A STUDY OF LONG-FORM WORKS FOR THE JAZZ ENSEMBLE

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Abstract

Reflections (In Mosaic) is a long-form work written for a modern jazz orchestra. While made up of seven smaller parts, it is intended to be listened to as a single continuous performance. *Reflections (In Mosaic)* serves as an exploration into formal structures more complex than the standard blues and cyclical AABA forms. This is achieved through the use of inter-related musical themes, transitional material that develops musical themes and propels the story of the piece forward, programmatic themes, and a consideration towards a more integrative approach to improvised sections in a modern jazz composition context.

This exegesis features a comprehensive musical and topical analysis of four case studies: Duke Ellington's *Harlem* (1951), Charles Mingus's *Fables of Faubus* (1959), Gunther Schuller's *Seven Studies on Themes of Paul Klee* (1959), and Pat Metheny and Lyle Mays's *The Way Up* (2005). In my analysis I examine the features of long-form works from a range of different angles through discussions on: (1) the formal features of the symphonic jazz genre and the integration of concert-style gestures into the jazz big band tradition, (2) the role performance and improvisation can have in communicating an idea within a composed structure, (3) the use of programmatic themes, and (4) a model for a structural design which draws on comparisons to narrative structure.

Of particular importance to my compositional project is the use of a programmatic theme. *Reflections* is directly inspired by the film *Magnolia* (1999)*, written and directed by Paul Thomas Anderson. I do not attempt to mirror the narrative or structure of the film in *Reflections* but, instead, loosely base the composition on the film's characters and topical themes. The culmination of this exegesis is a discussion of how the four case studies informed my own compositional processes.

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Acknowledgments

Introduction

Reflections (In Mosaic) is a long-form work written for a modern jazz orchestra[1] designed to explore larger-scale formal structures in a modern jazz context. It considers the use of leitmotifs, motivic development, harmonic shifts, and the incorporation of improvisation in a composed structure, over an extended period of time. An additional factor informing my creative work is the use of a programmatic theme. *Reflections* is directly inspired by the film *Magnolia* (1999)*,* written and directed by Paul Thomas Anderson.[2] I do not attempt to mirror the narrative or structure of the film in *Reflections* but, instead, base the composition on the film's characters and topical themes.

Informing my work is a comprehensive musical and topical analysis of four works that best provide a cross-section of what I aim to achieve in my own composition. These case studies are based on the work of Duke Ellington, Charles Mingus, Gunther Schuller, and Pat Metheny and Lyle Mays, and allow me to examine the features of long-form works from a range of different angles including discussions on (1) the formal features of the symphonic jazz genre and the integration of concert-style gestures into the jazz big band tradition, (2) the role performance and improvisation can have in communicating an idea within a composed structure, (3) the use of programmatic themes, and (4) a model for a structural design which draws on comparisons to narrative structure.

My main aim is to compose a large-scale, multi-thematic work, roughly an album's length in duration (70–80 minutes long), and while it has been broken into smaller parts (for largely practical reasons such as keeping parts and files to a manageable size) it is intended to be listened to as a single work. This serves as one of my main objectives, which is to create a coherent and unified, multi-thematic work through the use of inter-related musical themes, transitional material that develops musical themes and propels the story of the piece forward, programmatic themes, and considers an integrative approach to improvised

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[1] This ensemble consists of a five-piece saxophone section (all doubling on other reed instruments), four trumpets, four trombones, and a four-piece rhythm section consisting of guitar, piano, bass and drums.
[2] *Magnolia*, written and directed by Paul Thomas Anderson (Los Angeles, CA: New Line Cinema, 1999), DVD.

sections that serves the arc/story of the piece regarding the tension and release of energy in a modern jazz context.

Graham Collier offers a fresh perspective on what it is to be a jazz composer in a modern context, arguing for particular traits that make jazz compositions particularly 'creative'.[3] Collier describes creative music as music in which:

- voicings are more interesting and colourful, including voicing across sections, in a similar way to what Ellington achieved,
- instrumentation is slightly different from standard expectations (for example, the possible use of additional reed instruments, strings or electronics),
- major musical themes undergo significant transformation and development, and
- the inclusion of solo sections is of great importance, and any background figures are used to stimulate and support the demands of the piece.

While broad in nature, and likely already considered characteristics of effective jazz writing, these principles nevertheless provide some useful guidelines that serve to inform a significant amount of my creative work. Works that I believe best exemplify these characteristics from contemporary composers such as Darcy James Argue, Bob Brookmeyer, Dave Douglas, John Hollenbeck, Jim McNeely, and Maria Schneider, constitute a significant part of the preparatory and auxiliary research for this project.

While I am aware of the limitations of programmatic music, in regards to its ability to represent extramusical subjects (which is further explored in Chapter 3), my main objective remains to write a fully coherent, stand-alone work, with an extramusical source serving as inspiration and to provide some direction behind musical themes or structural decisions. As I will discuss in the following chapters, my decision to draw upon *Magnolia* is in large part due to a musicality inherent within the film that exists beyond the film's soundtrack or score.

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[3] Graham Collier, *The Jazz Composer: Moving Music off the Paper* (London, U.K.: Northway Publications, 2009). 206–207.

0.1 Reasons for Study

The role of jazz composer is often seen as secondary to that of the performer, with the standard repertoire acting more as a vehicle for improvisation than as the featured element of a performance.[4] As a jazz composer, however, I feel that this view neglects the vital role that composers have had in the development of the modern jazz repertoire. I suggest that this misperception may result from historical narratives that predominantly emphasise performers and improvisers, which has led to the practical study of jazz privileging improvisational and performative techniques over compositional ones.[5]

Several examples illustrate how jazz writers tend to emphasise the importance of improvisation over composition in narratives of jazz and how it works. Gunther Schuller stresses the significance of improvisation, stating "improvisation, if it is not absolutely essential to jazz, is considered to be the heart and soul of jazz by most jazz musicians and authorities."[6] Ted Gioia writes that "The very nature of jazz demands spontaneity; were the jazz artist to approach his music in a methodical and calculated manner, he would cease to be an improviser and become a composer."[7] Barry Kernfeld states that improvised music "gives the player an opportunity for self-expression which is to a large degree absent when he reproduces composed or arranged works."[8] And in discussing the 'work concept' and how it may (or may not) be applicable to jazz, Andrew Kania argues that improvisation may

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[4] This is evident in the fact that much of the work surrounding the study of jazz works and performances centres on the element of improvisation. See Valone (1985), Gould and Keaton (2000), Sterritt (2000), Young and Matheson (2000), Brown (2000).

[5] There is of course a lot of scholarship discussing significant jazz composers (such as Duke Ellington, Gil Evans, Charles Mingus, Thelonious Monk, and many more) highlighting the importance of their work and innovations as jazz composers. However, I feel that this is often overshadowed by the importance writers and critics often place on the elements of performance and improvisation in a jazz context.

[6] Gunther Schuller, *Early Jazz: Its Roots and Musical Development* (New York: Oxford University Press, 1986), 378.

[7] Ted Gioia, *The Imperfect Art: Reflections on Jazz and Modern Culture* (New York: Oxford University Press, 1988), 55.

[8] Barry Kernfeld, 'Improvisation', in *The New Grove Dictionary of Jazz*, 2nd ed., vol 2, ed. Barry Kernfeld (New York: Grove (2002), 322.

in fact be the 'work of art' in jazz, stating that in many cases the performance is (and ought to be) the primary focus of critical attention.[9]

The significant attention given to improvisation may go a long way to explaining the differing attitudes scholars have towards jazz composers versus their counterparts in Western art music. In his PhD thesis, Guy Strazzullo suggests that historically, Western musicology tends to view composition as a product of the mind, whereas it views improvisation as a product of the body. Quoting Tracy McMullen, he states that improvised music "poses a problem for a Western intellectual tradition that privileges reason and the mind over the body."[10]

Of course, efforts have been made to promote the role of the jazz composer. While it can be said that much of the large jazz ensemble writing during the swing era served the needs and tastes of dancers as a form of commercial music, Michael Cado writes that "composers and arrangers grew discontent with the strict confines of the particular style associated with [the jazz big band] and longed to explore other creative avenues."[11] Composers such as Duke Ellington, Gil Evans, and Don Redman aimed to elevate the status of jazz from commercial music to a form of progressive and innovative art through the exploration of timbral and structural elements largely inspired by twentieth-century classical composers such as Stravinsky, Schoenberg and Bartók, an idea that I further explore in Chapter 1.

Jesse Milliner's research into musical forms in jazz examines the substantial role that form and structure play in jazz.[12] This study, from 2006, includes responses to a questionnaire from a number of significant composers who support the idea that composers should be aiming to make more headway in the exploration of form in jazz (for instance, Django Bates, Bob Brookmeyer, Jim McNeely, Pat Metheny, and Maria Schneider). In the years since this

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[9] Andrew Kania, 'All Play and No Work: An Ontology of Jazz', *The Journal of Aesthetics and Art Criticism* 69/4 (2011), 391–403.

[10] Guy Strazzullo, *An Inquiry into Improvisation: Reconciling the Differences between Performance and Composition*, PhD diss., Macquarie University, Sydney (2014), 7.

[11] Michael Cado, *The Big Band: From Dance Band to Jazz Orchestra,* MA diss., York University, Canada (2004), 1.

[12] Jesse Milliner, *Quo Vadis: Exploring Musical Forms in Jazz*, Ph.D. diss., University of Miami (2006).

study, much work has been done at both scholarly and creative levels through the composition of jazz works that strive to explore more inventive and sophisticated approaches to form. Many of the composers featured in the survey are leading by example, standing at the forefront of jazz composition today, with many of them serving as direct sources of inspiration for my own creative work.

In order to supplement the body of short, performer-dominated pieces that make up the bulk of commonly performed jazz repertoire, a study of long-form works offers a valuable model for my own compositional work. In long-form works, the compositional process is often more methodical, requiring an increased consideration of musical development, form and structure, non-musical references, and the use of improvisation as a developmental tool.

In my analysis of four case studies in this exegesis, I use a range of approaches including musical analysis and investigations into the cultural and historical contexts that have helped shape the composition and development of each piece. For each case, I discuss ways that musical ideas can be used to create unity and coherence over extended periods of time, factoring in the role of improvisation, and I examine how these compositions inform my own long-form composition for jazz orchestra.

0.2 Long-Form Works

Before continuing, it is important to clarify what I mean by 'long-form works' as it pertains to my own objectives within this study. While short, simple forms dominate the jazz repertoire, many composers have experimented with longer, more complicated forms, and many of these works present themselves in different ways. These works are influenced by a broad range of musical genres and employ extended forms to wildly varying degrees. Because of this, in attempting to describe what it is I am aiming to achieve through this project, a fairly broad definition of both jazz music and long-form works need to be applied. In order to avoid a definition that becomes so narrow that it rejects much of the repertoire, the criteria for what I am calling 'long-form works' should be viewed as considerations rather than as fixed guidelines.

First, long-form works should be multi-thematic, and involve an elaboration of, or deviation from, standard forms such as the 12-bar blues or AABA-based structures. As I discuss, many works that possess longer forms are actually built from the seeds of these conventional structures. Looking for examples that reject these conventions completely would overlook a significant amount of the repertoire, and would ignore the innovations of composers who have worked to develop noteworthy derivations based on these conventions.

Second, and more for my own purposes, I only wish to consider works that are at least intended to be experienced as a single continuous performance. This excludes multi-movement suites, of which there are vast numbers in the repertoire. I decided to include works that have multiple parts as long as transitions exist between these parts or sections. However, this is often not black or white, and to enforce this too strictly would again only serve to dismiss a significant amount of work. Finally, and again, in order to inform my own compositional work, works of considerable length need to feature a substantial amount of composed material. In looking for works that would better inform my own compositional skills I was cautious in including pieces that largely function as vehicles for extended improvisations. The inclusion of *Fables of Faubus* in this study, however, is designed to acknowledge this area of the repertoire, as well as offer an opportunity to examine the role of improvisation within a compositional context.

In considering these points a fairly large repertoire could be amassed, and upon inspection, several key themes began to become apparent. Certain streams of jazz, and a number of composers, appear to have had a greater significance on the development of long-form works than others. Additionally, the vast majority of these works had extramusical themes attached to them. Political statements, place-based works, and works inspired by non-musical artworks were well represented. In considering these elements, I selected four works that seemed to best provide a cross-section of all of the repertoire from what I am trying to emulate with my own long-form composition.

0.3 Case Studies

In Chapter 1, I focus on symphonic jazz, a style of jazz that borrows elements from the Western art music tradition, providing a history of its development, and centring my discussion on an analysis of Duke Ellington's *Harlem* (1951). My analysis focuses on the form of the work, discussing how Ellington's approach to longer works derives from embellished and innovative treatments of more recognisable formal conventions, and examines how Ellington's integration of concert-style gestures translates into the jazz big band tradition.

Chapter 2 explores the role music can play in making a political statement (and the role politics can play in making a musical statement) through the study of Charles Mingus's politically charged composition *Fables of Faubus* (1959). In using this as a model, I explore the role that performance, improvisation, and guided interaction can have in communicating an idea, and contributing to a work's overarching themes. A major part of this is achieved through a device termed by Mingus as 'extended form' through which soloists are given more agency to express themselves musically through freer formal structures. This is discussed through three different recordings of the piece allowing me to conclude that each performance is able to comment upon and contribute towards the major themes of the work, connecting them to a greater, overarching meaning of *Fables of Faubus.*[13] This chapter seeks to explore how soloists or performers are able to make a meaningful contribution to the work, one that serves the arc/story of the piece, while also allowing moments of freer improvisation where players have a greater degree of freedom to be able bring more of themselves to the performance.

Chapter 3 investigates the relationship between music and other art forms, using Gunther Schuller's *Seven Studies on Themes of Paul Klee* (1959) as a model which considers the inherent musicality of a chosen source and examines how a musical work might seek to represent non-musical ideas. This is particularly relevant as I consider multi-media material to inspire my own work.

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[13] For this reason, *Fables of Faubus* (in italics) will be used to describe the broad, overarching work that encompasses various performances, while each recording, that contributes to this overarching work will be referred to using single quotations.

Finally, Chapter 4 discusses Pat Metheny and Lyle Mays's *The Way Up* (2005), a single-movement, 68-minute-long work. While the composer has offered no clear programme for this work, I argue that its highly unusual approach to form and structure suggest a programmatic approach. In discussing the formal and unifying elements of the work with respect to what scholars such as Gregory Karl and Michael Klein call 'narrative structures', I situate Metheny and Mays's approach as achieving structural unity across the whole work. A discussion on how motivic transformational techniques play a role in the unfolding musical narrative is also used to serve as a valuable model for my own compositional process as I aim to achieve similar levels of structural unity.

In the final chapter, I discuss how the study of these selected works has informed and informed my own compositional processes, taking into account historical perspectives, integrative improvised sections, programmatic themes, and the use and development of inter-related musical themes. I also demonstrate how all of these elements inform the composition of my own work *Reflections (In Mosaic)*, and how they help the composition achieve a level of coherence and unity across its parts.

As described above, each chapter is designed to focus on a specific element of long-form works, which when taken together, serve to provide a widespread and encompassing overview of the significant structural and formal features of long-form works for the jazz ensemble. Thus, these structural features are the primary focus of this paper. It should be noted however, that a significant amount of research and study concurrently delt with the more technical elements of writing for the jazz orchestra ensemble specifically, which, due to the focus of this study, were deemed to be beyond the scope of this paper. Works by more contemporary composers (particular those of Darcy James Argue, Bob Brookmeyer, Dave Douglas, John Hollenbeck, Jim McNeely, and Maria Schneider) represent a significant amount of the research for my creative work. However, the examination of the formal features beyond their orchestration was deemed to be the primary focus of this paper, which is detailed in the following chapters.

Chapter 1

Duke Ellington and Symphonic Jazz: Form and History of *Harlem* (1951)

Music considered to be 'jazz' from the 1920s to the mid-1940s yielded many interesting innovations in composition, particularly in terms of form or structure. Chief among the innovative jazz composers of the time (and of the entire twentieth century) was Duke Ellington, one of the most prominent exponents of extended-form composition in the jazz canon.[14] Ellington's 1951 work *Harlem* is the focus of this chapter, as it provides a valuable illustration of how Ellington's approach to form and structure manifests itself in a long-form, single-movement work within the wider context of symphonic jazz.

Harlem is a classic example of what has come to be known as 'symphonic jazz'. Symphonic jazz is a style of jazz music that first emerged in the 1920s and borrows elements from the Western art music tradition in an attempt to bridge the gap between 'high' and 'low' cultures. Composers of symphonic jazz sought to contribute both to the expanding popularity of jazz, and to the legitimisation of jazz as an art form. Much of the music of this genre draws heavily upon the rhythmic, timbral, and improvisational elements of jazz, fused with the form and instrumentation of the orchestra. Paul Whiteman, Fletcher Henderson, Stan Kenton, and Don Redman are among the most well-known arrangers and bandleaders associated with the style, alongside Duke Ellington.

This chapter explores the extended approaches to musical form in Duke Ellington's *Harlem* with regard to its place in the 'symphonic jazz' genre. In my analysis of *Harlem* I pay particular attention to programmatic themes, Western art music influences, and a strong underlying presence of the strophic or cyclic formal structures inherent in much of the jazz repertory.

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[14] David Berger, 'The Land of Suites: Ellington and Extended Form', in *The Cambridge Companion to Duke Ellington*, ed. Edward Green (England: Cambridge University Press, 2014), 260.

1.1 The Influence of Symphonic Jazz

John Howland's work on symphonic jazz sheds light on the social and historical contexts which gave rise to the symphonic jazz style and how the complicated tensions of bridging the gap between 'high culture' and 'middlebrowism' has led to a historical marginalisation of the genre.[15] The symphonic jazz repertoire offered a body of work that lies directly between jazz and the culture of American concert music, which is in part why Howland argues that this legacy has become a 'minor footnote' in the history of the music.[16] Paul Whiteman and his orchestra provide some of the early examples of symphonic jazz, reaching a height in popularity during the 1920s.[17] This music represents some of the earliest attempts to forge a clear relationship between jazz and Western art music, though despite Whiteman's success at the time, by the 1930s he had started to fall out of favour with critics. To classical and academic critics, symphonic jazz bore a "disregard for classical ideals of unified form, logical progression or organic thematic and harmonic development."[18] Conversely, musicians in jazz like Duke Ellington and Artie Shaw grew uncomfortable with the term 'jazz' being used to describe music that fell under the banner of symphonic jazz. Howland concludes that the difficulty in categorising the genre of symphonic jazz within any of the standard historical narratives of either classical, jazz, or popular music histories has, in part, led to its marginalisation.

While on the surface it would seem that jazz composers strove to elevate their music through the use of techniques associated with Western art music, John Howland provides significant evidence suggesting that a range of other factors, factors related to earlier traditions of jazz music itself, had an important role in the shaping of the longer-form works of jazz musicians like James P. Johnson and Duke Ellington. Howland discusses how the work of Will Marion Cook, James Reese Europe and W. C. Handy through the 1910s seems to provide a blueprint for the work of Johnson and Ellington in the following decades. In 1895

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[15] John Louis Howland, *Between the Muses and the Masses: Symphonic Jazz, "Glorified" Entertainment, and the Rise of the American Musical Middlebrow, 1920–1944*, PhD diss., Stanford University (2002).
[16] Ibid., 1.
[17] With George Gershwin's *Rhapsody in Blue* (1924) being the epitome of this style.
[18] Howland, *Between the Muses and the Masses*, 18.

Cook studied at the National Conservatory of Music in New York, spending a brief amount of time studying under Antonín Dvořák, who famously called for American composers to explore their own musical identities.[19] For Cook, this meant exploring African American themes. Howland also describes how Cook developed much of his compositional craft work in musical theatre, an ideal environment for the exploration of programmatic narratives tied to the African American experience. This led to concert performances in the 1910s that likely paved the way for the symphonic jazz model to follow in the 20s.

James P. Johnson's *Yamekraw* (1927) is a major work in the history of long-form composition in the jazz repertoire. *Yamekraw* was presented as a concert-length work told from a uniquely African American perspective, acting as somewhat of a response to Gershwin's *Rhapsody in Blue* (1924). Howland explains that the long-form, episodic structures of *Yamekraw* have their roots in the traditions of stride piano and cutting contests. The repertories of stride pianists (such as Johnson) consisted of carefully arranged pieces that utilise episodic structures based on blues forms, popular song forms, and 16-bar strains that are then subjected to various forms of variation and development in combination with extensions, interludes, introductions, codas, and cadenzas.

Not only were the influences of the Western art tradition in service of accommodating the growing musical language of the composers at the time, they were often thought to have suggested an element of validation or social prestige to the music, which, at the time was enjoyed primarily by classical music. This sense of appreciation was created through the use of musical influences, terms like symphony, concert, rhapsody, and suite. In 'The Emergence of the Jazz Concert, 1935–1945', Scott Deveaux discusses the importance of the concert setting in elevating jazz into what was deemed as 'high' musical culture by the American public.[20] Benny Goodman's 'jazz concert' at Carnegie Hall on January 16, 1939 marked the historical moment that jazz music moved to the concert stage after previously being limited to dancehalls and clubs. Aleisha Ward makes a similar observation about the New Zealand

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[19] Antonín Dvořák, 'The Real Value of Negro Melodies', *New York Herald*, May 21, 1893.
[20] Scott Deveaux, 'The Emergence of the Jazz Concert, 1935–1945', *American Music* 7/1 (1989), 6–29.

context, discussing jazz concerts that took place in New Zealand starting in August 1950.[21] This marked a similarly significant moment in the New Zealand jazz scene, denoting a departure from the perception of jazz being understood as only background music or music for dancing. These concerts occurred despite broader perceptions of many town council committees at the time that jazz was risqué entertainment.

The term 'concert' in these contexts directly referenced the concert culture of the Western art tradition, and as DeVeaux points out, the very use of the term and the associations it brings played a significant role in adding a level of prestige to the music.[22] As I discuss later, Duke Ellington was fond of borrowing similar terms to increase audience and media interest in his concerts and works.

As the swing era came to a close and the musical elements of swing became conventions, key band leaders such as Stan Kenton, Claude Thornhill and Gil Evans, alongside arrangers like Eddie Sauter and Bill Finegan, sought to create a unique progressive sound, brand-new to jazz. Along the same lines, after the Second World War Gunther Schuller developed the 'third stream' concept, which involved combining techniques from both jazz and classical music. Schuller's third stream concept serves as a key example of the influence of twentieth-century Western art music on jazz music during this period. Simply put, the Third Stream is merely a term used to describe a style of music that incorporates both jazz and classical influences, which even Schuller admits already existed, but without a name.[23] Though the term has had a difficult relationship with critics, Schuller's writings make it clear that this music is not just, for instance, jazz music in sonata form, or jazz with strings; the borrowed influences in third stream come from within jazz itself and serve the music in its own right.

