Music and/as Process

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Cambridge
Scholars
Publishing

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This book first published 2016

Cambridge Scholars Publishing

Lady Stephenson Library, Newcastle upon Tyne, NE6 2PA, UK

British Library Cataloguing in Publication Data
A catalogue record for this book is available from the British Library

ISBN (10): 1-4438-9491-5
ISBN (13): 978-1-4438-9491-3

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INTRODUCTION

VANESSA HAWES AND LAUREN REDHEAD

'Process' links many different threads of contemporary musical research. The most well-established use of the term in music is in relation to process music, given focus and definition in Steve Reich's essay, 'Music as a Gradual Process'. Reich wrote, 'the distinctive thing about musical processes is that they determine the note-to-note (sound-to-sound) details and the overall form simultaneously.'[1] Of course, this description is not limited to music of the style of Reich's early minimalist works: music to which the definition can be applied includes much contemporary music, experimental music, improvisation and improvisatory practices, devising practices, and practice-led approaches to (the understanding of) music, all of which are represented in this volume.[2] The term 'process' has been understood broadly in order to incorporate a range of perspectives. However, rather than simply processes *of* interpretation, performance, composition, or analysis, these and other processes can be found *in* the music discussed in each chapter. Inspired by Reich's definition, the processes discussed here are audible or perceptible in the music concerned. This includes occasions when musical processes are made perceptible through the experience of iterative processes, or of traces from rehearsal or the creative process. The acknowledgement of a musical piece *being* and also *having* a process, and that these two concepts may be linked or even ostensibly the same thing, necessarily requires an understanding of the notion of a musical 'work' that goes beyond seeing that 'work' as an object to be studied from without, but, rather, recognizes it as a process to be experienced from within.

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[1] Steve Reich, 'Music as a Gradual Process', in *Writings About Music*, ed. by Paul Hillier (Oxford: Oxford University Press, 1975), pp.9-11 (p.9).

[2] Further areas of interest—including early music and non-western music—can be identified. These, and other, areas could be considered as areas for development for future publications in this field.

This volume draws on practice-led research, with core areas of interest in compositional issues, performance practice, and the musicology of process in music, including its analysis. By its nature, research in this area is cross-disciplinary, taking in approaches from other creative arts and social science practices. In recent years, practice-led research has represented a challenge to musicology, in that the frameworks of contemporary musicology—with a long history of the study of music as an object—cannot always present, support and assimilate practice-led work. The musicology of musical processes provides one model of how practice-led and 'traditional' musicology might support and complement each other, and may contribute to thinking about how practice-led research is disseminated and evaluated for exercises such as the UK's Research Excellence Framework.

In the late twentieth century musicology began to challenge the terms of its own discourse through the consideration of subjectivity and the social dimension of music, particularly through the 'New Musicology' movement, and the increasing influence of cultural studies, ethnomusicology, popular music studies and music psychology. The nature of the 'work' of music has been addressed and problematized by scholars such as Lydia Goehr,[3] and the nature of the score and its information has been questioned and re-addressed in both the experimental music and historically-informed performance movements. But it is no longer enough only to problematize the 'work', and address the work concept, in terms of ontology—although there is undoubtedly still work to be done in addressing the ontology of the musical work—and contemporary scholars are beginning to interrogate and embody what Foucault describes as the 'space left empty by the author's disappearance'.[4] This empty space, and the question of what might fill it, invites the exploration of the experience of the practitioner, and processes of collaboration, communication, creativity, and sociability. An example of this is in the interpretation of graphic notation, a subjective and personal experience of the process of transforming one kind of musical information into another; here control and responsibility are distributed among practitioners and processes. The challenge of graphic notation provides further context to the debate on authorship and ontology from the empirical experience of the practitioner.

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[3] Lydia Goehr, *The Imaginary Museum of Musical Works* (Oxford: Oxford University Press, 1992).

[4] Michel Foucault, 'What is an Author?', in *The Foucault Reader*, ed. by Paul Rabinow (London: Pantheon, 1985), pp.101-120 (p.105).

The composer-author and performer-interpreter are not the only practitioners whose role is under construction in the post-New Musicology frameworks of music study, and the space left empty by the analyst's disappearance in the aftermath of the problematization of analysis as an objective discipline is also one which provides opportunities for exploration. Joseph Kerman,[5] Kofi Agawu[6] and Jean-Jacques Nattiez[7] have all addressed this issue within the fields of hermeneutics and semiotics. Just as processes of interpretation and construction can be interrogated through a consideration of graphic notation, more traditional forms of notation can also be considered from new perspectives in the tradition of these 'new analysts'. Examples of this are the social and/or personal dimension of music addressed within the musical discourse itself and the processes through which this discourse is experienced. Experience and structure are entwined, and the analyst becomes an acknowledged active agent in the process of generating musicological work.

