Introduction

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In view of the diverse approaches to musical scholarship current today, the position that music's function is communication is not an obvious one to take. For many, a musical piece is an object to be contemplated, an organism to be examined, a mechanism to be deconstructed or a product to be consumed. None of these metaphors allows one to speak sensibly of musical communication. Yet none of them was in use in the late eighteenth century. At that time theoretical and aesthetic discourses about music were based upon the metaphor of music as language.[1] Within this metaphor, a composer or performer was compared to an orator, and a musical piece to an oration subdivided into parts, periods and sentences. Just as the art of rhetoric had its *raison d'être* in persuading the listener, so the art of composition consisted in arousing his sentiments. The musical repertory labelled by later generations as the 'Classical style' was thus an expression of the aesthetic stance which conceived of music as communication between composer and listener.

And yet, the comparison with rhetoric, dating back to the beginning of the sixteenth century, does not fully explain the characteristics of musical communication in the late eighteenth century. Rather, these characteristics are related to transformations of musical life bearing fruit in this period. Little by little, from the early decades of the eighteenth century on, music becomes the favourite kind of entertainment for the middle classes. This brings about a rapid growth of musical literacy manifested in the growing number of amateurs learning how to perform music. Beside amateur music making in the household and private or semi-public musical performances in the circle of guests, the institution of public concerts comes into being. The increase of the public role of music has a direct influence on its vocabulary. In place of the rhetorical figures characteristic of the Baroque, Classic music uses topics based upon allusions to different styles, genres and types of music making as its main source of expression. Proliferation of musical venues and multiplication of musical centres that can be reached via prints, concerts or commissions lead further to a differentiation of audiences. In order to successfully address a given audience, it is necessary for composers to avail themselves of an appropriate set of conventions. Incidentally, this

necessity is dictated not only by aesthetic demands of musical rhetoric but also by more pedestrian exigencies of the musical market. Apparently, a piece tailored for the ears of Viennese audiences might not be as effective in London or in Paris. The result is, on the one hand, a heightened awareness of the role played by conventions on all levels of musical communication and, on the other hand, the sense of their very conventionality, inciting composers to confound conventions by mixing or 'misapplying' them in a given piece. In addition to differences between venues and local traditions, the eighteenth-century composer had to take into account the distinction between amateurs (*Liebhaber*) and connoisseurs (*Kenner*). The category of listeners represented by *Kenner* reflected the growth of musical literacy not only in performing but also in composing music. Theoretical knowledge of *Kenner* allowed the composer to consider them not as passive receivers but as active partners in the process of communication, and thus to engage them in a game played upon the technical rules of composition. The wit (*Witz*) of this game suggests that, within the metaphor of language, the ancient model of oration gradually gave way to a more modern ideal of conversation.[2]

The issue of communication in reference to late eighteenth-century music has gained currency over the past decades. Perhaps the most noted manifestation of this process is the study of *musical topics*. After the pioneering work of Leonard Ratner, topics were further investigated by Wye Allanbrook, Kofi Agawu, Elaine Sisman, Robert Hatten, Márta Grabócz, Raymond Monelle and others.[3] What these studies reveal is the profound sociability of Classic music. Musical conventions represented by topics rely upon more general conventions governing eighteenth-century social life and derive their meaning from various social contexts. Defined by Ratner as 'subjects for musical discourse',[4] topics constitute the semantic level of musical communication in the late eighteenth century. Yet they are not its sole level.