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[21] Aleisha Ward, *'Any Rags, Any Jazz, Any Boppers Today?': Jazz in New Zealand 1920–1955*, PhD diss., University of Auckland (2012).

[22] Deveaux, 'The Emergence of the Jazz Concert, 1935–1945', 7.

[23] Gunther Schuller, 'Third Stream Revisited', in *Musings: The Musical Worlds of Gunther Schuller*, ed. Gunther Schuller (New York: Oxford University Press, 1986), 119.

> …if a symphony orchestra can be made to swing just a little, and if a compositional structure that makes jazz musicians push beyond the thirty-two-bar song forms of conventional jazz can be achieved, are not these already important achievements in breaking the stalemate artificially enforced by people who wish tenaciously to keep the two idioms separate?[24]

Much of the focus in traditional jazz historiography is on soloists, following the Louis Armstrong model for improvisation over changes and the innovations of bebop by virtuosos such as Charlie Parker and Dizzy Gillespie improvising over cyclical forms. But music with forms that fall outside of the strophic or cyclical model, including most symphonic jazz, has been largely overlooked in typical narratives of jazz history. This is mostly due to either the difficulty in characterising the music that falls between the styles of Western art music, jazz, or musical theatre, or jazz music that falls outside of the given harmonic/rhythmic/formal conventions that support the historical narrative of the jazz soloist. Despite the general omission of symphonic jazz and other long-form styles from typical jazz histories, Duke Ellington has taken a central place in those histories, and, as a result, his symphonic jazz compositions have also received greater attention.

1.2 Duke Ellington's Approach to Extended Works

Against the backdrop of Paul Whiteman's symphonic jazz, judged by the mid-1930s to be outside the realms of 'authentic jazz,' Duke Ellington enjoyed a strong wave of critical praise. Critics in the U.S. and Europe promoted an image of Ellington as a 'serious composer,' 'composer of art' or 'the first jazz composer.'[25] Ellington's profile was certainly elevated thanks to some of the praise he was afforded. His manager at the time, Irving Mills

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[24] Gunther Schuller, 'Third Stream', in *Musings: The Musical Worlds of Gunther Schuller*, ed. Gunther Schuller (New York: Oxford University Press, 1986), 117.

[25] R. D. Darrell (with regular reviews in *Phonograph Monthly* between 1927 and 1931, and his essay 'Black Beauty' from 1932) was among one of the first writers to portray Ellington as 'serious composer' while dismissing the likes of Paul Whiteman, George Gershwin, and Irving Berlin. In Europe, Constant Lambert echoed these ideas in his book *Music Ho! A Study of Music in Decline* (1934). This represented a notable example of a conservatory-trained European critic adding validity to the narrative. These examples are included in John Louis Howland, *Between the Muses and the Masses*, printed in Mark Tucker, *The Duke Ellington Reader* (New York: Oxford University Press, 1993), 33–40; 57–65; 110–114.

understood the value of this admiration, and aimed to make the most of it by proposing that Ellington write a 'rhapsody' to cash in on these endorsements.

The composition *Creole Rhapsody* (1931) was Ellington's first major foray into extended works, taking up both sides of a 78-rpm record. This was followed by *Reminiscing in Tempo* (1935) and later by the momentous *Black, Brown and Beige*. Ellington described this piece as a "parallel to the history of the Negro in America",[26] and it was performed at Carnegie Hall on January 23, 1943. While reception to Ellington's long-form pieces was mixed, Ellington returned to the Carnegie Hall stage nearly yearly for the following five years, premiering a new extended composition each time, reinforcing his position as a 'serious composer.'

Of course, while these pieces contain some elements borrowed from the Western art tradition, on some level suggesting an attempt to attract some sort of prestige, Duke Ellington's fascination with longer forms representing the African American experience can be traced back to his youth. Mark Tucker explains that Ellington's schooling placed significant value on African American history in the curriculum, and outside of school, for example, he was able to watch *The Star of Ethiopia*, a historical pageant written by W. E. B. Du Bois, covering "10,000 years of the history of the Negro race".[27] Tucker continues examining the background of *Black, Brown and Beige*, tracing its linage back to the early 1930s and Ellington's fixation on writing a musical 'history of the Negro'. In 1931 Ellington claimed he was writing a "rhapsody unhampered by any musical form in which I intend to portray the experiences of the coloured races in America in the syncopated idiom... I am putting all I have learned into it in the hope that I shall have achieved something really worthwhile in the literature of music, and that an authentic record of my race written by a member of it shall be placed on record."[28]

In 1941, while discussing his opera *Boola* (which was never completed, but instead provided the seeds for what was to become *Black, Brown and Beige*), Ellington expressed many of the

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[26] Edward Kennedy Ellington, *Music is My Mistress* (Garden City, New York: Doubleday, 1973), 181.

[27] Mark Tucker, 'The Genesis of Black, Brown and Beige', *Black Music Research Journal* 22/1 (2002), 133.

[28] Duke Ellington 'The Duke Steps Out', *Rhythm,* March: 20–22 (1931). Reprinted in 'The Genesis of Black, Brown and Beige', 136.

same ideas, stating that "I wrote it because I want to rescue Negro music from its well-meaning friends.... All arrangements of historic American Negro music have been made by conservatory-trained musicians who inevitably handle it with a European technique. It's time a big piece of music was written from the inside by a Negro."[29]

Beginning in 1944 Ellington would spend much of the rest of his career exploring longer-form works. These works were mainly in the form of multi-movement suites, which make up the majority of his later works. In 1950 Ellington composed *Harlem*, a single-movement, fourteen-minute work that represents one of his final major forays into the symphonic jazz form.

1.3 The Programmatic Elements of *Harlem*

Harlem was originally commissioned by Arturo Toscanini to be a part of a New York-inspired suite. Though Toscanini never conducted it, it was premiered by Ellington and his big band at a benefit concert for the National Association for the Advancement of Colored People (NAACP) at the Metropolitan Opera House on January 21, 1951. In December of that year Ellington recorded the piece as *A Tone Parallel to Harlem (The Harlem Suite)* for the album *Uptown Ellington* (1952),[30] released the following year. Ellington performed the piece several more times with his big band in the course of his life, but the original Toscanini commission required a symphonic work; that is, the commission specified that the composition was to be for a full symphonic orchestra. This orchestration was created later by Luther Henderson and was first performed in 1955 at Carnegie Hall by Don Gillis and the Symphony of the Air, and was later recorded by Duke Ellington accompanied by the Paris Symphony Orchestra for the album *The Symphonic Ellington* (1963).[31]

As its title suggests, *Harlem* is designed to take the listener on a tour of Ellington's adopted neighbourhood, exploring the characters that make up its community and taking audiences

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[29] Duke Ellington, quoted in Alfred Frankenstein, 'Hot is Something About a Tree, Says the Duke', *San Francisco Chronical*, November 9, 1941. Reprinted in Tucker, 'The Genesis of Black, Brown and Beige', 139.

[30] Duke Ellington, *Uptown Ellington* (Columbia, 1952). CD.

[31] Duke Ellington, *The Symphonic Ellington* (Reprise, 1963). CD.

on a journey through various scenes including its vibrant nightlife and a funeral procession. Backed-up by Ellington's own words (that would later appear in his autobiography *Music is my Mistress* [1973]),[32] Stanley Dance offered a detailed programme of the work which appeared on the liner notes of *The Symphonic Ellington* recording.

> When you arrive in Harlem, … you discover first that there are more churches than cabarets, and when you really get to know Harlem, you know that it's like any other community in the world, … with people, some plain and some fancy, some living luxuriously, others not so luxuriously, some urbane, some sub-suburban, laughing, crying, and experiencing a million different kinds of ups and down. So the piece of music goes like this: goes like this (1) Pronunciation the word "Harlem," itemising its many facets from downtown to uptown, true and false; (2) 110th Street, heading north through the Spanish neighborhood; (3) Intersection further uptown-cats shucking and stiffing; (4) Upbeat parade; (5) Jazz spoken in a thousand languages (6) Floor show; (7) Girls out of step, but kicking like crazy; (8) Fanfare for Sunday; (9) On the way to church; (10) Church-we're even represented in Congress by our man of the church; (11) The sermon; (12) Funeral; (13) Counterpoint of tears; (14) Chic chick; (15) Stopping traffic; (16) After church promenade; (17) Agreement a cappella; (18) Civil Rights demandments; (19) March onward and upward; (20) Summary-contributions coda.[33]

Works based on programmatic themes constitute a significant amount of music considered to be symphonic jazz. Works by African American composers largely drew from themes that explore what Howland calls the 'Africa-to-Dixie-to-Harlem' narrative model. However, following the Second World War this model became far less common as it was described as being 'woefully inadequate' for articulating the issues African Americans faced in the post-war period.[34] Nevertheless, programmatic themes, in general, continued to be a central element of symphonic jazz works that explore longer forms (for instance, Gunther Schuller's *Seven Studies on Themes of Paul Klee*, see Chapter 4). In this case, as in others, Ellington's

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[32] Ellington, *Music is My* Mistress, 189.

[33] Stanley Dance, *The Symphonic Ellington*, by Duke Ellington (Reprise, 1963). Liner notes.

[34] Howland, *Between the Muses and the Masses.*

programme clearly connects with the music in only a few specific cases. The fact that Ellington's programme was only revealed some time after he composed the piece may suggest that he may have written it, at least to that level of detail, well after the composition's premiere.

In terms of form, *Harlem* demonstrates how blues choruses and strain-based sections form the building blocks for the development of formal explorations. In addition, Ellington's mastery of timbre, stylistic contrasts, uneven phrase/section lengths, and use of interludes and vamps all contribute to a sense of formal sophistication that characterise symphonic jazz as a genre. What follows is a discussion of the structure of *Harlem* and of how Ellington employs motivic development and elaborates upon conventional formal structures to create an innovative and coherent work, building upon the jazz tradition. This analysis will be based on Ellington's big band recording of the piece from *Uptown Ellington*.

1.4 The Extended Form of *Harlem*

Ray Nance opens the piece with his plunger-muted trumpet, articulating the word 'Harlem' as a two-note, descending minor third motif, that becomes a unifying theme across the piece.[35] The introduction of the piece can be broken into three sections, bookended by Nance's rubato solo trumpet and drawing upon several instances of call-and-response between him and the band restating the 'Harlem' motif across different pitch levels (see Fig. 1.1 for a full formal outline of the piece). In the first six measures we are offered an important piece of foreshadowing. Following each of Nance's calls the saxophone section plays first one chord, then three chords in a half-note triplet, and finally four chords in quarter notes. This range of increasingly quicker rhythmic subdivisions hints at Ellington's approach to some of the drastic tempo changes that occur later on in the piece. Jimmy Hamilton's smooth clarinet leads us into m. 25, the statement of the first theme. This Theme 1 is made up of a main theme (A), which is subjected to various forms of development through each of its restatements, and a secondary theme (B), which in both of

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[35] All references to musicians and measure numbers derive from the *Uptown Ellington* recording.

its appearances draw upon many contrapuntal textures, functioning largely as a transitional section.

Fig. 1.1. Formal outline of *A Tone Parallel to Harlem*.[36]

Section		M.	Time	Content	Duration (bars)
Introduction		1	0:00	Solo trumpet motif	10
		11	0:34	Call-and-response	8
		19	0:57	Solo trumpet	6
Section I	Theme 1 A^1	25	1:19	Clarinet melody	8
	A^2	33	1:43	Band restatement of the melody	9
	A^3	42	2:10	Band restatement of the melody	11
	B	52	2:39	Contrapuntal transition	10
	Vamp	63	3:08	Two-measure bass ostinato	4
	Vamp extension	67	3:15	Addition of a counter line	2
	Theme 1 A^1	69	3:18	Baritone melody over ostinato	8
	A^2	77	3:34	Band melody w/clarinet solo	8
	Tenor cadenza	85	3:58	One-measure tenor cadenza	1
	B	86	4:01	Tenor solo w/backgrounds	12
Section II	Vamp	98	4:39	Rumba section	8
	Vamp development	106	4:49	Addition of trombone figure	4
	Blues^1 (swing)	110	4:55	Blues form w/alto & clarinet melody	12
	Interlude	122	5:10	Four-measure interlude	4
	Blues^2 (swing)	126	5:15	Trumpet section theme	12
	Blues^3 (rhumba)	138	5:31	Polyphonic textures	12
	Blues^4 (swing)	150	5:46	Trombone section theme	12
	Blues^5	162	6:01	Call & response between sections	12
	Blues^6	174	6:17	Call & response development	12
	Blues^7	186	6:32	Faster – trumpet solo	14
	Blues^8	200	6:45	Saxophone soli	12
	Interlude	212	6:56	Tutti shout chorus – Double time	8
		220	7:01	Tutti shout chorus – Original tempo	5
		225	7:09	Brass fanfare	4
	Clarinet cadenza	229	7:16	Clarinet cadenza	6
	Dirge Theme^1	235	7:32	Slow – Clarinet melody	6
	Dirge Theme^2	241	7:50	Gradually thickening of texture	16
	Vamp	257	8:44	Bass clarinet solo	4

[36] Adapted from John Howland's formal outline in John Howland, *Ellington Uptown: Duke Ellington, James P. Johnson, and the Birth of Concert Jazz* (Michigan: The University of Michigan Press, 2012), 281, with time references to the *Uptown Ellington* studio recording and measure numbers taken from Duke Ellington, *A Tone Parallel to Harlem Complete Full Score*, ed. Rob Duboff, Dylan, Canterbury, & Jeffrey Sultanof (New York: Jazz Lines Publications, 2018). Score.

Section III	Hymn Theme A^1	261	8:57	Trombone solo	8
	A^2	269	9:24	Clarinet solo	8
	A^3	277	9:50	Increasingly contrapuntal textures	8
	B	285	10:16	Trumpet soli over sax ostinato	8
	A^1	293	10:44	Saxophone section main theme	10
	A^2	303	11:13	Brass choir statement of theme	8
	Bridge	311	11:40	Trumpet solo	8
	Transition	319	12:05	Crescendo	4
	Bridge	323	12:16	Tutti	17
	A^1	340	12:56	Ensemble statement of theme	8
	Coda	348	13:19	Three-part ensemble tutti	10

The form of Theme 1 is essentially performed twice, first appearing as an A^{1}A^{2}A^{3}B statement, and then A^{1}A^{2}B with a short vamp separating the two. As each A section is presented, Hamilton's clarinet theme, based heavily on the 'Harlem' motif (A^1), develops into a harmonised saxophone line (A^2), with the brass section revealing itself towards the end of A^2. The ensemble then builds into a statement of the 'Harlem' motif, which begins the eleven-measure A^3 phrase, followed by some textural development incorporating glimpses of polyphony including a brief trombone solo and the piece's first double-time passage. The A^{1}A^{2}A^{3}B form is not uncommon, but Ellington's mastery of formal development that diverges from standard practices is evident: the orchestration changes every A section, the stylistic feel of the first statement of Theme 1 changes in the second statement due to the addition of an ostinato (m. 69), a vamp appears between the two statements of Theme 1, and the A section is increasingly augmented, particularly the first three statements of the A section.

Section II draws heavily from the blues form, with eight choruses of the blues constituting most of the section. Once again, each of these occurrences is subject to many forms of development. Stylistic changes between the rhumba and swing feels are the most salient, as are the drastic tempo changes towards the end of the section. Ellington demonstrates a keen awareness of form as intensity continues to build through the whole section with increasingly busier textures and timbral contrasts working in tandem with the accelerating tempo to build towards Section III.

Section III opens with a dirge-like theme played by a solo clarinet, with simple bass accompaniment. From m. 241 this continues to build as the ensemble gradually enters with a repeating one-measure descending figure that foreshadows the Hymn Theme that constitutes the majority of this section. A^1 and A^2 of the Hymn Theme are largely the same. The melody moves from the trombone part to the clarinet to create some contrast, but the use of a strong countermelody in the other clarinet parts generates an effective level of polyphony. A^3 builds on the previous material, arriving at a distinctly New Orleans polyphonic sound, illustrative of Ellington's programmatic description of a funeral march. During the second statement of the Hymn Theme A^1 is extended by two measures, developing the three-note chromatic idea that concludes the theme. This leads nicely into a grand key change from F to A♭ that allows the momentum to build right through to the end of the piece that features the full ensemble blasting variations on the 'Harlem' motif and other melodic themes occurring throughout the work.

When looking at the individual formal components of the piece, it is clear that *Harlem* draws heavily on chorus-based and blues form structures that occupy a significant part of the jazz repertory. However, on a broader scale we can see how Ellington is gradually building on the idea of simply strophic or cyclic verses through radical contrasts and the use of various developmental techniques.

1.5 Conclusions

Drawing upon the form, instrumentation, and certain terminologies of the Western art tradition, the symphonic jazz genre sought to contribute to the expanding popularity of jazz, and the legitimisation of jazz as an art form. Duke Ellington's *Harlem* serves as a valuable model in demonstrating how these features can be used in a long-form jazz context.

Motivic development on the 'Harlem' motif provides a connective thread through the whole work, serving to achieve coherence and unity across the three main sections. Structurally, statements of melodic themes are (at their crux) presented in typical strophic structure, drawing heavily upon eight-measure sections, or twelve-bar blues forms. However, as

demonstrated, many subsequent presentations of these themes vary this typical formal approach. This variety is achieved to varying degrees, with the addition of just a single measure at the end of a phrase (see Fig. 1.1 A^2 and A^3 [extra three measures] of Theme 1), to the addition of transitional sections and interludes. This elaboration of conventional formal structure is further applied to the macro form of the piece, contributing to its three section structure, where whole sections provide substantial contrast to one another, creating a large-scale ABC form.

In addition to formal development and embellishment, as demonstrated by this chapter, central to the idea of long-form works in jazz (although to widely varying degrees) are the uses of programmatic themes and the cross-fertilisation between jazz and the Western art tradition. These concepts play an important role in the music of the symphonic jazz style, and they reverberate through much of the subsequent history of jazz. As such, they will play a major role in the remainder of this study.

Chapter 2

The Communicative Qualities of Improvisation in Charles Mingus's *Fables of Faubus* (1959)

While the term 'extended form' is used very broadly within this exegesis, it has had several specific uses over time. In the case of Duke Ellington, the term was used to describe his works that *extended* beyond the length of a single 78rpm side. In the case of Charles Mingus, it was used as a device aimed at democratising the role of the composer by allowing his musicians to choose when to move on to a new idea.[37] Mingus's 'extended form' was implemented by way of an open vamp, dramatic changes in tempo or dynamics, or collective improvisation. This was often employed when building towards the climatic points of a larger work, with a goal of allowing for a greater musical expression.[38]

Performers play a significant role in the realisation of a jazz work. This allows for the possibility to fundamentally shape the character or trajectory of a piece. This occurs most obviously through the improvised solo, but a player's individual voice is also encouraged (and valued) by the jazz composer through their interpretation of the written parts (particularly with respect to the rhythm section). The aim of this chapter is to consider how improvisation and performance can play a role in commenting on, interpreting, or conveying the topical ideas of a work, with consideration towards a more integrative approach to the role that improvisation plays within a composed structure.

To examine these issues, I explore three different versions of the Charles Mingus piece, *Fables of Faubus*, focusing on links between the compositional and improvisational processes, ways in which improvised material can convey similar ideas to pre-composed material, and ways in which an overarching meaning within a jazz work might be located across multiple performances and versions of a single piece.

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[37] Gunther Schuller, 'The Future of Form in Jazz', in *Musings: The Musical Worlds of Gunther Schuller*, ed. Gunther Schuller (New York: Oxford University Press, 1986), 21.

[38] Paul Thomas Musser, *Me, Myself and Mingus*, DMA diss., University of Illinois (2005), 35–36; Scott Saul, *Freedom Is, Freedom Ain't: Jazz and the Making of the Sixties* (Cambridge, MA: Harvard University Press, 2003), 162–164.

Two of these versions are studio recordings and reasonably similar to one another, providing valuable context for this discussion (appearing on the albums *Mingus Ah Um* [1959][39] and *Charles Mingus Presents Charles Mingus* [1960][40]). The third version, from the live album *Revenge!* (recorded in 1964 but not released until 1996),[41] provides an example of the 'extended form' device being used to further explore the work's themes. Humour, satire, and parody are evident through much of the composed and improvised material. As I discuss, Mingus and his musicians draw heavily upon these ideas to comment on the African American fight for civil rights. Connecting each of these versions is the fact that they each feature bands led by composer and bassist Charles Mingus, and all occur within five years. In looking at some of the more performative aspects of the work over a short period of time, I aim to demonstrate how composition can inform improvisation, and how performers can inform a work.

2.1 The Contributions of Improvisation

A jazz composition relies heavily upon soloists to make the work the complete picture. Therefore choosing the correct soloists becomes an important part of the process. In addition to being proficient on their instrument, perhaps more importantly, a composer is attracted towards certain performers because they share a common aesthetic or similar sensibilities. This becomes an important element in achieving coherence and unity across a whole performance. Several writers have likened the improvisational process to that of the compositional process, a view that regards improvisational development as a significant contributor to organic unity. Philip Alperson,[42] Lewis Porter,[43] Gunther Schuller,[44] and Frank Tirro[45] have each contributed to the discussion of an integrative approach between

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[39] Charles Mingus, *Mingus Ah Um* (Columbia, 1959). CD.

[40] Charles Mingus, *Charles Mingus Presents Charles Mingus* (Candid, 1960). CD.

[41] Charles Mingus, *Revenge!* (Revenge, 1996). CD.

[42] Philip Alperson, 'A Topography of Improvisation', *The Journal of Aesthetics and Art Criticism* 68/3 (2010), 273–280.

[43] Lewis Porter, 'John Coltrane's 'A Love Supreme': Jazz Improvisation as Composition', *Journal of the American Musicological Society* 38/3 (1985), 593–621.

[44] Gunther Schuller, 'Sonny Rollins and the Challenge of Thematic Improvisation', in *Musings: The Musical Worlds of Gunther Schuller*, ed. Gunther Schuller (New York: Oxford University Press, 1986), 86–97.

[45] Frank Tirro, 'Constructive Elements in Jazz Improvisation', *Journal of the American Musicological Society* 27/2 (1974), 285–305.

improvisation and composition. In particular, Alperson draws comparisons between the processes of composition and improvisation, restating the importance of the social contexts of the composition of *Fables of Faubus*, and proposing that the improvised solos continue the social commentary inherent in the written elements in accordance with Mingus's intent.

