ISTANBUL TECHNICAL UNIVERSITY ★ GRADUATE SCHOOL

GUNTHER SCHULLER'S THIRD STREAM: STORY OF AN INVENTED MUSIC STYLE

M.A. THESIS

Cenk BONFİL

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GUNTHER SCHULLER VE "THIRD STREAM": BİR MÜZİK TÜRÜNÜN İCAT ÖYKÜSÜ

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Cenk BONFİL, an M.A. student of İTU Graduate School student ID 409201127 successfully defended the thesis/dissertation entitled "GUNTHER SCHULLER'S THIRD STREAM: STORY OF AN INVENTED MUSIC STYLE", which he prepared after fulfilling the requirements specified in the associated legislations, before the jury whose signatures are below.

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To my teachers, musical inspirations and to those I create with,

FOREWORD

This thesis is the product of a process that shaped my musical taste as a composer, performer and creator.

Having always been looking for ways and environments to create music since my childhood; my first professional endeavor was with jazz, during my university years, when I was working in jazz festivals as an assistant and studying jazz harmony, rhythm and improvisation with Güç Başar Gülle. My studies started after attempting to write my first original song in a songwriting class by jazz singer and song writer Başak Yavuz and struggling enormously. After having a degree in Media and Communication, this process led me to pursue a musical career. It took me to Codarts Rotterdam for a year to study jazz composition, where I crossed paths with various contemporary experimental musical styles. My first encounter with this "new music", so it was for me then at least, gave me the feeling that this sound world could establish a narrative foundation for my jazz-based music. Yes, storytelling was another interest of me. This interest which was second to music, springed from thinking in visual and written terms during my Media studies. Regardless of how musically abstract my compositions get, I always felt the need to structuralize a narrative form out of them. What drew me to combine the vast sound world of contemporary music with jazz was the potential of the dramatic effect I saw in the combination.

Thus, I am here, having written my Master's thesis on a particularly interesting branch of the combination of jazz and contemporary classical music in history. This thesis allowed me to do in-depth research and think critically about certain artistic choices I am to make in my future musical works. It is an opportunity that any artist would cherish and I am, indeed, thankful that I had the chance to analyze and critique the technical and musical, as well as social aspects of such music.

I hope to be able to channel my findings here to my future artistic work and that it also contributes to the wider musical, artistic and academic community.

January 2024

Cenk BONFİL
Musician

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ABBREVIATIONS

bpm **:** beats per minute
MET **:** Metropolitan Opera Orchestra
MJQ **:** Modern Jazz Quartet
Variants on Monk **:** Variants on a Theme of Thelonious Monk (Criss Cross)
Variants for Orchestra **:** Variants for Jazz Quartet and Orchestra

SYMBOLS

♭	**:** Flat
♯	**:** Sharp
m	**:** Minor triad
°	**:** Diminished triad
+	**:** Augmented triad
maj7	**:** Major 7
m7	**:** Minor 7
7	**:** Dominant 7
subV7	**:** Tritone substitution
m7♭5	**:** Minor 7 flat 5
°7	**:** Diminished 7
+7	**:** Augmented 7
[x, y, z]	**:** Pitch-class set
(xyz)	**:** Set-class
$\mathbf{T_x}$	**:** Transposition
$\mathbf{T_xI}$	**:** Inversion
$\mathbf{R_x}$	**:** Retrograde

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GUNTHER SCHULLER'S THIRD STREAM: STORY OF AN INVENTED MUSIC STYLE

SUMMARY

Since its emergence in the United States in the early 20th century, coming mainly from the African-American community in New Orleans, jazz music has always been inherently a fusion, the most prominent inputs that shaped its characteristics being, broadly put, the African rhythmic structures and European harmony. New Orleans jazz, for one, featured elements from many musics, including minstrels, French marching bands and blues. Jazz, at least in its earlier times, has been seldomly defined in relation to its individual influences and came to be an established branch of musical tradition in its own right early on in its development. Yet, adopting new stylistic elements became a characteristic feature of the tradition throughout its later advancements, which functioned to drive it forward and led to the emergence of a distinctive style almost every decade throughout the first half of the 20th century. Classical music, however, despite that its earlier forms were very much influenced by a variety of European folk musical styles, by the late 19th century and early 20th century, was rather a fixed entity, being defined largely as "art music" belonging mostly to the elite. With the fast-paced advancements in virtually all artistic and scientific areas that came in the 20th century, classical music would also be carried away by the strong currents of change and innovation. It would develop non-tonal practices, be influenced by folk music more than at least the past century, utilize complex rhythmic textures other than the most common ones such as 4/4, 3/4 and 6/8 and develop many unconventional performance practices merely in a few decades of the century. While contemporary practices and techniques were opening up to outer influences more than ever, jazz has constituted a prime attraction for many composers like Stravinsky, Ravel, Debussy and Bartók. In short, the trade between classical music and jazz was never a new notion.

Third Stream, a term coined by the composer Gunther Schuller in a lecture he gave at Brandeis University in 1957, stands out among earlier confluences as being a conscious attempt at bringing the two traditions of music together to shape a third one, drawing elements from both but distinctive from either in its own right. He attempted to fuse compositional tools of contemporary classical practices, which is the first stream, with the improvisational nature and rhythmic subtleties of jazz, being the second stream, and produce a "third stream" that was neither one or the other but one that was in the midway. This thesis aims to examine the ways in which Third Stream combined certain elements from both kinds of music. It will look into the compositional tools Schuller used to achieve his musical objective, define the technical hardships faced while doing this and investigate how the composer attempted to solve these. To do this, musical pieces written by Schuller that make use of mixed instrumentation consisting of jazz and classical instruments and musicians, will be formally and harmonically analyzed, by utilizing several analytical tools. These analyses will be supported first by research regarding the historical development of both jazz and classical music, a short survey of the hybridization of the two that took place before Third Stream and a look at the biography of Gunther Schuller himself, to understand personal aspirations, musical, social and personal background that led to his coining the concept. The main discussion, however, will be a comparative one about the definition of the Third Stream and its development in the following decades in reference to several statements by Schuller and his close circle of colleagues who

adopted the concept in their music, followed by discussion on several criticisms it received by other scholars. The thesis will be concluded with a brief discussion that will relate the previous material to the musical analysis of the three selective pieces, by pointing out the aspects that the criticisms remain strong and those that they lack. Lastly, several suggestions for future academic and artistic research will be shared.

GUNTHER SCHULLER VE "THIRD STREAM": BİR MÜZİK TÜRÜNÜN İCAT ÖYKÜSÜ

ÖZET

Amerika Birleşik Devletleri'nde 20. yüzyılın başlarında ortaya çıkışından bu yana, esas olarak New Orleans'taki Afro-Amerikan toplumundan gelen caz müziği, doğası gereği her zaman bir füzyon olmuştur; karakteristiğini şekillendiren en önemli girdiler, genel olarak Afrika ritmik yapıları ve Avrupa armonisidir. Örneğin New Orleans cazı, minstrel, blues ve Fransız bando müziği dâhil birçok farklı müzikten öğeler barındırır. Caz, en azından erken dönemlerinde, etkilendiği farklı müziklerle ilişkili olarak tanımlanmamış ve ayrıksı bir müzikal gelenek olmayı başarmış olsa da yeni stilistik öğeler benimseme refleksini hiçbir zaman kaybetmemiş ve bu; caz geleneğinin, sürekli gelişimini sağlayan ve yirminci yüzyılın ilk yarısında neredeyse her on yılda bir yeni bir stil ortaya konulmasına sebep olan en karakteristik özelliklerinden biri olmuştur. Klasik müziğin ise, daha erken dönemlerinde çeşitli Avrupa halk müziklerinden etkilenmiş olsa da, geç on dokuzuncu yüzyıl ve erken yirminci yüzyıla gelindiğinde, "sanat müziği" olarak tanımlanmasının sınıfsal açıdan taşıdığı anlamlar göz önünde bulundurulunca, büyük ölçüde artık kalıcı bir tanıma ve kapsama kavuşmuş olduğu görülür. 20. yüzyılda hemen bütün sanatsal ve bilimsel alanlardaki gelişmelerde artan hız ile klasik müzik de bu değişim ve gelişim akımına katılır. Klasik müzikte zaten Geç Romantik dönemde sınırına ulaştığı kabul edilen tonal müziğin kalıplarının 20. yüzyılda tamamen yıkılıp "atonal" müzik pratiklerinin geliştiği, en azından son yüz yılda az rastlanmış bir yoğunlukta halk müzikleri etkilerinin arttığı; 4/4, 3/4, ve 6/8 gibi oldukça sık kullanılan tartımlar dışındaki karmaşık ritmik yapıların kullanıma girdiği ve birçok konvansiyon dışı icra pratiklerinin geliştiği görülür. Klasik müzikte yeni ortaya çıkan bu çağdaş uygulamalar, onu dış etkilere hiç olmadığı kadar açık kılar ve caz müziği de Stravinsky, Ravel, Debussy ve Bartók gibi birçok besteci için başlıca cazibe odaklarından biri haline gelir. Kısacası, klasik müzik ve caz arasındaki alışveriş cazın ortaya çıktığı ve klasik müziğin kalıplarının alabildiğine esnetildiği yirminci yüzyılın başlarına kadar uzanmaktadır.

Besteci, profesyonel kornist, eğitmen, eleştirmen, yazar ve yayıncı olarak çok farklı dallarda çalışmış olan Gunther Schuller'in ortaya attığı "Third Stream" ise hem klasik müzik hem de cazdan öğeler barındırmasına rağmen her ikisinden de ayrıksı durmayı hedefleyen bilinçli bir çabanın ürünü olmasıyla kendisinden önce gelmiş etkileşimlerden ayrı bir konumda durmaktadır. Schuller, "birinci akım" olarak değerlendirdiği klasik müziğin besteleme teknikleri ile "ikinci akım" olarak değerlendirdiği cazın doğaçlamaya dayalı yapısı ve ritmik dinamizmini ve inceliklerini karıştırıp ne biri ne de öteki olan, her ikisinin ortasında bir "üçüncü akım", yani "Third Stream", ortaya koymayı amaçlamıştır. Bu tez; Schuller'in her iki türden öğeleri bir araya nasıl getirdiğini kompozisyonel bir bakış açısıyla araştırmayı hedeflemektedir. Bestecinin müzikal amaçlarına ulaşmak için kullandığı çeşitli besteleme yöntemleri incelenecek, bunu yaparken, iki müziği karıştırmanın doğasından kaynaklanan, olası zorluklar tanımlanacak ve Schuller'in bunları aşmak için ne gibi yöntemler uyguladığı mercek altına alınacaktır. Bunun için, Schuller'in caz ve klasik müzik enstrümanları ile müzisyenlerini barındıran karışık enstrümantasyona sahip üç eseri; form ve armoni açılarından analiz edilecek, bunu gerçekleştirmek için ise atonal armoni ve caz armonisi alanlarına ait farklı ve çeşitli analitik yöntemler kullanılacaktır. Analiz edilecek eserlerden ilki; Schuller'in piyano, vibrafon, davul ve kontrbastan oluşan caz

dörtlüsü ile iki keman, viyola ve çellodan oluşan klasik yaylı dörtlüsü için yazdığı *Conversations* adlı müziktir. İkinci eser ise, Gunther Schuller'in, tanınan caz bestecisi ve piyanisti Thelonious Monk'un *Criss Cross* isimli parçasının üstüne yazdığı dört adet çeşitlemeden oluşmaktadır. Eserin çalgılaması üç üflemeli çalgı, caz ritim grubu ve yaylı dörtlüsü içermektedir. Üçüncü ve son eser "Caz Dörtlüsü ve Orkestra için Çeşitlemeler" başlığını taşımaktadır ve ilk eserdeki aynı caz dörtlüsü kadrosu bu kez senfoni orkestrası ile çalgılamada yer almaktadır. Farklı ölçekte çalgı grupları için yazılmış bu eserler, Schuller'in bahsedilen pratik ve teknik zorluklar ile farklı çalgı kombinasyonları bağlamında nasıl başa çıktığını sergilemek için seçilmiştir.

Form ve armoni analizleri, önceki bölümlerde açıklanan, konunun arka planına dair araştırmalar ve bir takım karşılaştırmalı tartışmalar ile desteklenmiştir. İlk olarak, tezin ikinci bölümünde, caz ve klasik müziğin 20. yüzyılın ilk yarısındaki tarihsel gelişimi ele alınacaktır. Caz, on dokuzuncu yüzyılın sonları ve yirminci yüzyılın başlarındaki doğumundan itibaren; ragtime, New Orleans ve dixieland, "swing" dönemi, modern cazın başlangıcı sayılan "bebop", Third Stream'in başlıca ilham kaynaklarından biri olan "cool" caz, "hard bop", serbest caz ve füzyon olmak üzere 1960'lara kadarki gelişimi çerçevesinde ele alınmıştır. Klasik müzik ise on dokuzuncu yüzyılın sonlarında geç Romantik müziğin durumu, tonalitenin geldiği sınırlar ve müziğin gittikçe kromatikleşmesini takiben Schoenberg ile öğrencileri Webern ve Berg'in başını çektiği dizisel müzik ve 12-ton müziğinden, Stravinsky'nin politonalitesinden ve karmaşık ritmik yapılarından, Bartók'un halk müziği etkilerinden ve müziğinde ulusalcı akımların etkisinden bahsedilecektir. Daha sonra tekrar Amerika Birleşik Devletleri'ne odaklanılıp çağdaş klasik müziğin orada nasıl başladığı ve geliştiği özetlenecek, bu çerçevede Charles Ives, Aaron Copland, George Gershwin ve Leonard Bernstein'a değinilecek, son olarak dönemin yaygın etkiye sahip akımlarından biri olan neo-klasisizm'den bahsedilecektir. Klasik ve caz müziklerinin doğasını ve gelişimini anlamak; hem ikisinin karışımını yaratmayı amaçlayan Third Stream'i anlamak için hem de bu kavramın ortaya atıldığı dönemde her iki müziğin mevcut durumunu görmek açısından önemlidir. Üçüncü bölümde, öncelikle, Third Stream'den önce klasik müzik ve cazın birbirini nasıl etkilediği ve ne tür melez uygulamaların yapıldığı incelenmektedir. Third Stream'in, kendisinden önceki melez müzik türlerinden nasıl ayrıldığını ve bu çalışmada, Schuller'in müziği özelinde, incelenmeye değer görüldüğünü anlamak için bu tartışma önemlidir. Aynı bölümde Gunther Schuller'in biyografisinden de kısaca bahsedilecektir. Schuller'in, Third Stream müziğini ortaya atmaya giden yoldaki ilham kaynakları, müzikal yaşantısı, her iki müzik dünyasında da içinde bulunduğu oldukça çeşitli proje ve görevlerin müzikal fikirlerine etkisini anlamak için bu biyografik anlatım da gerekli görülmüştür.

Analizlere altyapı oluşturan iki temel tartışma yürütülecektir. Bunlardan birincisi; Gunther Schuller'in 1957 yılında Brandeis Üniversitesi'ndeki bir seminerde ilk defa sözlü olarak yaptığı, daha sonra 1961'deki bir makalesinde ilk kez yazılı olarak ortaya koyduğu "Third Stream" tanımlamasıdır. Bu tanıma, sonraki birkaç on yıl boyunca Schuller'in yaptığı çeşitli açıklamalar, beraberinde değişen tanımlar ve bestecinin yakın çevresindeki diğer meslektaşlarının bu tanım ve konseptin çerçevesine yaptıkları katkıların karşılaştırmalı bir tartışması da eklenmiştir. Bu tartışmada Third Stream'in başladığı 1950'ler ve New England Konservatuvarında kurulan "Third Stream Bölümü"yle kurumsallaştığı 1980'ler arasındaki değişen tanımlara bakılacak, bazı çelişkilere dikkat çekilecektir. Analizlere temel oluşturan ikinci nokta ise Third Stream'e getirilen çeşitli eleştirileri kapsar. Bu eleştiriler de hem birbirleriyle karşılaştırılarak hem de Schuller'in bir takım açıklamaları göz önünde bulundurularak tartışılacaktır. Bu eleştirilerin geneli, Third Stream kavramının sosyal, kültürel ve

tarihsel bagajıyla ilişkilidir. Caz müziğinin Afrikalı-Amerikalılar tarafından ortaya konmuş ve genel olarak onlar tarafından yapılan bir müzik geleneği olarak gelişim göstermiş olması, Amerika Birleşik Devletleri'nin Afrikalı-Amerikalıları sistematik olarak köleleştirmiş olduğu gerçeği ve Gunther Schuller'in beyaz bir klasik müzik bestecisi olarak görünürdeki ayrıcalıklı konumu; dönemin ve ülkenin şartları göz önünde bulundurulduğunda, Third Stream'in cazı klasik müzik ile birleştirme teşebbüsünü tartışmalı bir noktaya taşımaktadır. Tüm bu tartışmaların önemi kabul edilmekle birlikte, bu konuların hakkıyla ele alınabilmesi için gereken sosyoloji, müzikoloji ve kültür teorisiyle ilgili geniş kapsamlı araştırma ve tartışmalar, bu tezin kapsamı dışında kalmaktadır. Bu sebeple bütün bu tartışmalar ilgili alanlarda çalışan akademisyenlerin gelecek çalışmalarıyla alana yapacakları katkılara bırakılmış ve bu tezin çerçevesi, Gunther Schuller'in Third Stream müziğinin bestecilik yöntemi açısından, iki türün öğelerini karıştırırken kullanılan yöntemler ve melezleme mekaniğinin incelemesi şeklinde belirlenmiştir. Bahsedilen eleştirel yaklaşımlara ise sadece bu çerçeve dâhilindeki incelemelere katkı sağlayacağı ölçüde yer verilmiştir.

Müzikal analizler bütün bu inceleme ve tartışmaların ışığında, yukarıda belirtilen çerçeve kapsamında yapılacaktır. Form ve armoni analizleri için, bir takım çeşitli analitik araçların kullanılması uygun görülmüştür. Schoenberg'in ortaya koyduğu dizisel ve 12-ton müziğinin analizinde kullanılan temel yaklaşımlar ve standart caz repertuvarındaki parçaların yaygınlıkla içerdiği armonik yapıları incelemek için kullanılan caz şifresi ve romen rakamı temelli armoni analizi yöntemlerinden bu çalışmadaki analizlerde beraber ve etkileşimli şekilde faydalanılmıştır. Bu araçlar arasındaki en büyük fark, kuşkusuz, biri atonal bir müziği açıklamaya çalışırken diğerinin büyük bir kısmı tonal/fonksiyonel armoniye dayalı bir müziğe odaklanmasıdır. Sadece bu çok farklı analitik yöntemlerin beraber kullanılması gerekliliği bile Third Stream'in kendine özgü müzikal dili hakkında çok şey söylemektedir. Armonik analizde eserlerin ölçü ölçü tamamını tartışarak niceliğe odaklanmak yerine Schuller'in yaklaşım ve yöntemlerini en iyi sergileyen kısım ve pasajları seçerek bunları mercek altına almak yoluna gidilmiştir. Ayrıca analiz için seçilen parçalar, konsepti ortaya koyan Gunther Schuller'in besteleriyle sınırlı tutulmuş; görüleceği üzere yıllar içinde değişiklik gösteren ve kimi zaman birbiriyle çelişen Third Stream tanımlamaları sebebiyle, hangi müziğin Third Stream olarak kabul edileceği tartışması müzikolojik bir stil ve tür tartışmasına kapı açacağından ve bu tezin çerçevesinin dışında kalacağından, Third Stream ile bağlantılı diğer müzisyenlerin sadece görüşleri, açıklamaları ve Third Stream'e sundukları kavramsal katkılara yer verilmiş, analiz sadece Schuller'in eserlerine odaklanmıştır.

Tezin sonucunda müzikal analizler, öncesinde sunulmuş materyalle ilişkili olarak tartışılmıştır. Third Stream'e yönelik eleştirilerin analiz edilen parçalar özelinde müzik üstünde de delillerine rastlanan veya müzik üstünde etkisi görülmeyen noktalara işaret edilmiş ve son olarak konuyla ilgili gelecekte yapılabilecek akademik ve sanatsal çalışmalar için bir takım konular ve odak noktaları önerilmiştir.

1. INTRODUCTION

Third Stream, a term coined by Gunther Schuller, a versatile musician who worked actively as a composer, French horn player, critique, educator and publisher from as early as the 1940s until he died in 2015, set an important example in terms of how the musical mechanics of stylistic hybridization may work. Even though it is certainly not its first kind and will not be the last, it is deemed to be worth an exclusive examination through this thesis for its conscious attempt to combine two main types of music in the Western world at the time, classical music and jazz.

Williams (2011) defined Schuller's attempt to fuse classical music and jazz as an "ideological" one, to highlight its quality as a conscious attempt, rather than a cultural and social phenomenon that naturally occurred. This property of Third Stream stirred up many hot debates some of which will be discussed in the upcoming chapters. Nevertheless, this very property of Third Stream provides a very useful framework for those who wish to investigate the mathematical procedures that go into mixing what are generally considered to be two rather distinctive musics. The term has been referred to at least briefly if not as a main title, by scholars in their research that aim to provide a survey of the confluence[1] of classical and jazz, such as those of Stuessy (1977) and Brown (1974) and provided a scheme for composers and researchers alike who wish to analyze the musical and social/cultural procedures of such confluence both in a critical way or to adopt its techniques and ideas as a reference for future creative and academic production.

This thesis will focus on the Third Stream music itself, as defined and realized by Gunther Schuller in his several works and look into the compositional devices he used, to achieve a combination of jazz and classical music. To do this, in Chapter 2, the developments that took place in classical music starting from the late 19th and early 20th centuries until the 1940s and 1950s will be examined, as well as jazz from its emergence which again took place in the late 19th and early 20th centuries a until 1960s.

[1] The term "confluence" itself is borrowed from Stuessy (1977).