The re-framing of the traditional roles of objects and practitioners in the work of music, and in the work of musicology, invites a perspective with its origin as the active interaction between objects and practitioners: practice-led research, including the work of composers *as* composers and performers *as* performers and not just as musicologists writing about composition and performance. As such, the notion of music and/as process addresses some of the themes of one of the most important and comprehensive edited volumes about the study of music in the past, *Rethinking Music*,[8] and those of Nicholas Cook's more recent book, *Beyond the Score*.[9] Cook outlines a scholarship for music in which meaning is generated in real time through the process of performance. There is also an expanding literature in the area of practice-led research and its methodological critique. Edited books by Hazel Smith and Roger

[5] Joseph Kerman, 'How We Got into Analysis, and How to Get Out', in *Write All These Down: Essays on Music* (Berkeley: University of California Press, 1994); reprinted from *Critical Inquiry*, vol.7 (1980), 311-331.

[6] Kofi Agawu, 'How We Got Out of Analysis, and How to Get Back In Again', *Music Analysis*, vol.23, no.2/3 (2004), 267-286.

[7] Jean-Jacques Nattiez, *Music and Discourse: Towards a Semiology of Music*, trans. by Carolyn Abbate (Princeton, NJ: Princeton University Press, 1990).

[8] *Rethinking Music*, ed. by Nicholas Cook and Mark Everist (Oxford: Oxford University Press, 1999).

[9] Nicholas Cook, *Beyond the Score: Music as Performance* (Oxford: Oxford University Press, 2013).

Dean,[10] Estelle Barrett and Barbara Bolt,[11] and reflections such as those by Patricia Leavy,[12] have all begun to address aspects of the processes and practices of practice-led research, although with very little focus on music. This book emphasizes the foregrounding of the active agent in musical activity, auto-ethnography as a method of empirical study, and self-reflexive practices—which may include writing—as a method for research.

Although the diverse topics in this volume can be roughly categorized into sections written from the point of view of the analyst, performer and composer, each of these is much more than that categorization implies. Composers are also performers, performers compose: all are analysts. The analysis presented concentrates on the active in music making, and on the non-traditional and interdisciplinary in analysis. Investigating process rehumanizes analysis and so-called mathematical approaches to composition; performance and composition are employed in investigations of musical meaning as well as of individual creativity. The three sections of the book represent the familiar categories of analysis, performance and composition, but this is just one way of grouping the authors' work here. Themes and threads generated by an interrogation of the notion of music and/as process are many and varied, and readers will find fruitful connections between chapters across and between the three sections.

This book will be of interest to those working in process music, new music, composition, interdisciplinary issues, performance studies, aesthetics and the philosophy of music, music analysis, multimedia and creative arts research and those interested in the evolution of the idea of music as a subject of research: the accelerating transformation of its consideration from object to process, and the challenges this presents both in terms of disciplinary development and wider academic frameworks. In addition, the approach to music analysis, performance, composition, and practice-led research taken by the authors should be of interest to those involved in the practice of music both as professional performers and composers within and outside of the academic profession.

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[10] *Practice-led Research, Research-led Practice in the Creative Arts*, ed. by Hazel Smith and Roger T. Dean (Edinburgh: Edinburgh University Press, 2009).

[11] *Practice as Research: Approaches to Creative Arts Enquiry*, ed. by Estelle Barrett and Barbara Bolt (London: I.B. Taurus, 2007).

[12] Patricia Leavy, *Method Meets Art: Arts-Based Research Practice* (New York: The Guilford Press, 2009).

Many of the authors included are practitioners themselves. The volume, then, is very personal to those authors presenting individual and developing approaches to the problem of doing music in contemporary academia. The perspective is from the inside, the reflections are based on experience and the possibilities are exciting. The range and breadth of perspectives presented also give rise to surprising connections, often at the philosophical level.

Analysis as/of Process

The first section of the book deals with the analysis of performance and the performance of analysis. The historical nature of music and the recognition of pieces—by Igor Stravinsky, Philip Glass and Arnold Schoenberg—as musical 'works' in the traditional sense, is questioned by the authors, and is a factor in the analyses which address processes in composing, performing, and listening, and the links and overlaps between these, in three very different but interconnected ways. These three approaches posit new directions and territory for musical analysis.

Nicholas McKay directly addresses the process of analysis and the nuanced way in which it can understand process. The notion of introversive and extroversive processes is used as a tool to understand Stravinsky's compositional approach and to address the ability of score-based semiotic analysis to interrogate processual elements of music. McKay's method has implications for the understanding of Stravinsky, of process, and of semiotics: it is a subtle approach to explaining how the focus on process in analysis might recontextualize some of its existing methodological tools, and demonstrate that the social dimension of music can be addressed within its musical discourse, and that such an approach might considerably contribute to the understanding of musical processes even in works as well known as *The Rite of Spring*.

This exploration of the *poietics* of a work is contrasted with the consideration of *esthesic* information within a computational analysis in the chapter by Suzie Wilkins, Keith Potter, and Geraint Wiggins. These authors bring the examination of experience and self-reporting into the sphere of analysis when considering the actual experience of the listener in the case of process music. Wilkins, Potter, and Wiggins address a strategy for the analysis of process music, with reference to *Gradus* by Philip Glass. They focus on the experience of the listener's real-time encounter with the piece: the idea of a 'surprise' is conceptualized as a key moment for the listener and a structural understanding of the piece is drawn from an analysis of these surprises.