In discussing the contributions an integrative approach to improvisation can have as a unifying factor, both Schuller and Tirro reference the conflicting argument made by Andre Hodeir, who stated that "freed from all melodic and structural obligation, the chorus improvisation is a simple emanation inspired by a given harmonic sequence."[46] While this statement seems extremely dated by now, even for the time, it seems to ignore the innovative work of jazz musicians through the history of the music. While it is true that many jazz improvisers are concerned with the relationships between chords and scales, beyond that, melodic and structural coherence is often the goal of many improvisers. This forms the basis of Schuller and Porter's arguments in their own analyses of the thematic/motivic development, and structural unity present in the work of Sonny Rollins and John Coltrane. In taking this position, improvisational development is viewed as being a significant contributor to organic unity, and also serves as an integral element to the jazz performance as a whole.

In addition to the discussion of melodic/thematic development within improvised solos, musical communication can be achieved through musical references to extramusical themes or ideas. In discussing the role of improvisation in the construction of meaning, Ingrid Monson examines the use of musical irony in African American music to illustrate a musical, cultural, social, or political point.[47] Transformation of well-known songs, quotations of tunes, and exaggerated, humorous references are all ways in which jazz music communicates social meaning. *Fables of Faubus* draws upon many of these ideas to convey its message, and these satirical themes are one way in which the composed and improvised materials inform one another.

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[46] Andre Hodeir, *Jazz: Its Evolution and Essence* (New York: Grove Press, 1956), 144.
[47] Ingrid Monson, 'Doubleness and Jazz Improvisation: Irony, Parody, and Ethnomusicology', *Critical Inquiry* 20/2 (1994), 283–313.

Philip Brett's analysis of a Schubert piano duet shows how a composer's environment or social life can affect their compositions.[48] Each note choice or phrase can communicate feelings of anxiety and confusion that the composer may have been experiencing at the time. This is significant in the music of Mingus. In reference to 'Haitian Fight Song' Mingus writes that it "could just as well be called 'Afro-American Fight Song'. […] My solo in it is a deeply concentrated one. I can't play it right unless I'm thinking about prejudice and hate and persecution, and how unfair it is."[49] To gain a further understanding of *Fables of Faubus* the experiences of both composer and performers can be useful in both interpreting the message behind *Fables of Faubus*, and can shed light on how performers may have interpreted Mingus's music.

Further highlighting the importance of race to a discussion of Mingus's music, Jennifer Griffith writes of the significance of two African-derived elements that help promote ideas of communal expression: the collective improvisation of New Orleans jazz, and the worship and singing traditions of the African American Pentecostal church service.[50] Through the use of collective improvisation, Mingus encouraged his musicians to connect on a deeper level with the music and allow them to express themselves as individuals contributing to something greater than an individual creative vision. Links to the church are also evident in collective improvisational approaches that reference the heterophony of worship services in the African American gospel tradition. In addition, Charles Hersch argues that ideas surrounding collective improvisation and group interaction were ways the free jazz movement of the 1960s was able to represent ideas of political freedom.[51] He suggests that Mingus was able to achieve his vision through encouraging individual expression and group solidarity, which he links with Martin Luther King's idea of the redemptive community.

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[48] Philip Brett, 'Piano Four-Hands: Schubert and the Performance of Gay Male Desire', *19th-Century Music* 21/2 (1997), 149–176.

[49] Charles Mingus, quoted in Nat Hentoff, *The Clown,* by Charles Mingus (Atlantic Records, 1961). Liner notes.

[50] Jennifer Griffith, *His Jelly Roll Soul: Revising and Reclaiming the Past, the Minstrel Mask, and the Communal Blast in Charles Mingus's Jazz Workshop*, DMA diss., The City University of New York (2010); Jennifer Griffith, 'Mingus in the Act: Confronting the Legacies of Vaudeville and Minstrelsy', *Jazz Perspectives* 4/3 (2010), 337–368.

[51] Charles Hersch, '"Let Freedom Ring!": Free Jazz and African-American Politics', *Cultural Critique* 32 (1995), 97–123.

2.2 Charles Mingus and the Jazz Workshop

In establishing his Jazz Workshop in 1953 (a collective in which Mingus was able to work more closely with his musicians, blurring the lines between compositional and performance processes), Mingus refused to continue composing in a way in which he referred to as being a 'pencil composer' and instead began communicating his compositions aurally—either by singing or playing individual parts to his musicians. Musical interaction became a significant element of his music and helped promote ideas of collaboration and equality between all band members. [52]

Building upon the work of his principal influences, Duke Ellington and Charlie Parker, Mingus aimed to expand upon the big band swing and bebop traditions. By exploring ideas related to the role of the soloist and formal development, Mingus embraced the freedom offered by a departure from the typical cyclic chorus structure. Paul Musser explores Mingus's treatment of issues such as arrangement, form, and freedom as an element of formal expansion.[53] Central to this, Musser goes into great detail on Mingus's method and employment of the 'extended form' device to expand upon a work's boundaries in an attempt to allow for greater musical expression. Musser goes as far as to claim that this use of 'extended form' was an important precursor to both the modal jazz and free jazz movements that followed soon after.[54]

These explorations into 'extended form' were not solely tied to a need to move beyond the typical bebop head-solo-head structures; they also served as a means of further elaborating on the mood or themes of the piece. Mingus first mentions the 'extended form' device in the liner notes for the 1956 album *Pithecanthropus Erectus*, the title track of which represents one of Mingus's most well-known uses of 'extended form.' With respect to the piece 'Love Chant', which appeared on *Pithecanthropus Erectus*, Mingus explains how his approach to 'extended form' is intended to work:

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[52] Mario Dunkel, *Aesthetics of Resistance: Charles Mingus and the Civil Rights Movement* (Hamburg, Germany: LIT Verlag, 2012), 1–2.

[53] Paul Thomas Musser, *Me, Myself and Mingus*, DMA diss., University of Illinois (2005).

[54] Ibid., 36.

This form allows for unlimited freedom in blowing except for maintaining the mood indicated. I say 'indicated' because extended form versions are never played the same twice - the mood as well as the length of line on each chord depends on the musician playing. The mood is set by him, and the chord, in this particular composition, is changed only on piano cue by Mal [Waldron] when he feels the development requires it.[55]

In my study of *Fables of Faubus* I will be exploring how the role of the composer is affected by or has an effect on the more collaborative methods promoted by Mingus and his use of 'extended form.' In doing this, I aim to discuss the ways in which improvisation can contribute to the themes of the work.

2.3 *Fables of Faubus*

Charles Mingus (1922–1979) was a highly influential bassist, composer, and bandleader. As an instrumentalist, Mingus revolutionised the role of the jazz bassist through the use of extended techniques and a move towards a more melodic or soloistic approach to the instrument, and while not the first to do so, helped bring it to the forefront of the ensemble and away from a traditional timekeeping role. His most significant contributions to the development of jazz, I argue, were in the field of composition.

Much of the biographical material on Mingus points to the significant role that racial politics played on his life and music.[56] According to Mingus, this became a cornerstone of his music.[57] Drawing heavily from Mingus's own autobiography, Nichole Rustin-Paschal draws attention to the impression left by his father regarding race, sexuality, and masculinity.[58]

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[55] Charles Mingus, *Pithecanthropus Erectus*, by Charles Mingus (Atlantic Records, 1956). liner notes.

[56] For example, see Charles Mingus, *Beneath the Underdog* (Harmondsworth, London: Penguin Books, 1975); Brian Priestley, *Mingus: A Critical Biography* (New York: Da Capo Press, 1983); Gene Santoro, *Myself When I Am Real: The Life and Music of Charles Mingus* (New York: Oxford University Press, 2000).

[57] Dunkel, *Aesthetics of* Resistance, 3.

[58] Nichole Rustin-Paschal, *The Kind of Man I Am: Jazzmasculinity and the World of Charles Mingus Jr*. (Middletown, CT: Wesleyan University Press, 2017).

Through his childhood Mingus came to the understanding that lighter skin was a marker of privilege.[59] This was further complicated through his own mixed race heritage, belonging a little to everything, but "wholly [to] nothing, of no race, country, flag or friend."[60] Mingus came to the realisation however, that if there was "any 'Negro' in your ancestry you're a nigger to all greasers, redneck peckerwoods and like-minded folks…"[61] With this awareness of race being such a marker of identity, it is perhaps no coincidence that one of his most well-known compositions was a direct political response to an event that occurred during a time when the Civil Rights Movement in the United States reached its most decisive moments.

In 1954 the U.S. Supreme Court ruled that the racial segregation of public schools in the United States was unconstitutional. Reaction to the ruling, however, was slow. In 1957 a crisis unfolded in Little Rock, Arkansas when the Governor of Arkansas, Orval Faubus, sent out the National Guard to prevent nine African American students from attending the local public high school. This was done in an attempt to 'preserve the peace,' in response to claims that their presence could incite tumult or unrest. It was not until nearly a month later that President Eisenhower finally intervened and removed the National Guard from Faubus' control, deploying them to protect the students.

As the events at Little Rock were unfolding, Mingus and the Jazz Workshop were performing an early version of *Fables of Faubus* in New York nightclubs.[62] While initially written as an instrumental piece, the group's drummer Dannie Richmond recalls:

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[59] Rustin-Paschal, *The Kind of Man I Am: Jazzmasculinity and the World of Charles Mingus Jr.*, 29.

[60] Mingus, *Beneath the Underdog*, 50.

[61] Mingus, *Beneath the Underdog*, 25.

[62] Its conception, however, looks to be under contention. Brian Priestley's account however, and is the most widely accepted version of events. In *Blue Notes and Brown Skin: Five African-American Jazzmen and the Music They Produced in Regard to the American Civil Rights Movement*, Benjamin Park Anderson delves into the issue considering its performance and recording history along with personal accounts, claiming that it was likely composed sometime between the late fall/winter of 1957 and late spring/early summer of 1958 citing Santoro, *Myself When I Am Real*, 133, and Priestley, *Mingus: A Critical Biography*, 86, and making reference to "Mingus's often lengthy gestation of compositional materials", 48.

At the beginning, it didn't even have a title...We were playing it one night and the line, 'Tell me someone who's ridiculous,' just fell right in with the original line, and I happened to respond with 'Governor Faubus!'[63]

From this point the piece began to be known as 'Fables of Faubus'. During May of 1959 Mingus recorded the piece, and a few months later in September it was first released on the album *Mingus Ah Um*.

2.4 'Fables of Faubus' from *Mingus Ah Um* – Columbia, 1959

Mingus recorded the *Ah Um* version of 'Fables of Faubus' with an alto saxophone, two tenor saxophones, a trombone, piano, bass, and drums. The use of these voices rather than other commonly used instruments provide an intentionally dark timbre. The brightest instrument, the piano (also the instrument capable of playing in the highest register), is used very sparsely throughout the performance contributing a rather dark atmosphere. Fig. 2.1 shows the four-measure figure that makes up the introduction, which is then continued, serving as a bassline as the main theme (Fig. 2.2) is played over the top of it. It is important to note here that of the three selected performances of the piece, the lyrics appear only on the *Charles Mingus Presents Charles Mingus* and *Revenge!* versions.[64] According to Gene Santoro, as the group recorded 'Fables of Faubus' for *Mingus Ah Um*, Columbia executives stepped in and would not allow the inclusion of the lyrics.[65] The version released on *Charles Mingus Presents Charles Mingus*, titled 'Original Faubus Fables', suggests that the lyrics were always intended to be a part of the work, rather than a late addition, backing up Richmond's statements.

Fig. 2.1. 'Fables of Faubus' Introduction

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[63] Priestley, *Mingus: A Critical Biography*, 86.
[64] They are however, nearly inaudible in the live *Revenge!* version.
[65] Santoro, *Myself When I Am Real*, 154.

Music has always played a significant role in the fight for freedom of the African American people. From the antislavery movement in the nineteenth century to the Civil Rights Movement of the 1960s, music was used to build a greater sense of community in bringing people together or recruiting people to the cause. The three selected performances of *Fables of Faubus* draw upon many key African American elements. The church was often at the heart of the African American community, and as Charles Payne writes: "music had always been a central part of the black religious experience. Ministers knew that a good choir was a good recruiting device."[66] In order to best bring people together much of the music tied to the Civil Rights Movement, including *Fables of Faubus*, drew upon many of the key elements of the African American church service, making these ties to African American traditions and values a major component of the work. The use of call-and-response, a significant feature of the African American church service became an effective way for musicians to communicate their messages to one another and the audience. In addition, many musicians looked to the roots of jazz, drawing upon the blues and gospel music of the black church. Mingus recognised the blues as a quintessentially black music, and often drew upon it to highlight the struggles of the African American people.[67]

The main theme of 'Fables of Faubus' (see Fig. 2.2) is relatively simple, consisting of small, conjunct, single-bar phrases. The relatively slow tempo, cut-time feel, and the exaggerated swing style give the piece a humorous and satirical feel, which becomes another key element of the work. Lopez-Dabdoub suggests that this sense of satire is a reflection of the "square personality and ridiculousness of the white Arkansas governor, who would have had no idea of, or interest in, African American musical values and aesthetics."[68]

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[66] Charles Payne, *I've Got the Light of Freedom: The Organizing Tradition and the Mississippi Freedom Struggle* (Berkeley, CA: University of California Press, 1994), 261.

[67] Dunkel, *Aesthetics of* Resistance, 33.

[68] Eduardo Lopez-Dabdoub, *The Music of Charles Mingus: Compositional Approach, style, and the Performance of race and Politics in the "Free Land of Slavery"*, DMA diss., The City University of New York (2013), 74.

Fig. 2.2. 'Fable of Faubus' Theme

The structure of 'Fables of Faubus' follows an extended version of an AABA structure, and remains relatively unchanged throughout various performances. While this is tied to the popular 32-bar song form, it also accommodates for Mingus's desire to write longer-form pieces. Each A section consists of the main theme, played twice, followed by a contrasting section consisting of ten measures (although the first A section has an additional measure added on the end). The ten-bar contrasting section to close each A section features a complementary melody consisting of simpler phrases, appearing closer to a guide tone line, accompanied by a straight-ahead walking bass line and swinging drum pattern.

The B section of the piece provides moments of stability contrasted by moments of uncertainty. The first eight measures of B consist of a repeated four-measure phrase. The mournful melody, as played by the tenor saxophone, incites disappointment and anguish as it struggles to reach pitches in its upper register. Each phrase is accompanied by a sorrowful countermelody played by the trombone, as well as low, uneasy wails from a woeful second tenor saxophone. In stark contrast, the next four measures explode with a sudden burst of energy as the bass and drums shift into a quick double time feel. Over this, one tenor saxophone improvises at high speed over the quick, one-chord-per-bar harmonic rhythm as the trombone interjects with quick improvised licks.

The final four measures of the B section feature the horn section entering one by one with an eighth-note idea, alternating between pitches, a half-step away from each other. The effect is dissonant and unsettling, only held together by the rhythmic figure set up by the rhythm section, signifying the end of the bridge and a return to the A section. The solo section maintains the AABA form with each soloist taking half a form each, and making good use of wide vibratos and pitch bending, playing into the humorous elements of the work.

2.5 'Original Faubus Fables' from *Charles Mingus Presents Charles Mingus* – Candid, 1960

In 1960 a new version of 'Fables of Faubus' was recorded for the album *Charles Mingus Presents Charles Mingus*, this time titled 'Original Faubus Fables', drawing attention to the fact studio executives would not permit the lyrics on the original release. The performance begins with Mingus addressing the audience, telling them to keep it down and ensuring that no noise is made from the rattling of ice in glasses or the ringing of the cash register. Salim Washington suggests these requests are likely a critique on the capitalist conditions of the jazz clubs.[69] Furthermore, it could be seen as a criticism of the Columbia record label that was too worried that the inclusion of the composition's lyrics may result in poor sales. Right before the beginning of the performance Mingus quickly delivers a sarcastic insult, dedicating the performance to "the first, or second, or third all-American heel: Faubus", further showing his loathsome opinion of the Arkansas Governor. The lyrics during the main theme (Fig. 2.3) function in a call-and-response manner with Mingus talk-singing a line and Dannie Richmond along with other band members shouting back the response.

The way in which Richmond states the lyrics were conceived would suggest they were a product of improvisation. While I am unsure how often the lyrics were included in performances of the piece, had they remained I could imagine them changing in different performances.[70] T.V. Reed writes about how lyrics of freedom songs during the Civil Rights Movement were often reworked to incorporate particular meanings relevant to the time. Often they were adapted to fit the needs of the conditions, audience, and situations.[71] Had Mingus used the lyrics regularly perhaps they would have participated in this tradition, speaking directly to the audience at hand and using lyrics as a tool to reach out to communities and bring people together, united by a common cause.

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[69] Salim Washington, 'All the Things You Could Be by Now: Charles Mingus Presents Charles Mingus and the Limits of Avant-Garde Jazz', in *Uptown Conversations: The New Jazz Studies*, ed. George Lewis, Brent Edwards, Farah Jasmine Griffin (New York: Columbia University Press, 2003), 40.

[70] Sue Mingus, future wife of Charles, backs up this claim, stating in an interview: "the group was playing Fables of Faubus at New York's Five Spot. Mingus and Dannie [Richmond] would exchange the song's lyrics, and they'd often change them from night to night. Every version was rousing." Sue Mingus, 'Charles Mingus: Fables of Faubus', interview by Marc Myers, in *JazzWax,* May 27, 2009.

[71] Thomas Vernon Reed, *Art of Protest: Culture and Activism from the Civil Rights Movement to the Streets of Seattle* (Minneapolis: University of Minnesota Press, 2005).

The use of collective language such as 'we' or 'us' was another commonly used device in the songs of the Civil Rights period, emphasising an African American sense of collectivity. The humorous nature of the piece is demonstrated again through the use of role-play. Mingus takes on the role of a teacher (referencing the Little Rock crisis) posing questions to his eager student played by Dannie Richmond. He then signifies upon the clichéd protest chant "two, four, six, eight: They brainwash and teach you hate", to rile up support for the cause with the singsong, schoolyard rhyme.

Fig. 2.3. 'Original Faubus Fables' lyrics[72]

Introduction	**Oh, Lord, don't let 'em shoot us!**
	Oh, Lord, don't let 'em stab us!
	Oh, Lord, don't let 'em tar and feather us!
	Oh, Lord, no more swastikas!
A	**(instrumental)**
(end of A section)	**Oh, Lord, no more Ku Klux Klan!**
A	**Name me someone who's ridiculous, Dannie.**
	Governor Faubus!
	Why is he so sick and ridiculous?
	He won't permit integrated schools.
	Then he's a fool!
B	**Boo! Nazi Fascist supremists!**
	Boo! Ku Klux Klan (with your evil plan)
A	**Name me a handful that's ridiculous, Dannie Richmond.**
	– Faubus – Rockefeller – Eisenhower
	Why are they so sick and ridiculous?
	Two, four, six, eight: They brainwash and teach you hate.
	H-E-L-L-O-Hello

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[72] Charles Mingus, *Charles Mingus-More than a Fake Book*, ed. Andrew Homzby (Milwaukee, WI: Hal Leonard, 1991), 47.

The performance of the head is similar to the *Ah Um* version (aside from the addition of vocals), though it is far more aggressive. The most significant differences occur during the bridge. Here, saxophonist Eric Dolphy takes a prominent role, playing the mournful theme. His performance here however, exaggerates several elements of the Columbia version. The shrill timbre of his alto saxophone, loose rhythms and pitching make it a jarring passage to listen to.

The improvised solos continue the more aggressive approach taken in this version, and each soloist takes a full chorus. These solos again draw upon Mingus's model of using humour and satire to express resentment as a means of mounting an effective protest against prejudice and hate. This is highlighted by Dolphy's mastery of unconventional playing, drawing upon abrasive sounds and highly disjunct lines, and Mingus's sarcastic use of the American Civil War tune 'When Johnny Comes Marching Home' to begin his solo.

2.6 'Fables of Faubus' from *Revenge!* – Revenge, 1964

It remains unclear how often Mingus performed *Fables of Faubus* after the Candid recording of 1961, however, it was to become a central part of Mingus's live set when he toured Europe in 1964. While the two studio versions of *Fables of Faubus* share many structural similarities, the live iteration from the European tour is remarkably different. Lopez-Dabdoub identifies several significant events related to the Civil Rights Movement that took place in 1963 as being possible factors in decisions to make such radical changes.[73] Events in Birmingham, Alabama throughout the year, including the arrest of Martin Luther King in April, the violent police response to protesters in May, and the bombing of the Sixteenth Street Baptist Church that killed four young girls in September, are all likely to be major factors in the increasingly aggressive and chaotic qualities of this version of 'Fables of Faubus.'

Eric Dolphy begins this performance of the piece playing the introduction on the bass clarinet, providing a very dark character, and which reflects the ominous nature of the

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[73] Lopez-Dabdoub, *The Music of Charles Mingus*, 91.

Revenge! version. The other most noteworthy difference is the fast tempo that hovers around 170 beats per minute, much quicker than the 120 beats per minute of the studio versions. The lyrics appear here in some form, but due to the poor sound quality (and blistering tempo), they are for the most part pretty unintelligible, adding to a sense of disorder and terror.

The melody of the A sections comes across as rigid and uncomfortable, due to the loose and 'square' interpretation of the inflated swing style that characterises the section; this time occurring far quicker than previously heard. Clifford Jordan's squeaky tenor saxophone has an abrasive quality, adding to the sense of disorder. The second half of the A section provides some stability through the use of the walking bassline and four-feel in the drums, but this stability is countered by the dissonant harmonies and wide vibratos of the horns.

The bridge starts off fairly consonant in comparison. Perhaps owing to the smaller ensemble, Dolphy and Jordan play the first eight bars in harmony. Any sense of calm is quickly removed as the remaining eight bars descend into utter chaos. The double time section is played at breakneck speed (closer to 400 beats per minute than 340 beats per minute, the actual double time tempo). While Jordan takes the melodic figure, Dolphy breaks into a wild free-form solo over the top. The rhythm section adds to the chaos, although the incredible tempo of the passage is probably the main cause for the madness. The extreme tempo makes it difficult for everyone to keep up and nearly results in the collapse of the whole performance.

At nearly twenty-five minutes long, this live performance features lengthy solos by Mingus, Jordan, Byard, and Dolphy, and includes sections of free improvisation in which all harmonic, rhythmic, and formal elements are abandoned. It could be easy to assume that the entire solo section consists of random and spontaneous events, but on closer inspection the section is methodically structured. Each solo begins with a restatement of the AAB structure, and during the second half of the B section the rhythm section starts to fall away and the soloist is left unaccompanied (aside from a few interjections from Dolphy or Mingus) for an indefinite amount of time. Eventually the rhythmic figure from the last four

bars of the bridge are cued by the soloist and the band emerges at the top of the final A section.