This chronological overview of the two musical traditions that influenced the emergence of Third Stream will provide an essential background for later discussions, to understand the nature and status of, in Schuller's own words, these two streams of music in relation to each other in the time that Schuller devised his concept. The developments in both traditions that have little or no connection to the Third Stream will be left out. In Chapter 3, with a rather narrower perspective, we will first look at the fusion of jazz and classical music and their influence on each other that took place before the Third Stream. While Chapter 2 discusses the developments in jazz and classical music separately, the next chapter will pay attention specifically to how they intersected in particular ways before the Third Stream. Some of these attempts, musical advancements and musicians have instituted the main inspiration for Schuller to develop his musical idiom which makes it important to draw extra attention to the earlier relation of the two. Later, the chapter will provide a summarized biography of Gunther Schuller to illustrate the personal musical and social background that led to a unique musical career that spanned an array of jobs and compositions, performances and critical writings in both classical music and jazz. Many of the titles that Schuller wore and works that he has led or been a part of throughout his career instigated a variety of pursuits that helped him form and develop his music for which it is elementary to know about the life that shaped the artistic concept in focus. A detailed comparative discussion about the definition of the Third Stream will follow in the same chapter. Several references will be made, including the accounts that Schuller made through the years regarding identifying Third Stream, as well as commentaries and contributions by other musicians alike who practiced Third Stream music. The contradictions between different statements and the changes in the definition and conceptualization of the term from its first oral and written account in 1957 and 1961 by Schuller to its institutionalization in the 1980s under the "Third Stream Department" of New England Conservatory, founded and headed by Gunther Schuller and Ran Blake will be examined. Lastly, this chapter will consist of a survey of several criticisms directed toward the Third Stream, discussed in comparison to each other and against Schuller's responses to those he received. Chapter 4 will be comprised of the musical analyses of three pieces by Schuller which exemplify the composer's Third Stream style, in the light of the discussions in the previous chapter. The pieces that are chosen to be analyzed are *Conversations* for jazz quartet and string quartet; *Variants on a Theme of Thelonious Monk* for a large ensemble of winds, jazz rhythm section

and string quartet; and lastly *Variants for Jazz Quartet and Orchestra*. The pieces are chosen to represent instrumentation in a variety of scales to demonstrate how Schuller handles the obstacles that composing for musicians of different backgrounds brings. These differences and how they are handled will be discussed in detail. Formal and harmonic analysis will be applied to all of the pieces which will combine several analytical tools to serve the needs that come with analyzing such hybrid music. As it is not deemed possible to convey a detailed harmonic analysis of the entirety of each piece within the structural limitations of this thesis and because it is found that such analysis does not contribute to the conclusion, space is allowed for harmonic analysis only to a limited extent in which to examine specific chosen regions of each piece. Similarly, the chosen pieces are exclusively those of Schuller as he is the creator of the concept. Even though other composers played crucial roles in developing it, a wider examination will require considering the stylistic subtleties between each composer and will bring the need for a discussion of what to call the "Third Stream" or not. As upcoming chapters will reveal, even Schuller himself has statements that blur the definition of the concept in focus which makes such discussion exceed the framework of a Master's thesis. Therefore, while referring to conceptual contributions made by the close circle musicians of Schuller from jazz and classical backgrounds, the analyses will be kept to those pieces composed by Schuller himself in relation to the inputs and criticisms from several scholars and musicians. Chapter 5 will conclude this thesis project by giving an overall account of all the research, analyses and outcomes drawn from the previous chapters.

It is crucial to state that the framework of this thesis is to set forth the mathematical procedures that work behind creating a hybrid musical work like those that Schuller attempted to do while developing his concept of the Third Stream. As mentioned before, musical obstacles that such pieces face are defined, in reference to earlier examinations of the music, and the ways in which Schuller tried to overcome them to achieve a balanced and integrated musical sound are inspected. The social, cultural and historical bearings of such music of hybridization, especially when made by a white composer of classical music in the United States born in 1925 and active from the 1940s, is acknowledged when considering the privileged status of whites in contrast to blacks who predominantly produced jazz and were actively excluded from the practices of classical music, having carried a social memory of slavery. This aspect

has the potential to open up crucial discussions about the Third Stream from a point of view that brings theories of sociology and cultural studies to the forefront. That said, these discussions will seriously exceed the conceptual framework of this thesis whose aim is solely to examine the music from a composer's point of view, bringing out the musical theories that may explain by which means Schuller sought to bring classical music and jazz together. The extra-musical discussions mentioned, while admittedly crucial for a wider understanding of the music, are left to further research by musicologists.

Further discussion may indeed be made, in the context of how to define Third Stream. Is it a style, a genre or a sub-genre? While Gunther Schuller has referred to the Third Stream as a genre on many occasions; even the discussions that will be laid out in the upcoming chapters, by no means attempting to make a judgment regarding the validity of Third Stream as a genre or a style, will reveal that this remark is highly questionable. Furthermore, the questions of what "jazz" is or how to define "classical" music are those that stir up hot debates to this day, let alone their combination thereof. Therefore, the discussion regarding what jazz and classical music are, as well as that about the description of Third Stream as a genre or style or whichever classification one may argue to attribute to it will also be left out of the framework of this thesis.

The term "classical" is a debatable one itself as well as other options one may prefer instead of it, such as "art" music or "serious" music which all come with their respective implications that one would have to be wary about. The historically correct use of "classical" is likely to refer to a defined durational period within the history of Western music even though its daily use often indicates the tradition of Western music which was, for a time, under the patronage of the church and aristocracy in Europe and which, having been no more under their financial bondage, has come to be known as "Western art music" broadly in 19th and 20th century, although this definition, too, has been opened to discussion in later years. The terms "classical" or "Western classical", interchangeable in this thesis, are taken with their meaning in daily use, referring to the contemporary musical styles of the 20th century that are an extension of this tradition.

An area of research that has been touched very little and generally indirectly in the music academia of Turkey, the hybridization of jazz and classical music and the Third Stream, in particular, is deemed to be a focus point with high potential to contribute

both to music researchers, composers, performers of both kinds of music in Turkey, as well as the experimental music scene that is fast expanding in the country, attracting musicians and audience of classical and jazz alike. It is the hope of this thesis to induce further creative production and research about the topic or related topics in the music academia and, considered more crucial for the author, in the music scene of Turkey.

2. JAZZ AND CLASSICAL MUSIC IN THE FIRST HALF OF THE TWENTIETH CENTURY

2.1 Jazz Music in the First Half of the 20th Century

Before diving into analyzing and understanding the Third Stream, it is essential to recapture the history of the earlier "streams briefly", as we may call them following Schuller's fashion, that are contemporary classical and jazz.

It is possible to trace to roots of jazz all the way back to the late 19th century or even earlier, when African slaves were "playing percussion and string instruments virtually identical to those characteristic of indigenous African music" (Gioia, 1997, p. 4) in New Orleans' Congo Square. Work songs sung by African slaves are also "a frequently cited predecessor to jazz" (p. 8). However, to keep this overview brief and to the point, we will content ourselves with only mentioning these rather early ancestors of jazz and draw our attention first to blues and then to ragtime, which are commonly cited as where jazz comes from.

"Country blues" as we may call it, were earlier blues songs, mostly sung, highly personal and expressive, accompanied by a plucked string instrument, usually a guitar, played by the singer. It's been characteristic of its ambiguous tonality that made use of scale degrees ♮3 and ♮7 as well as ♭3 and ♭7. It is also noted that this is not entirely true and that it was actually a vocal bend from the scale degree ♭3 or ♭7 to the ♮3 or ♮7 (Gioia, 1997). In time, it gained a fixed form of 12 bars, relying on the I7, IV7 and V7 chords of the key. It became commonly used by jazz musicians to write tunes or improvise. Jazz musicians also substituted the chords, creating alternative progressions for the 12-bar blues form, deriving from the original I-IV-V harmonic structure. "Classic blues", as some call it, has significant differences from the country blues that makes it more directly related to jazz. When it was 1920s and 30s, the bar numbers were fixed to twelve, the instrumentation expanded to include piano, drums and double bass; guitar had been omitted and many musicians had started to play both in blues

and jazz bands already. Female singers started to emerge, the most famous being Ma Rainey, getting new topics into their lyrics such as unrequited love. Thus, blues started to be a mass entertainment rather than a folk art (Gioia, 1997).

When we come to ragtime in New Orleans, we start properly to talk about the early "jazz". Even though, looking back now, the lines between New Orleans jazz and ragtime are quite obvious, it wasn't the case back then and where one ended and the other began was quite blurry. "Ragged rhythms" in printed music started to appear as early as the first half of the 19th century. Yet, the first known ragtime composition published was *Mississippi Rag* by William Krell, in 1897. When the 20th century started, ragtime had taken the music scene over, with Scott Joplin famously being the most influential composer and pianist of the style. Band arrangements and vocal works have been made, though ragtime was mainly known to be "solo piano music" which was a result of the piano manufacturing industry growing more and more popular, getting in almost every household in the United States. Berendt (2009) describes the music as "white music, played black" to draw attention to it being the beginning of African and European music really starting to merge as equals (pp. 5-6).

As mentioned above, the transition from ragtime to New Orleans jazz was not separated from each other with strict lines. Jelly Roll Morton identified himself as the "creator of ragtime" and claimed that he "invented jazz in 1902" (Berendt, 2009, p. 6). He also described the famous jazz pianists of the 1930s as "ragtime pianists in a very fine form". Ragtime tradition was carried on by the jazz pianists of the 1920s, such as Fats Waller, and to other cities where jazz flourished, such as Chicago and New York. "At that time, apart from the "boogie-woogie" musicians, there was scarcely a jazz pianist whose origins could not be traced, in one way or another, to ragtime" (p. 6). This subtle transition from ragtime to jazz blurred away who was a ragtime pianist or a jazz pianist, where one started and one ended at that time.

New Orleans style was born out of many cultures and immigrants mingling in this city. It drew many elements, from minstrels to blues, Spanish dances and particularly French marching bands. This new music was not only in New Orleans but all over the Mississippi Delta at that time, although New Orleans specifically was a driving force for many different groups of people who contributed their own music and culture to this melting pot. New Orleans style was characterized by three melody lines, trumpet usually playing the main melody, accompanied by a trombone and a clarinet. These

wind instruments rely on a rhythm section consisting of a string bass or tuba, drums, guitar or banjo or occasionally a piano (Berendt, 2009). Dixieland on the other hand, though not exclusively, was also played by white musicians, traveling throughout the country and Berendt (2009) suggests that "the first successful groups in jazz were white, due to easier access to means of production and to records" (p. 9). Original Dixieland Jazz Band and New Orleans Rhythm Kings founded by the prominent bandleader of the time, Papa Jack Laine, were among the most famous bands. It is crucial to point out that after black musicians started to play in white bands and white musicians in black bands, there was no reason left to distinguish between Dixieland and the classic New Orleans style. Thus, all the African-European music that emerged from New Orleans came to be known as Dixieland, making it somewhat of an umbrella term.

New Orleans saw a massive trend of musicians leaving the region during World War 1 because it was being used as a war point (Berendt, 2009) and also in search of a better life than that in the segregated South (Gioia, 1997). Many musicians moved to Chicago where the New Orleans style flourished in the 1920s and had its truly the highest point. King Oliver led the most prominent bands here and more famously, Louis Armstrong founded his Hot Five and Hot Seven here. The rural blues crept into jazz, and in this period, the classic blues emerged with Bessie Smith being its most prominent singer. Of course, being heavily fed with music that came from New Orleans, young white students and amateur musicians started to develop their own take on jazz which came to be the "Chicago style". This new style introduced the importance of the "soloist" to jazz. "The individual has become the ruler" (Berendt, 2009, p. 12) and saxophone started to be used and as known to all, became more and more popular throughout the century.

A second wave of emigration from Chicago to New York caused the Swing to take over and for the first time, allowed jazz to really be the mainstream music, reaching out to large masses. Here, it is crucial to draw attention to the difference between "swing" as a rhythmic element that can be found throughout many jazz styles in history and "Swing" as the most popular jazz style of the 1930s. This style mainly emerged in Harlem, where the black community mainly resided in New York. The jazz pianist Fats Waller contributed many songs in this era to what became the repertoire known as the "jazz standards", such as *Honeysuckle Rose* and *Ain't Misbehavin'* (Gioia,

1997). Louis Armstrong continued his career through Chicago style and into the Swing era, playing with small jazz bands that more or less had taken the form we know today and big bands, large jazz orchestras, consisting of four sections which are saxophones, trumpets, trombones and rhythm section that came to emerge more from commercial necessities than the creative drive of jazz musicians. Nevertheless, they established the characteristic sound of the Swing era which made crowds of people go to dance in the halls, making jazz, if we may say so, the "pop" music of the time. Benny Goodman and Duke Ellington were two of the many important figures at the time as bandleaders who were also very competent players. It is an irony of this era also, that while big bands came to the frontline of commercial music, soloists kept gaining more and more importance and jazz musicianship still relied on individual performance rather than orchestras that merely conveyed arrangement out of written scores.

When we came to the 1940s, what may be called the initial style of "modern jazz" started to develop in musicians' gatherings in Harlem. In later years, it came to be referred to as "bebop". As Berendt points out, it wasn't a conscious reaction to the popularity of Swing but a natural development that "was formed in the minds and instruments of different musicians in different places, independent of each other" (Berendt, 2009). Gioia (1997) draws attention rather in astonishment to the unusual fact that jazz, right from its inception, never failed to change, grow itself and adapt to the time unlike any other folk music throughout the world. That's why he sees this new wave of "modern jazz" not "as an abrupt shift, as a major discontinuity in the music's history" (1997, p. 200) but as an eventuality, a natural cause of jazz having been a modernist music that was open to include new elements to its ranks right from the rural songs of New Orleans. Bebop, pioneered by instrumentalists suchs as Dizzy Gillespie, Charlie Parker, Thelonious Monk and Max Roach, was nevertheless "racing, nervous", rather hard to digest because of its hastiness. Therefore, it came to be dubbed as the "first avant-garde" of jazz. This remained true until the late 20th and early 21st century when bebop, for the young jazz musician or student of recent and present time, became merely a part of the jazz tradition and the main body of the curriculum of most formal jazz school in the world.

Miles Davis came to New York as a young trumpet player who initially followed in the footsteps of the beboppers of the older generation, acquiring a bebop formation, so to say, having played in Charlie Parker's quintet. He then quit the band and with fellow

musicians, arranger Gil Evans being the most influential one, started to work on a music that was much calmer and more subtle than the energetic and hasty bebop. This music came to be known as "cool jazz" and flourished in the West Coast. Many musicians who were contributors to this new jazz sound were classical musicians, making their living by playing in studio orchestras in Hollywood. It is an important aspect of this new style since in cool jazz, arrangement and composition took over "blowing out" to your horn for whatever it takes (Berendt, 2009). Cool jazz paid special attention to European classical music and blurred the line between the two, which can be seen to carry particular importance for our discussion to be explored further later. Davis' cornerstone album *Birth of the Cool* has come to be dubbed as the starting of the cool movement although its footsteps had started to be heard much earlier, in Claude Thornhill's orchestra where Gil Evans was working as arranger which Miles Davis notes that they aimed to copy the sound of, in *Birth of the Cool* (Gioia, 1997). These were the first efforts to make jazz art music which makes this era particularly worth attention for the topic of this thesis. In the nonet Miles Davis used in *Birth of the Cool*, he omitted the tenor saxophone and included a French horn instead (Gioia, 1997) which we know, was performed by none other than Gunther Schuller in two tracks of the album, who established the music that constitutes the topic of this thesis.

Cool jazz was confronted with a different wave of jazz that flourished on the East Coast. Musicians in New York, the likes of Hank Mobley, Art Blakey, Horace Silver and Clifford Brown, maintained the bop sound but made something new with it, which came to be known as "hard bop". It integrated the sounds of rhythm 'n' blues and soul into the bebop idiom. "By elevating the value of groove and riff, hard bop was a sharp reaction to the 'spiritual vacuity' of cool jazz and a reconsideration of bebop elitism" (Thompson, 2017, p. 66). Its most known representative would be Art Blakey's band named "The Jazz Messengers" whose album named *Hard Bop* also gave its name to the bop music that this new generation of musicians made.

From the 1960s on, there have been many different developments, a lot of musicians putting their own take out in the world, inspired by diverse musical, social and cultural elements. Many new styles of jazz from this point on leaned on the avant-garde approaches, the first of them being "free jazz". Young free jazz musicians leaned on non-tonal structures and also approached rhythm more freely, giving up on meter and

beat. Ornette Coleman's *The Shape of Jazz to Come* and *Free Jazz* are seen as the defining albums of the style though integrating atonality in jazz was nothing new, as attempts of the likes of Lenny Tristano, Stan Kenton and Jimmy Giuffre had anticipated free jazz way back in the 1940s and 1950s. Classical composers like Stravinsky and Milton Babbitt also had integrated jazz instrumentations into their 12-tone pieces (Gioia, 1997), as example, in *Ebony Concerto* and *All Set* respectively. However, unlike how atonality emerged in European music, "free jazz is a part of jazz tradition, not a break with it" (Berendt, 2009)[2]. This continuation of tradition took from older styles, such as collective improvisation that was last seen in New Orleans jazz. It also turned its face not to European music but for the first time, the other musics of the world, mainly Indian and Arabic. The free spirit of this music was, in many cases, related to both the music and religions of the East. Many African American jazz musicians converted to Islam and those who didn't, "expressed their fascination with Arabic music in compositions and improvisations" (Berendt, 2009, p. 24). For them, the music they made had a spiritual and orgasmic aspect to it.

The musical freedom of the '60s and the fascination of other musical traditions expanded into many styles that followed free jazz. The sense of freedom was no longer a desire for a new musical sound but rather a tool that liberates the musician to integrate anything in her/his music. It was "not so that everyone could do as they pleased, but rather to enable jazz musicians to freely make use of all the elements whose authoritarian and automatic characteristics they had overcome" (Berendt, 2009, p. 34). It was most obvious in fusion. The term "fusion" has initially been used to denote jazz-rock although throughout the decades and since as early as the 1960s and 1970s, jazz has adopted countless different music and made it into "fusion". Integration of electronic sounds and different rhythms in Miles Davis' *Bitches Brew* are commonly dubbed as the starting of fusion although its footsteps have been heard before that in works by different artists. In the following years, the likes of Chick Corea, Herbie Hancock, Wayne Shorter, Joe Zavinul, John McLaughlin and John Scofield all

[2] Here, it must be mentioned that, to contrary what Berendt says, Schoenberg argued that it was not a break with tradition but a natural consequence of it. This can be seen in his rejection of the term "new music" in his *Style and Idea* (1950, Chapter 3). Forte (1978) contributes to a quote by the composer taken from the same book and says that "the recognition that his musical Works exhibited forms of organization that were radically different from those of traditional tonality probably came gradually in an intuitive way and was initially directed toward small sections of music.

contributed to fusion jazz and collaborated with musicians from a wide range of traditions.

From this point on, jazz, in a way, exceeded itself and crept into the veins of many popular music. There was rock, pop and many other styles in jazz and similarly, jazz in pop, rock and a wide range of other music from contemporary classical to local popular music styles. It was no longer possible to distinguish stylistic periods in jazz as many developments took place simultaneously and to talk about one concrete type of jazz that was dominant in a particular era became almost impossible. The discussion regarding the development of jazz will conclude here and will not include the intricacies of the later advancements as their relation to our main topic is to a minimum.

2.2 Classical Music in the First Half of the 20th Century

Western music tradition, which relied on tonality for centuries, we may say since J.S. Bach, started to devise new sonorities in the dawn of the 20th century. The extent to which tonality had reached was already to a maximum degree in the second half of the 19th century, the Romantic flow provoking artists from all fields to produce daring works, forcing the boundaries of their technicalities. On the music front, this resulted in works such as Wagner's opera *Tristan und Isolde* which "was a landmark that had decisive importance for all the composers who came after" (Machlis, 1979, p. 8). We are talking about a century after the great social turmoil that was the French Revolution, which ignited idealistic ideas such as freedom in all aspects and glorified the individual as never before. Musicians of the time, affected by this new era of great freedom and individualism, believed "that the prime function of music is to express emotion" (p. 7).

The transition period from Romanticism to the new music that was to emerge in the early 20th century is best characterized by the music of Richard Strauss and Gustav Mahler. Born near the last quarter of the 19th century, these composers and their contemporaries carried the romantic heritage within themselves but also ignited the sparkles of a music that would abandon tonality completely one generation later. Strauss, the son of the famous French horn player Franz Strauss, affected by the ideas of his father, criticized the works of Wagner in his youth, although he was to become a strong influence in Strauss' music. It may well be said that the generation of Strauss

and Mahler were carrying over the torch lit by that of Wagner. He would stretch the boundaries of tonality to a point where the fact that the music was tonal could be questioned. Right at the beginning of his opera *Salome*, he blends two major scales in the clarinet part, starting with a C♯ major scale going up, turning into a G major in the middle (Ross, 2009).

Simultaneously, a reaction against German Romanticism was held in France, more specifically in Paris. The ecstatic emotions the artists were expressing through their works were foreign to the French artist. They, instead, looked out to their surroundings and transmitted the impressions of it onto their art. Forerunners of this movement in music were Debussy and Ravel, who have integrated tools that have been seldomly used in prior eras, such as whole-tone and pentatonic scales, an emphasis on perfect and octave intervals instead of intervals of 3rds and 6ths (Machlis, 1979). These ambiguous colors enabled the composers of this movement to reflect the sensations caused by the affections of the other world, the natural surroundings instead of the tonal harmony which dictated a tension-resolution structure.