Vanessa Hawes furthers this model of engagement with the piece as a method of analysis by following the developing understanding of structure in a single participant's engagement with a Schoenberg song from *Das Buch der hängenden Gärten*. Examining the relationship between performer and score, her analysis considers structure as a process and investigates how meaning in the music and its performance might be developed in and of this process of interaction and learning, while suggesting how an ecological approach to perception may be recontextualized for this kind of analysis, inspired by approaches to process music.

Performing Processes; Performance Processes

The second section builds on—and overlaps with—the first, framing performance and/as process from the individual perspectives of the authors and their experiences as practitioners. Music by Berio, de Falla, music by the authors and their collaborators, and music composed for the authors, is explored through looking at processes of interpretation and risk; processes which further undermine the ontology of the musical 'work' as traditionally understood, and bring the practitioner as active agent to the foreground of an examination of musical discourse.

Ellen Hooper examines the performance of, and link between, register and timbre in music by Berio and de Falla. She addresses risk in performance as an expressive and transformative technique, offering new perspectives on sung performances of the work from a performance-analysis perspective. The emphasis is on understanding performance as a personal interpretation of experience rather than a realization of elements within the score.

David Gorton and Zubin Kanga examine their own collaboration in the preparation of the extremely virtuosic solo piano piece *Orfordness*. They examine the concept of risk and its implications for collaboration in the development and performance of the work, and express the collaboration as a process of mitigating and re-introducing risk into the music.

Lauren Redhead's chapter is a reflection both on her own performance for organ and electronics of works of graphic notation, and on the relationship between the consideration of graphic notation and the ontology of the 'work' of music. Through looking at examples by Lucas, Fergler, and Mc Laughlin, she considers how these issues reflect a perceived hierarchy of composition and performance in the work concept, and how a strategy which considers works as a multiplicity might shed light on the process of the work.

Composition of/with Processes

The third section encounters and questions the musical 'work' at its inception, exploring composition and/as process through its encounters with performance, analysis, collaboration, improvisation, translation, experimentation and cross-disciplinarity. Through explorations of a number of new 'works' the way in which practitioners relate to music, to musical processes, and, finally, the processes of talking about those relations, frames a personal and reflective account of the creative process, finally looking beyond music to musicology.

Charles Céleste Hutchins addresses graphic notation as a tool for composition, situating his own practice in the context of a collaborative approach to performance by the group, Vocal Constructivists. He examines the interpretation of graphic scores beyond musical considerations: drawing inspiration from media studies literature on comics and graphic novels in his analysis of works by Cardew, Applebaum, Braxton, Schaeffer and Redhead. The process of developing a taxonomy of notation through engagement and multiple performances reveals the deep and rich interaction between performer and graphic score.

Michael Picknett addresses performance as composition, reflecting on approaches to devising in music and their compositional outcomes. The processes of research, creation, rehearsal and performance in theatrical devising are discussed in a musical context, providing a framework for examining collaboration, improvisation and experimentation in a musical process, and a completely new paradigm for relating to music.

Alistair Zaldua's chapter describes how the notion of translation can be applied to an understanding of pre-compositional processes in the collaborative composition of an audio-visual installation work. Drawing on post-structuralist translation theory, he outlines how 'translation' might be employed as a process for the creation of musical meaning, and how these meanings might be analysed or approached in an open-ended and multi-modal work such as his installation, *Leiden Translations*.

Steve Gisby addresses the composition of processes in five of his own works for various forces, with reflection on their relationship with other process compositions; particularly those by Tom Johnson. With mathematical processes at the heart of Gisby's compositional approach, he interrogates the interaction of the personal and impersonal, the subjective and the objective, problematizing the notion of the composer's role in relation to his own and Johnson's work.

Charlotte Purkis's chapter completes the focus on auto-ethnography and self-reporting found throughout the volume, through a feminist exploration

of her experience and compositional practice. This chapter presents writing about process and practice as its own process. Purkis extends the connecting thread of process and subjectivity through an engagement with both its subject matter and with the process of musicology itself, posing further-reaching questions about the re-thinking of musicology and its processes.

PART I:

ANALYSIS AS/OF PROCESS

CHAPTER ONE

INTROVERSIVE AND EXTROVERSIVE PROCESSES: RETHINKING STRAVINSKY'S MUSIC AS DIALOGUE BETWEEN FORMALIST AND EXPRESSIVE PARADIGMS

NICHOLAS MCKAY

This chapter is drawn from a keynote that comprised a series of examples, many of which I have previously published in other contexts, that together offer a miniature compendium of introversive and extroversive processes at play in Stravinsky's music. As I have formerly observed, [1] many commentators [2] have identified compositional and aesthetic processes of defamiliarization (or alienation) as the default rhetorical gambit of Stravinsky's musical language. In so doing, they have trained their analytical eyes on predominantly introversive syntactic moments of ungrammaticality operating through a variety of techniques.