In this period, communication also takes place on the level of *musical form*. The analytical approach to form in which deviations from norms are considered meaningful has been represented more or less explicitly by many authors, not least by Charles Rosen, despite his nominal rejection of musical forms as norms. The most recent instantiation of this approach is the new 'sonata theory' offered by James Hepokoski and Warren Darcy.[5] Its theoretical foundations were laid down by Leonard B. Meyer, who related meaning to expectation.[6] As Meyer consistently emphasized, expectations concerning the course of a given composition are determined by formal schemata learned by the listener through exposure to a given musical repertory. Meyer was, in fact, the first twentieth-century author to conceive of music as communication. Studies in late eighteenth-century music inspired

by him include those by Janet Levy, Gretchen Wheelock and Karol Berger.[7] Symptomatic of this stream of research are references to literary theories which emphasize the role of the reader's expectations in actualization of a verbal text: the reader-response theory by Wolfgang Iser (Wheelock) and the reception theory by Hans Robert Jauss (Berger). Note that Meyer's 'listener-response theory' is significantly earlier than its literary counterparts. Yet the interest of these references resides in the fact that they illuminate certain historical parallels between music and literature. It is not by chance that Iser's book, *The Implied Reader*, begins with the eighteenth-century novel.[8] Apparently, in the eighteenth century communicative strategies started for the first time to pose a problem consciously confronted by both writers and composers. Comparisons such as those drawn at that time between Laurence Sterne and Joseph Haydn have their origins here.[9]

Another stream of research devoted to musical form which has a bearing on the study of musical communication proceeds from Ratner. Following in his footsteps, several younger authors began a search for descriptions of formal schemata in eighteenth-century composition handbooks. In Germany a similar process commenced under the influence of Wilhelm Seidel.[10] In this way, the history of music theory gradually abandoned its antiquarian status as it engaged with music analysis. The objective behind this enterprise was to describe formal processes in eighteenth-century music from the point of view of the historical listener. This objective was perhaps most radically voiced by Karol Berger, who – echoing earlier ideas of Heinrich Besseler[11] – postulated 'a history of musical hearing' as a field of investigation whose purpose is 'to reconstruct the experience of music in the past'.[12] Although this postulate remains as yet unrealized, it should be clear that historical awareness is indispensable for the study of musical communication. Since all communicative acts refer to the background knowledge of the receiver, communicative strategies developed in late eighteenth-century music imply a listener equipped with the theoretical knowledge and listening habits characteristic of that time. The same historical imperative informs the work of Mark Evan Bonds and Elaine Sisman, authors who deserve the credit for highlighting the connection between music and rhetoric, mentioned earlier.[13] As amply documented by Bonds, in the late eighteenth century questions of musical form belong to the area of *musical rhetoric* in the proper sense of the word.

One more level of musical communication in the late eighteenth century is *grammar*. In contradistinction to rhetoric, which deals with the organization of entire pieces or movements, musical grammar – like its linguistic counterpart – concerns internal organization of musical sentences

(*Sätze*). Grammatical rules of music, described in eighteenth-century composition handbooks, are thus rules of harmony and counterpoint. (Musical metre has its counterpart in poetic metre but it is related to grammar in the sense that strong beats, like strong syllables, are called 'grammatical' accents.) While these rules also give rise to expectations, analysis of such expectations must necessarily come closer to linguistics than to literary theory. Analysis of melodic expectations started with the model of implication-realization developed by Meyer and Eugene Narmour.[14] Since then, syntactic expectations have been subject to theoretical and experimental study in the field of cognitive musicology and cognitively oriented music theory. One particularly interesting aspect of the late eighteenth-century repertory revealed by this study is the presence of conventional patterns or schemata shaping 'Classic turns of phrase'. Following Meyer, substantial work was devoted to these schemata by Robert Gjerdingen.[15] Incidentally, the alliance of cognitive and historical approaches, pursued by Gjerdingen, seems particularly promising due to the strong cognitive component of music theory in the late eighteenth century. In theoretical treatises of the time the 'ears' (*Ohren*) or 'hearing' (*Gehör*) of the listener are regularly referred to in order to substantiate rules formulated by their authors. Also important in eighteenth-century music theory is the notion of expectation. The earliest remarks devoted to this theme come from Joseph Riepel, Johann Philipp Kirnberger and Heinrich Christoph Koch. From the point of view of the metaphor of music as language it may be interesting to observe that manipulations of syntactic expectations occur only seldom in linguistic communication. In everyday speech they are represented by word games and puns; in poetry by limericks. In music, by contrast, such manipulations are very common. Here, however, they serve not only the purpose of communication but also the arousal of emotions (Meyer). Mutual interrelation of these two aspects constitutes one of the most interesting problems faced by contemporary music theory.