Mingus's use of the 'extended form' device here support the programmatic elements of the work. While the very use of 'extended form' itself could be seen as a way of expressing the idea of freedom, the musical choices each soloist makes during this section also contribute to these themes of the work. Jordan and Byard indicate a decision to draw upon, and play over, the 12-bar-blues form. The decision also prompts the rhythm section to provide a steadier rhythmic foundation, and to contribute in a way that shows solidarity in contrast to the open and free solo sections that occur on either side of it. The soloists also use the extended solo section to signify the more sarcastic and humorous themes of the work by quoting a number of patriotic civil war tunes and African American spirituals. Often reharmonised or transformed with rhythmic complexities, these civil war tunes begin to sound less patriotic at times, and more sinister, showing Mingus's contempt towards racism. This can be seen in several examples such as Mingus quoting 'When Johnny Comes Marching Home' (3:56), as well as 'The Old Grey Mare' (4:14), while Byard quotes 'Yankee Doodle' (14:08) and spends some time developing the song 'Lift Every Voice and Sing' (14:43), often referred to as the Black national anthem in the United States.

2.7 Conclusions

Through the study of these three versions of *Fables of Faubus* several key ideas begin to emerge as significant to non-musical themes of the work. The ideas of humour, satire, and parody are evident through much of the composed and improvised material, and it is through the use of these elements that Mingus presents the major theme of the work: the African American fight for civil rights.

The aggressive, volatile, and at times, unpredictable performances of the musicians here represent the ugliness of racism and shows their contempt towards prejudice. Additionally, the increasingly freer and open forms of the solo section signify the ongoing fight for freedom. While the events at Little Rock served as the impetus behind the piece (giving it its title and lyrics), the piece perhaps represents the Civil Rights Movement as a whole. The

developing nature of the work mirrors the ongoing racial tensions in the places the piece was and is performed. As the Civil Rights Movement reached its most poignant moments, the anger and suffering experienced by Mingus and his band manifests itself in the music. As Richmond described, *Fables of Faubus* only received its title after the crisis at Little Rock, however, ties to African American traditions and values, such as links to the church, gospel music and the blues, run so deep through the work, *Fables of Faubus* appears to have always been intended as a strong political statement.

Meaning in a jazz work such as *Fables of Faubus* might be described as an overarching idea, a shared concept that exists across multiple performances and versions of a single piece. While certain elements remain the same and others gradually transform, each does so only to better articulate the idea of the work. In the case of *Fables of Faubus*, a band led by Mingus and a consistent melodic structure ties the work together as the developing nature of the performances describe the ongoing struggles of the African American people.

Chapter 3

Gunther Schuller's *Seven Studies on Themes of Paul Klee* (1959):
Musicality in Non-Musical Sources

Long-form works in the jazz repertory often draw inspiration from a range of non-musical sources. Much of this repertory is based on places (Ellington's *Far East Suite* [1967], *Harlem*, and many other Harlem-inspired works), general concepts (Mary Lou Williams' *Zodiac* suite [1945] or Joseph Daley's *Seven Deadly Sins* [2010]), or more often, works in other artistic mediums. Some of these other mediums include literature, in the case of Ellington's *Such Sweet Thunder* (1957); photography, in the case of Chris & Dave Brubeck's *Ansel Adams: America* (2012); and paintings, in the case of Gunther Schuller's *Seven Studies on Themes of Paul Klee* (1959).

Despite disagreements surrounding music's ability to represent extramusical subjects, many composers remain fascinated by the idea of portraying extramusical elements through music. This music often takes the form of programmatic music. Schuller's *Seven Studies on Themes of Paul Klee* explores the possibilities of music influenced by other art forms, drawing inspiration from several works by Swiss expressionist painter Paul Klee. Each of the work's seven movements relates to one of Klee's paintings, and Schuller explores the relationship between the music and image in a variety of ways. Some movements draw from the title of a painting, others from the paintings' shapes or colours, and others from the general mood of a painting. The character of this relationship between the painting and the music is substantiated, for the most part, by Schuller's own words in programme notes he wrote for the composition and in interviews.

Much has been written about music's ability to represent or express extramusical ideas.[74] Western art music composers such as Modest Mussorgsky, Sergei Rachmaninoff, Franz Liszt,

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[74]Contributions from Roger Scruton, Eduard Hanslick, Owen Jander, Edward Cone, James Heffernan, and Siglind Bruhn will be discussed below.

and countless others have drawn from visual media for inspiration.[75] For example, in addition to Schuller, other composers such as Peter Maxwell Davies, Giselher Klebe, Jim McNeely and Chuck Mangione have also drawn inspiration from Klee's work (McNeely and Mangione both as jazz composers). In this chapter I analyse how the musical features of Schuller's *Seven Studies* depict the paintings of Klee, arguing that Schuller's role here is just as much about *reproducing* a work as it is about composing one. While Schuller's role as author might seem to be diminished in this context, the view may be helpful in explaining why particular source material may be chosen for musical adaptation. This, in turn, will inform how I draw inspiration for my own piece from extramusical media. What follows is a review of relevant literature discussing programme music, ekphrasis, and Paul Klee's musical influences, followed by an analysis of Schuller's *Seven Studies.*

3.1 The Representative Qualities of Music

Composers have long explored the ability of music to evoke atmosphere, imagery, or emotions. However, it was not until the Romantic period that composers actually started making a deliberate effort to differentiate this approach to composition from that of music created for its own sake. In 1855 Franz Liszt coined the term 'programme music' to describe this music that drew upon new sources of inspiration, instrumental music "which through an evocative title, a verbal programme, or both, draws the listener's attention in advance toward a specific object."[76] Strictly speaking, according to Roger Scruton, programmatic music is music with a written programme, though the term is applied more loosely today, and is used to describe any music (usually instrumental) that attempts to represent extramusical concepts.[77]

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[75] Mussorgsky's *Pictures at an Exhibition* (1874) inspired by a collection of works by Viktor Hartmann; Rachmaninoff's *Isle of the Dead* (1908) inspired by Arnold Böcklin's black and white version of his painting of the same name; Liszt's *Hunnenschlacht* (1857) inspired by Wilhelm von Kaulbach's painting of the same name.
[76] Mark Evan Bonds, *Absolute Music: The History of an Idea* (New York: Oxford University Press, 2014), 211.
[77] Roger Scruton, 'Programme Music', in *Grove Music Online*, <www.oxfordmusiconline.com>, Oxford University Press. January 20, 2001 [Accessed April 18, 2020].

A study into music's ability to represent extramusical subjects raises many questions, and a look through the history of programme music shows that these questions remain largely unresolved: To what extent should a composer's own comments be taken into account in interpreting programme music? To what extent does a written programme or title play a role in a listener's perception? Can the abstract nature of music be used to depict physical or material subjects? And if so, how is music used to represent or express emotion or drama? To what extent does a piece of music have to be representational for it to be considered programmatic?

In Roger Scruton's article on programme music in *Grove Music Online*, he provides a brief history of the term and its meaning, and attempts to show what it is, its capabilities, and what it is not.[78] Scruton explains that while Liszt's intention was to show how music could *suggest* ideas by indirectly representing them rather than by directly describing a subject, some writers have used the term slightly more liberally, describing anything with a narrative meaning, or just an extramusical reference as programme music. Scruton lays the blame for the broader use of the term partly with Friedrich Niecks whose general use of the term tended to overlook "the vital aesthetic distinction between representation and expression. It is the narrow sense of the term [programme music] which is the legitimate one. The other sense is not only so wide as to be virtually meaningless"[79] Elsewhere, Scruton goes into more depth regarding the distinction between representation and expression.[80] In stating that music can be used to express emotion or heighten drama Scruton states that as an abstract art it has "no power to represent the world."[81] The distinction is important. Paintings represent subjects: a painting of an apple is unmistakably an apple. Music is unable to do this, instead its power comes from the fact that it can *express* an idea that is separate from the object that makes it.

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[78] Scruton, 'Programme Music'.

[79] Friedrich Niecks, *Programme Music in the Last Four Centuries* (London, 1907) in Scruton, 'Programme Music'.

[80] Roger Scruton, 'Representation in Music', *Philosophy* 51/197 (1976), 273–287.

[81] Ibid., 273.

Beginning in the nineteenth century and continuing well into the twentieth century, the argument over music's ability to represent extramusical subjects was present as a major focus of mid-nineteenth-century musicians and music critics. Composers such as Hector Berlioz, Franz Liszt, and Richard Wagner, along with music theorist and critic Adolf Bernhard Marx, were among the chief defenders of music's representative capabilities, with many of their works demonstrating these ideas.[82] In contrast to this, Eduard Hanslick provides some of the most well-known nineteenth-century arguments against music's ability to communicate extramusical material. His 1854 book, *Vom Musikalisch-Schönen* (*On the Beautiful in Music*) served as a response to the growing trend of programme music, a trend which he saw as contrary to the essence of music, thought to be expressive solely through its musical content.[83]

More recently, Owen Jander offers a programmatic interpretation of the second movement of Beethoven's Fourth piano concerto.[84] Here, he attempts to draw strong comparisons between the work's form and the Orpheus legend. This is despite Beethoven himself never revealing any clear programmatic intentions behind the work. Jander states that associations with the Orpheus legend first began in the writing of Adolf Bernhard Marx as early as 1859. While pointing out that any acceptance of this programmatic reading could be subjective or coincidental, Jander proceeds to offer an interpretation of the music that argues for the representational qualities of music. He concludes that subsequent performances across time play a role in perception, and that if present-day musicians perform the work with an aim to communicate the Orpheus legend, it will be perceived that way. Edward Cone offers a response to Jander's analysis by presenting his own programmatic interpretation, largely to discredit Jander's assertion of a programmatic quality within the music.[85] Much of his argument in this instance concerns the absence of any clear programmatic intent. While he does concede that a programme, as communicated

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[82] Berlioz's *Symphonie fantastique* (1830), Liszt's *Hunnenschlacht* (1857) or *Faust Symphony* (1857), and Wagner's *Siegfried Idyll* (1870) are all clear examples of programme music.

[83] Bonds, *Absolute Music: The History of an Idea* and William Lyle Pelto, Musical structure and extramusical meaning in the concert overtures of Felix Mendelssohn, Ph.D. diss., The University of Texas at Austin (1993).

[84] Owen Jander, 'Beethoven's 'Orpheus in Hades': The Andante con moto of the Fourth Piano Concerto', *19th Century Music* 8/3 (1985), 195–212.

[85] Edward T. Cone, 'Beethoven's Orpheus--Or Jander's?', *19th-Century Music* 8/3 (1985), 283–286.

by the composer, can influence the experience of a musical work, this is in no means a substitute for the need for music to be able to be expressive through its own musical content.

Gunther Schuller, too, realised the limitations of relying too heavily on a programme in order to interpret a musical work. In explaining the rationale behind *Seven Studies* Schuller explains the importance of illustrating some of the more structural elements of an extramusical work to create a more accurate musical representation, stating:

> I tried as much as possible always to relate my music to these structural aspects rather than just trying to recapture the mood of the title or the feeling of the painting; that is not only a bit vague, but also belongs to whole way of thinking about music which we, as a rule in music today, no longer believe in, and I'm referring to the whole tone poem idea of the late nineteenth century.[86]

In contrast to Mussorgsky's *Pictures at an Exhibition*, which Schuller states "were of such a nature that you couldn't in fact relate [anything musical] to anything structural in the painting," Schuller's approach to Klee's work aims to mirror the artist's intentions, drawing upon the inherent and explicit musicality within Klee's work.[87]

The idea of artworks across different mediums commenting on one another draws upon an area of study called ekphrasis. Ekphrasis, which traditionally means the description of a work of visual art in a written medium, is most commonly seen in the form of descriptive poetry that attempts to represent paintings or other works of visual art. James Heffernan's work delves into the history of the concept while seeking to offer a definition.[88] While the term is not commonly used, Heffernan explains that examples of its use can be found throughout history. One of the earliest examples being that of Homer, "who in the eighteenth book of the *Iliad* describes at length the scenes depicted on the shield of

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[86] Gunther Schuller, 'An interview with Gunther Schuller on his *Seven Studies on Themes by Paul Klee*', Association for Recorded Sound Collections, Youtube video, 1:48:04. August 11, 2017. <https://www.youtube.com/watch?v=p4yW_IcntYE> [accessed April 13, 2020].
[87] Ibid.
[88] James A.W. Heffernan, 'Ekphrasis and Representation', *New Literary History* 22/2 (1991), 297–316.

Achilles."[89] Heffernan defines ekphrasis as "the verbal representation of graphic representation."[90] This definition, and the example of Homer, would seem to suggest a fairly limited application, serving only to represent or describe a piece of visual art in words. Siglind Bruhn however, considers the application of this concept to the field of music, developing a methodology of 'musical ekphrasis.'[91] In doing so, she employs a very loose interpretation of Heffernan's definition. Aware of the limitations music possesses as an abstract art she explains that:

> While music is no doubt 'a language,' we all know that it cannot label or describe directly; it cannot simply say or show red or green, behind or in front, apple or chair. For a music listener to understand how music responds to a work of art, it is even more necessary than in the case of an ekphrastic poem that the beholder be acquainted with the stimulus.[92]

While the abstract nature of music requires a looser interpretation of ekphrasis, what Bruhn ends up describing seems to have a more useful application, and certainly more relevance to this study. While programme music suggests scenes or stories, musical ekphrasis *re-presents* scenes or stories by another artist in another artistic medium.[93] In referencing Donald Tovey's work she states that programmatic elements were (or at least should be) secondary to a work's value as music.[94] This lies in contrast with musical ekphrasis where the subject and musical work are intended to coexist, communicate, and comment on each other,[95] and suggests to me a closer relationship between subject and musical work than was the case with a significant amount of programme music.

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[89] Heffernan, 'Ekphrasis and Representation', 297.

[90] Ibid., 299.

[91] Siglind Bruhn, 'A Concert of Paintings: 'Musical Ekphrasis' in the Twentieth Century', *Poetics Today* 22/3 (2001), 551–605; Siglind Bruhn, *Sonic Transformations of Literary Texts from Program Music to Musical Ekphrasis* (Hillsdale, NY: Pendragon Press, 2008).

[92] Bruhn, 'A Concert of Paintings', 577–578.

[93] Ibid., 554.

[94] Donald Francis Tovey, 'Programme Music', in *The Forms of Music*, ed. Donald Francis Tovey (New York: Meridian Books, 1956), 167–174, in Bruhn, 'A Concert of Paintings', 560.

[95] Bruhn, 'A Concert of Paintings', 566.

3.2 Paul Klee's Musical Approach

While the focus of this study is on the musical work of Gunther Schuller, the trans-medial qualities of musical ekphrasis draw attention to the musicality of Paul Klee's work. While not composing music directly, Klee's fascination with musical features within his own expressionist art is a major factor in the impact his work has had on many musical composers. Marcia Schuback describes the relationship between Klee and music by examining some of his work and discussing his musical upbringing.[96] Much of his work draws upon musical inspiration as subject and form. Schuback claims that, in a sense, one of Klee's aims with his paintings is to reproduce the sounds of this music in his audiences' ears. Other works simply bear musical titles, such as *Rhythm (Rhythmical)* (1930), *Fugue in Red* (1921), or *Polyphony* (1932). These two approaches highlight vastly different ways in which musical references can be interpreted. While the intent behind each one is slightly different, a strong sense of musicality remains, making his work prime for musical interpretation, with the abstract nature of music mirrored in Klee's own abstractionism.

Schuback elaborates further, showing how Klee views the musical structure of his work as 'active linear polyphony.'[97] It is in this respect that Bach's approach to polyphonic chromaticism appears to have been a significant influence on Klee's work, presenting itself in a number of 'polyphonic' works.[98] Klee's polyphonic concept, as it applies to his paintings, draws heavily upon the drawing of linear subjects and lines that intersect with one another in various ways. In this, he saw an equivalence with music, where the ability to present several distinct ideas simultaneously create a superior product ('the totality of sound'), greater than the sum of its parts.[99] The difference between mediums was located in the immediacy and simultaneity present in Klee's 'polyphonic' paintings, which in contrast to musical polyphony can only be achieved over time. This is what fuelled Klee's fascination

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[96] Marcia Sá Cavalcante Schuback, 'In-between Painting and Music-or, Thinking with Paul Klee and Anton Webern', *Research in Phenomenology* 43/3 (2013), 419–442.

[97] Ibid., 423.

[98] *Sunset* (1930), *Polyphonic-moving* (1930), *Polyphony* (1932), *Ad Parnassum* (1932) for example.

[99] Schuback, 'In-between Painting and Music', 436.

with the concept of polyphony and led him to believe that, in this respect, his work was more effective than the musical equivalent.

> Polyphonic painting is superior to music, to the extent that the temporal element is here replaced by the spatial element. The notion of simultaneity appears here in an even richer form.[100]

Another clear musical connection between Klee's work and music is his attention to drawing and painting lines in a way that shows a clear link between his drawings and a score. Schuback explains that along with his contemporaries (Kandinsky, Duchamp, and Heinrich Neugeboren), he was among the first to develop a graphic depiction of music, a very close precursor to what would be recognised as a graphic score.[101] Richard Verdi, drawing heavily upon Klee's own comments, explains that in addition to polyphony, several other musical terms were adapted by Klee for his own work.[102] The perception of a beat materialises itself in the form of metrical patterns within the construction of a line, or the projection of the movement created by a conductor's baton. These lines could then interact with others resulting in a form of visual counterpoint.

Andrew Kagan's *Paul Klee: Art and Music* echoes many of the above approaches, further discussing Klee's incorporation of musical concepts into his work such as polyphony and harmony.[103] Kagan additionally addresses another musical form inherent in Klee's work: the canon, or strict imitative counterpoint. This concept was realised in his work through the incessant repetition of a subject, varied through slight changes in colour and gradient. This is meant to represent contrapuntal lines occurring over different timbres and registers, creating a harmonic and rhythmic structure. This is what Klee called 'The Canon of Color Totality.'[104]

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[100] Paul Klee, quoted in Schuback, 'In-between Painting and Music', 435.
[101] Schuback, 'In-between Painting and Music', 424.
[102] Richard Verdi, 'Musical Influences on the Art of Paul Klee', *Art Institute of Chicago Museum Studies* 3 (1968), 81–107.
[103] Andrew Kagan, *Paul Klee: Art and Music* (New York: Cornell University Printing, 1983).
[104] Ibid., 45.

As the above examples describe, Paul Klee's work lends itself well towards musical representation due to his deliberate and conscious attempts to draw upon aspects of structure and content of a musical nature as a major source of inspiration. As I show in my analysis, these musical elements manifest themselves in a way that allows Gunther Schuller to comment both on and alongside Klee's work. This, in turn, provides me with a model for selecting and interacting with source material for my own musical work.

3.3 *Seven Studies on Themes of Paul Klee*

Seven Studies received its world premiere on November 27, 1959 after being commissioned by Antal Doráti (supported by the Ford Foundation and the American Music Center) for the Minneapolis Symphony Orchestra. In 1965 RCA living Stereo recorded *Seven Studies* with Erich Leinsdorf and the Boston Symphony Orchestra. Accompanying the recording was an interview with Gunther Schuller.[105] This interview along with written excerpts from the published score (taken from the programme notes of the premiere performance) will supplement my own analyses. Not only do they contain valuable insight into the compositional process and descriptions of the paintings, but the language used also demonstrates the trans-medial qualities that allow each painting and musical piece to comment on one another.

'Antique Harmonies'

'Antique Harmonies' is the first movement of the work. The main feature of Klee's painting of the same title is the rhythmic element created through the use of continually varied patterns to coloured squares (see Fig. 3.1). Darker colours occupy the edges of the painting, while brighter colours coalesce towards the centre. In representing this work Schuller's states that his aims were to:

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[105] Featured in 'An interview with Gunther Schuller on his *Seven Studies on Themes by Paul Klee*', Association for Recorded Sound Collections, Youtube video, 1:48:04. August 11, 2017. <https://www.youtube.com/watch?v=p4yW_IcntYE> [accessed April 13, 2020].

preserve not only Klee's amber, ochre and brown colors, but also the block-like shapes with which in constant variation, Klee builds this remarkable painting. Over a dark, dense background, blocks of lighter colored fifths gradually pile up, reaching a climax in the brighter yellow of the trumpets and high strings. A repeated cadence common in 14th-century music and the organum-like open fifths establish the 'antique' quality of the 'harmonies'.[106]

Already, the musical elements in Klee's work become obvious. Rhythm is implied through the regularity of the coloured blocks, and the work's title references the various shades of colour that characterise the work.

Fig. 3.1. Paul Klee's *Antique Harmonies* (1925)

Schuller's 'Antique Harmonies' begins with a drone-like figure played by the violas, cello, and double basses (Fig. 3.2). The chord developed over the first two measures draws upon four sets of open fifths (Fig. 3.3), an interpretation of the block-like figures of Klee's painting. This sounds eight different pitches of the chromatic scale. This low, dense drone is

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[106] Gunther Schuller, program notes for *Seven Studies on Themes of Paul Klee,* printed in *Seven Studies on Themes of Paul Klee* (London: Universal Edition, 1976). Score.

present through the whole movement representative of the dark, dense background of the painting. As audiences' attention moves towards both the centre of the painting and of Schuller's interpretation, additional pairs of open fifths are introduced in a pulsating fashion across the woodwinds and horns. By the introduction of the bassoons (m.4) and clarinets (m.5) all twelve chromatic pitches are represented. With each pair of fifths corresponding to a specific timbre, the pulsating effect created by instruments coming in and out presents an ever-changing harmonic and timbral texture representative of the varied used of coloured blocks in Klee's painting.

Fig. 3.2. 'Antique Harmonies' – mm. 1–2

Fig. 3.3. Fifth structure of the opening chord

A melodic element is introduced as the piece reaches its climax, the repeated cadence Schuller mentions (Fig. 3.4). This cadence was commonly used in the fourteenth century, and it is commonly called 'the medieval cadence' or 'the Machaut cadence.' It is characterised by the strong stepwise motion of an ascending minor second in the top voice and a descending whole tone in the lowest voice, while the middle part resolves up by a minor second to the fifth of the chord. This is first voiced in the trumpets followed by trombones (a tritone and an octave below), and then repeated.

Fig. 3.4. Machaut cadence – mm. 10–16

As the piece draws to a close, the harmonic and timbral elements begin to resemble the beginning, particularly in returning to the eight-note chord of the string section. This gives the trajectory of the piece a bell-curve type quality, representative of the concentration of colour towards the centre of Klee's original work.

'Abstract Trio' and *'An Eerie Moment'*

Abstract Trio (Fig. 3.5), as its name suggests, is one of Klee's more abstract works. Consisting of three intangible figures, each bears some resemblance to a general shape of a musical instrument, embodying a certain quality that could resemble the sort of timbre each could produce. Schuller states that this movement is:

> . . . played almost entirely by only three instruments at any given time. But the three instruments differ during the course of the piece, changing from the bright color of woodwinds through the grainier texture of muted brass and bassoon to the sombre hues of low woodwinds and tuba.[107]

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[107] Schuller, program notes for *Seven Studies on Themes of Paul Klee*.