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[1] Nicholas McKay, 'Dialogising Stravinsky: A Topic Theory and Gestural Interpretation', in *Igor Stravinsky: Sounds and Gestures of Modernism*, ed. by Massimiano Locanto (Turnhout: Brepols, 2014), pp.175-85, excerpts from which appear throughout this chapter.

[2] Cf. Theodor Adorno, *Philosophy of Modern Music* (London: Sheed and Ward, 1973); Daniel Albright, *Stravinsky: The Music Box and the Nightingale* (New York: Gordon and Breach, 1989); Leonard Bernstein, *The Unanswered Question: Six Talks at Harvard* (Cambridge, Mass. and London: Harvard University Press, 1976); Stephen Walsh, *Stravinsky: Oedipus Rex* (Cambridge: Cambridge University Press, 1993); Glenn Watkins, *Pyramids at the Louvre: Music, Culture, and Collage from Stravinsky to the Postmodernists* (Harvard: The Belknap Press of Harvard University Press, 1994).

These have included polyrhythm and polychords,[3] so-called 'wrong-note' neoclassic harmony, [4] iterative algorithmic cell sequences, paratactic juxtaposition structures and stratified textures [5] and dialogized genres evident in symphony and sonata forms that question the very formal conventions they simultaneously evoke.[6]

Discussion of Stravinsky's extroversive processes—the referential signs of stylistic topical references, allusive gestures and quotations—by contrast have remained relatively neglected, under-interpreted[7] or misread as personal stylistic idiolects [8] more than the commonalities of style required of musical topoi. [9] This marginalization and misreading of referential processes in Stravinsky scholarship is perhaps to be expected in light of the composer's well-documented anti-expressive aesthetics; [10] however dubious, ghostwritten and problematic they may be. Music that is 'sufficient in itself' [11] and 'essentially powerless to express anything at all' [12] does little to prompt one to even begin to look for referential processes.

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[3] Bernstein; Pierre Boulez, *Stocktakings from an Apprenticeship*, trans. by Stephen Walsh (Oxford: Clarendon, 1991).

[4] Louis Andriessen and Elmer Schönberger, *The Apollonian Clockwork on Stravinsky* (Oxford: Oxford University Press, 1989); Bernstein.

[5] Edward T. Cone, 'Stravinsky: The Progress of a Method', in *Perspectives on Schoenberg and Stravinsky*, ed. by Benjamin Boretz and Edward T. Cone (Princeton: Princeton University Press, 1968), pp.156-164.

[6] Jonathan Cross, *The Stravinsky Legacy* (Cambridge: Cambridge University Press, 1998); Martha Hyde, 'Stravinsky's Neoclassicism', in *The Cambridge Companion to Stravinsky*, ed. by Jonathan Cross (Cambridge: Cambridge University Press, 2003), pp.98-136; Joseph N. Straus, 'Sonata Form in Stravinsky', in *Stravinsky Retrospectives*, ed. by Ethan Haimo and Paul Johnson (Lincoln and London: University of Nebraska Press, 1987), pp.141-61.

[7] Angelo Cantoni, 'Verdi E Stravinskij', *Studi Verdiani*, vol.10 (1994), 127-154.

[8] Joseph N. Straus, *Stravinsky's Late Music* (Cambridge: Cambridge University Press, 2001), pp.183-248.

[9] Nicholas McKay, 'On Topics Today', *Zeitschrift der Gesellschaft für Musiktheorie*, vol.4, no.1 (2007), pp.159-83 (pp.160-161).

[10] Igor Stravinsky, *Poetics of Music in the Form of Six Lessons* (Harvard: Harvard University Press, 1994).

[11] Igor Stravinsky, 'Some Ideas About My Octuor', *The Arts* (1924), 4-6.

[12] Igor Stravinsky, *An Autobiography (1903-1934)* (London: Marion Boyars Publishers Ltd, 1990), p.53.

Despite these claims—but also as a strategy towards encoding them—Stravinsky's music in fact relies on rhetorical processes of *stylistic* defamiliarization just as much as it does *syntactic*. Prototypically these extroversive processes are subjected to three notable forms of alienation analogous to the inherent ungrammaticality found in the composer's introversive syntax. These result from deploying referential signs in states that could be summarized as: deracinated (displaced from their geographic and/or temporal associations), dysphoric (in a depressed, anxious or agitated state; contrary to the natural euphoric tendency of most musical topoi) and dialogized (contested with another—typically opposed—topic or allusive gesture).[13] Recognizing and interpreting these extroversive processes of defamiliarization on a par with the more commonly cited introversive ones prevalent in much Stravinsky scholarship prompts a reassessment of Stravinsky's music in more expressive terms. It offers a potential and vital means of re-humanizing Stravinsky's music in the wake of its objectified, machine-like, dehumanizing legacy[14] and modern-postmodern bind.[15] This chapter thus offers a rethinking of Stravinsky's music through a dialogical exchange between its introversive *and* extroversive processes; the two nodes around which much music semiotics—topic theory in particular—gravitates with its conceptual framework of 'pure' (syntactic) and 'referential' (stylistic) signs.[16]