As evident from this short survey, scholars of music who take the position of communication today, though numerous, do not form any league or camp. Rather, they are scattered over many different fields of musical studies ranging from historical musicology and music semiotics through modern and historical music theory to cognitive psychology of music. Though working with different methods, they share an explicitly listener-oriented approach and more or less explicit connections to various branches of communication sciences. The idea of bringing together scholars engaged in this kind of research materialized for the first time during the workshop 'Communicative Strategies in Music of the Late Eighteenth Century' which took place in Bad Sulzburg, Germany, from 5 to 9 July 2005 (see list of participants

below). This volume presents articles based upon selected papers given in Bad Sulzburg. The hope is to continue the lively dialogue started there, and to foster systematic study of musical communication – undoubtedly one of the central issues raised by late eighteenth-century music.

The first part of the volume is dedicated to complex interactions between musical communication and the market. Paul Cobley, a representative of communication sciences, considers publication markets for literature and for music as elements of the 'public sphere' (Habermas). As he observes, literature and music were among the main subjects of public sphere debates taking place in salons, taverns and coffeehouses throughout eighteenth-century Europe. Supported by musical and literary criticism printed in newspapers, periodicals and magazines, these debates generated the 'public opinion' – in music this might be called 'public taste' – which, together with 'rules of genre', is taken by Cobley to underlie what he calls 'verisimilitude': a communicative transaction between the author and the audience about what is credible, or likely to happen, in the course of a musical or literary work.

The influence exerted by the publication market upon strategies of musical communication is considered by Mark Evan Bonds. One consequence of the publication market was to confront composers with a heterogeneous audience including both connoisseurs (*Kenner*) and amateurs (*Liebhaber*). According to Bonds, the most effective strategy to address such an audience was to write for *Liebhaber*, from time to time inserting moments to be appreciated by *Kenner*. Bonds identifies such moments preeminently with sections of contrapuntal writing. His essay is an invitation to embrace the aesthetic and the commercial in analysis of late eighteenth-century music.

An illuminating case study of the relation between publisher and composer is offered by Claudia Maurer Zenck. Beethoven's Piano Sonata in G major Op. 31 No. 1 was commissioned by the Zurich publisher, Hans Georg Nägeli, for a series (*Répertoire de clavecinistes*) earmarked for piano sonatas featuring 'many departures from usual sonata form'. Beethoven responded to this commission with a piece of 'humorous music': a parody of musical bungling by a bad composer. Jesting with the 'rules of the genre' in this piece represents another kind of communication with *Kenner*.

The close analytic reading of Op. 31 No. 1 provided by Maurer Zenck forms a bridge to the second part of the volume dealing with aspects of musical grammar. In my own essay I analyse sophisticated manipulations of metre taking place at the beginning of musical pieces and impinging upon phrase structure. Since such manipulations rely upon theoretical knowledge of eighteenth-century listeners, they represent one more aspect of

communicative strategies addressed to *Kenner*. The focus of William Rothstein's essay is not on musical communication *through* metre but on verbal communication *about* metre. The preference for beginning-accented and end-accented concepts of metre by North American and German scholars respectively is traced by Rothstein back to different national traditions of metric notation originating in the eighteenth century.

William Caplin's contribution is the first attempt at a comprehensive theory of a tonal bass melody. The potential of this theory for the study of musical communication lies in providing the framework for the mechanism of melodic implication-realization in the bass as different from that in upper voices. Models of melodic bass progressions, proposed by Caplin, summarize implications arising in different types of phrases and allow one to analytically trace surprises caused by deviations and delays.