What the late Romantic composers in Germany had started would be taken even further by the next generation. Schoenberg, only ten years younger than Strauss, was influenced by the music of his predecessors and took one step ahead of what had already been a major challenge to music written until the late 19th century. A self-taught composer, the style of late romantics is evident in his early works, such as the tone poem *Verklärte Nacht* written unconventionally for string sextet instead of orchestra (Taruskin, 2005). Even this and the likes had been considered "scandalous" and attracted many negative, even harsh, feedback both from the audience and critics (Ross, 2009). In his later years as a composer, however, he would more and more distance himself from this style and his music would more and more move away from a tonal center of any sort. His book *Theory of Harmony* would "report the death of tonality" (Schoenberg, 1911, as cited in Ross, 2009). His experimentations resulted in his devising of new musical tools such as klangfarbenmelodie (or tone-color melody) which spreads the tones of a given melody to the wide range of orchestral timbres and registers. Sprechstimme was another tool he devised, meaning a vocal technique aimed to mix singing and speaking, first used in his cornerstone piece *Pierrot Lunaire*, written for flute (doubled with piccolo), clarinet (doubled with bass clarinet), piano, violin, viola, cello. This highly atonal language which Schoenberg was newly

experimenting with required the abandonment of large forms, which were taken up to a climax in the music of Strauss and Mahler and resulted in the use of smaller forms and ensembles (Machlis, 1979).

Schoenberg taught pupils such as Anton Webern and Alban Berg, together with whom they came to be dubbed the "Second Viennese School" by those who liked to see them as a continuation of Austro-German composers of older generations, such as Haydn, Mozart and Beethoven (Taruskin, 2005). Berg would go on to compose the famous atonal opera *Wozzeck* and Schoenberg himself would then establish the 12-tone harmony, which did away with a single tone as the central of all harmonic and formal structure, giving independence to all of the 12 tones of the chromatic scale. This would be his way of putting his "atonal" language, a term he himself strictly avoided, preferring "pantonal" instead, into a logic, a system of how to order notes harmonically and melodically. However, he would see himself not as a revolutionary, a breaking point from the older traditions of Western music, but as a continuation of the Western music tradition.

Simultaneous to Schoenberg, Stravinsky and Bartók were breaking the conventions, the former in Russia and then in Paris, the latter in East Europe and the Balkans, in their unique ways. Stravinsky, coming from an aristocratic family, had music and piano lessons from several of Rimsky-Korsakov's pupils and made acquaintance with the composer himself. He would go on to write the music for Diaghilev's new ballet in Paris, *The Firebird*. Its premiere would be a scene with many negative attractions for its use of dissonances caused by the superimposition of two or more keys. However, Stravinsky was an enthusiast of folk music and borrowed many melodic elements from Russian folk music, which would lead to "Parisian listeners realizing that the language of the *Rite* was not so unfamiliar." (Ross, 2009, italics original). Of course, he was carrying the spirit of his time, so to say, nationalism soaring all over Europe. Ross (2009) would later argue that "Stravinsky issued out the sound-world of the Russian National "school".

Stravinsky would do away with the chromaticism of his contemporaries or the grandiose Wagnerian operas. Instead, he went back to the orchestration style of the 18th century where instruments' soloistic characteristics were much stronger. He would even argue that "a return to the cult of melody seems to me necessary and even urgent" (Machlis, 1979, p. 168). His dissonance, on the other hand, would spring from, as

mentioned above, the harmonic technique called polytonality, a technique in which two distinct tonal keys are superimposed together. The most prominent example is from the beginning of the second section of *The Rite of Spring*, *Dance of the Adolescents*, when an F♭ (E) major triad and an E♭7 in the first inversion are played simultaneously, the former by the cellos and double basses and latter by second violins and violas. The chord goes on repetitively for several measures; played staccato first, accented a few bars later. The persistency of these chords that sound highly dissonant together which are half-step away from each other, in short and accented articulation contributes a percussive manner to the string section (Machlis, 1979).

The last composer from the early 20th century that the scope of this section allows us to look at for the benefit of our topic, is Béla Bartók, representative of Nationalism in music, perhaps much more strongly than Stravinsky, not to imply a higher musical value, but to draw attention to the extends to which he went in his approach to materialize folk music in his own. Influenced by Strauss and Lizst, whom we may call his precursors, Bartók composed several pieces in the Romantic line in his early times as a composer. Having studied piano and composition at the Budapest Academy of Music, he showed great skill as a piano performer but didn't show his brilliance in composition until his later years, when he developed an interest in the peasant music of his country. He himself felt "his music lacked originality and unity" and aimed to achieve a music that was Hungarian at its core. He would state "Now I have a new plan: to collect the finest Hungarian folksongs and to raise them, adding the best possible piano accompaniments, to the level of art-song" (Gillies, 2001). This would be exactly what Bartók would set out to do, starting his trips across Hungary, Romania, Slovakia and other surrounding countries, collecting recordings of folk songs, to later integrate them into his own music. This motivation, for sure, was coming from a nationalistic drive but one different from that of the 19th century which had the composers of the time compose grandiose symphonies and opera. Nationalist music of the 19th century treated folk music merely as a material and twisted the material to fit with their "art music", adjusting them to the frame of major and minor scales and conventional rhythms such as 4/4 or 3/4. Bartók and his contemporaries, however, were "determined to preserve the tunes of the folk singers in as accurate a form as possible" (Machlis, 1979, p.126). This led Bartók to use new modes, polytonality, odd rhythms and percussive dissonant piano chords in his music. He was astonished by

these strange musical possibilities and "he came to understand rural music as a kind of archaic avant-garde, through which he could defy all banality and convention" (Ross, 2009.) His famous solo piano piece *Allegro Barbaro* is a great example where he underlines the percussive characteristic of the piano rather than the strict distinction of melody and accompaniment, extensively uses polychords and borrows melodic material from the music of peasants, using them in such a way that he can "assimilate the idiom of this music so completely that he is able to forget all about it and use it as his musical mother tongue" (Machlis, 1979, p. 126).

Despite his love for his country and its music, Bartók eventually found himself cross with the government because of its alignment with the Nazi regime in Germany and decided to flee the country to move to New York. He was one of many European composers who fled to the USA either because of their anti-Nazi views or directly because of their Jewish bloodline. Bartók didn't achieve the financial or reputational success he had hoped for in the USA, contrary to his acclaim in his homeland, to be rediscovered in the USA only after his death.

Here, it is essential to go back to America where we traced how jazz developed in these lands but never mentioned the status of composers who wrote music in a contemporary fashion, both the ones who immigrated, like Bartók or Schoenberg or Stravinsky, and those who were born and raised in this relatively new country. It is particularly important to go into how Western contemporary styles developed in America for Gunther Schuller, the composer who established the focus point of this thesis aimed to make an "American music".

European art music has been performed in the United States since the 19th century, mainly in the form of Italian operas and German symphonies. The New England group, composers who worked in the second half of the 19th century were mentored by John Knowles Paine, a professor of music at Harvard, and most of them studied music in German cities, composing in the style of Schuman and Mendelsohn, Liszt and Wagner. "It was their historic mission to raise the technical level of American music to the standards of Europe" (Machlis, 1979).

After came Charles Ives, who is considered to be the first composer to represent truly American, art music. Having studied composition at Yale University and worked as an organist as a teenager, he pursued a career in insurance rather than in music and for

the first half of his adult life, he composed music in his free time, which never has been performed until much later, when he finally decided to publish some of his works and gained a small amount of admiration as a composer, from where he grew to be a famous composer with his pieces performed, recorded and published frequently. Because of his unconventional and "unprofessional" musical practice, it is hard to trace his musical development. However, it is clear that he drew influences from many different styles and integrated popular American music, say, ragtime, with polytonality, atonality and polyrhythms. He was one of the first composers to write without regular barlines or time signatures, placing the barline wherever he desired an accented beat. When he used these modern techniques, it was way before the founding fathers of contemporary styles in Europe mentioned above used them. Ives, in a way, was the founder of these techniques in America, simultaneous to his European counterparts, without even knowing about them (Machlis, 1979).

One of the most remarkable composers in creating the American contemporary music tradition, who was one of those born in Europe, namely Paris, and moved to the United States later, was the highly debated Edgard Varèse. Finding that new music had no audience in this country, he founded the International Composers' Guild to present the music of the living composers and had the first concerts of the likes of Schoenberg's *Pierrot Lunaire*, Stravinsky's *Les Noces*, Webern, Berg and many more. In his music, he aimed to extract personal feelings from art "to achieve a completely objective style" (Machlis, 1979). He would befriend artists, both American and foreign, such as Marcel Duchamp and Francis Picabia, who were trying to create a "distinctively American avant-garde" (Ross, 2009). They were indeed a cosmopolitan group and Varèse himself was influenced by urbanism and wanted to present an image of a machine civilization. He utilized a rhythmic vitality and masses of sound which deliberately rejected tonal harmony. This was well represented in his *Integrales*, for wind orchestra and percussions. Huge chords played by a large ensemble of winds are held long and repetitively, without giving any harmonic or melodic context but definitely relying on a rhythmic foundation supplied by the percussions. Time signature changes rather frequently but a subtle pulse can be felt at all times. The listener is instantly reminded of the soundscape of a big crowded industrial city where cars honk, construction machines loudly work and one is constantly exposed to a mass of sound.

French influence on American-born composers was still going strong. Aaron Copland's Neoclassic music was a good example of this. He would go to Paris and study with Nadia Boulanger, the prominent French composer and come back to his country to write a concerto for organ commissioned by his teacher Boulanger, which led to his *Symphony for Organ and Orchestra* with which he reached fame at a young age. Later he, too, wanted to accomplish an "American" music for which he turned his face to jazz and looked to combine Neoclassicism with jazz polyrhythms (Machlis, 1979). He was one of many American composers who aspired to jazz and particularly combined it with a Neoclassic style.

There are two American composers left to be discussed that are essential to our topic: George Gershwin and Leonard Bernstein. Both the most prominent agents to combine jazz and Western art music, they may be defined as the forerunners to Gunther Schuller's Third Stream. They are two composers that jazz as well as classical music worlds act rather hesitant to fully embrace, yet are very much inspired by, keen to analyze and include in their repertoires. Unlike many composers of their generation or the one before, they did not treat jazz merely as an exotic medium but managed to naturally integrate it into their music and make an impact in both worlds. But perhaps, before diving a bit deeper into respective composers' lives and musical styles, the meaning and scope of Neoclassicism should be discussed first as it was a term European composers of a variety of styles of so-called "new music" turned to in their later years and also one that American composers regarded useful a tool to bring jazz into the "concert music" idiom.

As may be discerned, the term never referred to a complete revival of classical techniques and forms that the likes of Haydn, Beethoven and Mozart once used. The many developments mentioned above would deem this impossible even if tried, yet it nevertheless has never been the aim of Neoclassicists. "It was less significant of its revival of traditional procedures than for the strength of its reaction against the more extreme indulgences of the recent past" (Whittall, 2001). Its representers, in fact, were none other than the European composers mentioned earlier in this chapter, who established the earliest styles of 20th-century music: the likes of Schoenberg and Stravinsky. In his late works where he grounded the 12-tone technique, Schoenberg made use of the classical forms, even though the textures were still as full of expression as his earlier atonal pieces. Stravinsky, on the other hand, was "the most articulate

spokesman" (Machlis, 1979) of Neoclassicism who, after the grandiose works of *Firebird* and *The Right of Spring*, embarked on a more controlled sound in his later years in works like *Pulcinella* and *The Rake's Progress*. The neoclassic music moved away from the extreme chromaticism and, at least those who preferred a more tonal language, embraced the key of C major, using it remarkably more liberally than the true Classics, and called this new approach to tonality "pandiatonicism".

We may say that Leonard Bernstein and George Gershwin came from either ends of the musical schools, former from the Western music and the latter from jazz, and approached each other in their music. Leonard Bernstein studied composition, conducting and piano at Harvard and Curtis Institute with prominent teachers. After graduation, he started to work as the assistant conductor of the New York Philharmonic Orchestra, becoming famous as a composer and conductor shortly after, pursuing a career as a guest conductor in various international and national orchestras and composing dramatic and concert works. Gershwin on the other hand, dropped high school and started to work in a music publishing firm in Tin Pan Alley, becoming a self-taught musician until later when he decided to compose larger pieces. While working in Tin Pan Alley, he became a competent vocal accompanist on piano and started to write his own songs. Irving Berlin said of Gershwin that he was "the only songwriter I know who became a composer" (Crawford and Schneider, 2013). He was indeed right, for Gershwin would go on to work in Broadway shows, and eventually compose *Rhapsody in Blue*, the cornerstone piece in the history of American music, acclaimed both by jazz and classical musicians.

Both composers found their unique voice in composing dramatic music. Bernstein would develop a style that was "based upon a potent mixture of vernacular elements – especially jazz rhythms and harmonies and the frequent use of blue notes" (Laird & Schiff, 2013). Despite using 12-tone rows in some of his concert music, most of his pieces relied on a central pitch, although he programmed many contemporary works as a conductor. Gershwin, however, was a songwriter in essence and several scores he wrote for Broadway musicals contributed to the grand repertoire referred to as "jazz standards" and have come to be interpreted widely by jazz performers to this day.

Just like the case in jazz, many advancements took place in the classical music of the 20th century, such as Stockhausen and electronic music, John Cage's chance music and Steve Reich's minimalism that are not explained here in detail due to their little influence, or none thereof, on Third Stream and Gunther Schuller. The discussion above aimed to provide background by giving an overview of the two "streams" that influenced him to propose the term Third Stream. A section in Chapter 3 will be devoted to providing a more focused survey of the combination of classical and jazz that took place before the Third Stream, where some crucial developments or personalities both from jazz and classical music will be mentioned that may or may not have been discussed above.

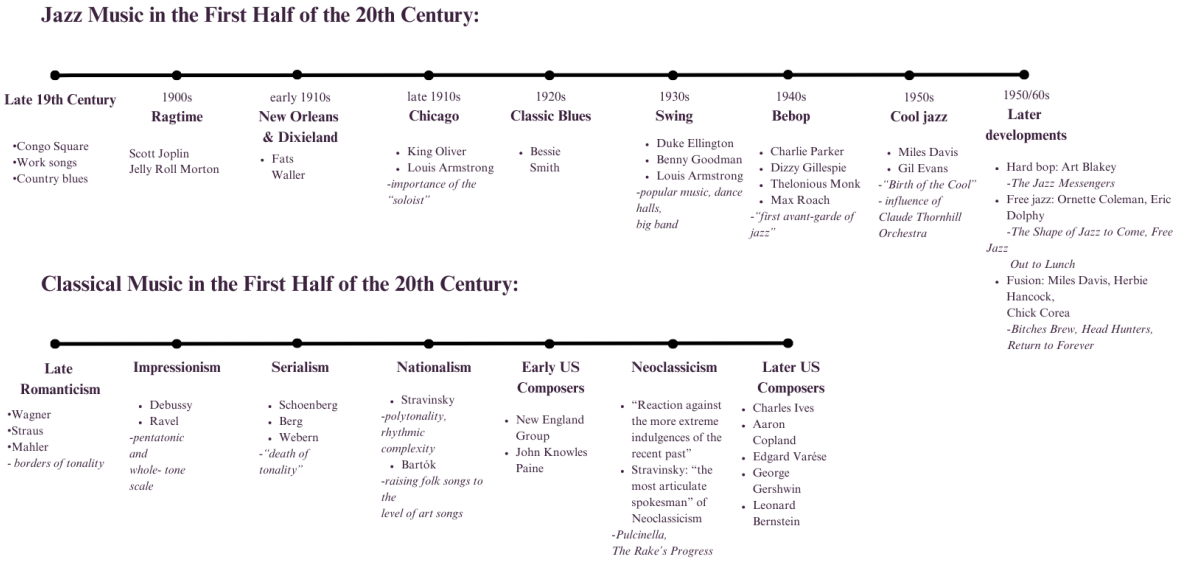

Figure 2.1 : The overview of jazz and classical music in the first half of the twentieth century.

3. GUNTHER SCHULLER AND THE CREATION OF THIRD STREAM

This chapter will be an examination of the circumstances in which the term Third Stream was coined by Gunther Schuller and the reaction it received from several camps of the musical and academic world. First, an overview of the history of, borrowing the term used by Stuessy (1977), the "confluence" of classical music and jazz will be made. Even though we have looked at the development of the two musical traditions from the late 19th century up to the first half of the 20th century, it is seen as favorable to particularly draw attention to the interaction between them. Secondly, the life of Gunther Schuller will shortly be explained to better understand the social and personal background that led him to become the versatile musician he has been acclaimed for. Thirdly, the definition of the Third Stream made by Schuller, the process which led to his coining the term in 1957 and the contributions and commentaries made by himself and his close colleagues in the decades that followed will be discussed. Lastly, several criticisms that have been directed to the Third Stream will be explored and discussed in comparison to each other as well as against Schuller's statements. Schuller's definition and later statements regarding the term and the criticisms that his concept received will be taken as the main references for the remainder of the thesis in light of which the musical analyses in the following chapter will be made. The contributions of his colleagues will be used to expand the discussion where seen as necessary.

3.1 Integration of Jazz and Classical Music Before Third Stream

The notion that all the way back from its emergence jazz has been influenced by Western classical is one that many scholars and musicians agree upon, including Gunther Schuller. Several references made throughout the thesis will acknowledge this, even those that fall into contradictory arguments with each other. Thus, in addition to the separate historical overview of the two musical bodies, it is seen as necessary to make a short examination of the confluence of the two. To do this, the chronological

classification made by Robert Loran Brown, Jr. (1974) will be taken as the main reference.

Brown (1974) divides the influence of European art music on jazz into several periods and approaches. These are 1) ragtime, 2) "jazzin' the classics", as he puts it, 3) stylistic imitation of and borrowings from classical music, 4) "symphonic jazz" or "classicized jazz", 5) West Coast and Cool schools of jazz, highly related to Miles Davis, and lastly, 6) Third Stream. Joyner (2000), in his critical article about Third Stream, uses this classification but with a few derivations. He comments on it as lacking specific dates and draws attention to the overlaps between them, a result perhaps unavoidable for any historical classification. Joyner's contribution marks Categories 1, 2 and 4 to span between 1897 and 1930; Category 3 to "cover virtually the entire history of jazz" and Categories 5 and 6 to be approximately from the mid-1940s to the end of 1960s (p. 64). In addition, Brown (1974) uses a second, more compact classification in doing his detailed examination, consisting of four main titles. Joyner (2000) distinguishes Brown's two versions of classification by referring to the former as an "attempt at a strictly historical order of assimilation" (p. 64) which seemingly holds accurate, even if not specified by Brown himself. For our purposes; this former, historical order will be taken as a starting point.

Ragtime has already been discussed in Chapter 1 as a form of early jazz, or pre-jazz, as some put it. It has even been defined as "white music, played black", by Berendt (2009), to explain its inherent confluence. Let us also not skip one important point that Brown (1974) makes, stating that there was not one singular type of ragtime, underlining the importance of wariness while stating the European influences on ragtime not to imply that "particular characteristics are to be found in all ragtime". Nevertheless, for the scope of our discussion, it is sufficient that he classifies ragtime as an indicator of the early influence of European tradition on jazz, referring to some of its features such as being composed music as opposed to being improvised, its use of harmonic tools found in Romantic music, etc. The inclination of Scott Joplin to be regarded not as a "barroom player" and "compose his rags in a serious vein" is also referred to. Here, let's also mention Joplin's composing of a full-scale opera, *Treemonisha*, which he wrote to be played on piano and sung by singers, never to be orchestrated let alone properly staged, during Joplin's lifetime. Years after, it has been orchestrated and staged by several composers, one of them being Gunther Schuller.

"Jazzin' the classics" refers to the practice of jazz musicians interpreting Western classical pieces by adding jazz elements, such as "ragging" or a swing rhythm. This has been a common practice by pianists playing in cafes and restaurants in the United States during the 1910s and 1920s. Jelly Roll Morton's interpretation of Verdi's *Miserere* from his opera *Il Trovatore* as a jazz piano piece is known to be the first conscious attempt at "jazzin' a classic". Later in the 1930s, many jazz bands and soloists used to draw material from the Western classical repertoire, arranging the melodies for big bands or solo instruments. Particularly interpreting Bach's pieces in a jazz format was pretty popular. This practice, of course, attracted many critiques, especially in its later years, from the classical community, details of which our space does not allow to discuss (Brown, 1974).

"Stylistic imitations and borrowings" are original pieces by jazz musicians that borrow elements that are commonly related to the Western classical tradition. Paul Whiteman's arrangements of famous jazz songs are an example of this practice. Joyner (2000) exemplifies Pete Rugolo's *Reeds in Hi-Fi* and Jack Marshall Sextet's *18th Century Jazz*, as well as programmatic jazz works such as several suites of Duke Ellington's and *Epitaph* of Charles Mingus. The common use of polyphony, that is, contrapuntal melodies occurring together, between Baroque and New Orleans jazz is also emphasized by Brown (1974), but to be handled carefully. A takeaway that might be subtracted from Brown's account about the topic is that the approach of the likes of Bach from the Baroque period to counterpoint and that of the New Orleans musicians is rather different. Quoting from André Hodeir, Brown explains that where the former has a "contrapuntal spirit", the latter performs with an "expanded notion of the countermelody. Equality of voices, as in the fugues of Bach, appears only incidentally" (Hodeir, 1956, as cited in Brown, 1974).

"Symphonic jazz" brings to mind Paul Whiteman and of course, George Gershwin, whom Joyner (2000) exemplifies in his take on Brown's classification. He also explains its controversial position, mentioning Paul Whiteman's received accusation of "making a lady out of jazz" (p. 69). These critical views were also a part of the debates around Third Stream and will be discussed further later in the thesis.

West Coast and cool jazz have already been discussed separately in the previous chapter. Brown (1974) underlines its use of non-jazz instruments, exemplifying "jazz with classical performance media" whereas Joyner (2000) draws attention to the

redefinition of jazz as “high art” rather than popular music, which began in the 1940s with bebop and expanded with cool jazz and later with Third Stream.

Though admittedly not exhaustive, Brown’s classification and Joyner’s contribution are elementary for our discussion. For further inspection, they will help us to comprehend the nature of the Third Stream which will be discussed in detail later in this chapter. For now, let us only make several deductions from the present discussion.