The privileging of introversive, and marginalization of extroversive, processes in Stravinsky's music is in large part a consequence of the contested identity of *The Rite of Spring*. Stravinsky's claim in 1920 that he

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[13] Cf. for a further discussion of these three terms Nicholas McKay, 'Deracinated, Dysphoric and Dialogised: the Wild and Beguiled Semiotics of Stravinsky's Topical Signifiers', in *Proceedings of the International Conference on Music Semiotics in Memory of Raymond Monelle*, ed. by Nearchos Panos, Vangelis Lympouridis, George Athanasopoulos and Peter Nelson N., (Edinburgh: University of Edinburgh Press, (2012) 2013) pp.193-201; Edinburgh: International Project on Music and Dance Semiotics.

[14] Richard Taruskin, *Defining Russia Musically: Historical and Hermeneutical Essays* (Princeton; Chichester: Princeton University Press, 1997), pp.360-88.

[15] Pieter C. van den Toorn, '"Will Stravinsky Survive Postmodernism?" Review of Richard Taruskin, *Stravinsky and the Russian Traditions: A Biography of the Works through Mavra* (1996) and *Defining Russia Musically: Historical and Hermeneutical Essays* (1997)', *Music Theory Spectrum*, 22 (2000), 104-21.

[16] Kofi Agawu, *Playing with Signs: A Semiotic Interpretation of Classical Music* (Princeton: Princeton University Press, 1991); McKay, 'On Topics Today', p.163.

had written 'an architectonic, and not an anecdotic, work'[17] pointedly denied the composer's originally claimed extroversive inspiration for the work (the vision of a virgin dancing herself to death in a sacrificial rite) in favour of a seemingly new-found introversive point of departure (a purely syntactic musical construct). Whether to better align the work to his new-found formalist aesthetic ideology or to distance the work from its infamous premiere or both, Stravinsky's *volte-face* bifurcated the ontology of the work. Today, *The Rite*'s identity resides as much, if not more, in the introversive media of a score or concert-hall/audio-recording performance than it does in the more extroversive medium of a danced theatrical ballet (built upon ethnographic, primitive, folk fragments). It is more often seen as a forward-looking radical marker of European twentieth-century modernism than it is the product of its nineteenth-century Russian compositional heritage.[18]

The Rite has thus established a polemical dialogue between formalism and contextualism like almost no other work; a dialogue played out between its conflicting compositional, performance-practice, reception-theory and academic identities, ideologies and interpretations.[19] Today *The Rite* has become a work foregrounding the dialogism of its introversive-syntactic, and extroversive-semantic, processes—even if historically 'it', and branches of formalist musicology, were complicit in privileging the former and marginalizing the latter. The work itself thus embodies what literary theorists term a 'double-voiced discourse'[20] in its very ontology. In particular, it epitomizes Bakhtin's concept of a 'vari-directional discourse': one that pulls in different directions; a concept Korsyn[21] finds in his application of Bakhtin's theory to Brahms' music to account for its

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[17] Stravinsky's claim that he had written '*une oeuvre architectonique et non anecdotique*' (my translation in text) first appeared in a 1920 interview in Michel Georges-Michel, 'Les deux Sacres du Printemps', *Comoedia,* 11 December 1920, quoted in Taruskin, *Defining Russia Musically*, p.370.

[18] Richard Taruskin, *Stravinsky and the Russian Traditions: A Biography of the Works through Mavra* (Oxford: Oxford University Press, 1996).

[19] Taruskin, *Defining Russia Musically*, pp.360-388.

[20] Mikhailovich Bakhtin, *Problems of Dostoevsky's Poetics*, trans. by Caryl Emerson (Minneapolis: University of Minnesota Press, 1984); Mikhailovich Bakhtin, *The Dialogic Imagination: Four Essays*, ed. by Michael Holquist, trans. by Caryl Emerson and Michael Holquist (Austin: University of Texas Press, 1981).

[21] Kevin Korsyn, 'Beyond Privileged Contexts: Intertextuality, Influence and Dialogue', in *Rethinking Music*, ed. by Nicholas Cook and Mark Everist (Oxford: Oxford University Press, 1999), pp.55-72 (p.62).

simultaneous pull towards, and annihilation of, Beethoven's influence. *The Rite*, in short, is *une oeuvre* at odds with itself; *une oeuvre* in constant hermeneutic dialogue with itself; *une oeuvre* replete with *both* introversive and extroversive processes writ large by their inherent syntactic, stylist and strategic ungrammaticality and alienation.