The third group of chapters clusters around the issue of musical form and its topical decorum. Michael Spitzer proposes a new model of the sonata-form exposition referring to metaphor theory and concentrating on the thematic contrast between first and second groups. According to Spitzer, this contrast arises not from different types of material but from presenting the same materials in two different ways: first absorbed into stereotypical patterns or schemata (Gjerdingen); then liberated from this patterning and turned into motives. The second presentation 'realizes' the musical material in that it makes its specificity perceivable for the listener. Ultimately, Spitzer's model thus relies upon the mechanism of music perception. His 'two-time rule' is illustrated in analyses of expositions from first movements of Mozart's K515 and K551.

The point made by Kofi Agawu is an epistemological one. He presents two readings of the first movement of Beethoven's String Quartet in D major, Op. 18 No. 3. The first, structural reading, expanding upon the paradigmatic analysis by Nicolas Ruwet and Jean-Jacques Nattiez, departs from models of tonal progressions (background). The second reading unearths the expressive dimension of this movement represented by topics (foreground). As Agawu points out, the two readings, while complete in themselves, are irreducible to one another since no rules of transformation ultimately bridge background and foreground. The tension between the structural and the expressive is framed in a slightly different manner by Wye Allanbrook. She dissects some classical analyses of one of music theory's paradigm pieces: the theme of the first movement of Mozart's K331. In her own analysis, several unusual features of the theme that are normally revealed – or concealed – in strictly 'structural' readings fall in place when seen through the lenses of an expressive sign: the topos of siciliano.

Dance topoi are expressive signs not only by virtue of their associations with social contexts (explored by Allanbrook and other exponents of topic theory), but also because they represent sonic analogues of dynamic processes characteristic of the bodily experience of dancing. As such, they can not only be combined, juxtaposed and contrasted with other topics but also modified and subverted so as to yield new expressive possibilities. This level of topical signification is illuminated from a cognitive perspective by Lawrence Zbikowski. In his essay Zbikowski demonstrates how, departing from sonic analogues of dance steps and movements, a composer may arrive at constructs which have no analogy in dancing. As an illustration, he cites the bourrée from the finale of Haydn's Op. 76 No. 4. Even if this process has to do with communication, it is communication of a special sort in that it goes beyond the metaphor of music as language. In this way Zbikowski's essay rounds off the collection by bringing it from the original metaphor to its opposite pole. As he emphasizes, language and music are two distinct realities characterized by different functions in human culture. The former is designed for dealing with objects or concepts, the latter for dynamic processes associated with motion and emotion. This insight was already familiar in the eighteenth century. While the rhetorical tradition emphasized the similarity between language and music, it did not fail to recognize the differences between the verbal language of ideas and the musical language of sentiments. In the anthropological perspective adopted by such writers as Charles Batteaux, Etienne Bonnot de Condillac and Jean-Jacques Rousseau, this difference was interpreted as superiority of music over language, opening the path from the late eighteenth to the nineteenth century and towards Romanticism.

I wish to thank all the participants of the Bad Sulzburg workshop – those represented in this volume and those whose papers for various reasons are not included in it – for their contribution to this unique event. The five summer days in the depths of the Black Forest are memorable not only for the intellectual rigour and density of scholarly discussions but also for an exceptional atmosphere of collegiality and mutual openness that gave these discussions a stamp of genuine interpersonal exchange. The workshop was sponsored by Deutsche Forschungsgemeinschaft and the University of Freiburg. I am particularly grateful to the Dean of the Philosophical Faculty, Professor Hermann Schwengel, and the Director of the Institute of Musicology, Professor Christian Berger, for financial and organizational support from their respective university divisions. Professor Berger was personally engaged in preparing the workshop as its co-organizer. My stay at his Institute was

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Notes

Participants in workshop 'Communicative Strategies in Music of the Late Eighteenth Century', Bad Sulzburg, 5–9 July 2005:

Kofi Agawu (Princeton University)
Wye J. Allanbrook (University of California, Berkeley)
Christian Berger (University of Freiburg)
Mark Evan Bonds (University of North Carolina)
William E. Caplin (McGill University)
Paul Cobley (Metropolitan University, London)
Ludwig Holtmeier (University of Music, Freiburg)
Robert Levin (Harvard University)
Claudia Maurer Zenck (University of Hamburg)
Danuta Mirka (Music Academy, Katowice)
William Rothstein (Queen's College and The Graduate Center, City University of New York)
Janet Schmalfeldt (Tufts University)
Elaine Sisman (Columbia University)
Michael Spitzer (University of Durham)
Dean Sutcliffe (Cambridge University)
James Webster (Cornell University)
Gretchen A. Wheelock (Eastman School of Music)
Lawrence M. Zbikowski (University of Chicago)

1 For a thorough discussion of this metaphor and its role in the late eighteenth century, see Mark Evan Bonds, *Wordless Rhetoric: Musical Form and the Metaphor of the Oration* (Cambridge, MA: Harvard University Press, 1991), 61–80, and Michael Spitzer, *Metaphor and Musical Thought* (Chicago: University of Chicago Press, 2004), 207–75.
2 At least since Goethe's famous saying about Haydn's string quartets, conversation has served as a model of interaction between performers in chamber music. See, for instance, Jürgen Mainka, 'Haydns Streichquartette: "Man hört vier vernünftige Leute sich untereinander unterhalten"', *Musik und Gesellschaft* 32

(1982), 146–50, Barbara R. Hanning, 'Conversation and Musical Style in the Late Eighteenth-Century Parisian Salon', *Eighteenth-Century Studies* 22 (1989), 512–28 and Mara Parker, *The String Quartet, 1750–1797: Four Types of Musical Conversation* (Aldershot: Ashgate, 2002). The ideal of conversation as a manner to address the listener was proposed by Gretchen A. Wheelock, 'Engaging Strategies in Haydn's Opus 33 String Quartets', *Eighteenth-Century Studies* 25 (1991), 1–30; *Haydn's Ingenious Jesting with Art* (New York: Schirmer Books, 1992); and 'The "Rhetorical Pause" and Metaphors of Conversation in Haydn's Quartets', in *Haydn und das Streichquartett*, Eisenstädter Haydn-Berichte 2, ed. Georg Feder and Walter Reicher (Tutzing: Schneider, 2003), 67–85.

3 Leonard G. Ratner, *Classic Music: Expression, Form, and Style* (New York: Schirmer, 1980), 1–30; Wye J. Allanbrook, *Rhythmic Gesture in Mozart*: Le Nozze di Figaro *and* Don Giovanni (Chicago: University of Chicago Press, 1983); V. Kofi Agawu, *Playing with Signs: A Semiotic Interpretation of Classic Music* (Princeton: Princeton University Press, 1991); Elaine Sisman, *Mozart: The 'Jupiter' Symphony No. 41 in C major, K. 551* (Cambridge: Cambridge University Press, 1993); Robert Hatten, *Musical Meaning in Beethoven: Markedness, Correlation, and Interpretation* (Bloomington: Indiana University Press, 1994); Márta Grabócz, 'A. J. Greimas's Narrative Grammar and the Analysis of Sonata Form', *Intégral* 12 (1998), 1–24; Raymond Monelle, *The Sense of Music: Semiotic Essays* (Princeton: Princeton University Press, 2000), 2–80, and *The Musical Topic: Hunt, Military and Pastoral* (Bloomington: Indiana University Press, 2006).