First, let us acknowledge the notion that jazz was inherently confluent. It contained influences from many different music since its evolution at the close of the 19th century and melted them in such a way that it would have become an entity in itself. Similarly, many contemporary classical composers showed a strong interest in jazz starting from a very early stage. Third Stream did not evolve in a bubble and Schuller was either influenced or in contradiction with many of these developments that took place before him. His view on this musical accumulation had him invent Third Stream. Its essence as an invented music stirred much criticism. In response to these, he attempted to include earlier and later confluent music to his Third Stream concept as well. His related statements will be examined to understand which was crucial to grasp several essential points about the relation between classical music and jazz before the Third Stream.

3.2 Short Biography of Gunther Schuller

Gunther Schuller was born on the 22nd of November, 1925 in New York, the United States of America, to parents who had recently emigrated from Germany, in 1923, perhaps due to the economic crisis that hit the country after World War 1. His father, Arthur Schuller, was a professional violinist who was on tour in New York as a player in the Wagner Opera Company in Germany and while there, auditioned for the New York Philharmonic Orchestra to be able to live in this country, got accepted and stayed there (Schuller, 2011).

In his autobiography, *A Life in Pursuit of Music and Beauty*, Schuller (2011) recalls his early life as rather peaceful and uneventful, in the most part unaffected by the social and political turmoil of the time. He spent seven years of his childhood away from home. He was sent to a boarding school in Germany by his family in 1932, he believes for the reason of him being quite a naughty, playful boy. He reminisces that they had

to sing Bach chorales every morning and that he relished the intervening melodies of those chorales, yet being uninterested in music, even having left the stage out of stage fright during a school concert in Germany (Schuller, 2011).

Because of the school's later inclination with the new Nazi regime which forced children to participate in propagandist film screenings, had them wear uniforms of "Hitlerjugend", in addition to an unfortunate accident that caused him to lose his one eye, the young Gunther Schuller was brought back to New York in 1936, at age 11. It was only then that he started to grow a conscious interest in music, first starting to learn to play the piano from his father, then the flute on his own and attempting early experiments with composing music (Schuller, 2011).

Thanks to his father's connections, he came to audition to study at St. Thomas Choir School. Referring to him being a high school dropout, Schuller considers this period as a remarkable one in his intellectual development. While studying here, he picked the flute as his main instrument to practice outside his school time (Schuller, 2011).

Simultaneous with his interest in music, learning flute and piano and studying in St. Thomas, Schuller's taste for music with chromatic harmonies also started to emerge, finding out about the music of Scriabin and Beecham's collection of recordings of Delius through his hobby of record collecting in his teens. Schuller (2011) defines these and others such as Stravinsky, Debussy and Milhaud as "the linguistic platform upon which [he] began to build [his] own style" (p. 55). He specifically recalls getting rather excited upon listening to Scriabin's "Prometheus". He defines his sensations as "something mystical, something overpoweringly physiological, takes over my mind and body, giving me goosebumps, or bringing tears to my eyes" (p. 55).

Schuller (2011) dates his early discovery of jazz to the year 1939, by hearing Duke Ellington on a radio broadcast from the Cotton Club from the point at which, he wanted to be involved in jazz, as well as continue to learn Western classical music, for he thought "in the hands of a master like Ellington jazz was as great and important a music as any classical music. At the highest levels of creativity both musics were equal in quality" (p. 58).

Schuller (2011) picked up the French horn in 1942, after its introduction to him by Robert Schulze, his father's colleague in the orchestra, whom Schuller describes as "one of the two major horn teachers in New York" (p. 59). For a while, he played the

flute and the horn simultaneously, eventually giving up the former for the sake of the latter. Two years later, he was playing the instrument professionally.

After finishing St. Thomas, Schuller (2011) enrolled in the Manhattan School of Music as a part-time student, only to study horn with Schulze while studying as a full-time high school student in a public school during which he played in student orchestras, including that of the Manhattan School of Music. Having dropped out from high school, Schuller worked in freelance jobs as a newly establishing horn player in the classical music scene of New York and later was hired in the post of the principal horn in Cincinnati Symphony Orchestra at the age of 16, thus moving to Cincinnati.

Schuller (2011) finds his experience as a professional orchestra player at a remarkably young age to be an educational one for him, including for his development as a composer. It was also in Cincinnati that Schuller made, in his own words, the "real discovery of jazz in a more intimate way" (Schuller, 2008, p. 13), going to jazz clubs in the evenings when he didn't play concerts in the orchestra and developing acquaintances with the black jazz community. He also recalls a few times that he sat in with them to play, later to give up having decided that he "didn't have a talent for improvisation, that [his] real talent was for composing" (Schuller, 2008, p. 14). A second pursuit he took was to start transcribing in full-score format and studying jazz recordings, mainly those of Duke Ellington with whom he eventually met in one of Ellington's concerts. His transcriptions led to him arranging several jazz pieces in symphonic settings for the orchestra's pop concerts.

Schuller (2011) would move back to New York to start working in the Metropolitan Opera Orchestra, "MET", and his composing of his first piece inclined with jazz would coincide with this period. Namely, his *Suite for Woodwind Quintet*, whose self-defined second movement titled *Blues* would contain blues elements as explicitly as its name suggests. His coming years in New York were busy ones, playing in MET and other freelance gigs, composing music by which he formed his thoughts about Third Stream, experimenting with jazz elements in his pieces and following jazz concerts with his wife-to-be, a vocalist and pianist herself, Marjorie Black.

Schuller's most important acquaintance from the jazz scene during his years playing at MET, perhaps, was John Lewis, whom Schuller recalls their relationship being "true soul mates". Lewis would then have founded the Modern Jazz Quartet in 1952 and

collaborate extensively with Schuller in various works, to have become the main representers of the Third Stream coming from the two initial "streams", so to speak. John Lewis would also be the one who introduced Schuller to many names in the jazz circle, like Coleman Hawkins, Miles Davis, Lee Konitz, etc. some of whom Schuller would also proceed to work with in the future. Perhaps one of the most prominent of these collaborations was that with Miles Davis, in the last three tracks of his *Birth of the Cool*. This was the first of many jazz recording sessions Schuller played at, including one for Frank Sinatra (Schuller, 2011).

Schuller's endeavors in combining the two musical worlds started mainly in the 1950s and as mentioned, Lewis was his number one partner. With his quitting his job in the orchestra in 1959, to pursue a career mainly as a composer, his activities elevated remarkably. In 1956, they founded together the Modern Jazz Society, later renamed "Jazz and Classical Music Society", with which they organized several concerts that aimed to combine the repertoire of jazz with both classical and 20th-century Western music. Around the same time, they issued an album named *Music for Brass*, consisting of *Symphony for Brass* written by Schuller, a "non-jazz" orchestral piece in his definition, with three shorter jazz pieces written by John Lewis, J.J. Johnson and Jimmy Giuffre (Schuller, 2011).

Perhaps the most important event in Schuller's life in relation to the topic of this thesis is his coining of the term Third Stream, which took place in 1957, at the Brandeis Creative Arts Festival. Schuller was approached to organize a jazz concert for the festival, which "since its founding in 1952, … had celebrated classical music, dance, poetry, and painting" (Schuller, 2011, p. 461). Schuller commissioned six newly written compositions, three by jazz composers and three by classical composers. The former group was comprised of Charles Mingus, George Russell and Jimmy Giuffre while the latter included Milton Babbitt, Herold Shapero and Schuller himself who contributed to the program with his *Transformations*. In a lecture he gave during the festival, Schuller talked about his concept of "Third Stream" for the first time. For the compositions that were realized in this event, Schuller said that "they more clearly and firmly clarified what the Third Stream concept meant, what it could be at its best, what it could produce, what its aesthetic potential as a new genre of music really was" (Schuller, 2011). The criticism this concert and Third Stream in general received and Schuller's later statements will be discussed in detail.

Later involvements of Gunther Schuller in Third Stream and jazz would include the founding of the Lenox Jazz School in the late 1950s which merely lasted three years; a workshop-rehearsal band they founded with Lewis that never came out in public and which was a venture of the "Society", mixing a group of jazz and classical musicians; another enterprise they committed to with Lewis that was the publishing company MJQ Music "dedicated to bringing out in elegantly printed editions jazz and Third Stream works in complete sets of score and parts" (Schuller, 2011, p. 437) of which Schuller became the editor-in-chief. In 1959 they recorded Schuller's *Conversations* to be played by the Modern Jazz Quartet and Beaux Arts String Quartet, included in the album *Third Stream Music* and to be analyzed in Chapter 3; recorded and premiered such pieces as *Seven Studies on Themes of Paul Klee* for orchestra again in 1959, *Abstractions* which featured Ornette Coleman and *Concertino for Jazz Quartet and Orchestra* in 1961 (Schuller, 2011).

In the early 1960s, a few years after quitting MET, Gunther Schuller gave up the horn completely, now having established a name as a composer. He has been active in the jazz scene as well as the classical as a composer, arranger and now, a conductor. After a while he would be involved in jazz more as a writer than as a musician, having published the books *Early Jazz* and *Swing Era* and many articles regarding jazz. He would also be involved in education, most primarily as the president of the New England Conservatory between 1967 and 1977 (Dyer, 2007), founding what was initially called the "Third Stream Department", later to be renamed as "Contemporary Improvisation Department" and be chaired by Schuller's former pupil Ran Blake for years, who is still teaching in the institution. Schuller would also, late in his career, found the publishing companies named Margun Music and Gunmar Music and an adjunct record company named GM Records, all dedicated to publishing and producing jazz and classical music (2011). Gunther Schuller died in 2015, in Massachusetts (Dyer, 2007).

3.3 Third Stream

Let us start with the most common definition of Third Stream, made by Gunther Schuller. In an article, Schuller (1961/1986) defines Third Stream as music that "attempts to fuse the improvisational spontaneity and rhythmic vitality of jazz with the compositional procedures and techniques acquired in Western music during 700 years

of musical development" (p. 115). After Schuller coined the term for the first time in 1957 in a lecture he gave for the concert series he curated at Brandeis University, it became a hot topic. It received harsh criticism from the jazz and classical music circles alike. It was in 1961 that he made the aforementioned written definition, the first official one made by Schuller, published in *Saturday Review of Literature*. The article was written out of a need to respond to the backlash received by music critics and musical circles of jazz as well as classical music.

Some of the criticisms from within and outside of the academia towards Third Stream will be discussed later in this chapter. However, for now, it will be sufficient to examine the definition of Third Stream, Schuller's views towards his coined term, his earlier thoughts and circumstances leading to his conception of the term which has changed or derived throughout the years and several contributions to the development of the concept made by the colleagues and disciples of Schuller, particularly composer and pianist Ran Blake, and other Third Stream composers.

In this same article, Schuller (1961/1986) states that the term was an attempt to "describe a music that was beginning to evolve with growing consistency" (p. 114). This evolution, as he (2008) states in an extensive interview for the *Smithsonian Jazz Oral History Program*, began in what was considered to be the relatively refined sound of the West Coast and cool jazz, associated most with Miles Davis' *Birth of the Cool*, in which Schuller himself played. He also explains the influence of the Claude Thornhill Orchestra on Miles Davis and Gil Evans, arranger of Davis' cornerstone album (2008), stating that the "Birth of the Cool octet[3] *[sic]* instrumentation came right out of the Claude Thornhill band" (2008, p. 22). Joyner (2000), in his aforementioned article, also considers the album as "a pivotal event in the development of Third Stream music" (2000, p. 70). Another important development that came before the Third Stream, was the emergence of bebop, which was influential throughout the 1940s. Even though bebop was never claimed to be fused with classical music, it was by its emergence that jazz was redefined as "high art", rather than popular music (Joyner, 2000). Schuller (2008) refers to bebop as well as cool jazz, concerning the new instrumentarium that jazz started to adopt: Davis having included French horn and tuba

[3] A caution for the reader ought to be given as Schuller's statement here, though not affecting its essential point, is partially incorrect as *Birth of the Cool* was not an octet but a nonet. The quotation, however, is preferred to be left untouched.

in his nonet and Charlie Parker, the forerunner of bebop, having recorded with strings. Schuller does not include these in the category of Third Stream, Davis belonging to the cool jazz and Parker to bebop, but underlines their significance in its evolution.

Here, we must return to Schuller's initial statement in his 1961 article, where he explains the term's quality as only a descriptive one, "as an adjective, not as a noun" (1961/1986). Complaining about the necessity of explaining it in length, he says, he devised the term as a practical definition for such music. He goes even further by saying that "[he doesn't] care whether the term 'Third Stream' survives" and that this is "nothing more than a handy descriptive term" (Schuller 1961/1981, pp. 114, 115). For him, it was a way to leave the initial streams of jazz and classical music untouched, of which their respective musicians were concerned about, in Schuller's own words, "[of] preserving the idiomatic purity of these traditions" (p. 115). By defining a musical style, a "genre" as he referred to it many times, that was neither jazz nor classical but a third stream, one which combined elements from both, "the old prejudices, old worries about the purity of the two main streams that have greeted attempts to bring jazz and 'classical' music together could, for once, be avoided" (p. 115).

Schuller's statements withstanding, one must pay attention to several other remarks he made to be able to get a full sense of the scope of Third Stream's definition. In an article titled *Third Stream Flow* which Schuller (2000) wrote for the magazine *Jazziz*, while introducing his topic, Schuller takes his initial statement of "describing a music that was beginning to evolve" a step further and recalls his coining the term as to having had "a handy descriptive for a category of music that had already existed for at least half a century" (Schuller, 2000, p. 71). In saying this, he refers to pieces such as Debussy's *Golliwog's Cakewalk*, Milhaud's *Création du Monde* and some particular pieces by Stravinsky, Ravel, Hindemith, and Copland. While explaining the differences between these with those of his time, he states that "improvisation had not played any role at all in the Third Stream works of the teens and 20s" (Schuller, 2000, p. 71). Here, an implication that certain musical works written way before Schuller's own Third Stream are to be included in the concept is apparent. While attributing this to the entirety of the Third Stream and Schuller's overall personality by referring only to this one statement would be guilty of an easy accusation and exceed the purposes of this thesis, the author believes that as many available statements as possible of the

coiner of the term under inspection have to be investigated. Thus, it may be argued that the implied anachronism here may be deemed a dangerous one on Schuller's account and lead to a misreading of historical developments that carved the way to the Third Stream. Moreover, a further argument may also be made that such statements undermine Schuller's assertion to leave the two streams unaffected.

Indeed, Ehle (1972), while examining the development of Third Stream, refers to the jazz influences found in Ravel, Stravinsky and Gershwin and asks, "Should these composers too be called *third stream*?" (p. 22, italics original). His intention may as well be regarded simply as an overview of the history of the confluence of classical and jazz and his posed question as somewhat a rhetorical one. Nevertheless, his answer seems to be "yes", as the subtitle he preferred to expand on the topic and add Milhaud, as well as the likes of Duke Ellington, Fletcher Henderson and Ben Pollock next to the aforementioned Ravel, Stravinsky and Gershwin, is *Early Third Stream Composers* (p. 23).

Ehle (1972) distinguishes between the fusing of "classical and jazz" and that of "classical and popular". He argues that "true jazz … has never really been popular while popular music has never been more than a shadow of jazz" (1972, p. 22), even though he fails to define clearly what "jazz" and "popular" mean for him. He goes on to define the Third Stream as its composers being "involved and thoroughly committed to a jazz esthetic separate from popular music" (1972, pp. 22, 23).

Duke Ellington has been an inspiration for Gunther Schuller and a reference point for many Third Stream composers, as we have seen him mentioned above by Ehle, as a musician who has emerged authentically from the jazz tradition and grew his unique style primarily as a composer and arranger, integrating improvisation in written scores that were sometimes in classically-influenced forms, such as suites. Schuller, in his conversation with Hoffmann & Maneri (1986) reminisces about studying Ellington's music way back in his teens and after listing a series of other jazz influences such as Charlie Parker and Dizzy Gillespie, later Charles Mingus, Miles Davis, Gil Evans and Lee Konitz, he highlights that "the Ellington influence goes the deepest" (p. 246). As for his earlier influences from the other camp, he counts mainly Scriabin, as well as Delius and Beecham; Debussy, Ravel and Stravinsky; and Messiaen, pointing to the unavailability of Schoenberg and Webern in the United States during his teens. Regarding these influences, Schuller defines himself as "primarily a composer with a

strong inclination toward richly chromatic harmony. The atonal language, of course, represent[ing] the outer extensions of our now fully chromatic language" (Hoffmann & Maneri, 1986 p. 24). Concerning his jazz influences, he explains: "Being an American and, in my case, having been deeply involved with jazz all my life, there is always a subliminal element of jazz or American music in my works" (Hoffmann & Maneri, 1986 p. 24). Schuller's putting jazz on par with "American music" is not unique to this situation. The reader is encouraged to refer to the discussion in the following title to explore the connection between a such stand of Schuller and the criticisms he received.

Third Stream's scope was intentionally expanded in later years, by Gunther Schuller and Ran Blake, while they were colleagues in the New England Conservatory and instituted the "Third Stream Department". In 1981, Schuller described Third Stream as "a way of composing, improvising, and performing that brings musics together rather than segregating them" (Schuller, 1981/1986) when he wrote the contents of a brochure intended to promote the Third Stream Department. He explains that "from its original idea to fuse classical and jazz concepts and techniques, it has broadened out … to embrace, at least potentially, all the world's ethnic, vernacular, and folk music" (p. 120). This derivation from the original idea is indeed appropriate for its time, with Miles Davis having developed fusion in his *Bitches Brew* already a decade earlier in 1970 and the increasing influence of Indian and Middle Eastern music on artists such as John Coltrane in his album *A Love Supreme* which was recorded as early as 1964 and on John McLaughlin in his group The Mahavishnu Orchestra which was active since the 1970s.

Ran Blake (1981), in a second article, explains that they went on to describe the Third Stream music "as a label of an anti-label music", feeling that "it still defin[ed] a finished product, an entity" and that he "began to use the term Third Stream as a verb". He followed by saying that, if, at the end of this process the final product requires a label, a new term may be devised to define it (Blake, 1981). He summarizes this new definition of "third-streaming", now used as a verb, as having three components. He says that it is "a process, that the music is primarily improvised, and that like all great music, it is a deeply personalized vehicle for the soloist or collaborators" (Blake, 1981).

Gunther Schuller has spoken on different occasions, about integrating any possible styles or traditions of music from all over the world with each other and included labels such as “world music”, “crossover”, “fusion” etc. under the umbrella of Third Stream.

As can be seen, many definitions of Third Stream have been made throughout the years which makes it a rather tricky situation to conclude as to which music one may call Third Stream or not. While its earlier definition made by Schuller is relatively clearer and precise, it developed to include virtually all music with somewhat of a “fusional” nature to it, so to speak. By definition, it may be argued that the need to call it a “third” stream is no more relevant because Blake and Schuller came to refer to the combination of any given musical stream with this label, making the adjective “third” rather futile. Their labeling of earlier integration of jazz and classical as Third Stream may also be argued to contradict Brown’s classification. He places the likes of Gershwin, Paul Whiteman and Duke Ellington either in “stylistic imitations and borrowings” or in “symphonic jazz” and keeps these separate from what Third Stream tried to do. This separation is indeed useful and necessary, as attributing a label that emerged way later to these composers would blur the historical context which would help to understand how each of these music came to be.

Nevertheless, the pieces to be analyzed in Chapter 4 are deliberately chosen from a much earlier time in the development of Third Stream which allows us to stick with Schuller’s former definition to make sense of them. Moreover, one can argue that the earlier definition is what “stuck”, so to speak, and when one thinks of the Third Stream, one tends to think of these earlier works. For sure, a reason for this is, perhaps, the aforementioned potential of the later definitions to include virtually anything and thus being a concept that destroys itself, deeming it rather defeasible as a concept. Yet, the criticisms that we will now be discussing do not solely respond to this later and inadequate definition of the Third Stream. They suggest issues that are much more essential regarding the concept under the scope.

3.4 Criticisms Directed Toward Third Stream

As mentioned before, and in several statements by Gunther Schuller, Third Stream was not devoid of criticism; neither by Schuller’s contemporaries nor by later academic investigation on his music, his writings as a jazz critic and scholar as well as his Third Stream concept. Here, several criticisms toward Schuller and Third Stream will be

explored. It is regarded as crucial to consider these critiques in an attempt to grasp a comprehensive understanding of the Third Stream. However, coming to a judgment of any sort as a result of this exploration is, by no means, the aim of this thesis as this would require much wider research on the cultural, social, and historical obligations carried by Schuller and Third Stream which exceeds our scope.

In his article named *Analyzing Third Stream*, David Joyner (Goldberg, 1965, as cited in Joyner, 2000) designates, in reference to John Lewis' statement to journalist Natt Hentoff, Third Stream's ideal to be "creating music of formal integrity, hopefully without impeding the spontaneity of the improvising soloist" (Joyner, 2000). Noting that Schuller "credits Lewis and the Modern Jazz Quartet with defining the cool movement" and "[implies] that the compositional prowess of John Lewis and the improvisational spontaneity of Milt Jackson personified the Third Stream ideal" (Joyner, 2000 p. 79), he constructs his critique over his designation of this ideal of Third Stream.

Joyner's main argument is that combining complex formal structures in Western classical music with the spontaneity of the improvisational quality of jazz gave a result that deformed some foundational elements of jazz. He acknowledges that at first instance, this stance that jazz orthodoxy shared may sound to have a rather conservative incentive. He elaborates on the topic, pointing to the importance of the pulse, groove or swing in jazz and its relation to form. Formal simplicity in jazz, he designates, is one of the main "problems" of it in the eyes of the Western classical world, several others being the regular phrasings that always come in 2, 4, or 8-bar structures and the exclusive adoption of tonal harmony, rarely employing modern tools such as serialism which established Schuller's main harmonic language. Joyner asserts that Schuller and Lewis side with this view of the Western classical critiques and "while attempting to give equal credit to both form and improvisation, there is an obvious self-consciousness, an apologist attitude on the part of Lewis and Schuller in the assertion that longer forms had not been employed in jazz" (Joyner, 2000 p. 79).