Music Semiotics and Topic Theory's Architectonic-Anecdotic Dialogue

The Rite's architectonic-anecdotic split personality draws a striking parallel with the theoretical underpinnings of music semiotics; one of the last, major music analysis methodologies to emerge (somewhat belatedly) in the twentieth century. Unlike *The Rite*, music semiotics originated in architectonic structuralism—epitomized in the 1970s and 80s work of distributional analysis[22] and paradigmatic charts[23]—before undergoing its hermeneutic-semantic drift towards anecdotic topic theory.[24] Agawu[25] draws this distinction, contrasting hermeneutics and analysis as a manifestation of music's 'ultimately false', 'extrinsic–intrinsic dichotomy'; further listing 'rough equivalents' of these poles: 'semantic–syntactic', 'subjective–objective', 'extra-musical–musical', 'extra-generic–congeneric',[26] 'exosemantic–endosemantic',[27] and, of course, 'extroversive semiosis–

[22] Nicolas Ruwet, 'Methods of Analysis in Musicology', *Music Analysis*, 6 (1987), 3-36.
[23] Jean-Jacques Nattiez, *Fondements d'une sémiologie de la musique* (Paris: Union Générale d'Editions, 1975).
[24] Cf. for example: Agawu, *Playing with Signs*; Robert Hatten, *Musical Meaning in Beethoven: Markedness, Correlation, and Interpretation* (Bloomington, Ind.: Indiana University Press, 2004); Wye Jamison Allanbrook, *Rhythmic Gesture in Mozart: Le Nozze Di Figaro and Don Giovanni* (Chicago: University of Chicago, 1983); Raymond Monelle, *The Sense of Music: Semiotic Essays* (Princeton: Princeton University Press, 2000); Leonard G. Ratner, *Classic Music: Expression, Form and Style* (New York: Schirmer Books, 1980); a summary of which is presented in McKay, 'On Topics Today'.
[25] Kofi Agawu, 'The Challenge of Semiotics', in *Rethinking Music*, ed. by Nicholas Cook and Mark Everist (Oxford: Oxford University Press, 1999), pp.138-60 (p.145).
[26] Wilson Coker, *Music and Meaning: A Theoretical Introduction to Musical Aesthetics* (New York: The Free Press, 1972), pp.60-88; 147-170.
[27] Carl Dahlhaus, 'Fragments of a Musical Hermeneutics', *Current musicology*, 50 (1991), 5-20.

introversive semiosis'.[28] They are in essence all manifestations of Stravinsky's anecdotic–architectonic dichotomy articulated over *The Rite*. They all prompt the kind of dialogue between formalism and 'expressive discourse' that Whittall[29] finds in Hatten's approach to topic theory and that is advocated here as the key to re-humanizing Stravinsky's musical discourse and reception.

Pastoral Processes 1: *The Rite*, Part I, 'Adoration of the Earth' Introduction

An example of such an interpretative dialogue between these meta-ideological discourses surrounding *The Rite* is found at the very beginning of the work itself. The famous opening bassoon melody offers a primitive version of the pastoral,[30] heard in the mock Ukrainian *dudki* (peasant horns and pipes of wood and bone). This anecdotic, meandering evocation of primitive pastoralism, however, is immediately at dialogical odds with the architectonic, iterative, additive machinations of its concealed paradigmatic-chart-like construction. Anathema to the natural quasi-improvisatory ideals of pastoralism, this introversive precision-engineered syntax is highlighted in two landmark analyses: Boulez's[31] detailed, cell-structure, rhythmic analysis and Nattiez's [32] subsequent, Ruwet-inspired, paradigmatic

[28] Roman Jakobson, 'Closing Statement: Linguistics and Poetics', in *Semiotics: An Introductory Anthology*, ed. by Robert E. Innis (Bloomington: Indiana University Press, 1985), pp.147-175.

[29] Whittall, Arnold, 'Review of *Musical Meaning in Beethoven: Markedness, Correlation, and Interpretation* by Robert S. Hatten', *Journal of the Royal Musical Association*, 121 (1996), 116-124 (p.116).

[30] Discussions of Stravinsky's use of the pastoral topic are not uncommon (Geoffrey Chew, 'Pastoral and Neoclassicism: A Reinterpretation of Auden's and Stravinsky's *Rake's Progress*', *Cambridge Opera Journal*, 5 (1993), 239-263; Edward T. Cone, 'Stravinsky's Version of Pastoral', in *Hearing and Knowing Music: The Unpublished Essays of Edward T. Cone*, ed. by Robert P. Morgan (Princeton: Princeton University Press, 2009), pp.181-189; Straus, *Stravinsky's Late Music*). See McKay, 'Dysphoric States: Stravinsky's Topics—Huntsmen, Soldiers and Shepherds', in *Music Semiotics: A Network of Significations—In Honour of Raymond Monelle*, ed. by Esti Sheinberg (Farnham: Ashgate, 2012), pp.249-261 (pp.258-259), for a summary and critique of their scope and limitations. McKay, 'Dysphoric States', excerpted by permission of the Publishers, Copyright © 2012.

[31] Boulez, pp.60-62.

[32] Nattiez, pp.281-285.

distributional chart analysis of Boulez's cell sequences (resummarized in Figures 1.1a and 1.1b).