Fig. 3.5. Paul Klee's *Abstract Trio* (1923)
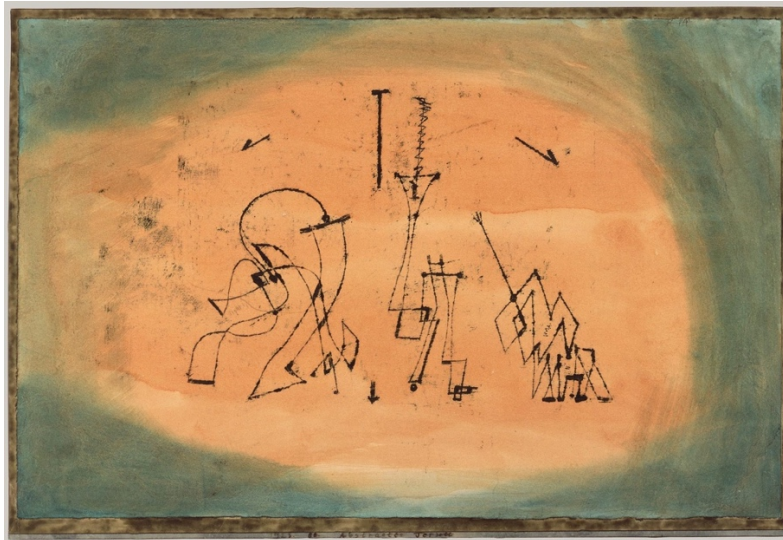
While the abstract resemblance of three musical figures within the painting provides Schuller with some direction, one cannot help but think that the painting's title is an important factor in this instance in deciphering Klee's work. A similar example of this occurs during the sixth movement, 'An Eerie Moment' which was inspired more by its title than by Klee's rather abstract drawing of a number of ominous figures (Fig. 3.6). Uninspired by the visual aspects of the drawing, Schuller opted to take the 'Mussorgsky approach' and drew on the painting's title to serve as main inspiration for the movement.

> …I tried to create a very short piece of music, which was, for the first seven eighths of it, suspended in its feeling; you can't quite tell what is going to happen. You have the feeling that something dreadful is going to happen… And then suddenly comes this absolutely unexpected sudden outburst climax in the orchestra and it lasts only for one eerie moment and is gone in a manner of seconds. And the whole piece sort collapses back into the silence with which it started.[108]

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[108] Schuller, 'An interview with Gunther Schuller on his *Seven Studies on Themes by Paul Klee*'.

Fig. 3.6. Paul Klee's *An Eerie Moment* (1912)
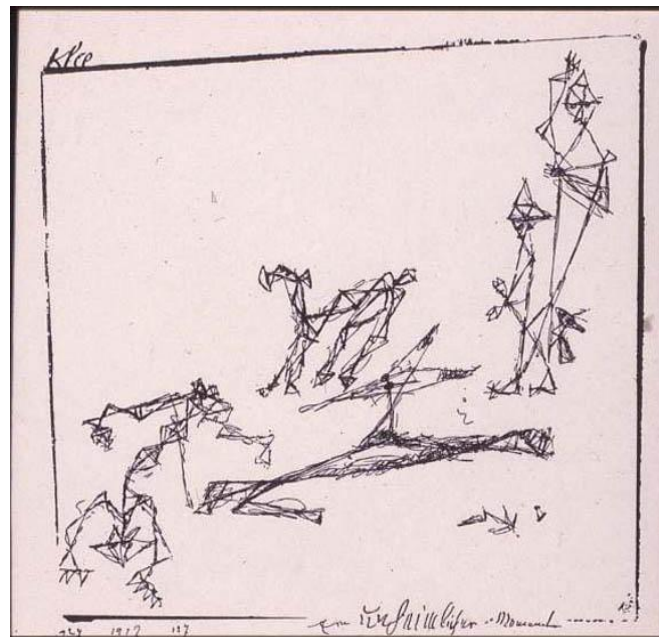
In Schuller's 'An Eerie Moment' a continuous tremolo between E and F♯ played by the timpani casts an ominous presence across the whole movement (aside from a brief melodic figure at mm. 10–11). Over this, dissonant chords and sonorities are built in a cascading fashion and short disjunct melodies appear for only moments before the ominous timpani is all that sounds. After 90 seconds the timpani build towards a dramatic crescendo (m. 15 at a very slow tempo) which triggers the entire brass section to erupt into a *fortissimo* passage of atonal chord clusters played under a *marcato* accent. After a similar outburst again at m. 16, over which the woodwind and string sections provide additional, dissonant timbres in their highest registers, the piece dissolves back into silence, leaving only the timpani roll remaining as the sole sound. In lieu of any tangible image or meaning in Klee's work, these movements show how Schuller is able to derive a significant amount of music material in using mainly the titles as the main source of inspiration.

'Little Blue Devil'

Klee's *Little Blue Devil* (Fig. 3.7) features an odd-looking character formed from an assortment of geometric shapes. Coloured in different shades of blue, Schuller uses this as

his license to delve into a more jazz-inspired rhythmic and tonal context. In his musical interpretation of this image Schuller writes:

> A perky, angular theme (my subjective musical impression of the geometrically conceived head in Klee's painting) is combined with a blues progression, altered to nine bars instead of the conventional twelve, and occasionally distorted asymmetrically. Various shades of 'blue' are maintained through the use of muted brass and low-register clarinets.[109]

Fig. 3.7. Paul Klee's *Little Blue Devil* (1933)

The theme for 'Little Blue Devil' is presented several times, in a somewhat distorted strophic blues form. Fig. 3.8 shows the melodic theme and bassline as it occurs at m. 24 as played by the flutes and first trumpet part with bass accompaniment. Following a ten-measure introduction, this is the second chorus of the nine-bar blues form, and as a result is more fleshed-out than the initial statement. The prominent eighth-note triplet figures allude to an

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[109] Schuller, 'An interview with Gunther Schuller on his *Seven Studies on Themes by Paul Klee*'.

awkward interpretation of a swing feel, perfectly reminiscent of the very square character featured in Klee's painting. The melodic figure, described as 'angular' also embodies those uncomfortable characteristics, making good use of awkward leaps and dissonant intervals (major 7ths and tritones in particular).

Fig. 3.8. 'Little Blue Devil' Blues Form Reduction – mm. 24–32

The walking bassline does not seem to outline a blues chord progression, but, instead, nearly follows a twelve-tone row. On close inspection of the thirteen pitches that make up the first six measures (ignoring the repeated B in m. 29), all twelve pitches of the chromatic scale are accounted for with only one pitch occurring twice. A fiery sixteenth-note line written for the vibraphone in the forty-fourth measure (1:32) soars above the rest of the ensemble, resembling an improvised jazz solo. In this case Klee's painting does not explicitly reference any musical material, but Schuller is able to make a strong association with the blues form, and uses the painting's character to provide sufficient inspiration for developing the musical material.

'The Twittering Machine'

The Twittering Machine (Fig. 3.9) is one of Klee's more famous works. It depicts an abstract representation of four birds perched on a wire structure connected to a handle. Presumably, when the handle is rotated, the birds would start twittering. Fascinated by the 'whimsical and humorous' mood of the painting and its mechanical apparatus, Schuller found inspiration in the serial technique of Arnold Schoenberg in his movement of the same name, which he orchestrated using 'twittering' type instruments, in his words: "flutes, oboes, high violins, and some percussion instruments; like a wood pecker pecking away at a tree trunk."[110]

Fig. 3.9. Paul Klee's *The Twittering Machine* (1922)
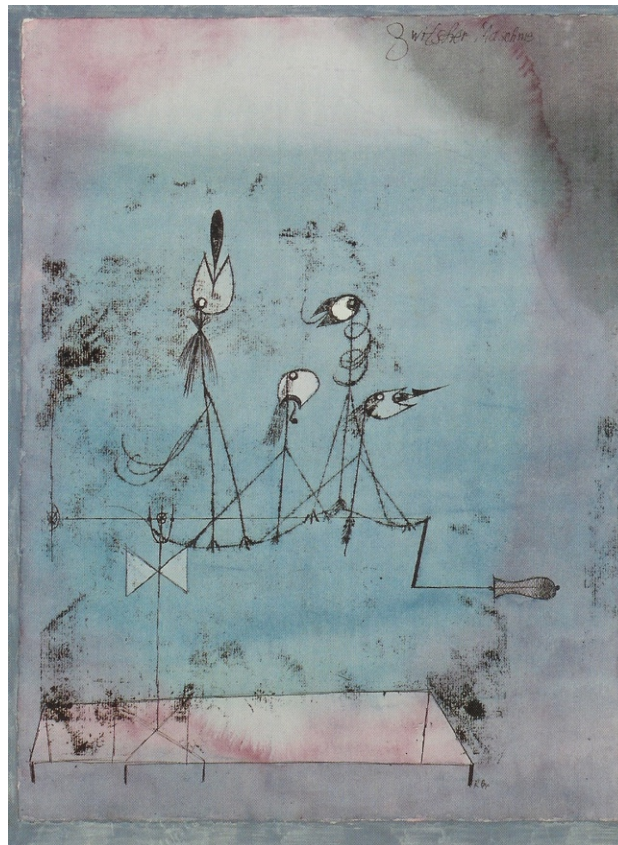
The first seven measures of the movement contain a four-note motif presented by three violas, four horns, and three woodwinds. Each section plays a different rhythmic subdivision

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[110] Schuller, 'An interview with Gunther Schuller on his *Seven Studies on Themes by Paul Klee*'.

(violas in sextuplet sixteenth notes, horns in sixteenth notes, and woodwinds in eighth note triplets), while each individual part plays the four-note motif (D♯, E, F, and G♭) in a slightly different configuration, ensuring that all four pitches are always occurring simultaneously. All of this is occurring under an *accelerando*, which gives the impression of the crank being turned so that the birds can begin 'twittering.'

Beginning in the fifth measure, the birds begin to 'twitter.' Spread throughout the majority of the ensemble, solo voices in high registers begin to spell out a twelve-tone row over top of the ostinato (Fig. 3.10). A prime row (B♭ B F G E♭ F♯ A A♭ D D♭ C E) is established over the first three measures shown below, followed by its inversion (B♭ A D♯ C♯ F D B C F♯ G G♯ E). Each new pitch being articulated by a new instrument. At m. 11, the woodblock enters followed closely by a large gourd (to be scraped). Here they play just short bursts of rhythms, mimicking the woodpecker mentioned above. The next iterations of the 'bird calls' are based on the retrograde of the prime row (E C C♯ D A♭ A F♯ E♭ G F B B♭ - beginning at m. 9 in the oboe part), the retrograde inversion of the prime row (E A♭ G F♯ C B D F C♯ E♭ A B♭ - beginning in m. 10 in the cello part), and prime row transposed up a minor second (B C F♯ A♭ E G B♭ A E♭ D C♯ F - starting in m. 12 in the first clarinet part). The bird calls become more chaotic, with a greater variation in dynamics and range introduced until m. 33. Here the momentum begins to slow, hinting that the mechanical apparatus is winding down, through a thinning of the texture, a dramatic *ritardando*, and falling *glissandi* figures in the trombone part and string section.

After a brief *fermata* the crank begins once again by reintroducing the ostinato from earlier, this time with a renewed sense of excitement, occurring more quickly and for a shorter period of time. This sets the bird calls off once again with a greater sense of vigour than in the initial statement before it tails off once again. Schuller encapsulates the image of *The Twittering Machine* admirably with the four-note motif resembling the starting up of the crank and the 'twittering' bird call sounds. In addition, the theme of mechanisation present in Klee's painting is able to inform the structure of Schuller's work by making the comparison between the mechanical apparatus of the twittering machine and Schoenberg's serial technique.

Fig. 3.10. 'The Twittering Machine' Twelve-Tone Row Reduction – mm. 7–11[111]

'Arab Village'

Klee's *Arab Village* is an aerial view of a small village baking in the sun (Fig. 3.11). In this case, Schuller was drawn to the idea of putting the listener in the position of the painting's viewer. Schuller imagined someone overlooking the village might hear a flute playing at the edge of the village, and then an oboe playing another piece in the distance. Before too long there could be all other kinds of musical sounds occurring simultaneously.[112]

The movement thus begins with a solo flute playing a theme before being joined by tuned tom-toms and by a solo oboe playing a different theme, all playing in meters and tonalities independent from one another to emphasise the spatial element of the painting. In preparation for the movement, Schuller consulted with musicologists specialising in Arab music. As a result the movement draws heavily upon what Schuller calls "authentic Arab folk material or very close adaptations thereof."[113] Folk material, scales, irregular meters, quarter tones, and drone notes all contribute to the sense of location within Schuller's work, which complements his attention to the sense of space that is also an important element of Klee's painting.

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[111] Adapted from Siglind Bruhn's twelve-tone reduction in *Musical Ekphrasis: Composers Responding to Poetry and Painting* (Hillsdale, NY: Pendragon Press, 2000), 373.

[112] Schuller, program notes for *Seven Studies on Themes of Paul Klee*.

[113] Ibid.

Fig. 3.11. Paul Klee's *Arab Village* (1922)
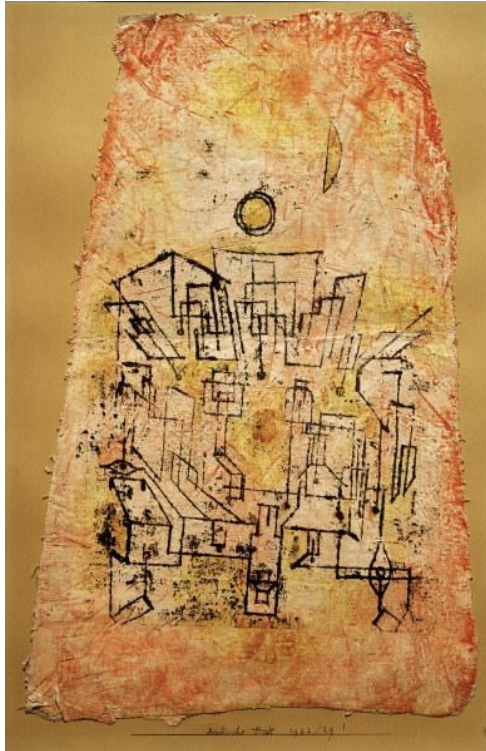
'Pastorale'

Klee's *Pastorale* (subtitled *Rhythms*. Fig. 3.12) appears as a grid of hundreds of tiny images of small figures representing trees, bushes, and plants, almost akin to a page of text, requiring the viewer to read it from left to right. Painted on a green background, with a small amount of sky peaking over the top, Klee's painting captures the essence of nature prevalent in the genre of pastoral music. This pastoral element in Schuller's work comes to fruition through his use of instruments, choosing to make prominent the horn and the clarinet, instruments typically associated with the nineteenth-century pastoral music. Schuller stresses the rhythmic element of Klee's incessant repetition of the tiny images of small figures stating that "there is in fact a visual rhythm in the picture from figure to figure."[114] Aside from five measures in the middle of the piece occupied by a solo clarinet, Schuller's *Pastorale* is held together by a relentless rhythmic pattern set up by the violin, which plays a virtually non-stop string of eighth-notes toggling between two pitches a minor

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[114] Schuller, program notes for *Seven Studies on Themes of Paul Klee*.

second apart. This sets up the rhythmic element of the work the underlines the whole piece. Schuller interprets Klee's variations by developing the minor second motif across the whole string section. Underneath the eighth-note line written for violin, the viola and cello introduce a similar minor second pattern in different rhythmic subdivisions (sixteenth notes for viola and eighth-note triplets for the cello). In addition, this minor second motif is continually transposed to different pitch levels across these instruments, for varying lengths of time, creating another source of variation.

Fig. 3.12. Paul Klee's *Pastorale* (1927)
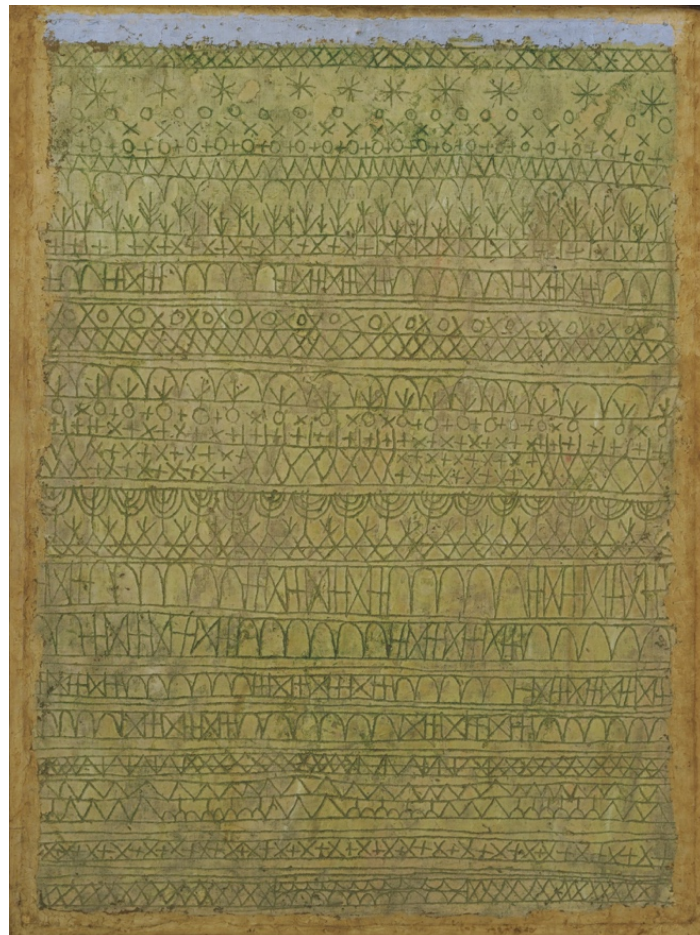
3.4 Conclusions

For 'Pastorale'*,* and for all of the other examples, Klee's works strongly imply a number of key musical features, making them ideal for Schuller's *re-presentation*. Titles, colours, and structures provide explicit musical references. In many cases, thanks to Klee's own accounts, many of these references have a direct correlation to a musical equivalent. In the instances where this is not the case ('Little Blue Devil' or 'An Eerie Moment') Schuller nevertheless creates a strong musical association with Klee's painting. While these examples likely fall outside the definition of musical ekphrasis, due to Schuller's more subjective interpretation of the paintings, he is nevertheless able to draw strong comparisons by using sounds and meaning related to the blues, in the case of 'Little Blue Devil'. Schuller's work in general makes a strong case for the ability of music to draw upon extramusical sources for inspiration in a variety of ways that perhaps exist on a continuum. On one end of this continuum works share close to a one-to-one relationship drawing upon content and structure to inform their composition. On the other end, works take a broader approach, interpreting content and form from a suggestive title. Yet *all* of these examples show that Schuller is able to find some musicality in the work of Paul Klee, providing enough inspiration for a fully coherent musical work.

A major criticism of programme music lies in its reliance on a written or verbal programme in order to express or communicate an idea. Schuller understands this, choosing (for the most part) to draw inspiration from the structural elements of Klee's work rather than only trying to just capture a general mood or feeling. In doing this, he creates a work that is not only self-sufficient, but is also able to stand alongside Klee's paintings, offering a contrasting view of the same subject.

Chapter 4

A Narrative Approach to Structure in Pat Metheny and Lyle Mays's *The Way Up* (2005)

Guitarist and composer Pat Metheny has always endeavoured to push boundaries. Whether in respect to the guitar, technology, the ensemble, or musical factors, each of his projects builds upon the last to explore new musical terrain. *The Way Up* (2005) is no exception. While Metheny's huge body of work showcases many experiments with musical form, *The Way Up* is perhaps the pinnacle of this experimentation. Co-written with pianist Lyle Mays, *The Way Up* is a response to their perception that music at the time was part of "a world where things are getting shorter, dumber, less interesting, less detailed, more predictable,"[115] *The Way Up* is intended to be listened to as a single 68-minute-long performance. According to interviews with Metheny about the album, his objectives for its composition were largely to explore more complex formal structures and "imagining a kind of jazz that sounds nothing like any jazz we've ever heard."[116]

While it would seem that, based on Metheny's discussions of the album, there is no clear programmatic or narrative theme to draw upon to better make sense of the music, I suggest in this chapter that analysing the album's complex formal structure through narrative devices is a particularly effective way of understanding how and why the album's form works. This is largely inspired by Metheny's own words, drawing comparisons between *The Way Up* and a more film-like storytelling approach:

> …there's also a kind of narrative storytelling that I feel is emerging… I think *The Way Up* is [part of this movement] … I also see some movies now…there's a whole new kind of way of just spreading out the details with movies like *Amores perros* or *Eternal Sunshine of the Spotless Mind*… there's this whole sense of time being thought of in a different kind of way. And I think, as we were writing the piece, we

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[115] Pat Metheny, 'Pat Metheny: The Advancing Guitarist', interview with David R. Adler, *JazzTimes*, <http://jazztimes.com/articles/15294-pat-metheny-the-advancing-guitarist>, March, 2005 [accessed October 7, 2016].

[116] Pat Metheny, 'Pat Metheny: Live and on 'The Way Up'', interview by John Ydstie, *Talk of the Nation*, <https://www.npr.org/templates/story/story.php?storyId=4565323>, March 29, 2005 [accessed April 4, 2020].

were thinking of that… showing little things and then revealing more about them later as time goes on.[117]

I consider this storytelling approach in my analysis, looking to music theorist Matthew McDonald who, in his study of Charles Ives' 'The Unanswered Question,' argues that when unusual formal and textural procedures of a work defy all explanation in terms of established compositional practice, analysis *must* consider the potential of programmatic readings.[118] *The Way Up* could also be said to defy established compositional practices in much the same way, so it stands to reason that programmatic concepts might reasonably be considered.

Pat Metheny's aims with this piece mirror my own in terms of focusing my energies on the exploration of form in a large-scale work. Because of this, a formal analysis of *The Way Up* serves as a useful model for several compositional strategies: developing themes and motifs over a long period of time, unifying a work through a careful balance of contrast and repetition, and using musical elements to carefully control intensity over a long time frame, in this case, 68 minutes. In this chapter I discuss these factors using a more narrative-based approach in line with McDonald, particularly because Metheny and Mays do not provide specific programmatic details.

4.1 The Narrative Qualities of Music

During the 1980s several authors made important contributions to the discussion of the narrative qualities of absolute music. Anthony Newcomb's writing during this time provides a useful framework for a discussion that had previously been almost exclusively linked to programmatic music.[119] He argues that formal structures serve as a background to

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[117] Pat Metheny, interview in *The Way Up Live*, Pat Metheny Group; dir./ed. Steve Rodby (New York: Eagle Eye Media, 2006). DVD.

[118] Matthew McDonald, 'Silent Narration? Elements of Narrative in Ives's The Unanswered Question', *19th-Century Music* 27/3 (2004), 263–286.