Joyner first describes swing as the "superimposition of relaxation over tension" (Joyner, 2000, p. 81), creating a "rhythmic duality" where the regular rhythmic pulse creates a tension against which syncopated contrapuntal rhythms are inserted, providing the relaxation. Joyner underlines its essential nature in jazz and argues that according to jazz musicians, the essence of their music was lost when the pulse was

omitted or subsided, for it creates a solid ground for the improvising musician. This is very much related to the Third Stream's aim of combining traditional forms with jazz rhythm because, as Joyner suggests, the more complex the form becomes, the more difficult it gets for the improvising musician to convey their spontaneous musical expression. Complex forms are developed by tools like elongation or contraction of the material, "disturbing the regularity of repetition in the form … This allows for great rhythmic repose … with no particular obligation to maintain a steady tempo since the music is primarily for listening" (Joyner, 2000, p. 82). The unsteady rhythmic quality, for Joyner, is a direct result of an intricate formal structure, which undermines the much-needed comfort of the improviser, keeping them busy with the obligation of dealing with the sophisticated compositional objectives of the composer. He draws attention to the "formlessness" of the rhythmic-oriented musics in Africa and India to support his argument that "elaborate structural form interrupts rhythmic momentum" (Joyner, 2000, p. 83). In short, Joyner's (2000) main criticism was that "Third stream composers brought to the fore-front aesthetic clashes between the worlds of written and improvised composition in which resolution could only be hoped for in theory but never completely achieved in practice" (p. 83).

Earlier in the article, Joyner (2000) talks about the tendency of black jazz musicians to integrate the elements of Western classical music into their own, out of a need to be accepted by an audience of higher status. He elaborates on this point to historically connect to the emergence of bebop, the shift in jazz from entertainment to high art in this era and finally the emergence of the Third Stream. While designating the motivation of Schuller and Lewis to combine jazz and Western classical music, Joyner, in an attempt to perhaps relate particularly Lewis' motivation to the earlier statement about black musicians' said tendency, says that "it is not beyond suspicion that Lewis's motivation in using traditional formal models was as much to demonstrate his knowledge of these forms to the classical world as to seek a better type of jazz" (Joyner, 2000 p. 79). Joyner's statement about black musicians' tendencies in a cultural context and his criticisms toward Third Stream withstanding, in saying this, he does not provide any source to support this statement. By doing so, he directly relates Lewis' artistic choices with his blackness. As much as he had talked about the cultural background of black jazz musicians' motif of integrating Western classical, this statement may be deemed too specific and personal to be made without referring

to Lewis' own account or a more tangible material in his music or statement that may make the author think so.

Schuller (1961/1986), on the other hand, had stated long ago, in his aforementioned article, that;

> A Third Stream work does not wish to be heard as jazz alone; it does not necessarily expect to 'swing like Bassie' (few can, even within the jazz field); it does not expect to seduce the listener with ready-made blue-noted formulas of 'soul' and 'funk'; and it certainly does not expect to generate easy acceptance among those whose musical criteria are determined only on the basis of whether one can snap one's fingers to the music. (p. 116)

Corresponding to Schuller's statement, one can easily argue against Joyner, inferring that his criticism which can be boiled down, rather crudely, to "Third Stream doesn't swing" does not pertain, as Schuller does not necessarily aim a Third Stream work to swing in the first place. He does not aim for Third Stream to live up to the standards of either jazz or Western classical but for it to be regarded by its own standards. While this response may be deemed sufficient to justify one's accomplishment in their creative objectives for a given piece, Joyner's argument seems to be pointing out an aspect much more fundamental about Third Stream's definition as a style. It regards the very definition of the Third Stream and accounts for its designated ideal of combining formal complexity and improvisational spontaneity to be non-practical, if not impossible, for the technical reasons explained above. Moreover, for Joyner, Third Stream inherently sides with the stiff views of the Western classical circle regarding jazz music which evaluates it under the spotlight of "classical" standards. However harsh the argument that what Schuller and Lewis tried was impossible may sound, let us quote Joyner to illustrate the exact harshness he aims to convey: "Third Stream music really did not work, no one would let it" (Joyner, 2000 p. 73).

Katherine Williams (2011), in her Ph.D. thesis titled *Valuing Jazz: Cross-Cultural Comparisons of the Classical Influence In Jazz*, does direct her objections perhaps as harsh as those of Joyner's. Comparing the musical scenes in the United Kingdom and the United States, she re-examines the interaction between the two musics with a critical approach to existing research which "underscore the musical differences between the two idioms in order to discredit [jazz]" or "acknowledge similarities in order to claim cultural legitimacy for [it]" (Williams, 2011). Williams classifies her scrutinization into four categories which inspect the influence of classical music on

jazz in "1) jazz criticism and scholarship that adopted systems of analysis and evaluation from established studies of classical music, 2) physical characteristics of jazz performance venues and the changing styles of audience reception, 3) the adoption by jazz composers of ideologies and musical features from classical repertoire and 4) the development of educational establishments and pedagogical systems that mirrored those already present in the classical-music world" (Williams, 2011). Our focus will be on the first and third topics as these are the areas where Williams takes the practices and ideas of Schuller as a reference, as a writer of jazz critique in the former and as a composer of Third Stream in the latter.

Let us first look at Schuller's approach in his analyses of jazz as a writer. Here, the main intention is not to examine Schuller's personality as a writer but to look at it to draw some inference about his view towards his own music-making in the Third Stream context. Williams (2011) describes Schuller's practice of jazz criticism as an early example of what she refers to as "jazz scholarship", which was "self-reflexive in [its] approach, referring to earlier and contemporaneous criticism, and situating themselves within the discursive tradition" (Williams, 2011, p. 31) and provides Schuller's article titled *Sonny Rollins and the Challenge of Thematic Improvisation* as an example. In this article, Schuller (1958/1986) complains of the "general lack of overall cohesiveness and direction, - the lack of a unifying force" (p. 87) in most jazz solos and suggests that Sonny Rollins's improvised solo in his record of *Blue 7* overcomes this problem by introducing a "theme" and developing his performance by implementing variations over it. Williams' (2011) criticism is that Schuller brings "his classical-musical training and musicological values into his appraisal of Rollins' *Blue Seven* improvisation" (p. 54). Schuller's positive evaluation of Sonny Rollins' solo is to the extent that Rollins, suggestively, approaches the classical musical values in his performance, implementing "classical" compositional techniques into his improvisation. Schuller (1958/1986) seems to be astonished by Rollins' utilization of complex compositional tools in a spontaneous creation, in which the composer "spends days or weeks to write a given passage" while fine players like Rollins himself "achieve this in an on-the-spur-of-the-moment extemporization" (p. 91). This astonishment of Schuller's, Williams suggests, incurs from a "myth", common in the classical music perspective of jazz that observes improvisation as a completely spontaneous practice (2011).

Benjamin Givan (2014) elaborates on the point that Williams makes in his article that he wrote in the nature of a response directly to Schuller, titled *Gunther Schuller and the Challenge of Sonny Rollins: Stylistic Context, Intentionality, and Jazz Analysis*. By making a thorough analysis of the Rollins recording himself, he argues that Schuller misses out on the true intentions of Rollins and the cultural context in which this performance was realized. By making a case of the recording itself and Sonny Rollins' own statements, he points to a fact that as opposed to Schuller's take on the recording as an improvised "variation" over a pre-determined or pre-composed theme, the recording was, in fact, entirely improvised, with nothing determined among the members of the group before the performance. The use of the same "thematic material" in a prior recording of Rollins, titled *Vierd Blues* which Schuller interprets to be "a study or forerunner" to the latter recording, Givan (2014) claims to be the stylistic vocabulary that Rollins has in his pocket which he, and for that matter any musician who shares the same cultural or stylistic practices of hard bop, can resort to in his improvisations.

Both Williams and Givan also reference Rollins' statements in an interview he gave to Joe Goldberg in which Rollins reportedly said:

> I began to worry about things I shouldn't have. People said that I did a certain kind of thing and I began to believe them, and by the time I figured out how I did it, I was unable to achieve the effect anymore. (Goldberg, 1965, as cited in Givan, 2014; Williams, 2011)

To draw a connection between Schuller's taking a traditionally classical compositional tool to evaluate jazz and his practice as a composer of Third Stream composer, Joyner's (2000) argument regarding how Third Stream tries to combine classical form with improvisation has to be remembered. The "problem" of jazz with the form that Joyner argues classical music circles to utter involves a problem with their melodic phrasing and approach to improvisation too. By suggesting "thematic improvisation" as a technique to develop one's improvised solo, what Schuller actually suggests is a solution to a problem related to form. Joyner's argument that elaborate formal designs disturb the spontaneity of an improvised solo has already been discussed above. For Joyner, "improvisation is a spontaneous creation in reaction to the musical and environmental situation of the moment. Jazz improvisational form is therefore shaped by emotional decision" and "there is rarely reference to material used earlier in the solo, since the material is created spontaneously and quickly forgotten" (Joyner, 2000

p. 84). The commonality of the improvised material to be forgotten instantly is indeed questionable. Nevertheless, the essential difference between the cultural reality of jazz practice and the classical critical approach Schuller takes seems to be a common point of criticism that Joyner, Williams and Givan all share.

The common points made by the authors withstanding, Williams' (2011) discussion on the influences of classical music on jazz "in the adoption by jazz composers of ideologies and musical features from classical and repertoire" (Williams, 2011) will unearth some crucial nuances between the arguments of Williams and Joyner that are worth a comparative investigation of the two.

Williams compares several ways in which classical and jazz features have been combined from the 1950s until the 1990s and takes the Third Stream as a reference for her comparative study between different periods and styles. She analyses three Third Stream works, one of which is Gunther Schuller's *Concertino for Jazz Quartet and Orchestra*[4] in terms of "the jazz and classical music features that have traditionally caused tension when combined: instrumentation, rhythmic interpretation, formal design, use of improvisation, and harmony" (Williams, 2011, p. 148). Williams (2011) then investigates these tension points in other jazz works from a scope of eras and styles that have also utilized classical tools and concludes that

> …by using these areas of potential musical conflict as a starting point for considering occurrences of classical compositional devices in different subgenres of jazz it is possible to see their manipulation for the purpose of creative tension. A thorough analysis of examples of swing, jazz-rock, and British and American big-band compositions has led me to conclude that the conflict of musical style created by adopting elements of classical music in jazz repertoire can be a creative source, not just an unwanted byproduct. The problem with third stream can perhaps be understood to be its conception in tandem with the ideology expounded in related discourse. (p. 213)

Williams (2011) finds Schuller's ambition to define the Third Stream "too optimistic to be met with universal critical agreement" (p. 152) and points to Schuller's "[deviation] from the standard historical and musicological practices of retrospective categorization" (p. 151) in defining the Third Stream before it had already emerged.

After analysis of pieces like *Diminuendo and Crescendo in Blue* by Duke Ellington, *No Mystery* by Chick Corea, *Tentle Morments* by Django Bates and *Wyrgly* by Maria

[4] Will be referred to as *Concertino* from now on for the sake of convenience.

Schneider, Williams says that Third Stream's problem was not that it tried to combine features of two kinds of music but its ideological approach which caused the suggested disjunction between the elements of jazz and classical within the same work. In her analysis of Ellington's piece, she points out how, despite conforming to the conventions of swing music in general, it "extends" it by, for example, "[passing] melodic ideas from section to section of the ensemble" (Williams, 2011) or modulating to E♭, G, C, A♭ and D♭ within a blues-form piece. Williams compares the chromaticism Ellington achieves in the blues form to her analysis of Schuller's *Concertino* in which blues is derived to involve irregular bar numbers and time signatures and draws attention to the "compositional direction" that is more traditionally related to classical music than to jazz. Williams also draws attention to the 1937 recording of the piece where between the two sections, the music fades out to complete silence to start a "crescendo", as the title suggests (Williams, 2011).

Another point that Williams makes about the Ellington piece is about its use of improvisation and the performance practices overall. She argues that "the role of improvisation in the work suggests an alignment with classical performance values" (Williams, 2011 p. 174). Williams affirms this argument with the characteristic compositional practices of Ellington, that is writing idiomatically for the capabilities of each of his individual players. She also states that the improvisational solos were done over sketched materials that Ellington gave to his players, not completely created "at the moment". The structural hierarchy within Ellington's pieces in which the improvisational segments were restricted to pre-defined durations, as Williams suggests, was also indicative of the adoption of classical practices.

As can be seen, although their main criticism towards Third Stream may be similar, Williams' (2011) and Joyner's (2000) arguments depart from each other in some crucial points. First of all, Williams' detection of classical elements in jazz recordings of different periods and especially her highlighting of the formal and harmonic complexity of *Diminuendo and Crescendo in Blue* contradict Joyner's suggestion that the said features undermine the rhythmical momentum and therefore the room for improvisation that jazz needs. Williams, with her elaborate analyses and diverse examples, argues that a combination can indeed be possible. Her arguments, while demystifying the suggested myth that improvisation is purely spontaneous, also object to parts of Joyner's rationale. Also, her explanation of the Ellington piece fading out

to silence and starting again can be seen as an example in objection to Joyner's idea that the rhythmic pulse ought not to be broken for the reasons explained before.

These criticisms, as stated before, are not discussed to come to a judgment. They carry cultural and social objections as well as musical and coming to a judgment would require in-depth research on each of these separate areas. However, in an attempt to provide a detailed account of the Third Stream and understand the mathematical dynamics Schuller's music contains as to combine elements of jazz and classical from a compositional point of view, it is deemed crucial to pay attention to criticisms it received as these criticisms, although generally springing from a cultural and social context, arrive at musical and compositional conclusions. Thus, they concern us to the extent to which they support the illustration of the compositional procedures Schuller applies to his music. This is why they have been discussed in comparison to each other. Combined with the discussion regarding the definition of the Third Stream which also attempted to do a comparative discussion and the musical analyses of the following chapter, it is hoped that the thesis will provide an overall account of the Third Stream from a compositional point of view.

4. MUSICAL ANALYSIS AND ASSESSMENT

This chapter will consist of formal and harmonic analyses of three pieces by Gunther Schuller; namely *Conversations* (Schuller,1959/1960), *Variants on a Theme of Thelonious Monk (Criss Cross)*[5] (Schuller, 1960) and *Variants for Jazz Quartet and Orchestra*[6] (Schuller, 1960/2008)[7]. The critical arguments discussed in the previous chapter will be referred to in the assessment section which follows the analyses. Moreover, a range of analytical tools will be used. The fusional nature of Schuller's music requires referring to more than one approach which led to the use of a mixture of terminology and analytical approaches, sometimes interchanging from one sentence to the next. Strauss' (2005) theory will be the main resource for the terminology and analytical tools regarding the serial aspects of Schuller's music. Where a jazz-related analytical approach is necessary, the works of Mulholland and Hojnacki (2013) will be referred to.

4.1 Analysis 1: Conversations

Let us examine *Conversations*, written by Gunther Schuller for string quartet and jazz quartet in 1959, consisting of vibraphone, piano, double bass and drum set, released within the Third Stream Music of the Modern Jazz Quartet[8] album. The "MJQ" consisted of John Lewis on the piano, Milt Jackson on the vibraphone, Percy Heath on the double bass and Connie Kay on the drums. Beaux Art String Quartet who played on the recording were Gerald Tarack and Alan Martin on the violins, Carl Eberl on the viola and Joe Tekula on the cello.

Some features in choices made regarding notation give us plenty to discuss how Schuller handles the differences in performance practice between Western classical and jazz performers.

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[5] Will be referred to as *Variants on Monk* from now on.
[6] Will be referred to as *Variants for Orchestra* from now on.
[7] Even though the main sources for the upcoming analyses are the written scores, the recordings of each piece, by the nature of a musical analysis, were also resorted to. The "jazz" in Third Stream, in which the performative aspect is inherent to the compositional, made it even more necessary. Both the score and recordings are included and can be found in the References.
[8] Will be referred to as MJQ from now on.

First, let us consider the explanation on the inner cover page. The little information here is sufficient to give us a glimpse of the eclectic musical style that we are to witness. The instrumentation gives it away, although addressing the percussion not as a "drum set" but as "percussion" can also be regarded to be a very Western classical manner. Such labeling can indeed be argued to be more accurate than calling what we have here a drum set, since the details of what the percussion section is comprised of, written in parenthesis, shows that Schuller advances to use a set that is very much similar to a regular drum set, but not exactly it. Hence, the preference to regard it as "percussion". Including a triangle and tambourine and leaving out the kick and snare drums, yet including cymbals and three tom-toms, indicates this hybrid set of choices. If we turn the pages and just briefly overview the percussion staff, we will also see that it is partially notated in a fashion that one would hardly see in front of a drummer in a regular jazz concert. The heavily written-out approach to the percussion part, especially between bars 10-16, leaves little room for the performer's improvisational input, except in those moments where he is only asked to play in a swing groove, shown with triplets and asked to repeat the pattern (Figure 4.1).

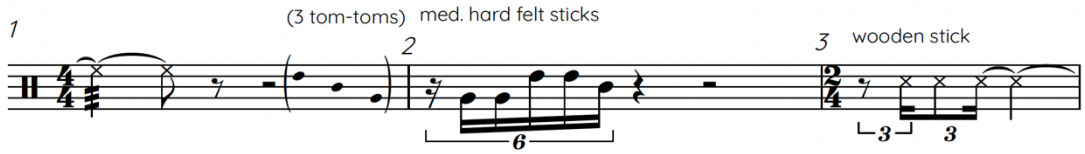

Figure 4.1 : *Conversations*, excerpt from percussion part bars 13-15.

The presence of a conductor is another element in the score which indicates an approach that combines the two styles. A conductor is seldom needed in a jazz context. Even the big bands, considered the largest instrumentarium widely used in jazz, rarely resort to the need for a conductor as the rhythm section generally fills the role of the conductor in an orchestra to keep the ensemble together as a timekeeper. The artistic interpretation that a conductor takes the initiative of, is done by the improvisational qualities of the music and individual stylistic subtleties of the players of a big band. However, in *Conversations*, the capacity of timekeeping is not entirely given to the rhythm section, which, in this case, can be considered to be all of the jazz quartet itself. The remarkably slow entrance with a quarter note equaling 48-50 bpm, consisting of long violin notes and pizzicato attacks from the double bass and the cello that increasingly accent 2nd, 3rd, 4th beats as well as the off-beats, makes the use of a conductor obligatory. What's even more notable regarding the need for a conductor are the bars "34a" and "34b" which don't really seem to be "bars" in their conventional sense but rather, two sections in free rhythm that can be considered to be written in an

aleatoric manner. The violins, the viola and the vibraphone are given a set of notes and asked to improvise freely, ad libitum, with the percussion also joining in using some specified instrument sounds. The double bass and the cello hold long sustained notes. All this is queued by a piano which is playing accelerando chords, again freely. Both sections, but especially the second one need a very precise ending where all the instruments simultaneously play a fully written-out chord. This precision is perhaps the part in the entire piece where the presence of a conductor is the most crucial (Figure 4.2).

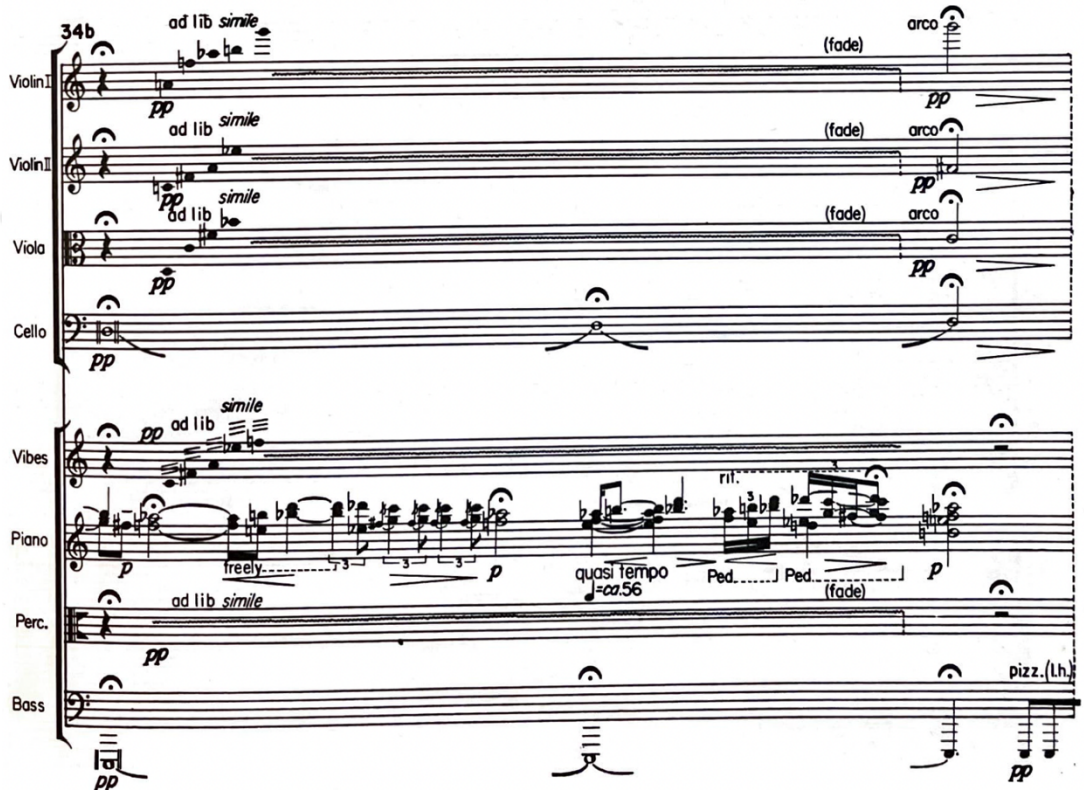

Figure 4.2 : *Conversations*, bar 34b, the "aleatoric" section.