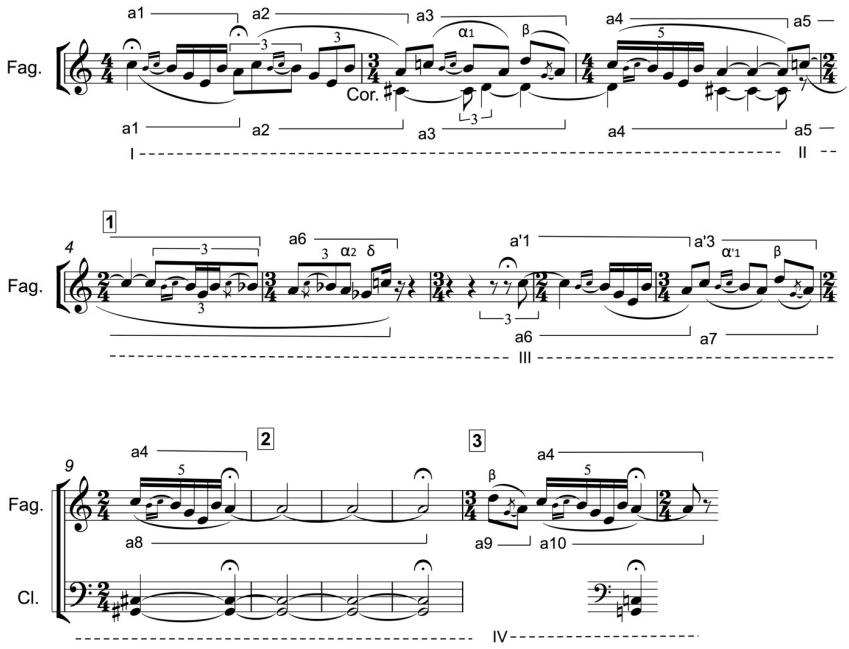

Figure 1.1a: Opening bassoon melody from Stravinsky's *The Rite of Spring*: Introduction to the 'Adoration of the Earth'. All melodic cell labels refer to Nattiez's distributional analysis, presented in Jean-Jacques Nattiez, *Fondements d'une sémiologie de la musique* (Paris: Union Générale d'Editions, 1975), pp.282-3.

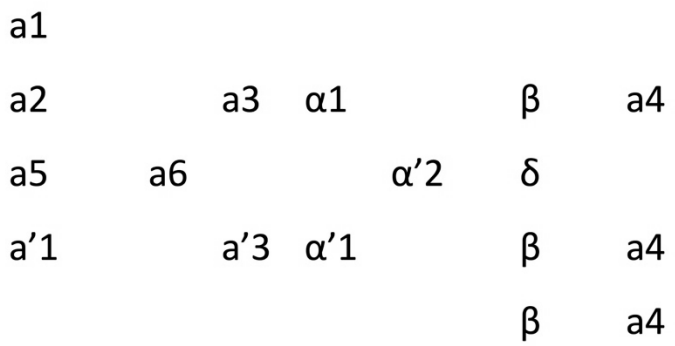

Figure 1.1b: Representation of Nattiez's distributional analysis of the opening of *The Rite of Spring*, as shown in Figure 1.1a.

The extent of Stravinsky's introversive precision tooling is evident in Boulez's analysis of what he terms 'fragment I'—the first four cells (a1, a2, a3 and a4). Boulez's descriptions add a further layer of methodological dialogism, conflating Stravinsky's native Russian compositional technique of additive, asymmetrical sequential processes with more Darmstadt-inspired serialist terminology and ideology. Note, for example, his observation that:

> a4 is symmetrically a retrograde—in sound-time, that is—of cell a1, with however a rhythmic acceleration in a4 which distinguishes them, as does the number of units. On the other hand cells a2 and a3 are related by inversion in sound-time and by symmetry in sound-space.

He further observes a process in which there is an 'increasing number of unit values which supports these structural symmetries and parallelisms' (a hallmark Stravinskian additive process) and that 'no value or subdivision in any one cell is repeated in any other':[33] another Stravinskian hallmark process of juxtaposing cells with maximized variability and unpredictability.

Nattiez's paradigmatic alignment of Boulez's analysis better discloses the iterative, additive, permutational processes at play in the bassoon melody: a kind of lyrical monody version of the abrupt block juxtaposition textural and structural principles of construction essayed in the first

[33] Boulez, pp.61-62.

tableau of the earlier *Petrushka* (1911). The processes of altered repetition in Stravinsky's mock *dudki* pipes draw obvious parallels with those Nattiez also found in Debussy's *Syrinx* (1913).[34] Stravinsky's micro-managed altered repetition, however, is less that of Debussy's quasi-improvisational feel—befitting its pastoral topic—and more the dialogized, introversive, constructivist precision engineering articulated by Boulez and Nattiez's analyses.