4 Ratner, *Classic Music*, 9.

5 James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (New York: Oxford University Press, 2006).

6 Leonard B. Meyer, *Emotion and Meaning in Music* (Chicago: University of Chicago Press, 1956).

7 Janet M. Levy, 'Texture as a Sign in Classic and Early Romantic Music', *Journal of the American Musicological Society* 35 (1982), 482–531; *Beethoven's Compositional Choices: The Two Versions of Opus 18, No. 1, First Movement* (Philadelphia: University of Pennsylvania Press, 1982); and 'Gesture, Form and Syntax in Haydn's Music', in *Haydn Studies: Proceedings of the International Haydn Conference, Washington, DC, 1975*, ed. Jens Peter Larsen, Howard Server and James Webster (New York: Norton, 1981), 355–62; Wheelock, *Haydn's Ingenious Jesting*; Karol Berger, 'Toward a History of Hearing: The Classic Concerto, A Sample Case', in *Convention in Eighteenth- and Nineteenth-Century Music: Essays in Honor of Leonard G. Ratner*, ed. Wye J. Allanbrook, Janet M. Levy and William P. Mahrt (Stuyvesant, NY: Pendragon, 1992), 405–29, and 'The First Movement Punctuation Form in Mozart's Piano Concertos', in *Mozart's Piano Concertos: Text, Context, Interpretation*, ed. Neal Zaslaw (Ann Arbor: University of Michigan Press, 1996), 239–59.

8 Wolfgang Iser, *The Implied Reader: Patterns of Communication in Prose Fiction from Bunyan to Beckett* (Baltimore: Johns Hopkins University Press, 1974).

9 See Howard Irving, 'Haydn and Laurence Sterne: Similarities in Eighteenth-Century Literary and Musical Wit', *Current Musicology* 40 (1985), 34–49; Mark Evan Bonds, 'Haydn, Laurence Sterne, and the Origins of Musical Irony', *Journal of the American Musicological Society* 44 (1991), 57–91; Wheelock, *Haydn's Ingenious Jesting*.

10 Wilhelm Seidel, *Über Rhythmustheorien der Neuzeit*, Neue Heidelberger Studien zur Musikwissenschaft 7 (Bern: Francke, 1975). Among historically-oriented studies in the German language inspired by Seidel, most important are those by Hermann Forschner, *Instrumentalmusik Joseph Haydns aus der Sicht Heinrich Christoph Kochs*, Beiträge zur Musikforschung 13 (Munich: Musikverlag Emil Katzbichler, 1984); Wolfgang Budday, *Grundlagen musikalischer Formen der Wiener Klassik: An Hand der zeitgenössischen Theorie von Joseph Riepel und Heinrich Christoph Koch dargestellt an Menuetten und Sonatensätzen (1750–1790)* (Kassel: Bärenreiter, 1983); and Claudia Maurer Zenck, *Vom Takt: Überlegungen zur Theorie und kompositorischen Praxis im ausgehenden 18. und beginnenden 19. Jahrhundert* (Vienna: Böhlau, 2001).

11 Heinrich Besseler, 'Grundfragen des musikalischen Hörens', *Jahrbuch Peters 1925*, 35–52 and *Das musikalische Hören der Neuzeit*, Berichte über die Verhandlungen der Sächsischen Akademie der Wissenschaften zu Leipzig, Philologisch-historische Klasse 104/6 (Berlin: Akademie-Verlag, 1959).

12 Berger, 'Toward a History of Hearing', 406.

13 Bonds, *Wordless Rhetoric*; Elaine Sisman, *Haydn and the Classical Variation* (Cambridge, MA: Harvard University Press, 1993).

14 Leonard B. Meyer, *Explaining Music: Essays and Explorations* (Berkeley: University of California Press, 1973); Eugene Narmour, *Beyond Schenkerism: The Need for Alternatives in Music Analysis* (Chicago: University of Chicago Press, 1977).

15 Robert O. Gjerdingen, *A Classic Turn of Phrase: Music and the Psychology of Conventions* (Philadelphia: University of Pennsylvania Press, 1988); *Music in the Galant Style: Being an Essay on Various Schemata Characteristic of Eighteenth-Century Music for Courtly Chambers, Chapels, and Theaters, Including Tasteful Passages of Music Drawn from Most Excellent Chapel Masters in the Employ of Noble and Noteworthy Personages, Said Music All Collected for the Reader's Delectation on the World Wide Web* (New York: Oxford University Press, 2007).