[119] Anthony Newcomb, 'Once More 'Between Absolute and Program Music': Schumann's Second Symphony', *19th-Century Music* 7/3 (1984), 233–250; Anthony Newcomb, 'Schumann and Late Eighteenth-Century Narrative Strategies', *19th-Century Music* 11/2 (1987), 164–174; Anthony Newcomb, 'Action and Agency in

understanding a musical work, and that works that fail to conform to conventional formal structures (ritornello, sonata, binary, ternary, and so on) can be better understood through narrative strategies. In doing so he concerns himself with "not only the succession of thematic sections and movements as a formal diagram would present them, but also the manner in which one theme is generated by and interacts with another."[120] He explains that much like in a narrative context, the characteristic or the 'character' of a musical gesture can be found in various musical features such as tempo, texture, rhythmic motif, or harmonic support.[121] Edward Cone, in 'Schubert's Promissory Note' takes a similar stance in exploring the narrative qualities of absolute music through discussing how non-musical objects, moods, emotions, and ideas can be expressed in music, specifically Schubert's *Moment Musical,* op. 94, no. 6.[122]

In contrast with these ideas, Carolyn Abbate and Jean-Jacques Nattiez both argue against the idea of music being able to articulate narrative.[123] Abbate makes the case that while music can signify a moment (such as the striking of a hammer or a gong), any meaning that can be derived from a melodic theme is arbitrary and subjective. Her most significant challenge to the narrative concept draws on the fact that music has no past tense, and in the absence of a narrator, music can only present actions as they unfold in real-time, thereby failing to meet the definition of a narrative. Likewise, Nattiez understands the fascination with attempting to construct a narrative within musical references to gain a more meaningful understanding, but ultimately because listeners cannot actually make out what is being referred to, music cannot fulfil a narrative function. In his words: "Music is not a narrative [and] any description of its formal structures in terms of narrativity is nothing but superfluous metaphor."[124]

Mahler's Ninth Symphony, Second Movement', in *Music and Meaning*, ed. Jenefer Robinson (Ithaca, New York: Cornell University Press, 1997), 131–153.

[120] Newcomb, 'Once More 'Between Absolute and Program Music', 236.

[121] Newcomb, 'Action and Agency in Mahler's Ninth Symphony, Second Movement', 135.

[122] Edward T. Cone, 'Schubert's Promissory Note', *Nineteenth Century Music* 5/3 (1982), 233–241.

[123] Jean-Jacques Nattiez, 'Can One Speak of Narrativity in Music?', trans. Katharine Ellis, *Journal of the Royal Musical Association* 115/2 (1990), 240–257; Carolyn Abbate, *Unsung Voices : Opera and Musical Narrative in the Nineteenth Century* (Princeton, N.J.: Princeton University Press, 1996).

[124] Nattiez, 'Can One Speak of Narrativity in Music?', 257.

These challenges to music narratology, as it was now beginning to be called, were understandably met with some push-back that resonates with my own perspectives on music and narrative. Gregory Karl, Michael Klein, and Matthew McDonald have all made valuable contributions to the study of the narrative qualities of music. Karl argues for making a distinction between how music might *be* narrative and how it may be *like* narrative, stating that music and narrative are not necessarily related in a one-to-one representation. Rather, the borrowing of techniques that offer a different way to approach the study of music is what makes the approach useful. He claims that the arguments against narratology "are nonetheless irrelevant to the narrativists' true concerns because, ironically, no major advocate of musical narratology actually maintains that music narrates in any traditional sense, and none believes that musical narrativity depends on the kind of naive extramusical reference Nattiez requires of it."[125] To put it more simply, no one is arguing that narrative *literally* exists in music, but rather, if drawing upon a narrative approach in a more metaphorical sense allows for a greater understanding of a musical work, then there seems to be more to gain than to lose.

Klein continues Karl's line of thinking, stating that the study of narratology draws on more the "emplotment of expressive states rather than a sequence of actors and their actions,"[126] further emphasising a looser definition of what might be meant by 'narrative' than that provided by Abbate and Nattiez. McDonald stresses the value of narrative theory in understanding a work's structure, going as far to say that narrative structures are in fact integral to understanding some works, although this is in reference to works that display a conscious or unconscious narrative structure borrowed from literature or film, or those which draw upon programmatic themes (which one could argue is the case for *The Way Up*). McDonald states:

> Narrative structures and terminology might well be 'superfluous' if grafted onto the music in a casual or nonreflective way. But if one identifies narrative elements as a conceptual source for aspects of the music (say, its formal structures), then they are

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[125] Gregory Karl, 'Structuralism and Musical Plot', *Music Theory Spectrum* 19/1 (1997), 13–14.

[126] Michael Klein, 'Chopin's 'Fourth Ballade' as Musical Narrative', *Music Theory Spectrum* 26/1 (2004), 23.

neither superfluous, nor are they mere metaphors: they are genuine elements of the music.[127]

While Metheny and Mays may not be drawing on a specific narrative, Metheny's comments above indicate he is very much concerned with taking on a more narrative approach. With this being the case narrative structures and terminology may not be superfluous, but may in fact be vital to a deeper understanding of the work.

Metaphorical constructs also figure into the understanding of musical narrativity. Many terms used to describe music derive from this idea. Common musical descriptors such as 'high', 'low', 'dark', 'resolute' all began as metaphors, but are often now associated with music quite literally. Marion Guck stresses this reliance on imagery to describe music and investigates the role metaphoric language in general has on musical analysis,[128] and has also noted the prevalence of metaphorical language that draws heavily on references to space and movement. When considering music on a larger scale, she begins to make reference to narrative as a way of describing musical events as they happen in time. This is done through reference to a work's *narrative curve*, a means of describing the "presentation of a situation that, through some exploration, development, or complication, rises to a confrontation, culmination, or climax. This crisis initiates the untangling, resolution, or simplification that leads to closure."[129]

Roger Scruton further describes the importance of metaphorical associations, making a clear distinction between sound and music. While sound might be what we hear as part of the physical world, it is *music* that moves us, often driving us to draw upon our own past experiences to make sense of it. Music, he states, often requires a metaphoric translation to describe its meaning and effect. This is in contrast to elements such as pitch and rhythm which would be described through terminology related to its more objective features. He

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[127] McDonald, 'Silent Narration? Elements of Narrative in Ives's The Unanswered Question', 266.

[128] Marion A. Guck, *Metaphors in Musical Discourse: The Contribution of Imagery to Analysis*, PhD diss., University of Michigan (1981).

[129] Marion A. Guck, 'Two Types of Metaphoric Transference', in *Music and Meaning*, ed. Jenefer Robinson (Ithaca, New York: Cornell University Press, 1997), 207.

concludes that metaphorical translation is wholly necessary when describing music, "not because music resides in an analogy with other things, but because the metaphor describes exactly what we hear, when we hear sounds as music."[130]

The above literature demonstrates how narrative and metaphor can be useful in discussing music written on a larger scale, or music that deviates considerably from conventional formal structures. *The Way Up* meets both of these conditions, meaning an analysis of its structure with reference to narrative and metaphor is particularly relevant. A complete analysis of the musical features of *The Way Up* would be far beyond the scope of this chapter, so what follows is largely limited to just the features that best demonstrate how the piece is structured. The aim of this analysis is to come up with a framework that will allow for a better understanding of the formal design of works of this scale.

4.2 *The Way Up* Structural Analysis

The Way Up is intended to be listened to as an unbroken 68-mintue work. For practical reasons, however, such as the need to fit across two sides of a record or cassette tape, the work appears as three tracks on the original CD: 'Opening/Part One,' 'Part Two,' and 'Part Three.'[131] While on the surface the album seems like a fully through-composed composition, on closer inspection one can see that it is made up of several key events. The organisation of these 'key events' bears some resemblance to standard jazz forms, but on a far larger scale. As will be discussed, I propose that *The Way Up* is structured as a series of episodes or events. Each of these has its own primary musical theme, development, and restatement, drawing heavily upon the head-solo-head model and AABA-type sub-structures, with varying degrees of embellishment or elaboration. Each episode is structured with its own narrative arc in mind, in that each episode starts small, builds towards a climactic point, then recedes. Between each episode is an abundance of transitional material which offer plenty of contrast, while references to and variations on musical motifs create a sense of unity and coherence across the whole work.

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[130] Roger Scruton, *The Aesthetics of Music* (Oxford: Clarendon Press, 1997), 96.

[131] Pat Metheny Group, *The Way Up*, composed by Lyle Mays and Pat Metheny (Nonesuch, 2005). CD.

An outline of the structural design of *The Way Up* is provided in Fig. 4.1. Here, the episodic structure has been spelt out, along with accompanying musical themes. Each episode (with the exception of Episode E) is characterised by its musical theme labelled by number, 1 through 5. All time codes are taken from the studio recording, which resets to 0:00 between each CD track, while all measure numbers come from the published score[132] which continue, unbroken through the whole work.

Fig. 4.1. Formal outline of *The Way Up*

		M.	Time	Content	Duration (bars)
Opening		1	0:00	Introduction	204
Part One	**Episode A**	205	5:17	Theme 1 A^1	8
		213	5:33	A^2	8
		221	5:48	B	9
		230	6:06	A^3	8
		238	6:21	Interlude	16
		254	6:52	A^4	8
		262	7:07	A^5	6
		268	7:18	Development – Guitar solo	101
		369	10:25	Theme 1 A^6	10
		379	10:43	A^7	16
		395	11:13	A^8	11
	Episode B	406	11:37	Theme 2 A^1	20
		406'	12:49	A^2	28
		435	14:07	Interlude	62
		497	15:38	Theme 4 Reference	28
		525	16:23	Transition	38
	Episode C	563	17:20	Theme 3 Introduction	9
		572	17:45	Theme 3 A^1	9
		581	18:11	A^2	10
		591	18:35	B^1	13
		604	19:00	B^2	27
		631	19:42	Guitar solo	192
		823	22:13	Piano solo/trumpet solo	121
		944	25:23	Theme 3 A^3	9
		953	25:46	B^3	12
		965	26:05	Guitar solo	82

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132 Lyle Mays and Pat Metheny, *The Way Up: The Complete Score*, ed. Steve Rodby (Milwaukee, WI: Hal Leonard, 2005). Score.

	Coda	1047	28:40	Guitar solo cont. Theme 1 A$^{4'(9)}$	8
		1055	28:55	Solo cont. A^{10}	32
		1087	29:38	Solo cont.	124
Part Two	**Episode D**	1211	0:00	Theme 4 Introduction	8
		1219	0:15	Theme 4 A^1	21
		1240	0:51	A^2	18
		1258	1:21	A^3	27
		1285	2:15	B – Theme 5 Reference	19
		1304	3:00	Theme 4 A^5	37
	Episode E	1341	3:59	Development – Guitar/trumpet solo	326
	Episode F	1667	12:18	Theme 2 Introduction	13
		1680	13:01	Theme 2	21
		1701	14:34	Development – Harmonica solo	21
		1722	16:05	Theme 2'	9
		1731	16:44	Transition – Theme 2 Reference	17
		1748	17:51	Coda	48
Part Three	**Episode G**	1796	0:00	Introduction	33
		1829	0:49	Theme 1 Reference	18
		1847	1:16	Theme 4 Reference	18
		1865	1:46	Theme 5 A^1	17
		1882	2:12	B^1	8
		1890	2:21	A^2	12
		1902	2:39	B^2	8
		1910	2:50	Development – Guitar solo	32
		1942	3:37	– Piano solo	20
		1962	4:00	– Gtr synth solo	32
		1994	4:34	Transition	30
		2024	5:14	Theme 5 A^3	27
		2051	5:52	A^4	12
		2063	6:03	B^3	8
		2071	6:15	A^5	28
		2099	6:46	A^6	24
	Coda^1	2123	7:12	Transition	28
		2151	7:47	Theme 1 A (6 times)	8+8+8+8+8+14
		2205	9:19	Theme 1 A	10
	Coda^2	2215	9:48	Coda	163

4.3 'Opening/Part One'

Theme 1 is the main unifying theme across the work. Not only does it make frequent appearances throughout the piece, its relative simplicity makes it ripe for development and adaptation, becoming the genesis for many of the other themes or events of the work. Fig. 4.2 shows the first appearance of Theme 1 as the main melody, which occurs at the beginning of 'Part One', following the 'Opening' section (an overture-style section that provides hints of musical themes or styles that will be explored throughout the work). This eight-measure melodic phrase draws exclusively from an A−7 chord, primarily A, G, and E, with one instance of C as the phrase's highest pitch. This theme is largely made up of repetitions and variations of a central three-note motif (A−G−E), the first instance of which is labelled in Fig. 4.2 beginning on beat three of m. 205. This configuration is repeated several times in the same form, until m. 210, when the first change occurs, arguably a new descending sequence of three pitches, C−A−G. Later the motif appears as an ascending E−G−A. Placing this motif within the context of a tonal centre, these four pitches strongly imply A natural minor, which would infer that the central three-note motif (A−G−E) be labelled as 8−7−5. Conversely, it may also be identified as being of set class of (025). Furthermore, the inversion of the motif (featured in mm. 211-212) serves as an effective means of foreshadowing future developments. This passage subtly hints at the inversional and transpositional equivalence afforded to subsequent themes, and the large role these equivalences play in its development.

Fig. 4.2. Theme 1 – mm. 205–212

This eight-measure phrase states Theme 1 in its purest and most complete form, variations of which are then used to inform a significant amount of additional musical material throughout the rest of the work. This is the first appearance of the theme, so Metheny

presents it here (m. 205) in the clearest way, in a single monophonic voice, unhindered by any other melodic lines and developed within the context of an AABA form. The first statement of Theme 1 (shown in Fig 4.2) is followed by what would be labelled as a second A section (mm. 213–220), consisting of an exact repetition of the melody, but with some harmonic development.

The B section (mm. 221–229) is not so much a secondary, or contrasting theme, as is the case in typical AABA form, but rather serves as a development section based on the three-note motif. This is followed by a third A section beginning at m. 230, which functions more as a cadential phrase, only stating the first six beats of the theme before a series of chords leads to the harmonic resolution at m. 238, and then into the beginning of a short guitar solo. While each subsequent statement of the theme presented in this initial AABA chorus structure undergoes some development,[133] its presence here at beginning of 'Part One,' I suggest, is intended to establish itself as the story's protagonist.

Fig. 4.3 shows the nine-measure phrase that makes up the B section of the initial statement of the AABA theme. Labelled from 1 to 17 are variations on the three-note motif identified in Fig. 4.2. The original statement of theme 1 featured both descending (8–7–5) and ascending (5–7–8) versions of the motif, along with one instance where the motif was transposed to a different pitch level within the arpeggio (3–8–7). This nine-measure section (Fig. 4.3) acts a vehicle for further development. Examples labelled 1, 2, and 3 show the minor motif occurring in a major context (achieved by raising the 7th), shifting to a (015) set class; example 4 shifts the motif to another pitch level of the arpeggio (8–7–1 becomes 5–3–1); example 9 inverts the original motif ([4]–5–7–8) becoming a tetrachord built on overlapping (025) set classes. Each of these examples cycle through a number of different key centres with the aim of resolving into the final A section in the AABA-structured statement of Theme 1.

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[133] This is achieved through timbral changes, reharmonisation, and variations on the final A statement for example.

Fig. 4.3. Theme 1 Development – B section – mm. 221–229

Through the various transpositions and modulations from minor to major, this development section allows the listener to take a simple, palatable step away from the original statement which is still strongly alluded to through the retention of the clear rhythmic quality of the three-note groupings. This provides sufficient contrast to the overall presentation of Theme 1 while also offering a sense of the types of developmental techniques to be used in future themes.

Using the episodic breakdown of Fig. 4.1, the subsequent musical sections belong to the same episode. Similar to the way a jazz ensemble typically starts by stating the melody of a tune, and continues by opening up on a solo section that builds upon that initial material, mm. 238–368 explore musical ideas very much still in the same vein as the initial statement of Theme 1. This could also be likened to the development section of sonata form, drawing upon musical material derived from the statement of Theme 1. Mm. 369–405 function as a recapitulation of Theme 1, or the 'out head' of a well-disguised cyclic form.

One of the factors that makes *The Way Up* a successful work is Metheny/Mays's ability to build towards climactic moments through the use of intense harmonic, rhythmic, textural, and timbral features, then rewarding this with a substantial feeling of release. Fig. 4.4 shows the dynamic contour of 'Opening/Part One' over its 32-minute duration. As this figure

demonstrates, this particular track is constituted by several passages of music building towards an intense high and immediately falling away. The recapitulation of Theme 1 occurs at the end of Episode A and its climax represents the apex of this particular episode as shown.

Fig. 4.4. 'Opening/Part One' Dynamic Contour Chart
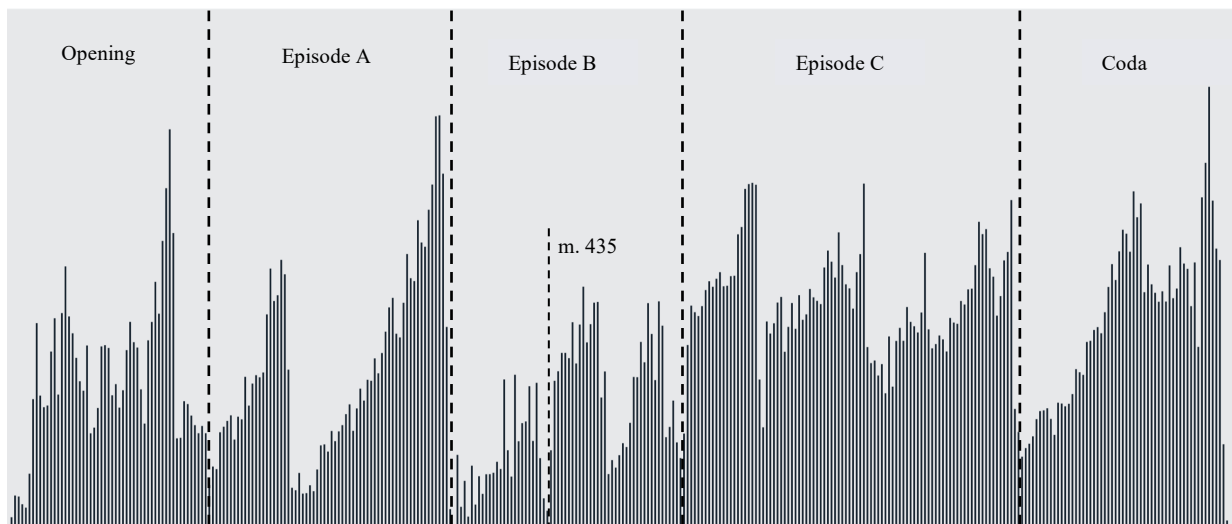
At m. 401, Episode A comes to a finish, holding the final chord for five measures while the band slowly drops out. At already 11 minutes into the composition, the dynamic and textural contrast achieved through the dramatic loss of intensity (as indicated by the dramatic cut-off at the end of Episode A in Fig. 4.4), is highly effective. At this point, with so much material presented, and not much breathing room for the audience, the silence at m. 401 is an effective means in alleviating the intensity that has been building over the duration of Episode A. Roger Scruton offers an insightful thought on the effect of silence in music: "we hear silence as a *Schweigen*, a being-silent. It is not a cessation of action, but action of another kind - refraining, withholding, refusing."[134] The silence at this point (m. 401) is not so much a lack of music, but a musical choice that provides effective contrast to the surrounding material.

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[134] Scruton, *The Aesthetics of Music*, 336.

M. 406 represents the beginning of the next narrative arc (Episode B), the main theme of which derives heavily from the intervallic structure of theme 1. I have labelled this Theme 2 (See Fig. 4.5). While almost unrecognisable, on closer inspection of the melodic line itself, the initial two phrases of this section are built from different arrangements of the three-note motif. Each variation of the motif is performed here at a different pitch level. Drawing upon the pitch structure of the initial motif (8–7–5), these variations can be seen as implying an AΔ7, DΔ7, EΔ7, and C♯–7, including only the fifth, seventh, and root of each of these chords, and omitting the third.

Fig. 4.5. Theme 2 – mm. 406–411

The trichords spelt out in Theme 2 draw upon the closely related set classes of (015) and (025), which have already been established. What makes this theme most distinctive is its transformed rhythmic character. Along with a decrease in textural and dynamic activity, the comparatively simple rhythmic quality of this thematic statement provides an adequate level of contrast against the intensity of the preceding sections. It also helps propel the story of the piece forward by taking the listener to new environment, while still retaining links to Episode A through the use of the variations of the three-note motif.

The twenty-measure section of Theme 2 is repeated before moving on to some transitional material. Rather than spending the time to elaborate on this theme through a development-like section or improvisational setting, like Theme 1, the following sections (labelled 'interlude,' 'Theme 4 reference,' and 'transition' in Fig. 4.1) cycle through a number of musical themes relatively quickly. That is not to say they are unimportant however; they are merely foreshadowing for when they are further explored later on.

An important feature of the motive-derived melodies is that due to their relatively simple intervallic make-up, they easily lend themselves to endless harmonic contexts. While the intervallic structure of the melodic lines appear to spell out, or imply, certain chord qualities, these structures often reappear over different bass notes and voicings, creating the potential for harmonic development and reharmonisation. This is true of Theme 2: while the melodic line implies the chords outlined in Fig. 4.5, the actual chord changes as played by the piano are far more complex, as shown in Fig. 4.6.

Fig. 4.6. Theme 2 Harmonic Accompaniment – mm. 406–408

Reharmonisation is used as an important developmental tool in *The Way Up*, allowing for harmonic variation to occur on repeat statements of a melodic theme. This happens throughout the work, but can best be demonstrated through the first three statements of Theme 1, which occur at mm. 205, 213, and 230 (labelled Theme 1 A^1, A^2, and A^3 in Fig. 4.1). Fig. 4.7 demonstrates the three different set of chord changes that accompany the first four measures of theme 1 across three statements.[135] This becomes an important device in which Metheny and Mays are able to build and maintain high levels of intensity through sections of comparatively simple melodic material or repetitive rhythmic patterns. Reharmonisation also becomes an effective means of propelling the story of the piece forward, being able to transport the listener to radically differing harmonic and tonal environments.

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[135] The third example (mm. 230–233) has been transposed up a major second to be at a pitch level consistent with the other examples.