This is not the only important difference between Debussy and Stravinsky's pastoralism, however. Even within the domain of the extroversive referential sign alone, whereas Debussy 'correctly' *evoke*s the imagined idealism of the pastoral topic prototype (the misappropriated soft, caressing flute—a surrogate for the ancient panpipe syrinx), Stravinsky's mock *dudki* 'incorrectly' *depicts* something approximating the actual shepherd's instrument (the *aulós* or *tibia*; closer to an oboe or shawm; a double reed instrument of great power, usually played in pairs and very hard to blow). *The Rite*'s mock *dudki* pipes thus *depict*, rather than *evoke*, nature's primordial awakening of spring. As such, as I have previously argued,[35] they breach topic theory convention by rooting themselves more in social ethnography than idealized cultural imagination. This moment of extroversive ungrammaticality fails to adhere to the all-important topic-theory separation of signifieds from signifiers:[36] though more practical in shepherding, powerful reed instruments seldom figure in the pastoral topic.

The topical reference is therefore dysphoric, its uncomfortably high asthmatic bassoon register an extension of Stravinsky's native *stikhíya* dialect. Taruskin[37] attributes this term to Stravinsky's rougher, ethnographic, folk-inspired, discontinuous, juxtaposing, paratactic language style, epitomized in works like *The Rite* and *Les noces* and defined in polemic with *kul'túra*, a language style built on the western, Germanic hallmarks of high eighteenth-century classicism. The usual *kul'túra*: signifiers of musical pastoralism (perfect fifth musette drones, $^{6}/_{8}$ dotted Siciliana rhythms and simple scalic melodies moving in step) are notably absent; replaced here with an obsessively fixed, repeated sustained C falling to A

[34] Nattiez, pp.330-54.
[35] McKay, 'Dysphoric States: Stravinsky's Topics—Huntsmen, Soldiers and Shepherds'.
[36] Raymond Monelle, *The Musical Topic: Hunt, Military and Pastoral* (Bloomington: Indiana University Press, 2006), pp.207-208.
[37] Taruskin, *Stravinsky and the Russian Traditions*, pp.951-966.

(a linear substitute for a vertical bass drone, set on a minor third in place of the musette's fifth). This displacement of more commonplace euphoric topical conventions with a *stikhíya* dialect grounded in social ethnography comes as little surprise given *The Rite*'s anecdotic origins as an ethnological ballet under the guidance of Roerich. Nonetheless this classical ungrammaticality in Stravinsky's use of a rhetorical topic constitutes a stylistic analogue of the syntactic 'dissonance' of his polychordal, polyrhythmic, dialogized language.

Stravinsky's turn to social reality in *The Rite*'s dysphoric topical opening may well have been inspired as much by earlier Russian stage music pastoral takes as it was by the composer's own attempts at ethnographic, folkloric echoes. Taruskin cites the near identical '*leit-timbres*' of the woodwind colours in Rimsky-Korsakov's *Mlada* and *Snegurochka* ('springtime fable') as a certain influence, noting that Rimsky 'even prefaced his latter opera with an Introduction that depicts the awakening of spring'.[38] Either way, the sophisticated, introversive, architectonic, mathematical, calculated, engineered processes of the bassoon's opening cell structures remain dysphoric and therefore dialogized against the conventional quasi-improvised naturalism of the extroversive processes of the anecdotic, *dudki* pipe's primitive pastoralism. Rather like siding with one particular meter over another in a polyrhythmic texture such as the 'Procession of the Sage', to hear one without the other of these irreconcilable sound worlds is to misapprehend the music; to misread *The Rite*; to glimpse only a partial picture of *The Rite*'s processes, a failure to inter-animate the play of introversive and extroversive processes. *The Rite* is neither an architectonic nor an anecdotic work but an allotrope of the two in constant dialogical interchange witnessed through the interchange and exchange of introversive and extroversive semiotic processes. The challenge it poses for hermeneutic readings is to simultaneously grasp and grapple with its pure and referential sign processes, moving beyond attempts to privilege one over the other to better comprehend the primitive sophistication of its anecdotic-architectonic dialogues.

[38] Ibid., p.934.

Pastoral Processes 2: *Oedipus Rex*, Act 2, Shepherd's Aria

Stravinsky's turn to social reality in place of topical pastoral evocation is by no means unique to *The Rite* in Stravinsky's output. Act 2 of *Oedipus Rex* employs a pastoral aria,[39] shown here in Figure 1.2. The bass drone signifier is not that of a prototype zampogna (the Sicilian peasant shepherd's instrument) or musette (the refined, delicate, pastoral-imitating instrument of the French nobility), but a curious *ranz des vaches*: the traditional alpine horn music of Swiss herdsmen.[40] As with *The Rite*'s mock *dudki* pipes, the shepherd's pipes again highlight Stravinsky's predilection

[39] This reading of the Shepherd's aria from *Oedipus Rex* is previously published in, and excerpted by permission of the publishers from, Nicholas McKay, 'Dysphoric States: Stravinsky's Topics—Huntsmen, Soldiers and Shepherds', in *Music Semiotics: A Network of Significations—In Honour of Raymond Monelle*, ed. by Esti Sheinberg (Farnham: Ashgate, 2012), pp.249-261, Copyright © 2012 and 'Dialogising Stravinsky: A Topic Theory and Gestural Interpretation', in *Igor Stravinsky: Sounds and Gestures of Modernism*, ed. by Massimiano Locanto (Turnhout: Brepols, 2014), pp.175-85.

[40] Walsh, p.53.