There is one section, however, when the conductor is hardly needed and would probably be resting entirely while the jazz quartet does what they know the best: improvising solos and comping over chord changes. This section, starting with bar 52, is not written at all except the chord symbols given, allowing the jazz quartet to play almost entirely as they like, of course within the context given by their experience of jazz and the unspecified requirements of the piece – swing rhythm, an

exact tempo, given chord changes, etc. as well as some written instructions. The conductor would then perhaps queue the point where the strings resume playing while the jazz quartet continues soloing.

Before going into a harmonic and melodic analysis in the context of how atonal elements are integrated with jazz chord symbols, let us have a look at its formal structure. The piece, as mentioned earlier, starts with a sparse laying of sustained and high register notes of the two violins, contrasted by the low pizzicato chords of the double bass and the cello, later joined by the viola. Until we hear the vibraphone for the first time on bar 9, this is very much a string quintet, with double bass functioning as a part of the string section, working together with the cello to supply basic chordal accompaniment to the violins having the melody. This introduction builds up as the instruments of the jazz quartet are included in the music one by one and thus we get introduced to a world of jazz that is relatively new to the piece.

In bar 17, the jazz quartet rhythmically modulates to double time tempo while the string section stays on the normal time, resulting in a situation where two bars of the jazz quartet equals one bar of the string quartet. Schuller utilizes this technique to drive the piece forward by allowing an easy feeling of medium swing while writing for the string quartet in such a way that will both accommodate the conventions of Western music notation and synchronize with the swing feel provided by the jazz quartet. Notice the 16^{th}-note triplets and sextuplets which synchronize with the 8^{th}-note triplets of the jazz quartet, the dotted 8^{th} + 16^{th}-note figure of the string quartet which aligns with the dotted quarter note + 8^{th} note (Figure 4.3).

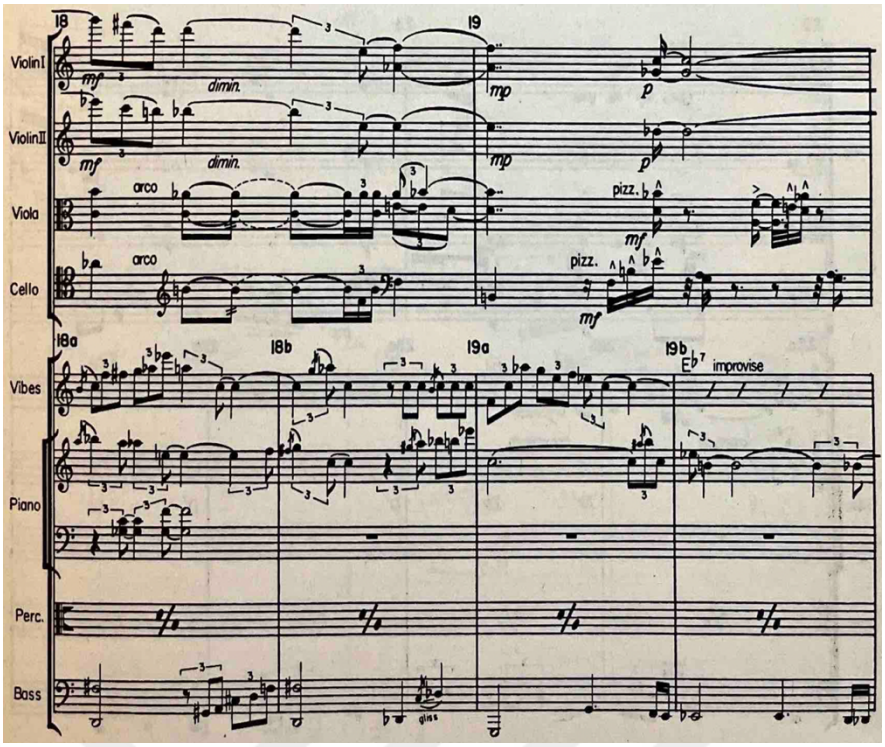

Figure 4.3 : An excerpt that shows the rhythmic alignment between bars 17-30 of *Conversations*.

After the piano and the vibraphone share a solo throughout the section, where written-out and improvised passages are combined for both instruments, the piece reaches what can be considered as a small-scale climax, where the whole ensemble hangs on a fortissimo chord simultaneously which uses all 12 tones of the chromatic scale, forming a 12-tone aggregate (Figure 4.4).

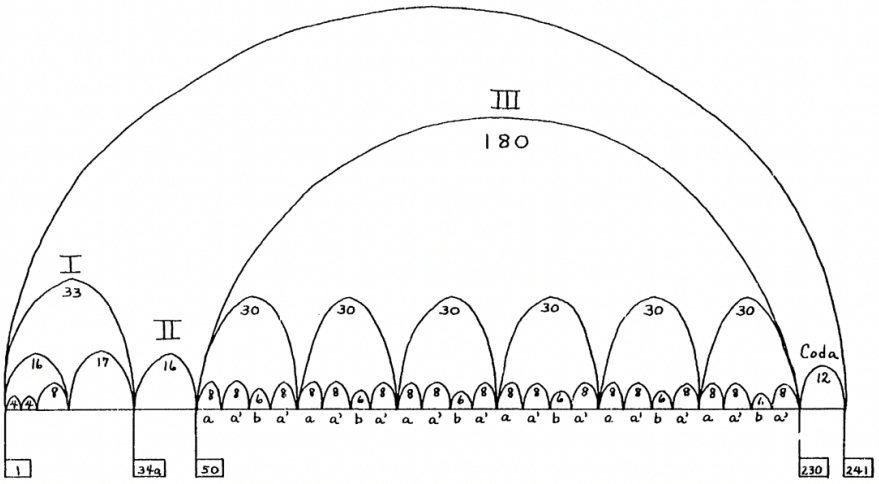

Figure 4.4 : Formal design of *Conversations* (Stuessy, 1977).

Now, we may proceed to analyze the pitch organization of the section of which its form has been explained above, in a serial context. Let us first examine the melodic contour, carried out by the violins. Suppose we extract the melodies from their rhythmic values and contrapuntal relations, focusing only on the notes each instrument

plays. In that case, we see that the first violin has the notes A♭-B-D-C♯-C♮, [8, E, 2, 1, 0], resuming the initial notes of the same melody. Simultaneously, the second violin plays F-E-B♭-E♭-G-F♯, [5, 4, T, 3, 7, 6], giving us two pitch-class sets, the former consisting of five notes and the latter of six notes. Together they make up a series of eleven tones of the chromatic scale, leaving the A out. This note excluded from the melody can be heard in the chordal accompaniment played in the lower register by the double bass and the cello; specifically, in the lowest voice of the double bass part in bar 1, beat 1. Ordered in normal form, they give us the pitch-class sets of [8, E, 0, 1, 2] and [3, 4, 5, 6, 7, T] respectively.

If we examine the pitch-class intervals of these sets, we can find that the first set has an interval class 3 in the beginning, between A♭ to B. From B to D, it has three interval class 1. The second set starts with interval class 1 repeating four times, from E♭ to G. Between G and B♭ is an interval class 3. The relation between the two sets can be seen in that the first set starts with the interval class 3 and then proceeds with three interval classes of 1. At the same time, the second set has the opposite, starting this time with four interval classes of 1 proceeding only then to an interval class 3. If we put the two sets one after the other, it is found that an inversional symmetry occurs around E♭ (Figure 4.5).

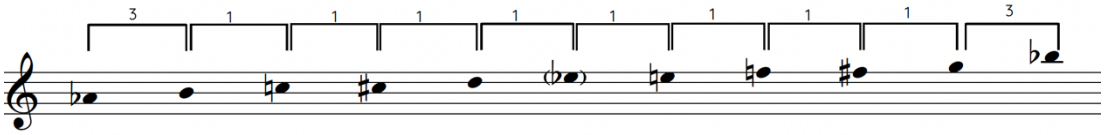

Figure 4.5 : The inversional symmetry that occurs at the entrance of *Conversations*.

Here, Schuller combines the two sets so that when you order them in normal form, the 11-tone pitch-class set is almost entirely chromatic, only framed by interval classes of 3. The interval classes 1 and 3, used in succession, will play an important role throughout the piece, so it is subtly underlined in the beginning.

Other intervallic relations in these two contrapuntal melodies that open the piece are perhaps even more telling of the whole piece, but to understand them better, let us first focus on the vertical organization of this very same area. If we look at the notes of the first two bars from the very bottom to the top, they would be ordered as A♮-C♯-E♭-G-F♯-C♮-E-F-A♭-B♭-B♮-D, giving us a complete 12-tone series which may be divided into two hexachords. The first (Figure 4.6) consists of the first six notes of the series

and is played as a chord by the double bass and the cello in bar 1 beat 1 (Figure 4.6). Let us take this hexachord into close inspection. The normal form of this set would be [C, D♭, E♭, F♯, G, A] or [0, 1, 3, 6, 7, 9]. The second trichord of this pitch-class set, [6, 7, 9], is a transposition of the first, [0, 1, 3] at T_6. Therefore, it may well be said that the composer used here two trichords that are both a member of the set class (013).

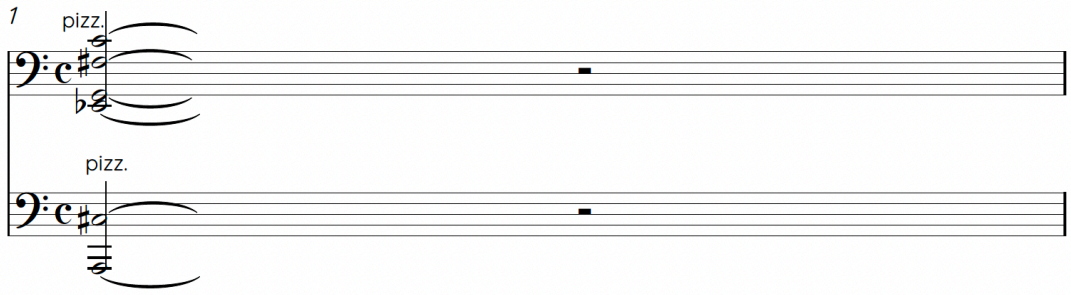

Figure 4.6 : The double bass and cello parts in bar 1 of *Conversations*, the first hexachord of the 12-tone row.

Now let us consider the second hexachord in the 12-tone series, played by the violins (Figure 4.7). Its normal form is [D, E, F, A♭, B♭, B] or [2, 4, 5, 8, T, E]. Let us transpose it as to start at 0, to better illustrate our point. If we extract 2 semitones from each pitch class so that the first one, 2, will become a 0, this will give us the pitch-class set [0, 2, 3, 6, 8,9]. A similar relation to that of the first hexachord drawn from the series can be found here: [6, 8, 9], the second trichord of the set, is again a transposition of the first trichord [0, 2, 3] at T_6. [0, 2, 3] is, yet again, an inversion of set class (013) at T_0I which makes [6, 8, 9] a member of the same class as well at T_6I. Thus, the series is composed of four members of set class (013) (Figure 4.8).

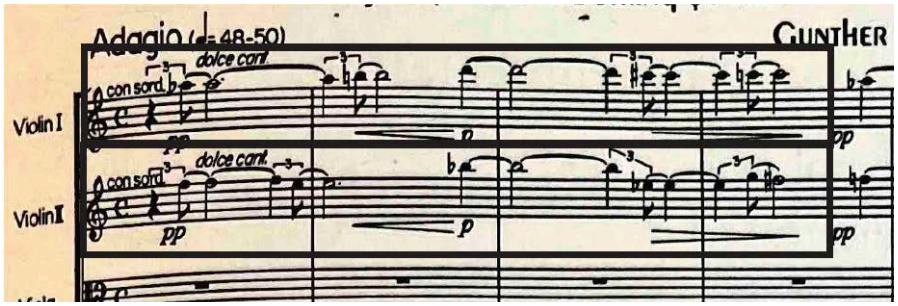

Figure 4.7 : The violin parts in bar 1 of *Conversations*, the second hexachord of the 12-tone row. First violin:[8, E, 0, 1, 2] Second violin: [3, 4, 5, 6, 7, T].

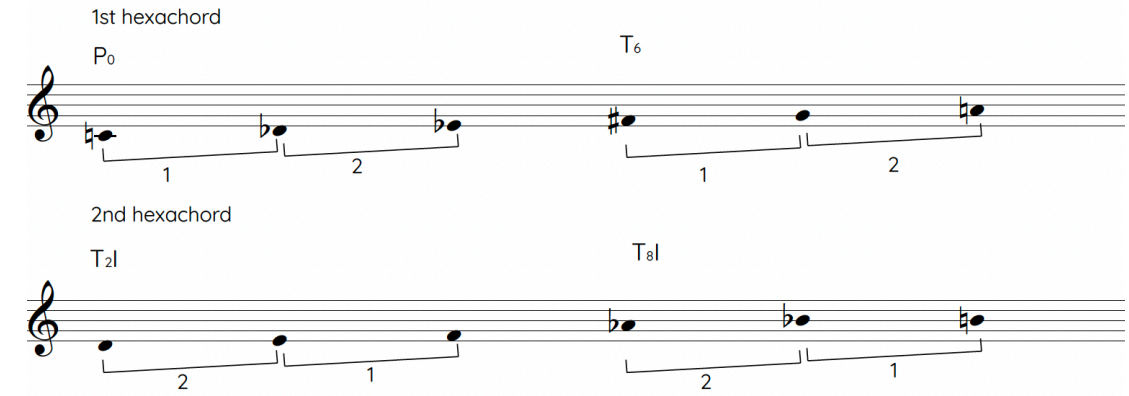

Figure 4.8 : The demonstration of the 12-tone series of *Conversations*, divided into its transpositions of (013).

Now that we know how Schuller built up his harmonic structure at the very beginning of the piece, we can re-examine the melody with this new information in mind. Let us look again at the second hexachord of the series we identified, more specifically the way they are realized by the two violins. The first and third notes of the first trichord, A♭ and B, are played by the first violin, while the second note B♭ goes to the second violin. Similarly, the third and second notes of the second trichord, F and E, are played by the second violin while the first note D then coming from the first violin, marking the highest note of the whole series as realized in the two opening bars (Figure 4.9). This creates symmetry in how the pitches of the hexachord are shared between the instruments.

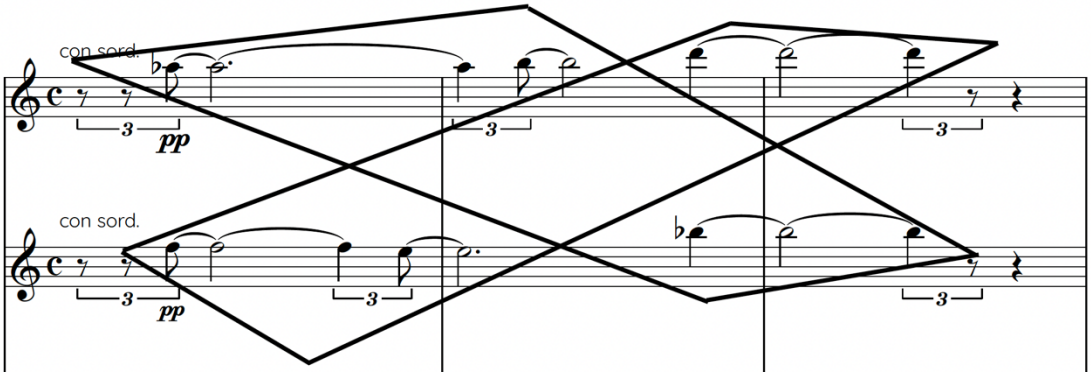

Figure 4.9 : The pitch organization in violins in bars 1-2 of *Conversations*.

Another prominent intervallic relationship within individual melodic lines as well as between the two of them and the chordal structures below them can be found in the frequent use of diminished chords. Let us recall that interval class 3 would play an important role in the piece and note that a diminished chord is essentially constructed by stacking interval classes of 3 on top of each other. Let us refer to a diminished chord as the set class (036). The first and perhaps the most obvious one is how the first violin part starts: an explicit statement of set class (036) in A♭{G♯}-B-D. Several other subtler formations can be found in the same hexachord. F-A♭-B{C♭}, of which its first

two tones are played simultaneously by the two violins, followed by the third one coming in the first violin part. The last and the highest note of the hexachord, the D that comes on bar 2 beat 4 of the first violin, unites two other set classes (036), one that includes F and A♭ yet again, forming a D° chord, the other that is B-D-F, of which its tones come in the order of F-B-D in the second violin for F and the first violin for B and D.

Let us proceed in the passage, first by defining our boundaries of inspection by counting 12. We have a restatement of the initial chord in bar 3 beat 2, giving us the first six notes of the row, A-C♯-E♭-G-F♯-C. We have a second chord in bar 3 beat 4, giving us the notes D-F-B-G♯-E, if we leave the A out which already appeared in the first chord and reappeared in the second. The only note that is not duplicated in the melody by the double bass and cello is B♭. Thus, we have our 12 tones from bottom to top: A-C♯-D-E♭-F-G-B-F♯-G♯-C-E-B♭ (Figure 4.10). Based on our analysis until this point, it can be concluded that Schuller does not take one fixed 12-tone row as the basis of his composition but instead makes regional use of all twelve tones and it is completely possible to order these twelve tones differently than the way preferred here.

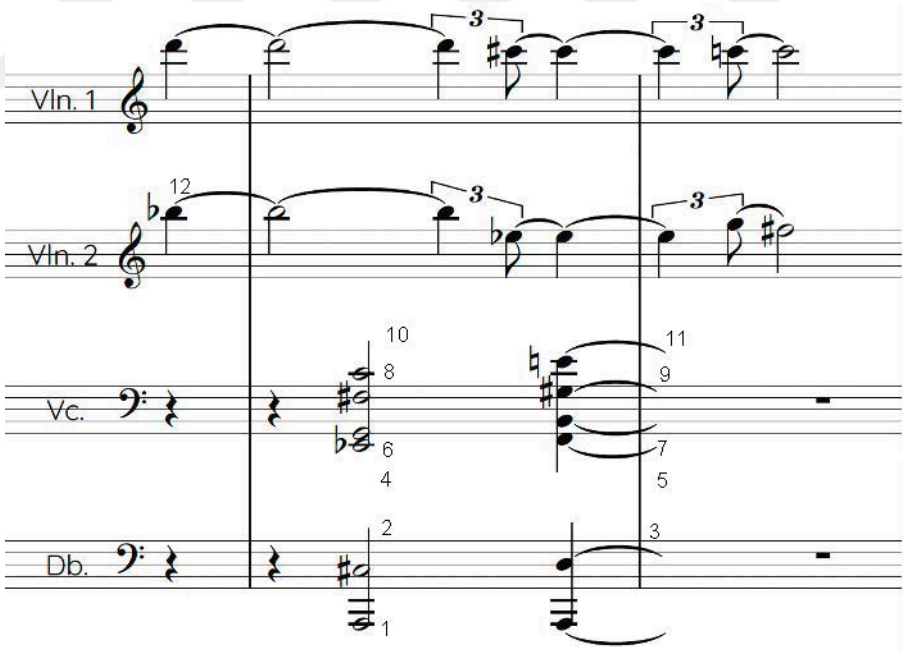

Figure 4.10 : The "12-count" in bars 3-4 of *Conversations*.

Now that we have our row, let us try to find other intervallic relationships that use the set classes (013) and (036). The second chordal structure that comes on bar 3 beat 4 is [2, 4, 5, 8, 9, E] in normal form. The pattern should be apparent to a careful eye. The subsets [2, 4, 5] and [8, 9, E], two trichords forming this pitch-class set are, yet again,

members of the set class (013). The former at T_2I, the latter at T_8. It is also notable that the last note of the first trichord, F, and the first note of the second trichord, G♯, which both correspond to the pitch-class 0 in the prime form of the trichord, have an interval class 3 between them.

If we look at the melodic lines running above on bars 3-4, we see that the notes used are B♭-D-E-C♯-G-C♮-F♯, [T, 0,1, 2, 3, 7] in normal form. It is crucial to state here that the notes B♭ and D are shared by the row we discovered in the first two bars and the row to be manifested here in the second two bars. The first trichord should draw one's attention as another inverted transposition of (013) at T_1I. When we look at the notes, they are B♭-C♮-C♯ and B♭ is the first to appear in the piece, anticipating all the way from bar 2 beat 4 in the second violin. Then come C♯ and C♮ respectively in the first violin. There is a similar symmetry here that we saw in the first two bars when the first note of a set class (013) was played by one violin and the second two by the other although this time the symmetry is incomplete as the rest of the notes, D in the first violin and E♭-G-F♯ in the second violin does not form any member of set class (013). Yet we do see that related intervals are apparent in that the pairs of notes D-E♭ and G-F♯ both share the interval class of 1 and E♭-F♯ have an interval of 3.

As of our hunt for diminished chords, or set classes of (036), the second chordal structure of double bass and cello mentioned above has two of them, none that we have not already encountered: G♯-B-D and B-D-F. The melodic line also contains two: C-E♭-F♯ and G-B♭-C♯ (Figure 4.9). If we go further in the piece, there is a third chord introduced in the upbeat of bar 6 beat 4. It is constructed of the notes B-G♯-D♯-C-F♯-F♮ from the bottom up, shared by double bass, cello and this time also joined by the viola. Its prime form in integer notation is [E, 1, 3, 5, 6, 8]. Here, C-D♯-F♯ is one form of the set class (036) and F-G♯-B is the other which we have encountered before in the very first two bars of the violin part. It should also be noted that 356 and 568 are related to 013, the former at T_3I and the latter at T_5. Above this chord in the violin parts, two other set classes (036) are also at play. The first one is a restatement of the notes A♭-B-D, starting all the way back from bar 4 beat 4, ending in the latter half of bar 6. The second starts in bar 6 beat 1 in the second violin with B♭, going then to C♯ and G in bar 7, outlining the G° chord. In an almost unified rhythm, the first violin initiates yet a third one with an A-note high up above in bar 7 beat 1, going to E♭ and back, finally

giving the entirety of the set class in bar 8 beat 2 when it goes down in 16th notes, outlining an A° chord.