Fig. 4.7. Theme 1 – Three Different Harmonisations

mm. 205–208

mm. 213–216

mm. 230–233

Episode C begins in m. 563 and represents the next major narrative arc. The musical theme that begins this episode is relatively simple in itself, however, it is written in the not-so-simple meter 15/8, and much of the accompanying material suggests a range of polyrhythmic ideas.[136] The melodic theme for this episode (Theme 3) is shown in Fig. 4.8. This nine-measure theme is once again built on a series of short motifs developed from the original. Example 1 (C–B♭–C) is the mordent-like figure present in Theme 1 (see Fig. 4.2, m. 206 for example). Examples 2, 4, and 5 are variants on the 8–7–5 intervallic structure. Examples 3 and 6 are another variant of the same intervallic structure, but transposed to a different pitch level of the minor seventh arpeggio (5–1–3 and 7–3–1). With the 15/8 meter and considerable variations, Theme 3 sounds far removed from its Theme 1 genesis, but detaching it from its harmonic context (as it is presented in various statements in Episode C) and analysing each three-note cell independently, shows a distinct relationship with the motivic statements of Themes 1 and 2.

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[136] One guitar part plays an idea based on groups of 4+5 eighth notes, suggesting a 9/8 meter, while another plays in groups of four eighth notes, suggesting a 2/4 meter.

Fig. 4.8. Theme 3 – mm. 572–580

Each intervallic cell contained within Theme 3 looks to take a further step away from the past themes through increased instances of octave displacement and the gradual departure from the established trichordal nature of past statements. While the use of the (025) set class provides a clear unifying element, rhythm plays a major role in how these themes are developed. This is through the increasing digression from the repetitive eighth note pattern (as demonstrated in Theme 1), as well as a departure from the recognisable three-note groupings. This shows a strong sense of progression or growth as the piece develops. The individuality of these themes provide a strong case for the episodic structure of the movement, but through their unifying factors also show that Metheny and Mays are thinking about structure at the movement level as well.

The exposition of the melodic theme of Episode C features a repetition of Theme 3 (mm. 581–590) with slight variations which is then followed by two subsequent sections that allow the melodic line to be slightly extended and explored (labelled B[1] and B[2] in Fig. 4.1, which begin at mm. 591 and 604). This gives the melodic statement an AABB structure. Beginning at m. 631, two long solo sections serve as a development section, and a way to build enough intensity to arrive at a restatement of Theme 3 as the peak of the episode (m. 944). This restatement of Theme 3 offers a considerable release of tension and a sense of resolution in the fact that this time the theme is played unobscured by competing polyrhythmic ideas present during its initial statement (m. 572).

The remainder of 'Part One' occurs over the final arc, labelled coda in Fig. 4.1 and 4.4. A guitar solo plays throughout the section that is built on elements largely borrowed from the course of the movement. But its purpose is less to recap (although it does serve that function too), and more to build momentum towards 'Part Two.'

4.4 'Part Two'

A look at the dynamic contour of 'Part Two' suggests that it consists of three major arcs or events over its 20:29 timeframe (Fig. 4.9). The first major episode of 'Part Two' could almost be mistaken as a transitional section as the harmonic features play an unsettling role that overshadows the melodic theme.[137] Fig. 4.10 shows the accompaniment figure that lies at the foundation of this section that could be labeled as Theme 4.

Fig. 4.9. 'Part Two' Dynamic Contour Chart
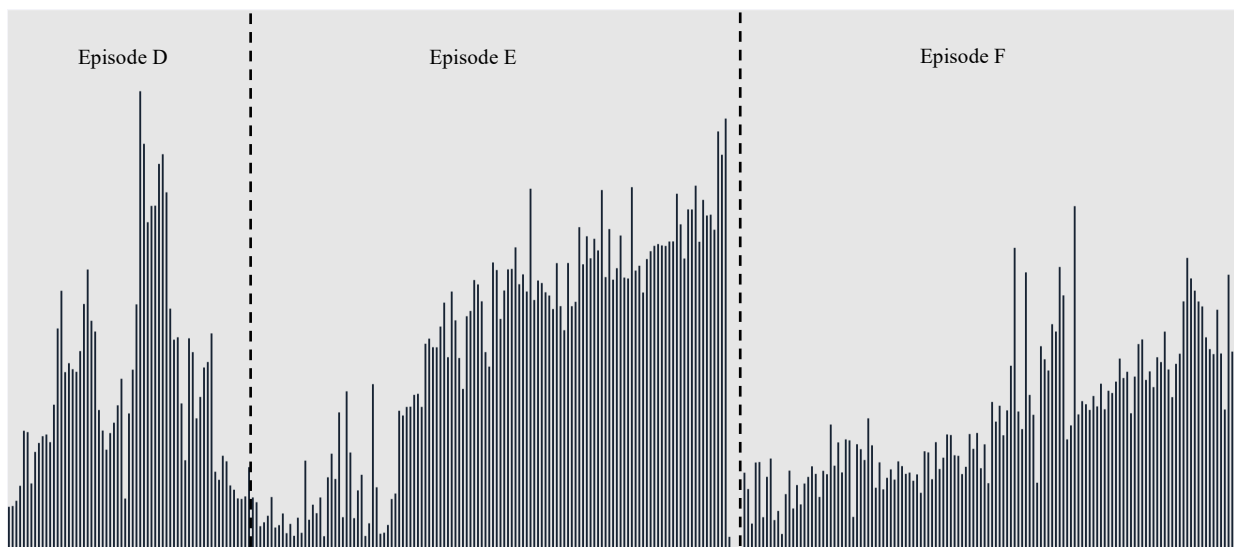
This example demonstrates the harmonic tension that persists through the majority of the statement of Theme 4 (mm. 1211–1340). The key centre of this theme is A♭ major, though the harmony predominantly lingers on the IV chord disguised as a polychord (essentially an E♭ triad over a first inversion D♭). It is only after six measures and a resolution to E♭Δ7/A♭

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[137] Not to mention, the harmonic and rhythmic features of this section were actually foreshadowed, appearing as a mainly transitionary section in 'Part One' m. 497.

(m.1225) that a sense of resolution is achieved. While this shift to Eb△7/Ab occurs relatively quickly in this example, within the actual development of the section it occurs infrequently.

Fig. 4.10. Theme 4 Accompaniment Figure – mm. 1219–1228

Further tension is added to the IV chord in this example, not only through the 3+3+4 rhythmic grouping that certainly adds to the uneasiness of the section, but also through the use of chromatic approach tones, which in this case are represented as the C+ triad. The Eb/C+/E polychord notated in the score might better be thought of as a chromatically altered Eb/Db/F, with the C and E of the C+ triad functioning as chromatic approach tones to the Db and F of the Db triad, while the Ab remains constant through both chords.

The episode is broken up by a significant spike in activity as shown in the middle of Episode D in Fig. 4.9, in which the musical material foreshadows the major musical theme of 'Part Three' (Theme 5). After this brief respite, Theme 4 returns for one last statement (m. 1304) before the harmonic tension, so imposing over the whole episode, slowly dies out while a lone E pitch, rearticulated across a selection of rhythmic subdivisions, emerges to lay the foundation for the following Episode E.

This second major arc in 'Part Two', Episode E, builds from a single, pulsating E pitch and builds to a high intensity battle between Metheny's Roland GR-300 guitar synthesizer and

Cuong Vu's bright, brassy trumpet. Containing no identifiable melodic theme, this episode is built upon the re-articulation of the E pitch across a number of instruments building the rhythmic structure, exploring different tempos, meters and rhythmic subdivisions, as these parts are layered on top of one another in a minimalist style reminiscent of Steve Reich or Terry Riley.[138] Once it reaches its apex (shown in Fig. 4.9), the episode comes to a complete stop, again using silence as a musical feature, offering silence in contrast to the activity that preceded it.

The third and final major arc for 'Part Two,' Episode F, is the development of Theme 2. Here, Theme 2 appears in a more conventional sense, following the sonata model or head-solo-head method. With the melodic theme stated in full, a development section then occurs where Grégoire Maret's harmonica solo further develops the material before a brief recapitulation at m. 1722.

4.5 'Part Three'

Fig. 4.11 shows the overall dynamic arc of 'Part Three' over its 15:52 minute duration. This clearly shows that the first half of this movement is in the service of one major arc, building to the climactic moment of the work, which is followed by two coda sections. This whole arc of Episode G could be thought of as the climactic episode and, as such, its principal theme is not fully revealed until after the previously mentioned sections are presented and developmental sections based on improvised material are able to build enough intensity that the theme is finally revealed at m. 2024.

Episode G begins with a bassline setting up the harmonic character of the section, providing a unifying melodic theme that had already been foreshadowed at the end of 'Part Two' (m. 1764). Prior to the first main solo section of this episode (which is located in m. 1910) we

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[138] Steve Reich's *Electric Counterpoint* (1987), commissioned for Metheny to play, is thought by many commentators to be a major influence on *The Way Up* (see Alain Londes, 'Pat Metheny Group: The Way Up', in *All About Jazz*, <https://www.allaboutjazz.com/the-way-up-pat-metheny-nonesuch-records-review-by-alain-londes.php>, February 14, 2005 [accessed June 2, 2020]; Stuart Nicholson, 'Pat Metheny Group 'The Way Up'', in *Forgotten Jazz Classics*, <https://stuartnicholson.uk/pat-metheny-group-the-way-up-album-of-the-week/>, [accessed June 2, 2020]), with Reich receiving an acknowledgment in the album's liner notes.

are presented with four musical sections (one could think of this exposition section consisting of an ABCD structure with themes occurring at mm. 1829, 1847, 1865, and 1882). The first two sections refer back to previous themes (which is indicated in Fig. 4.1), with the section beginning at m. 1829 being based on Theme 1, and the section at 1847 being based on Theme 4. The final two sections (which begin at m. 1865) serve as a precursor to the main melodic statement of Episode G, Theme 5, which does not occur in full until after the solo section, at m. 2024.

Fig. 4.11. 'Part Three' Dynamic Contour Chart
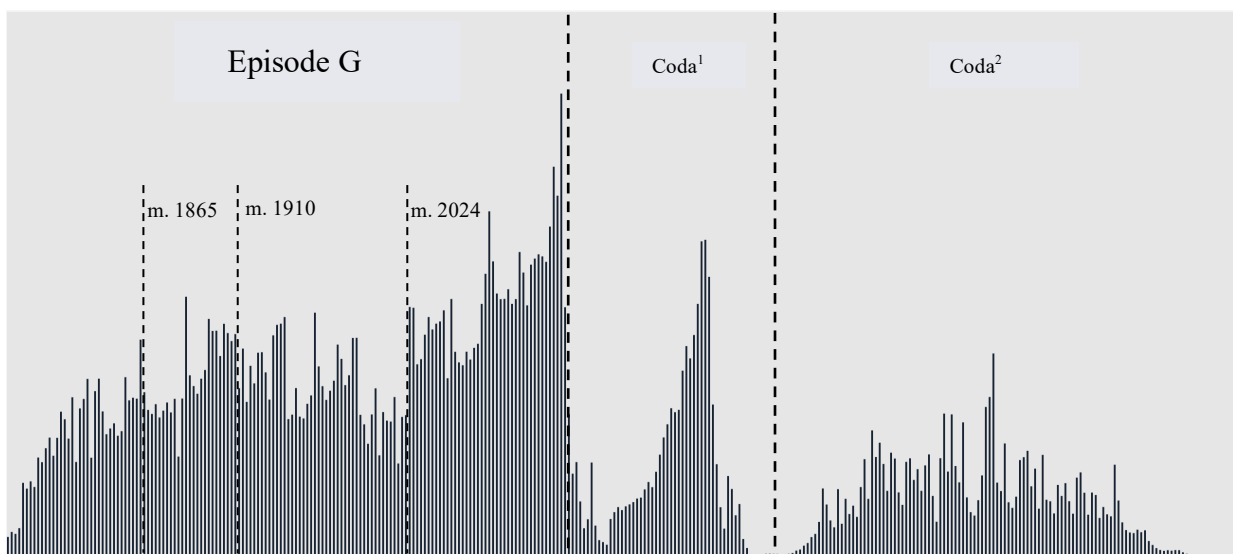
Theme 5 (Fig. 4.12) shows the final evolution of the three-note motif, and how it appears to conclude the work. This particular theme has already made several appearances (most notably in m. 1285 of Episode D, and earlier in Episode G, m.1865), but here in m. 2024, it is fully realised and developed for the first time. A major factor in its elevation to this status, other than the extended duration of its development, is the fact that it is sung by the human voice. The bright and angelic timbre created here immediately affords this theme an intensity not heard anywhere else through the work. Lyric-less singing is a recognisable characteristic of some of the larger-scale Pat Metheny Group music so it is interesting to note that Metheny and Mays specifically reserved this sound for the most intense section, the climatic section of the final main episodic arc, of *The Way Up*.

Fig. 4.12. Theme 5 – mm. 2024–2031

After spending half of the movement building towards the climactic point of the work Metheny finally gives listeners a moment to collect themselves. The use of silence immediately following the hugely satisfying harmonic resolution that completes the episodic arc is more than welcome. Emerging from this moment is a statement of Theme 1, returning, in its simplest form, to conclude the work. Beginning in m. 2151 (Coda[1]), Theme 1 is repeated seven times over top of the bassline that became prominent at the beginning of 'Part Three.' Beginning as a solo, monophonic line, the rest of the band slowly enter over subsequent repeats that subtlety reference thematic material from the rest of the work. Under this, the root movement of the bassline ascends in step-wise motion, through the key of A major. It continually climbs, ascending independently from the melody, refusing to conform to the eight-measure phrase lengths. As Theme 1 reaches its sixth statement, the band begins to fade away bringing the work to a satisfying and contemplative end.

4.6 Conclusions

The formal construction of *The Way Up* seems incredibly complex on the surface, being able to sustain itself for its 68-minute duration. A look at the dynamic contours across each movement and the work as a whole, shows that Pat Metheny and Lyle Mays are highly concerned with creating and maintaining deliberate levels of varying intensity for long periods of time. A model of starting small and building to extreme highs permeates the work through a series of episodes or events. While in a broad sense the scope of work presents a complex and intricate approach to form, examining it more closely begins to reveal more recognisable forms within individual episodes and sections. The sonata model of exposition-development-recapitulation (which is mirrored in the general approach to the

standard jazz repertory – head-solo-head) seems to become a major formal device employed (albeit fairly loosely at times) by Metheny and Mays across the work to present and develop musical themes.

In addition to this, the development of the three-note motif and use of Theme A in unifying the work is a major factor in his ability to build a coherent narrative across the whole duration of the work. A careful balance between developing themes and motifs, and providing contrasting material as transitional sections or interludes ensure the work is always engaging from start to finish. This is all in service of his aim of a more deliberate focus on storytelling.

As the above analysis demonstrates, Metheny and Mays lean heavily on a more narrative approach by spreading out the details and presenting small ideas, revealing more about them over time. Musical ideas develop, interact, and influence one another, much like the characters of a story, but presented in a jazz context. While presented here to an extreme, many of these same broad structural and developmental ideas can be found in other long-form jazz works (see Chapter 1 on Duke Ellington's *Harlem* for example), showing that rather than necessarily looking to other musical traditions for inspiration, many of these great innovations are evident in the history of jazz itself.

Chapter 5

Reflections on *Reflections*

Inspired by contemporary jazz composers of today and informed by the case studies of this exegesis, my composition *Reflections (In Mosaic)* is the result of a study into long-form works written by jazz composers. A significant factor surrounding the foundations of this work, and other works of mine such as *Solipsis* (2013) for jazz orchestra is the use of a programmatic theme. While I am aware of the limitations of this approach, I have aimed to write a fully coherent, stand-alone work, with an extramusical source providing inspiration and serving to provide a general mood and trajectory for a number of music themes. Not wanting to be encumbered in any way by having to adhere strictly to the structure of a given source material, *Reflections (In Mosaic)* is not an attempt at strict musical ekphrasis. Nonetheless, it draws upon inspiration from the structure and thematic elements borrowed from an extramusical source, the film *Magnolia*.

In selecting this film for inspiration, I draw upon the example of Gunther Schuller, who based his *Seven Studies* on inherently musical visual art by Paul Klee, and I focus on the film's inherent musicality that exists beyond (and without reference to) the film's soundtrack or score. In drawing upon some of Paul Klee's adaptations of musical elements, I aimed to find similar musical forms within the medium of film, particularly elements of polyphony or counterpoint. I was drawn to *Magnolia* because its numerous characters explore the film's themes of child abuse, regret, and loneliness in a variety of ways, as their stories intersect through a series of interconnected events. This bears a striking resemblance to Klee's concept of polyphony where the intersections of individual lines add up to the 'totality of sound.'

In addition to drawing on an extramusical source, I also look to the history of jazz for inspiration, in ways demonstrated by my case studies of Duke Ellington, and Pat Metheny and Lyle Mays, who, while separated by fifty years, both draw on historical forms in jazz itself, rather than exclusively looking to other musical genres to inspire their long-form works. As such, *Reflections (In Mosaic)* draws much of its structural design and influence

from these studies, drawing heavily upon the head-solo-head model and cyclic structures that characterise a majority of the jazz repertory. Furthermore, functioning as a major inspiration behind my fascination with long-form works, *The Way Up* provided me with a valuable model for the design of my own work of similar scale.

I have also taken into consideration the balance between composed and improvised material. In *Reflections (In Mosaic)*, my intention is for improvisational sections to act as a vehicle for thematic development. I consider Mingus's example of what it means to look to invite performers to contribute to the thematic development of the work, encouraging the continuation and development of my own composed material across their own improvised solo sections. A broad overview of *Reflections* represents my response to the above case studies and a fascination with long-form works which seeks to examine the role of the jazz composer.

5.1 The Influence of *Magnolia*

Rather than drawing upon literature or paintings, and much like Pat Metheny, I am attracted to the storytelling capacity of film. *Magnolia* is best described as a collage of interrelated characters all united through several key relationships and themes that are slowly revealed and explored through the course of the film. Occurring within a single day, the film chronicles a multiplicity of plots united by a cataclysmic event at the film's conclusion, through the entanglements of a diverse array of characters, including a depressed cocaine addict, an awkward cop, a motivational televangelist, a man dying of cancer, a television game show host and his estranged daughter, a child genius and a former child star. Though their stories seem to start out as unrelated to one another, each character shares similar experiences of sadness and loss. One of the central themes of the film is the lasting effects of child abuse, with each character offering a different perspective on the issue. *Reflections (In Mosaic)* takes its name from the mosaic of characters that both reflect upon their own lives as they search for happiness and forgiveness, and see their own reflections in one another.

While *Reflections* does not aim to portray these themes literally, or follow the film's narrative, the polyphony of interconnected characters through storylines and thematic material provide a rich source of inspiration. In terms of the film's musicality, Anderson has made several statements about how music played a role in the creation of the film. With regard to his writing process he has stated that:

> Magnolia came out of Aimee Mann's songs, which I was listening to at the time I was starting to write. I had her two solo albums and a lot of her demos, because she's a friend, and I think the tone she gets is really beautiful. So I thought about using them as a basis, or as inspiration for the film.[139]

He has also said that the three-act structure of *Magnolia* was inspired by The Beatles' 'A Day in the Life' stating that "it kind of builds up, note by note, then drops or recedes, then builds again."[140] Music also plays an important role within the film itself with several songs from the soundtrack featured as a unifying device during montage sequences featuring the ensemble cast. The most notable example of this is Aimee Mann's song 'Wise Up,' which, blurring the lines between diegetic and non-diegetic music, begins outside the of the film's diegesis (following a precedent set by the numerous other songs throughout the film), is then sung by the entire cast across their various locations along with Mann's recording, functioning as the emotional climax of the film.

In translating this concept of the film to music I decided to write a musical theme for each of a number of the main characters. Each theme (discussed below) is loosely inspired by the general mood/demeanour or potential of its corresponding character. Depending on how closely one character mirrors another (in terms of personal relationship, or relationship with the film's theme), themes share common musical elements and each episodic title aims to reflect some element of this. Each theme is featured in an episode, and I have also given a title to each episode that relates to the character and the film as a whole.

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[139] Paul Thomas Anderson, quoted in John Patterson, 'Magnolia Maniac', in *The Guardian*, <https://www.theguardian.com/film>, March 10, 2000 [accessed May 7, 2020].
[140] Paul Thomas Anderson, quoted in Bob Strauss, 'Magnolia Springs from Valley Roots', *The Montreal Gazette*, December 19, 1999.

The primary theme of the opening episodic arc is Claudia's theme. Anderson has stated that his initial inspiration for the character Claudia comes from Aimee Mann's song 'Deathly', from the album *Bachelor No. 2 or, the Last Remains of the Dodo* (2000).[141] Inspired by this, 'Rings Around Saturn' comes from the lyrics of Mann's song 'Stuck in the Past', from the album *Mental Illness* (2017).[142] This is intended to describe Claudia's struggles with moving on from the abuse suffered at the hands of her father, and is subsequently applicable to most of the film's characters, so also serves as an appropriate introductory theme. 'Everyday Weather' has no significant musical theme of its own, and instead acts as a transition between Episodes 1 and 3. Its purpose it to encourage Claudia to open up and look to the future, acting as a bridge between her and Jim (the subject of Episode 3). Its title is reflective of the changeability of the weather, and comes from a the title of a textbook Stanley reads in the film (and is additionally a reference to the title cards included in the film which are named after the present weather conditions). The third episode, 'Listen to The Worm' features the theme of police officer Jim, whose interactions with Claudia offer her an element of stability in her life and the chance to move on. However, Jim's life is more unstable than Claudia believes and the title comes from a piece of cryptic information he is given to solve a case (in the form of a rap), which he is unable to understand.

The episodes 'Once Struck by Lightning', 'Artificial Identity', 'History of Transgressions', and '(Re)Acquiring Eden' all take their titles from descriptions referenced in Richard Stanwick's analysis of the film.[143] The character Donnie was literally once struck by lightning, but more importantly, the title describes Donnie's fall from grace as a former child star that had everything taken from him by his parents. 'Artificial Identity' refers to the hyper-masculine act that T.J. puts on to mask the pain he suffers because of his father's rejection and abandonment of him when he was young. 'History of Transgressions' does not draw inspiration from a single character, but is instead used to represent the lasting pain caused by the fathers of the film as they look back on their lives with regret, hopeful for forgiveness

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[141] Jim Bessman, 'Music Blossomed into Film', *Toronto Star*, December 16, 1999.

[142] This comes from the lines: Stuck in the past/Like drawing rings around Saturn/A shadow was cast/But now it follows a pattern. Aimme Mann, 'Stuck in the Past', *Mental Illness* (SuperEgo, 2017). CD.

[143] Richard Stanwick, 'Magnolia Film Analysis', in *Cinetext: Film & Philosophy*, <http://cinetext.philo.at/magazine/stanwick/magnolia.html>, January 31, 2000 [accessed May 5, 2020].

that may or may not be granted.[144] '(Re)Acquiring Eden' describes the potential resolution of the thematic material serving as Stanley's theme, representing his ability to break the cycle of abuse and overcome the father.

