextuality' an artefact crosses from a previous to a present context and a '*trans*cultural' artefact crosses from one culture to another. [1.5, 18; 6.6, 154]

**transcontextual artefact (TCA)**

An excerpt of musical material derived from a previous context and included in a contemporary work in a different style. [1.2, 12]

**transcultural artefact**

A type of transcontextual artefact which crosses from the music of one culture to the music of another culture, for instance, from a previous non-Western context to a present Western context. [5.1, 127]

**transformation**

The changes made to a TCA in a present intrinsic context. To detect these changes a decoder may compare a TCA to a previous context, or to preceding versions of a TCA in the present context. [3.4, 101]

**twelve-note verticalities**

The vertical form of the twelve notes from a tone row, spread over several octaves. [3.2, 69; IV, 165]

**work, reference to a**

An artefact-type or classification of TCA (type 2) where an important part of the transcontextual code depends on a decoder recognising a specific work. [4.1; 109]

## TRANSCONTEXTUAL DISCOGRAPHY

This is a list of recordings of contemporary works which contain TCAs. The various media are specified using the following abbreviations: CD (compact disc); TP (cassette tape); LP (long-playing record). Where more than a single work is included under a particular composer's name, recordings are listed in order of publication.

Berg, A.

—CD: *Violinkonzert ('Dem Andenken eines Engels')*. Itzhak Perlman (violin); Boston Symphony Orchestra; Seiji Ozawa (conductor). Deutsche Grammophon. 447 445-2; Hamburg, 1980.

Berio, L.

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