Let us go back to bars 3-4 for a moment to attend to a third intervallic relationship which we will also find to be frequently used later in the piece. The line that the second violin plays, starting from bar 2 beat 4 and going B♭-E♭-G-F♯ outlines an E♭ chord which contains both the major and minor 3rds. As we will get to see further in the piece, Schuller frequently puts a chord including both major and minor 3rds in a pitch-class set context, to draw connections between a serial harmony and what can be considered a "blues sound". This feature will be found in the other two pieces as well and be discussed further both in the context of this piece and the next two.

Other instances of set classes (013) and (036) may be found if we further our analysis of this first section of the piece. However, let us fast-forward now, to bar 20 where the improvisational section of the jazz quartet starts and briefly look at what each of the instruments of the jazz quartet does in this section, before applying harmonic analysis. The percussion simply keeps the swing pattern given earlier, in bar 17a. From that point on, the percussionist has been keeping the swing rhythm going for which Schuller writes out the pattern once and confines only to a one-bar repeat sign to mean that the same rhythm should be carried out. The notation is perhaps the simplest form of indicating swing rhythm in notation, that is, by using 8th-note triplets (Figure 4.11).

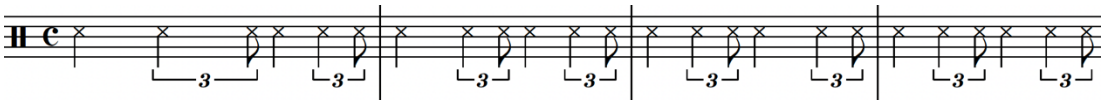

Figure 4.11 : Swing rhythmic figure, shown in triplets, used in bars 17a-30b of *Conversations*.

The double bass starts with what looks like a walking bass figure, using half and quarter notes, playing the roots of the chords given, for the piano and the vibraphone to improvise over. The difference to a conventional walking bass could be that it would not have been completely written out, at least not in a quartet setting, and the bassist would be following the chord symbols to accompany the music accordingly. Soon after though, it derives from simply playing the chord roots and starts playing more complex rhythmically and harmonically.

The piano and the vibraphone share a solo over the given chord progression (Figure 4.12), in which some passages are left to the players to improvise while others are written out. One thing to indicate here is that when the pianist is improvising, they are

limited to improvise with the right hand only and have the left hand rest, rather than accompany themselves with chords which is conventionally done half-improvised, with the performer altering the chords as they like, playing tensions and perhaps even substitute chords. Perhaps to avoid it clashing with the accompaniment realized by the string quartet which is given parts that are quite intricate rhythmically and harmonically, the left hand of the pianist is reserved only for the passages that are completely written out and for the part where the jazz quartet entirely improvizes without string accompaniment. Now let us see the chord progression over which the piano and the vibraphone improvise over, in the format of a "chord chart", commonly used by jazz performers.

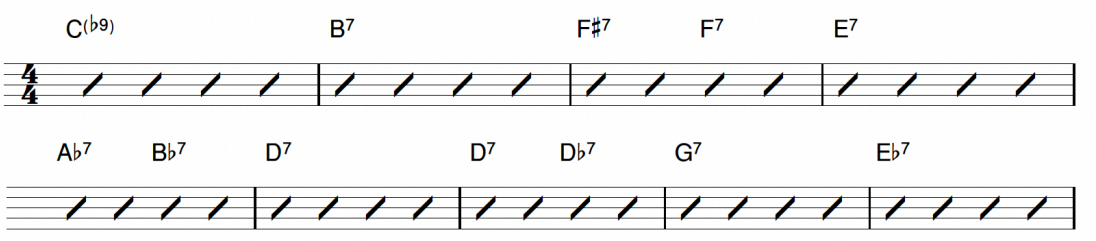

Figure 4.12 : Chord progression from bars 20-31 of *Conversations*.

This progression repeats twice in its entirety, with little derivations. The first two chords repeat a third time, interrupted abruptly by a loud 12-tone aggregate, the whole section taking up the space from bar 20 to bar 31, where the 12-tone aggregate comes. Disregarding what the players of the MJQ improvised for the sake of pragmaticism and to draw attention solely to the material composed by Schuller, let us focus on what he intends with the chord symbols and in the sections that are written out.

Let's first attempt to analyze this chord progression. A brief overview of the whole progression would signify that to try to apply a functional analysis, which one may have done to most given lead sheets of any jazz standard drawn from the *Real Book*, would most probably prove to be in vain. We are very much likely dealing with a non-functional chord progression, to say the least. One would be right to think this way, though some familiar relations between adjacent chords can be recognized. The most common relation to be found would perhaps be the dominant 7th chords that move down chromatically. This very much resembles a tritone substitution, which is a dominant 7th chord used in place of another, tritone away, shown as subV7. A subV7 chord usually resolves to the major or minor chord a half-step below it. Here, several dominant 7th chords go to the dominant 7th chord a half-step below which could be interpreted as a chain of dominants. Another similar tritone relation is realized in the

adjacent chords D♭7 and G7, a case in which two dominant 7th chords that could substitute each other are used respectively. Here, the chord degrees 3 and 7 stay the same, only in reverse, and it suffices to only move the root from D♭ to G.

The progression from A♭7 to B♭7 also mirrors another progression commonly used in jazz: ♭VI - ♭VII - I. It is a progression that makes use of borrowed chords from the parallel natural minor key or Aeolian and resolves it to the major I chord. This relation is also referred to as modal interchange. In case it resolves to a minor tonic chord, it can be regarded as a variation of IIm7♭5-V7-Im7, ♭VI7 substituting IIm7♭5 and ♭VII7 substituting V7. In our progression, the chords A♭7-B♭7 can be regarded as the ♭VI-♭VII in C major, although here it goes to D7, detached from the context and used here in a non-functional setting to accommodate a piece that combines jazz chord symbols with serial harmony.

Let us now go a little bit more into the details, first examining the melody line played by the piano in bar 20, over the chord C(♭9). The notes are D♭-C-B-B♭-F♯-E, concluding with F-A♭-G which fall onto the next chord, B7. Let us note also that D♭ and C are initially played together, with D♭ lasting longer and going back to C. If we consider it from the point of view of having been played over a C chord, we may attempt to create some kind of a scale out of it, starting from C. This would give us C-D♭-E-F♯-B♭-B. If we compact it into its normal form, we will have [B♭, B, C, D♭, E, F♯] or [T, E, 0, 1, 4]. Here, three interval class 1 are followed by an interval class of 3, a shape that may be recalled from the violin lines discussed at the very beginning of the piece (Figure 4.4). A very similar line is played simultaneously by the cello: D-E♭-F♯-G-B-B♭. Here, too, F♯ and G are played together. This one can already said to be in scale order and misses only a C-note. When ordered in normal form, it gives us the pitch-class set [T, E, 2, 3, 6, 7]. We are again encountered with interval classes of 1 and 3, this time changing from one to the other by each pitch class of the set. Curiously, this ordering of pitches leaves us with two augmented chords integrated into each other: B♭-D-F♯ ($B♭^{+}$) and B-E♭{D♯}-G (B^{+}).

While the piano and the cello play these melodic statements and the vibraphone joins them with improvisation, the strings and the double bass hold chords. Although not all of them are sounded simultaneously, it may be argued that they are perceived as chords in the context of the musical region. Thus, we will count all the notes played by the

double bass and the string section in bar 20a. Put in scale order, they form C-D-E♭-E-F♯-G-A-B. If we combine the melodies played by the piano and the cello, they are: C-D♭-D-E♭-E-F♯-G-B♭-B. The similarity is apparent. Notice how the scales, particularly the first one, resemble a blues scale. The little differences they have from it and each other make little concern as Schuller obviously does not aim here to have written purely blues music. He utilizes the blues scale as pitch material to be used in a serial approach or, vice versa, he composes his series and pitch-class sets to accommodate chords and scales that a jazz musician may use in their improvisation.

If analyzed in blocks, this improvisational section can be seen to have used the same technique in its approach to the writing of the string section. It is more explicit in some bars and subtler in others, blurred by rhythmically complex gestures. Take, for example, bar 24. The fragmented gestures seem to be detached from each other at first glance. Yet, their connection with the given chord is not too much out of sight for a careful observer. In beat 1, the violins play a triplet figure in unison, B♭-F♯-C: Scale degrees ♭3, 7 and 4 of G. Meanwhile the cello comes a 16th-note triplet note after with a gesture of B♮-F♮-D♭: Scale degrees 3, ♭7 and ♭5{♯4} of G. The double bass, after establishing the root in beat 1, embellishes it with B♭-B♮-D-F♯; scale degrees ♭3, ♮3, 5 and 7 of G.

Schuller establishes the basis for such a harmony in which certain pitch-class sets and jazz chord symbols and scales accommodate each other earlier in the piece, as mentioned before. This point can be proved further in the part right before bar 20, where the improvisational section starts. Several bars before, Schuller sets us up for the chord progression to come. The double bass, from bar 15 to 19, clearly follows the roots of a progression to come later: F♯-E-A♭-B♭-D-D♭-G-E♭ and in fact, the vibraphone improvisation is anticipated a bar earlier in bar 19, with an E♭ chord. In bars 13 and 14, even though the double bass does not play, the chords C(♭9) and B7 are implied in higher parts.

Further connections would certainly be at hand if dug deeper but let us suffice with the ones we have discussed to see Schuller's approach in integrating the two musical styles together and further the discussion with our second analysis.

4.2 Analysis 2: Variants on a Theme of Thelonious Monk (Criss Cross)

The second piece to be analyzed is a unique one in that it is not an original composition of Gunther Schuller. As its title suggests, it comprises several variations the composer wrote over a jazz tune, *Criss Cross*, composed by the famous jazz pianist Thelonious Monk.

The piece was released in 1960, in the album *John Lewis Presents Contemporary Music: Jazz Abstractions* in which there were four new works, three by Schuller and one by the guitarist Jim Hall. The personnel in the recording, excluding those who did not play in the work in subject, are Robert DiDomenica on the flute, Ornette Coleman on the alto saxophone, Eric Dolphy on the bass clarinet, doubling on the second flute and the second alto saxophone, Eddie Costa on the vibraphone, Jim Hall on the guitar, Bill Evans on the piano, George Duvivier and Scott LaFaro on the double basses, Samuel "Sticks" Evans on the drums, Charles Libove and Roland Vamos on the violins, Harry Zaratzian on the viola and Joseph Tekula on the cello. Remarkable names from the jazz scene of the time can be easily recognized in the personnel and the unordinary instrumentation will be commented on whilst analyzing the work.

In his four variations over Monk's theme, Schuller takes plenty of liberty in some of them and prefers to conserve the core structure of the piece in others. Before analyzing Schuller's four variations, let us look at the harmony of the original piece, as taken from the *Real Book*[9] (Figure 4.13).

[9] Although the many discrepancies of the several editions of this controversial corpus of jazz songs is widely known, it is nevertheless resorted to, to allow the discussion to have a material as to which one can compare Schuller's variants. In this case, transcribing any given recording of *Criss Cross* would lead to the comparison to that particular recording which would not serve our discussion. Thus, the written version in the *Real Book* is preferred, as a version that perhaps many jazz musicians refer to while interpreting the song, making it a de facto "standard" version of the tune.

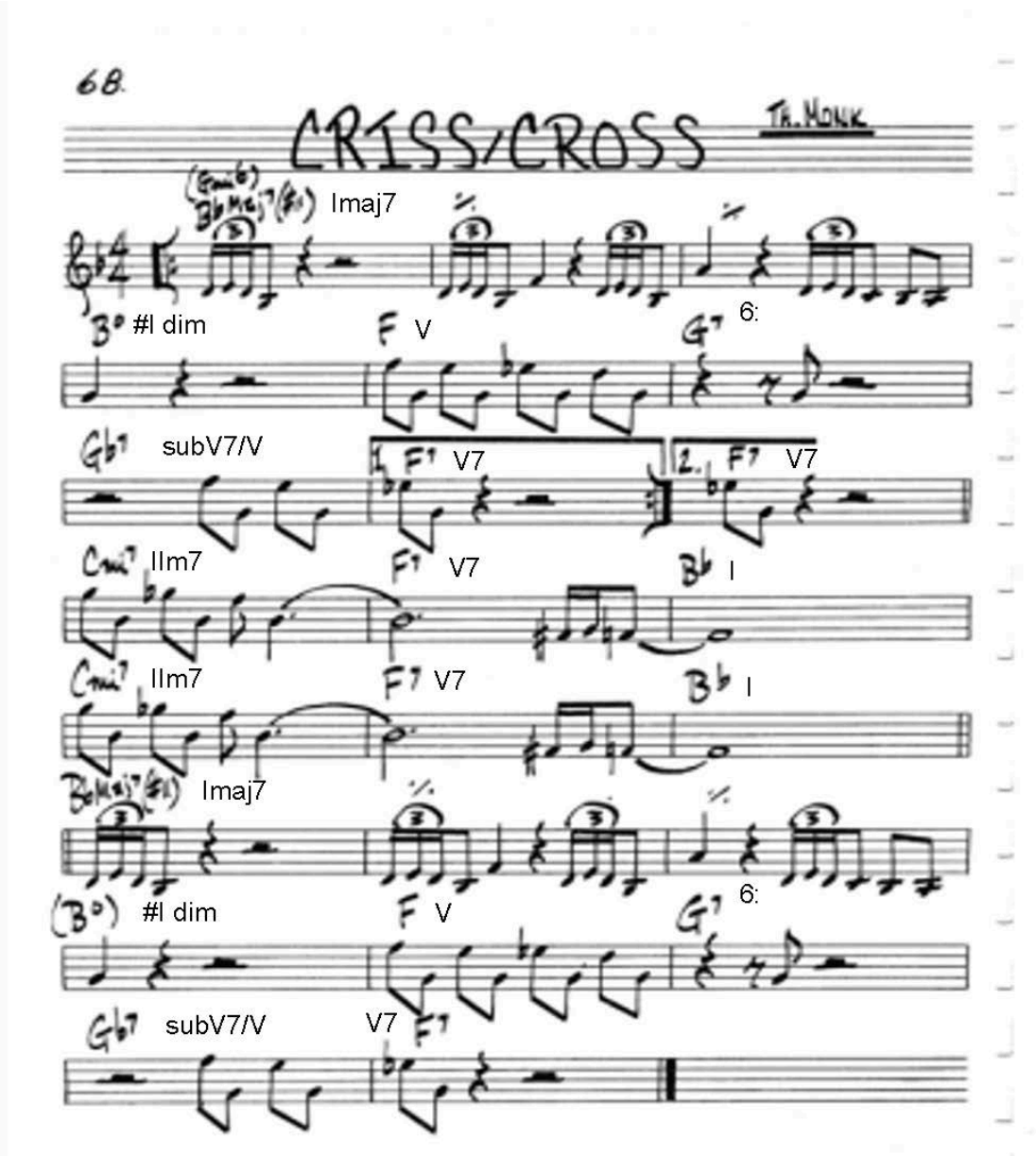

Figure 4.13 : The original chord progression of Thelonious Monk's *Criss Cross* (Real Book, 2005).

Criss Cross has an AABA form which, with an unusual take, consists of 30 bars. The A sections conventionally have 8 bars each, even though the B section has 6, which results in a derivation on the standard 32-bar AABA song form.

It is in the key of B♭ major and starts on the Imaj7 chord which lasts for three bars, going to B^{o} in bar 4. This chord goes to F7 in bar 5, the dominant chord, which has a tritone relationship with the previous chord. Here, a series of dominant chords occur. G7 in bar 6 is the secondary dominant of a Dm chord, chord degree 3 of B♭ major which does not resolve there. Instead, a G♭7 follows in bar 7, subV7 that this time goes

where would be predicted in bar 8, F7, the V7 chord. This takes us back to B♭maj7 in the restatement of the A section, let us call it A', in bar 9. The F7 that comes at the end of the A' section in bar 16 leads to the B section which simply consists of two statements of IIm7-V7-Imaj7 progression in the home key, the most common progression used in jazz repertory. The A section repeats a third time yet, the F7 in the end taking us all the way to the top this time, the B♭maj7 of the first bar, to mark the start of improvised solos of the ensemble who might be playing the tune out of the chart. Ending a "lead sheet" with a V7 chord or any substitute of it that will lead the piece back to the first chord of the form is common practice in jazz and the musicians tend to place the I chord at the very end of the whole tune, sometimes even if it is not written in the chart.

Reharmonization is a frequently used technique amongst many jazz arrangers and performers who will interpret a given well-known jazz tune in their performances. Schuller adopts none other than this practice and replaces the chords that go under Monks's melody. Of course, he integrates it with his own unique Third Stream style which is apparent in many other aspects of the score. For one, he again prefers to add a string quartet, which already gives the piece a very similar sound to that of *Conversations* discussed above. However in this case, he does not make do merely with a string quartet and in addition to piano, vibraphone, double bass and drums which are in use again, he remarkably extends the ensemble with a flute, alto saxophone, bass clarinet which doubles on a second alto saxophone and a second flute, guitar and in quite an unconventional choice, a second double bass which he prefers to again group with the jazz rhythm section on the score, under the first double bass, instead of grouping it with the string section. In this large ensemble, written and improvised passages are used interchangeably in each part except those of the string section of which its parts are unexceptionally written out, once again to be conventional for Western classical performers.

Schuller, without doubt, would have done more than only reharmonizing the tune in his arrangement. Especially in Variant 2, which will establish our main focus of analysis, the formal structure of the piece is completely abandoned and fragments taken from the original tune are utilized as pitch-class sets. Before going into a detailed analysis, however, let us say a few words about how Schuller approaches the form in his take on Monk's *Criss Cross*, going through each variant one by one.

The entirety of the piece may be interpreted as a conventional jazz form, where the "head", the main theme of the piece, is introduced to be followed by a series of improvised solos by individual instruments of the ensemble. Here, the soloistic focus is indeed on one or two instruments in each variant and some more written-out, "arranged" parts so to say, or the moments functioning as interludes where strings take the lead, a formal tool very much used by jazz performers and arrangers. Variant 1 starts with an intro taking up twelve bars, where significant motives of the main theme are fragmented, scattered through the whole ensemble, layered to form a harmonic structure that establishes the serial aspect of the composer's interpretation of this tune. Then the alto saxophone takes up to play the main theme in bar 13, accompanied by the piano and the guitar for whom Schuller prefers to write out complete chord voicings and their rhythms for this section; while the double bass improvises a walking bassline over chord changes informed by slashes and indications of "ad lib." and "pizz." and the drums keep a swing rhythm going, informed similarly with the double bass. The second alto saxophone shares the melody from bar 17 on and the strings join in the B section of the AABA song form, in bar 29, to supply a thin melodic accompaniment where they mirror motifs of the main melody, occasionally joining each other holding chords. The "head" is connected to the saxophone solo with a 4-bar break in bars 45-48 where the saxophone plays freely without any accompaniment. Thus, Schuller again makes use of a common formal technique used by jazz musicians in their arrangements of the repertory of jazz standards. The saxophone solos for two choruses, from bar 49 to 112, the first of which is accompanied by the double bass and the drums only. The piano joins in the second chorus. Here, Schuller opts for suggesting voicings for the chord symbols given and leaving the rhythm and manner in which they are going to be played to the performer, except a few passages where he writes out accompanimental parts that referred to the original melody. The bass clarinet joins in the improvised solo in bar 113 which starts a chain of solos where the latter joins the former for a chorus and takes over the next one chorus on its own, to later be joined by a third one (Figure 4.14). See how vibraphone joins the bass clarinet in bar 177 yet to take the next chorus over on its own where the strings rejoins in the accompaniment to take the Variant to a climax. Variant 1 reaches an end with an 8-bar "outro" so to say, in bars 241-248, that calls for the Variant 2 in its harmonic preferences and sparse texture that arrives rather unexpectedly after a series of fast-paced solos.

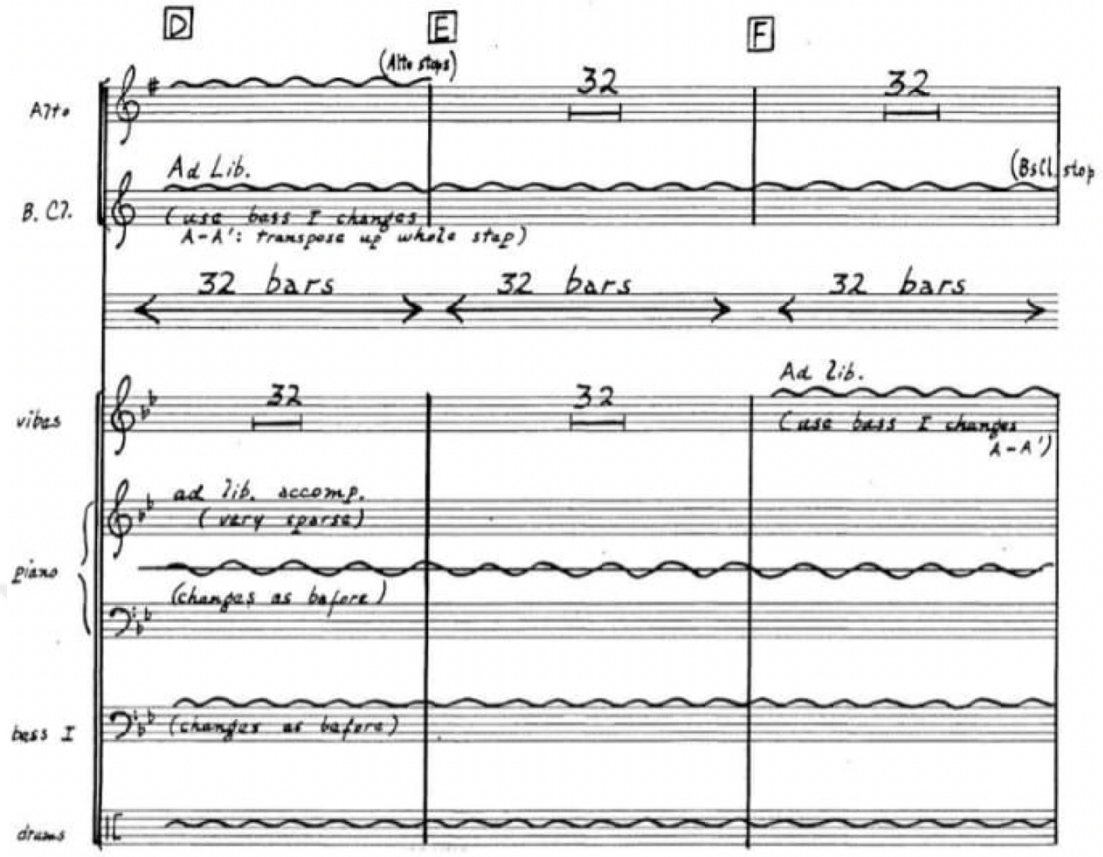

Figure 4.14 : The third, fourth and fifth choruses of improvised solos of *Variants on Monk*, Variant 1.