With each of these melodic themes I aim to capture the essence of each character through the use of particular melodic contours or intervallic structures. Angular lines and tense intervals such as minor seconds or tritones feature heavily through each theme, representative of the internal struggle each character faces. Melodic phrases also have a tendency to veer off in unexpected ways. This is again aimed at representing the instability of each character, and also draws influence from the typical approach of an improvising soloist, an attempt to draw a sense of homogeneity between composed and improvised material. Rhythmic choices also play an important role. Long rhythmic values that feature prominently in the themes of Claudia and Stanley, for instance, represent their contemplative qualities. In contrast, the sharp, staccato rhythms of T.J.'s theme is reflective of his more aggressive outlook on life as a result of his past experiences. Additionally, no theme begins on beat one. With the exception of T.J.'s theme (which overcompensates by coming in early), each theme begins after the beat, again reflective of the self-doubt faced by each character as they deal with the ramifications of their own childhood abuse.

5.2 Formal Outline of *Reflections (In Mosaic)*

In structuring *Reflections* I leaned heavily into the idea of breaking it up into episodes (following *The Way Up*) with each theme receiving its own space for significant exposition and development, while still allowing for material to be used as a subtle reference or transitional section elsewhere in the work. In this respect, I have departed quite far from the scene-to-scene narrative of the film, as this would not really lend itself to coherent storytelling in my own musical interpretation. In addition, I opted to take some liberties with my treatment of some of the characters, choosing to simplify elements of their characterisation for the benefit of creating a coherent narrative within my own work.

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[144] Jimmy Gator (Claudia's father), Earl Partridge (T.J.'s father), and Rick Spector (Stanley's father) all have prominent roles in the film, and for my purposes, fulfil a similar function so I have grouped them together.

Like both the film and *The Way Up*, *Reflections* is broken into three primary movements. These movements were furthermore broken into seven smaller parts (Fig. 5.1 shows a breakdown of the movement-episode-theme outline of *Reflections*). I did not divide the three movements into these seven parts until after the composition was complete. While I initially divided the piece into these seven parts to make computer files and sheet music more manageable from a practical standpoint, this structure also serves to make the episodic layout much clearer, with each of the seven parts corresponding closely to the episodic structure of the work to the point that each episode is almost a synonym for its musical theme.

An outline of the work's formal design is shown in Fig. 5.2. As demonstrated, each episode functions as a vehicle for the exposition and development of a particular musical theme (with the exception of episode B, which functions largely as a transitional section to get between 'Rings Around Saturn' and 'Listen to the Worm'). Drawing upon conventional structures, each exposition of thematic material leans heavily into an arrangement of A and B sections separated by interludes and transitional material, and each layer of formal structure draws its organisation from the head-solo-head (or exposition-development-recapitulation) model (albeit to varying degrees). This model is present at the episodic level, the movement level, and exists across the whole of *Reflections*. Stanley's theme acts as bookends for the work (the primary focus of opening twenty measures, and as the subject of the final episode), with everything else acting in service to the development of his theme and its eventual resolution at the conclusion of *Reflections*.

Fig. 5.1. *Reflections (In Mosaic)* – Episodic Outline

	Episode	Primary Musical Theme
Movement I	'Rings Around Saturn' (RAS)	Claudia's Theme
	'Everyday Weather' (EW)	n/a
	'Listen to The Worm' (LTTW)	Jim's Theme
Movement II	'Once Struck by Lightning' (OSBL)	Donnie's Theme
	'Artificial Identity' (AI)	T.J.'s Theme
Movement III	'History of Transgressions' (HoT)	Fathers' Theme
	'(Re)Acquiring Eden' (RAE)	Stanley's Theme

At the episodic level, each part was (at least at its inception) designed to be a part of an AABA-type structure, followed by a solo section based on similar harmonic material, which would in turn be concluded with a restatement of the melodic material. 'Rings Around Saturn' demonstrates how this concept is applicable, and how it deviates, in order to maintain a sense of momentum and continue to propel the work through its duration. The first statement of Claudia's theme begins at m. 70 (A^1 in Fig. 5.2), and from here it follows an AABAB structure, with each section building upon the last. The tenor solo (m. 177) is loosely based on the harmonic material of Claudia's theme, but through the compositional process, develops and builds upon the material, to provide variety (this is true of all of the solo sections across *Reflections*). While this initial episode does not conclude with a restatement of Claudia's theme, additional composed material (both at the end of 'Rings Around Saturn' and the interlude section of 'Everyday Weather', which is based upon Claudia's theme) is intended to draw the episode to a close, while still maintaining a sense of momentum needed to progress through the whole of extended work. Instead, a more explicit recapitulation of Claudia's theme occurs at m. 367 of 'Listen to The Worm' drawing the first movement to a close. At the movement level Claudia's theme can be thought of as the principal theme for Movement I, with Jim's theme functioning as a development upon this, or contrasting theme. As the work progresses however, cyclic structures, and the head-solo-head model that provided the initial framework for the overall structure of the work become far more fluid, as I attempt to maintain a careful balance between restating thematic material to ensure unity, and introducing new material as an effective means of contrast.

Fig. 5.2. Formal Outline of *Reflections (In Mosaic)*[145]

		M.	Time	Content	Duration (bars)
Movement I	**'Rings Around Saturn'**	1	0:00	Introduction – Stanley's Theme A^1	11
		12	0:50	Stanley's Theme A^2	9
		21	1:31	Transition Section	9
		30	2:01	Solo Piano – OSBL reference	12
		42	2:36	Cont. w/Claudia's theme	14
		56	3:08	Interlude	14
		70	3:34	Claudia's Theme A^1	29
		99	4:27	A^2	14
		113	4:53	B^1	22
		135	5:28	A^3	17
		152	6:02	B^2	25
		177	6:51	Development – Tenor solo	48
		225	8:27	Cont. Backgrounds – B^2 reference	48
		273	10:00	Transition	12
		285	10:23	Interlude	19
		304	11:03	Transition	8
	'Everyday Weather'	1	0:00	Piano solo	16
		17	0:12	Cont. Interlude – Claudia reference	40
		57	1:17	Transition	45
		102	2:37	Development – Trombone solo	40
		142	3:47	Cont. Background figures	32
		174	4:43	Guitar solo	46
		220	5:52	Interlude – HoT reference	34
		254	6:44	Drum solo	5
	'Listen to The Worm'	1	0:00	Introduction	9
		10	0:14	Jim's Theme A^1	24
		34	0:53	B^1	21
		55	1:33	A^2	16
		71	1:59	B^2	21
		92	2:39	A^3	16
		108	3:05	C^1	22
		130	3:52	C^2	71
		201	5:45	Development – Trumpet solo	129
		330	9:13	Transition – Stanley's theme	18
		348	9:47	Recapitulation – Introduction	19
		367	10:07	Claudia's Theme A	33
		400	10:40	B	23
		423	11:22	A	23

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[145] All measure numbers and time codes correspond to the accompanying score and mp3 files.

		446	12:06	Coda	19
		1	0:00	Introduction – Stanley's theme	22
		23	1:04	Transition	29
		52	2:17	Donnie's Theme A^1	17
		69	2:54	A^2	11
		80	3:20	B	16
		96	3:58	Interlude	8
		104	4:17	A^3	23
	'Once Struck by Lightning'	127	5:06	C	36
		163	6:29	Interlude	14
		177	6:59	Cont. REA reference	15
		192	7:30	Development – Alto solo	40
		232	8:58	Cont. Backgrounds – LtTW reference	40
		272	10:26	Transition A	16
		288	11:01	Transition B	8
		296	11:19	Bass solo introduction	22
		318	11:51	Bass solo	70
Movement II		388	13:42	Cont. Cadenza	13
		1	0:00	Introduction	24
		25	1:04	Introduction cont. Piano solo	55
		80	2:17	T.J.'s theme introduction	25
		105	2:51	T.J.'s theme vamp	14
		119	3:08	A^1	14
		133	3:28	vamp – Trumpet solo	14
	'Artificial Identity'	147	3:46	A^2	13
		160	4:05	A^3	17
		177	4:28	B	19
		196	4:51	Interlude	28
		224	5:31	Development – Tenor solo	24
		248	6:22	Cont. – Backgrounds	86
		334	8:14	Transition – RAS reference	9
		343	8:46	Recapitulation Introduction	14
		357	9:04	A	25
		382	9:39	Flugelhorn solo	39
		1	0:00	Introduction – Stanley's theme A^1	26
		27	1:38	A^2	33
		60	3:42	Fathers' theme introduction	14
		74	4:10	Fathers' theme A^1	30
		104	5:10	A^2	24
		128	5:56	B	22
	'History of Transgressions'	150	6:39	Development – Trombone solo	62
		212	8:41	Baritone solo	45
		257	9:50	Transition – Stanley's theme	24

		281	10:35	Interlude – T.J.'s theme	14
Movement III		295	10:53	T.J.'s theme A	19
		314	11:19	Interlude	11
		325	11:34	Piano solo	16
		341	12:40	Cont. backgrounds	38
		379	13:18	Transition – Claudia's theme	36
	'(Re)Acquiring Eden'	1	0:00	Introduction	5
		6	0:20	Stanley's theme A^1	15
		21	0:40	Transition	8
		29	0:52	Stanley's theme A^2	21
		50	1:21	Interlude	30
		80	2:03	Stanley's theme A^3	25
		105	2:38	Stanley's theme B	52
		157	4:11	Cont. – Jim's theme reference	23
		180	4:54	Development – Tenor solo	16
		196	5:52	Cont. backgrounds	50
		246	7:27	Recapitulation – Rubato – Claudia	19
		265	8:08	Stanley's theme brass arrangement	11
		276	8:54	Vamp	10
		286	9:07	Stanley's theme A^1	24
		310	9:40	Stanley's theme A^2	21
		331	10:13	Interlude	5
		336	10:21	Stanley's theme A^3	25
		361	10:55	Coda	29

5.3 Achieving Unity Across the Work

Functioning as the unifying theme across the work, Stanley's theme (the principal theme of the seventh and final episode – '(Re)Acquiring Eden' – see Fig. 5.3) is disguised and manipulated, making multiple appearances through the work, foreshadowing its featured presentation in the final episode. Most of the characters of *Magnolia* are living their adult lives experiencing the lasting effects of trauma suffered through their childhood. The character Stanley, by contrast, is a child experiencing abuse from his father at the moment that the film takes place. He, unlike the other characters, represents a sort of crossroads for the viewer: will he repeat a cycle of abuse as he continues along his path, or can the cycle be broken?

Fig. 5.3. Stanley's Theme – '(Re) Acquiring Eden' – Alto sax 1. mm. 6–13

By design, each of the three movements begins with a contrasting arrangement of Stanley's theme. Movement I begins with a fully harmonised brass fanfare (Fig. 5.4) with Stanley's theme appearing in the first trumpet part characterised by the use of minor second movements and the cadential ascending leap in mm. 1–2, and the 3–1–5–1 structure of the descending major triad in mm. 3–4 (which is also present in mm. 11–12 of Fig. 5.3). Movement II begins with a variation of the fanfare arrangement as a reduction, played free and rubato by an unaccompanied piano (Fig. 5.5). Movement III begins with a call-and-response section between solo flugelhorn and rest of the ensemble (Fig. 5.6). Here, the solo flugelhorn part plays a variation of Stanley's theme and cadenza-like material between phrases, while the ensemble provides harmonic accompaniment and a response phrase to each solo statement of the flugelhorn.

Fig. 5.4. Stanley's Theme – 'Rings Around Saturn' – (concert key) mm. 1–5

Fig. 5.5. Stanley's Theme – 'Once Struck by Lightning' – Piano mm. 1–8

Fig. 5.6. Stanley's Theme – 'History of Transgression' – (concert key) mm. 27–35

Several transitional sections throughout *Reflections* are also based on new arrangements of Stanley's theme. These occur most notably at the sections beginning at m. 330 of 'Listen to The Worm' (Fig. 5.7), m. 256 of 'History of Transgressions' (Fig. 5.8), and as a brief transition leading into the recapitulation of '(Re)Acquiring Eden' beginning in m. 265 (Fig. 5.9).

Fig. 5.7 demonstrates Stanley's theme which is used as a transition into the recapitulation of Claudia's theme at conclusion of the first movement. This example sees a version of Stanley's theme performed using imitative polyphony across the brass section. The three labelled sections are three statements of the initial phrase of Stanley's theme found across the first, second, and fourth trumpet parts. Fig. 5.8 features Stanley's theme in the fourth trumpet part, somewhat obscured by the surrounding polyphonic ideas performed across much of the ensemble. The statement shown in Fig. 5.9 is intended to function as an interlude leading into the final statements of Stanley's theme. As a result, this version is designed to be a close representation of the very initial statement from Fig. 5.4.

Fig. 5.7. Stanley's Theme Transition – 'Listen to The Worm' – (concert key) mm. 330–336

Fig. 5.8. Stanley's Theme Transition – 'History of Transgressions' – (concert key) mm. 257–262

Fig. 5.9. Stanley's Theme Transition – '(Re)Acquiring Eden' – (concert key) mm. 265–270

Stanley is experiencing what all of our other characters have already experienced, hence, an element of his musical theme, and the dissonance connected with it, permeates the work until its appearance in '(Re)Acquiring Eden' where it is presented in a far more consonant context representing the breaking of the cycle of abuse from generation to generation. While the film ends on Stanley asking his father to treat him better, before being told to just go to bed (leaving this resolution ambiguous), *Reflections* reads the film in a way that provides a sense of musical resolution to Stanley's theme and enables the composition to achieve a strong sense of coherence, development, and resolution from beginning to end.

With each restatement of Stanley's theme my aim is to show the effects of childhood abuse, as shown through the lens of the other main characters. A major part of this involves the reharmonisation of Stanley's theme to reflect the tonal and harmonic centres that I have used to characterise other main themes. As a further consequence of these reharmonisations, melodic development plays a role in slowly transforming Stanley's theme across subsequent statements. This was not only pragmatic, to better spell out the new harmony, but served to show how impressionable he is at this age. If he is unable to break the cycle of abuse, he risks following in the same path as all of the other main characters.

5.4 The Role of the Improviser

Inviting the improviser to comment upon and develop the work's thematic material to a level comparable with Mingus's Jazz Workshop proved difficult, and for the most part was not directly transferable to my own context. Mingus made use of his more collaborative methods and 'extended form' techniques, usually within the context of smaller bands and groups that played together a lot.[146] These are two elements that lie beyond the scope of my project, and by the time of a performance, the *composition* (as it exists separate from the *realisation*) of the work will be complete. Additionally, giving too much agency or

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[146] Ekkehard Jost comments on this, drawing attention to the difficulties in translating a more collaborative and freer approach to musical expression in larger ensembles, citing Mingus specifically, but also free jazz musicians in general, stating that these more collaborative approaches to improvisation were not as practical in larger groups as they are with smaller ensembles. Ekkehard Jost, *Free Jazz* (New York: Da Capo Press, 1975, 39,182.

autonomy to the improviser within the context of a long-form *compositional* project (such as this) risks defying some of its purpose. Likewise, enforcing too many directions and instructions on an improviser will likely be detrimental or discouraging to the work of an improviser. I strive in *Reflections* to achieve a careful balance. In drawing more broadly on concepts related to the democratisation of the role of the composer through a more integrative approach between composition and improvisation, I aim to create a greater sense of cohesiveness through my improvised sections.

Integral to the cohesiveness of *Reflections,* solo sections throughout the work are of structural importance.[147] I use each of these sections to develop the narrative of the work and the musical themes. It is my hope that the soloists will acknowledge this and draw upon the work's thematic material in order to inform their work either implicitly (by drawing upon the general melodic/rhythmic content of the work) or explicitly (by directly referencing or quoting thematic material). To encourage this, I include a brief description of key motifs for soloists to draw from, which accompanies the score (Fig. 5.10). Included in this are examples based on key intervallic structures that draw heavily from the key themes of the work. Each motivic cell is taken from the central themes of the work: (1) Stanley's theme, (2) Claudia's theme, (3) Jim's theme, (4) Donnie's theme, (5) T.J.'s theme, (6) Fathers' theme.

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[147] This is in line with Graham Collier's comments on creative music on page 2 of this exegesis.

Fig. 5.10. Motifs for Improvisation

Soloists may choose draw from the motivic structures below to inform their improvisiation

Additionally, I composed the backgrounds to add further context to a solo section. Bob Brookmeyer worked hard to address the need for balancing the role of improvisation in a compositional setting, realising the need for unity across composed and improvised sections:

> You don't write a solo until you [the composer] have completely exhausted what you have to say. If you give a soloist an open solo for 30 seconds, he plays like he's coming from the piece that you write. Then he says, 'What the hell was that piece that I was playing from?' and the next 30 seconds is, 'Oh, I guess I'll play what I learned last night.' And bang! Minute two is whoever he likes, which is probably Coltrane.[148]

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[148] Bob Brookmeyer, 'Bob Brookmeyer: Raging and Composing Against the Jazz Machine', interview by Ben Ratliff, *New York Times*, May 12, 2006.

To combat this tension Brookmeyer wrote increasingly larger amounts of material before solo sections,[149] establishing the mood, form and thematic material of the work, and thereby setting the groundwork for improvisation. His approach to backgrounds was similarly designed to have "his hand on the soloist, somehow, with long tones, chords, or punches."[150]

In addition to influencing the soloist with thematic material, there are several instances in *Reflections* where the I composed material that is designed to be interpreted with a large degree of freedom. Mm. 38–41 of 'Rings Around Saturn' sets up a four-measure solo piano vamp (see Fig 5.11). While a series of root notes initially suggested, over the open repeats of this four-measure section the pianist is instructed to ad lib, drawing only upon (an interpretation of) this root movement, implying chord qualities/voicings of their choice. When ready, the pianist is instructed to move ahead to m. 42, where a variation of Claudia's theme comes in. As the piano remains the only instrument playing during this time, the pianist is able to harmonise at will, using the given root movement as a suggestion.

A similar concept exists at the conclusion of 'Once Struck by Lightning' (m. 400), leading into the bassline introduction of the next episode, 'Artificial Identity.' After a featured bass solo, the bass player is instructed to come out of an open E♭ Lydian Augmented cadenza by introducing the pitches of the bass line to 'Artificial Identity' in free time (Fig 5.12). This is designed to bridge the gap between the freely interpreted cadenza and the written line that follows.

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[149] Stephen Guerra's study into the music of Bob Brookmeyer showed a noticeable increase of measures prior to the first solo section over time. Substantially fewer measures precede the first solo in pieces like 'Just Plain Meyer' (1956), 37 measures, and 'Happiness is a Thing Called Joe' (1956), 40. In comparison to 'Boom-Boom' (1997), 139 measures, and 'Seesaw' (2002), 262 measures. Stephen J. Guerra Jr., *A Study of Bob Brookmeyer's Compositional Style for Large Jazz Ensemble*, DMA diss., University of Miami (2016).
[150] Bob Brookmeyer, 'Bob Brookmeyer: Raging and Composing Against the Jazz Machine', interview by Ben Ratliff.

Fig. 5.11. Piano Vamp – 'Rings Around Saturn' – mm. 38–45

Fig. 5.12. Bass Line 'Once Struck by Lightning' – m. 400

An additional means of democratising the role of the composer is through the work's various titles. In a discussion of Ellington's *Far East Suite*, Mark Lomanno talks about the importance of the 'Ellington Effect.'[151] This is the standard to which Ellington strove where a musical idea and its meaning were not fully realised until interpreted by a particular performer. Lomanno contests that, far from being solely Ellington's own interpretation of the locations represented in the *Far East Suite*, each band member was encouraged and able to provide their own perspective and experiences of these locations, leading to a communal compositional process. While in these instances Ellington wrote with specific players in mind, and drew upon more collaborative compositional methods, in situations where this was not the case, Lomanno suggests that the titles of works were a significant part in helping band members *and* audience members begin to formulate an understanding of the works. By extension, I have attempted to convey a sense of meaning and mood

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[151] Mark Lomanno, 'Ellington's Lens as Motive Mediating: Improvising Voices in the Far East Suite', *Jazz Perspectives* 6/1–2 (2012), 151–177.

through the title of the work as a whole and the titles of individual episodes, as a way to allow band members and audience members to begin to fill in some of the gaps and formulate their own meanings for the work. While unable to draw upon many of the specific techniques Mingus was able to draw upon in *Fables of Faubus*, I believe I have found other ways in which I can allow for greater musical expression and for the musicians and even audiences to partake in an element of the compositional process that materialises upon a performance of the work.

5.5 Conclusions

Despite the prevalence of cyclic and strophic forms that characterise much of the jazz repertory, there is a wealth of material that demonstrates that jazz composers have been exploring alternative and extended approaches to musical form for many years. Subgenres such as free jazz (where the use of formal structures is used as an organisational tool to offer an element of direction in the absence of other musical elements), or fusion (where freer approaches to improvisation allow for musicians to focus more on the rhythmic, textural, and timbral elements of the music as a means of self-expression) lean heavily on the use of extended approaches to form in sections of improvisation,[152] and while not an initial focus of this study, but still relevant, multi-movement suites are well represented in the jazz repertory. Despite the misconception (commonly linked to assumptions about the symphonic jazz and third stream movements), that composers should look beyond the jazz genre to find formal structures to inform their work, Duke Ellington's approach to extended-form works demonstrates that the elements for formal expansion and elaboration are already present within the genre. Over fifty years later, Pat Metheny and Lyle Mays's *The Way Up* exists on a far larger scale, and still draws upon many of the same formal features (albeit in a highly elaborative fashion).

As I have discussed, a major role of the jazz composer is to create balance between composed and improvised material. While this balance depends hugely on the context, unity and cohesiveness across the whole work is the ultimate goal. A significant element in

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[152] Jost, *Free Jazz*; Stuart Nicholson, *Jazz-Rock: A History* (New York: Schirmer Books, 1998).

achieving this is to allow performers to take on a role that comments upon a work's extramusical themes, and is involved in the development of thematic material. Mingus's approach to 'extended form' provides a valuable framework for how performers can participate in the compositional process, as can be seen through its influence on subsequent music, particularly in the free jazz genre, but also throughout a wide range of contemporary jazz.

Reflections (In Mosaic) is part of a growing trend for longer works in jazz to be produced as part of postgraduate study and as a result of funded programmes. A significant amount of postgraduate work (at both the masters and doctorate level) in jazz composition tends to be written with longer forms in mind, most commonly in the form of multi-movement suites. In addition to this, since 2000, Chamber Music America's *New Jazz Works* programme has sought to offer jazz composers the opportunity to create, perform and record new works through generous funding. Again, a significant number of these commissioned works are in the form of multi-movement suites.

Reflections (In Mosaic) is the culmination of an investigation into long-form works for the jazz ensemble. As such, it draws much of its inspiration from the significant factors that have shaped the music up until now, taking into account historical perspectives, the role of improvisation, programmatic themes, and a framework for a structural design. All of these elements play their role in the composition of this work, and help it achieve a level of coherence and unity across its parts.

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