Variant 2 is perhaps the most exceptional one among the others, in that it stays closer to serial music than jazz. Lasting only for 19 bars and with a runtime of 1'50", it can be considered an interlude between soloistic sections. It is also the only one that features no improvisation at all and that has the whole jazz ensemble present at all times. It would prove to be a dull attempt to scrutinize the formal organization of the variant in the subject as it consists of no fractional components to define any formal sections. It does, however, provide quite an interesting approach to Schuller's way of connecting serial harmony with a jazz tune. For this reason, as said before, Variant 2 will be reserved to be the focus of a harmonic analysis rather than one focused on form. For now, let us suffice it to restate that this variant uses a serial harmonic technique and has no key center. The natural signs given at the end of Variant 1 which cancels all accidentals is the most apparent indicator of Schuller.

The first significant aspect of Variant 3 worth mentioning is that after Variant 1 which is written in the original key of the tune, this one is in D major, having modulated to the mediant key of the former one. Variant 3 can be interpreted as a prescription of

improvisation for the bass clarinet and double bass. Except for a few regions where accompanimental parts vary which will be specified where appropriate, Variant 3 is an interplay between the two instruments, accompanied solely by the drums. After the drum set sets the tempo and the swing groove with a 4-bar intro, the AABA song form starts in bar 5 and the bass clarinet quotes the original melody in bars 5-8 with the double bass already having started an improvised solo. The two instruments have an interplay in the length of three choruses of improvised solos followed by a "cadenza" in free time to wrap up the variant. The collaborative solos are joined by short accompanimental parts of the guitar in bars 11-12 (Figure 4.15) and strings in bars 21-28 (Figure 4.16), marking the only regions in the variant where non-drum accompaniment is present at all.

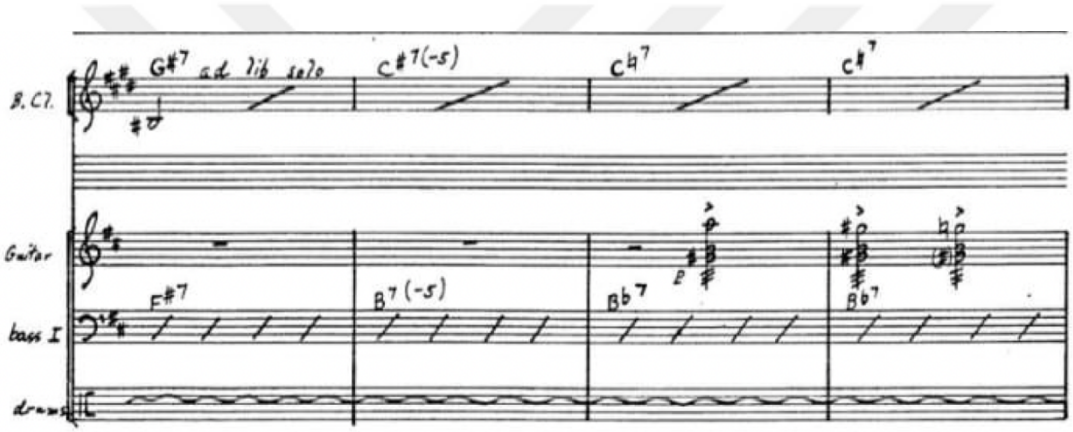

Figure 4.15 : The guitar accompaniment in bars 11-12 of *Variants on Monk*.

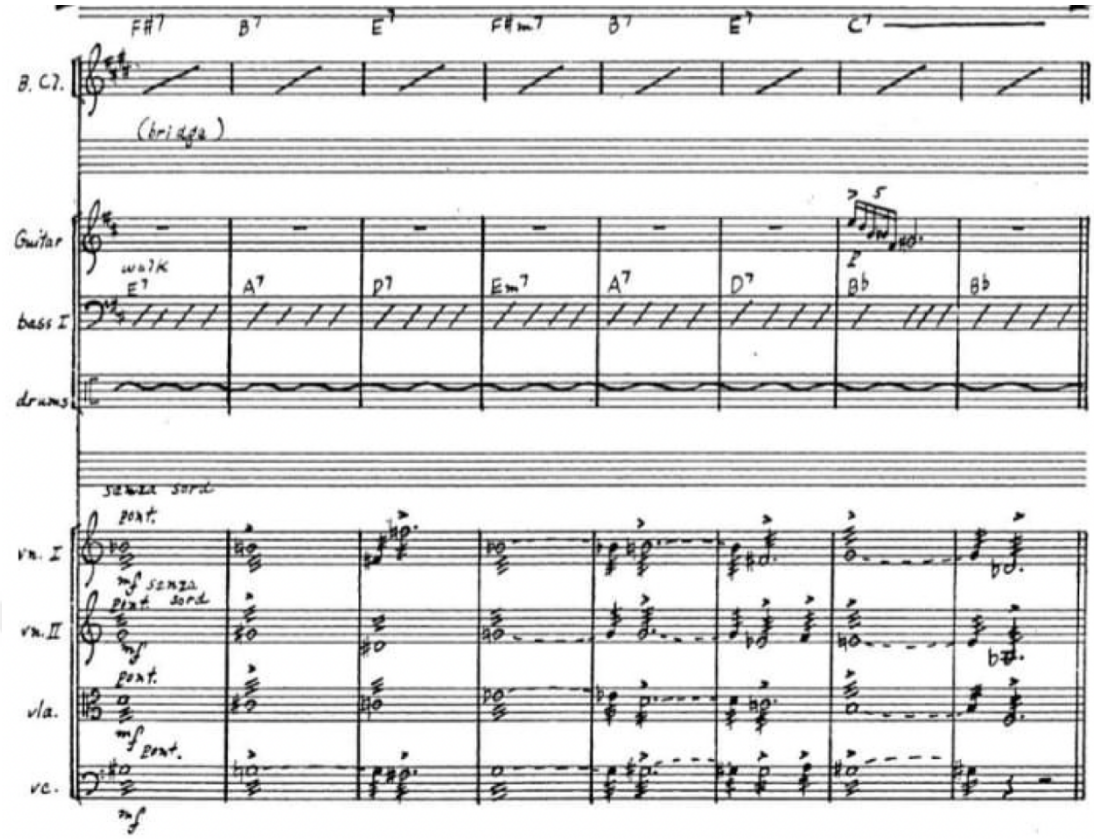

Figure 4.16 : The string accompaniment in bars 21-28 of *Variants on Monk*.

Interestingly, Schuller specifies individual bars in which either the bass clarinet or saxophone is supposed to rest, leaving short spaces for both instruments to stay on their own and continue the interplay (Figure 4.17). The second chorus between bars 37-69 is unique in that the B section between bars 53-60 is realized in 3/4 while the preceding two A sections and the one following are in regular 4/4. After the third chorus in bars 69-100, a cadenza of six bars comes in bars 101-106 where each bar is marked with a fermata, making it somewhat in free tempo. The players are given a set of chords that changes in each bar and seemingly, they are expected to communicate with each other as to when to change to the next chord. The ending is marked with a chord to be played by the bass clarinet, and the whole of the rhythm section and the strings, are queued by the bass clarinet (Figure 4.18).

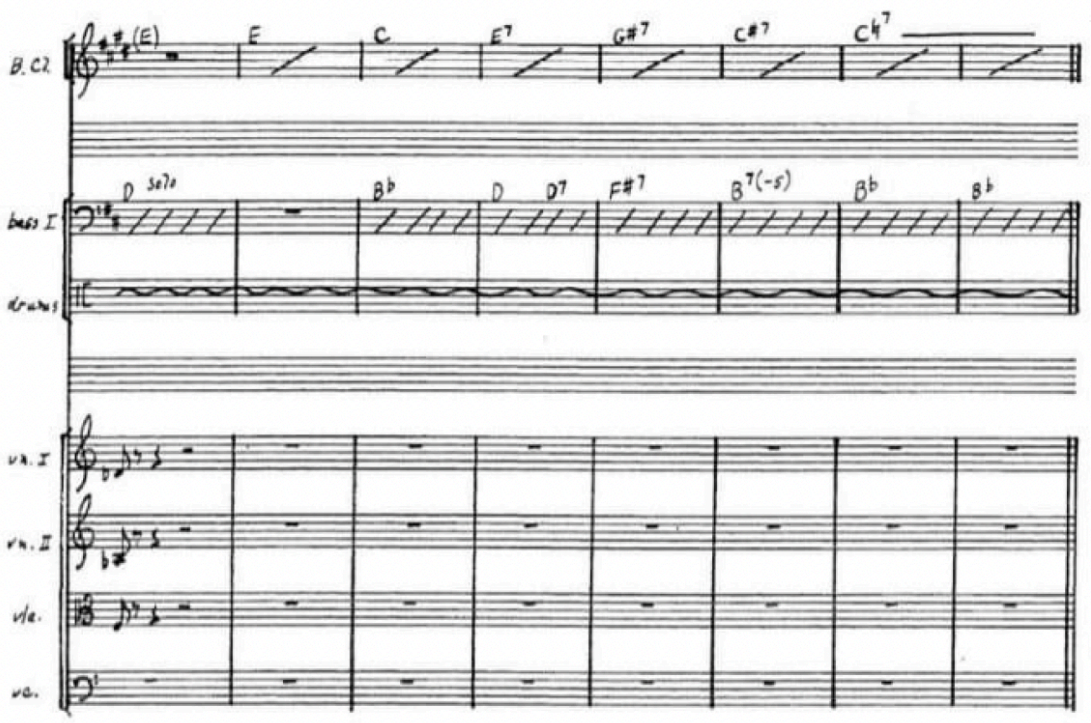

Figure 4.17 : Bars 29-36 of *Variants on Monk*, Variant 3. See the 1-bar rest in the bass part.

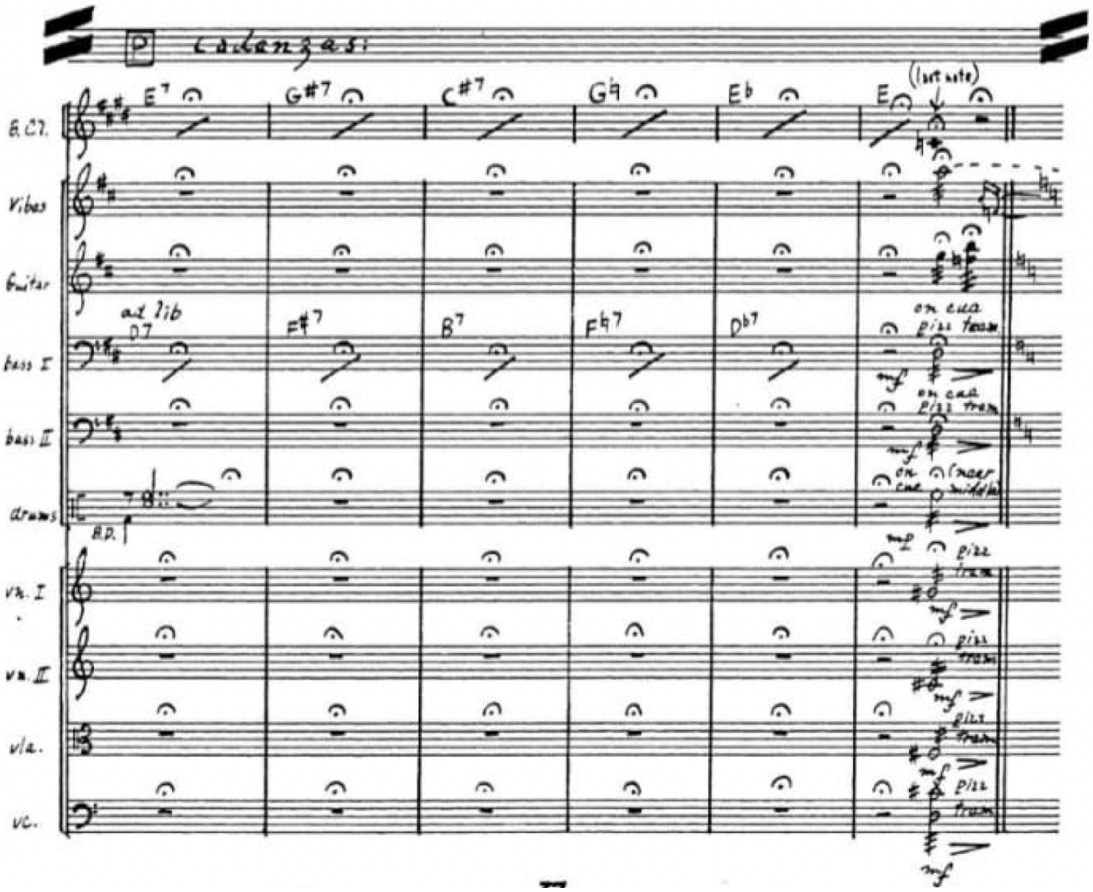

Figure 4.18 : The cadenza of *Variants on Monk*, Variant 3.

Variant 4 consists of three inner sections within itself. The 11-bar intro is followed by two choruses of solos first by the vibraphone between bars 12-43 and later by the flute in bars 44-75, joined by the alto saxophone in the latter half of the chorus. The piece concludes with a 6-bar outro which again refers to the serial texture that we have now heard many times previously in the piece. It should also be mentioned that the theme comes in a new key yet again, this time in A major, the scale degree 7 of the original key, B♭. It is worth specifying, however, that Schuller does not put the key signature at the very beginning of the variant but rather in bar 12 where the AABA song form starts. Instead, the key signature is once again naturalized at the end of Variant 3, implying that the first eleven bars are indeed designed to lack a key center.

Now, we may proceed to discuss the harmonic structure of the piece. For this, we will focus on two main points, the first of which is Schuller's reharmonization. We will compare it to the harmony of the original chords of Monk, explained earlier. The second focus point will exclusively include Variant 2, where we will investigate the serial harmonical aspects of Schuller's approach to this jazz tune. We will also try to relate the material used here to the ending and opening parts of Variants 2 and 4. As for the accompanimental parts written for the strings, it will suffice to mention that they do not feature any of the characteristic serial harmonies Schuller utilizes in his composing for a mixed jazz and Western classical music ensemble. As much as they remarkably extend the constructions of each harmonic area, making use of tension chords and interlacing the major and minor chordal degree 3; Schuller clearly does not approach the strings here as a distinctive harmonic tool to fuse serial and functional harmonies like he did in *Conversations*.

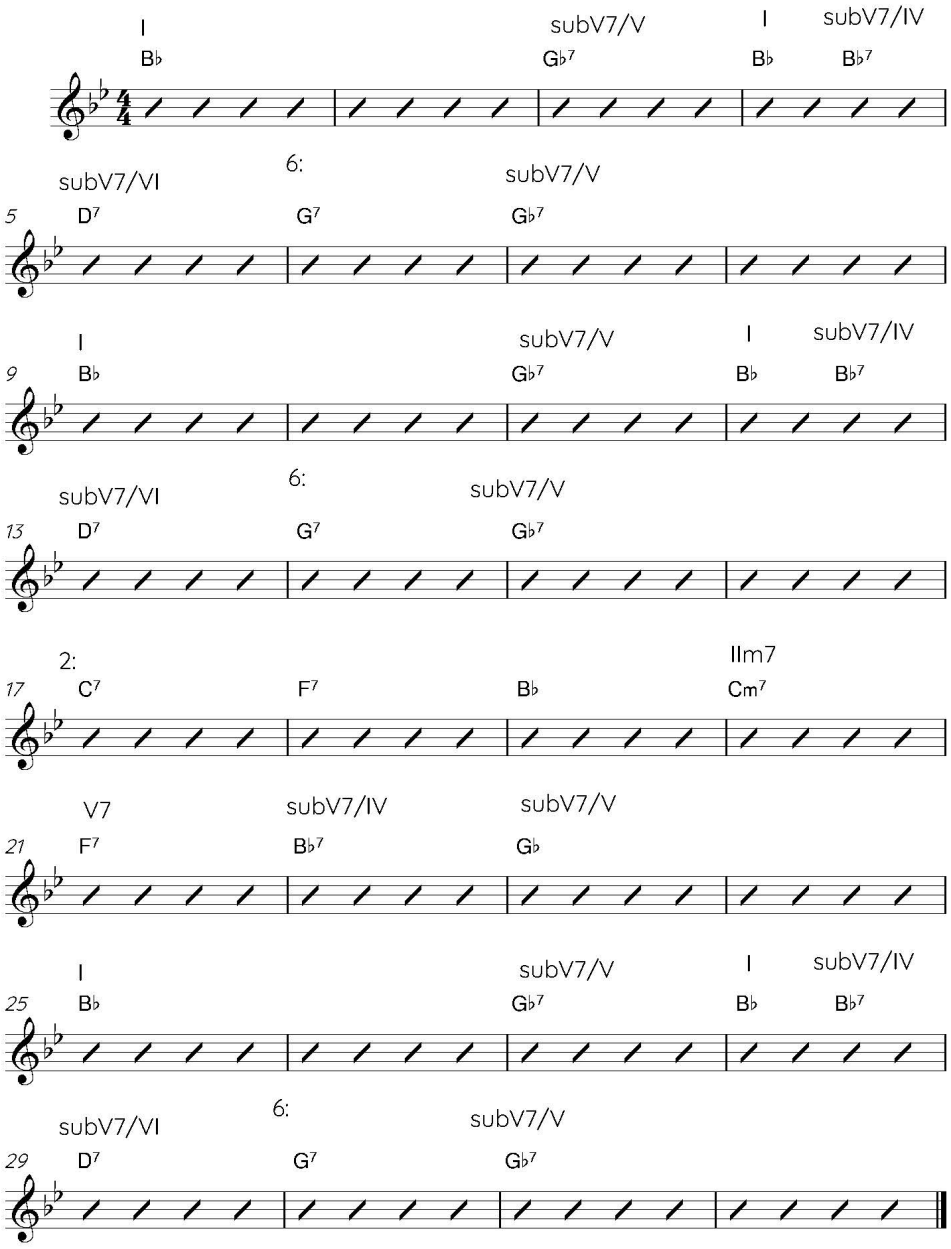

Figure 4.19 : Reharmonization of *Criss Cross* by Gunther Schuller for *Variants on Monk*.

Let us see the chords Schuller wrote in the key of B♭ major (Figure 4.19). It has been mentioned earlier that except for Variant 2 which lacks a key center at all, all the variants are present in different key signatures. It is crucial to state that the functions stay the same nevertheless. Thus, we will suffice to analyze the chords only in B♭ and let it be known that the same analysis would apply to the other parts that are presented in different keys as well.

As a general observation, it can be said that Schuller left the larger harmonic areas relatively the same as that of Monk's original version, yet made extensive additions of substitute chords that those areas have become much blurrier than the former. Let us investigate the first four bars of Monk's and Schuller's versions. The overall harmonic motion in both of them starts with B♭, the I chord, followed by a motion that will lead to the dominant area in the second four bars. Where Monk takes us directly to F7 in bar 5 by a B^{o} chord, Schuller constantly teases the dominant area yet never arrives there. He accomplishes that by placing a G♭7 in bar 3 going first to B♭ and then to B♭7, subV/IV in bar 4 yet it never leads either to V or IV but to D7, V7/VI. As can also be observed in the progressions used in *Conversations*, sequential dominant chords with an interval of 3 in between seem to be frequently used by Schuller. Here, it is used as an initiator of a chain of dominant chords, for it leads us to G7, and then to G♭7, which are identical with the original chords. One last significant difference between these first 8 bars can be identified in bar 8, where Monk used again an F7 chord to lead us back to B♭ in bar 9 as opposed to Schuller's continuation of G♭7 for yet another bar, having it lead to B♭ instead of V7, another use of dominant chords a 3rd away from each other. After the restatement of the A section in bars 9-16, Schuller's B section in bars 17-24 can be interpreted as a "detour", so to say, of Monk's original chords. Note here also, that Schuller extends the B section to consist of eight bars, compared to Monk's unconventional 6-bar B section. Yet still, this detour is done by quite a simple derivation in Monk's chords. Schuller simply changes the first Cm7 to a C7 chord and leaves the second Cm7 as it is. This way, the progression has started as another chain of dominant 7ths followed by a IIm7-V7-Imaj7, leading yet again to G♭7 in bars 23 and 24 to take us back to B♭ in bar 25 to start the final statement of the B section of the AABA song form. Notice the frequent use of G♭7 resolving to the I chord.

The same AABA song form of 32 bars and the same chord functions show themselves in Variant 3 and 4 in the keys of D major and A major respectively, thus requiring no particular discussion. Let us now direct our attention to Variant 2 where Schuller truly applies his Third Stream style to Monk's jazz tune, abandoning the tonal harmonic structure entirely and using the motivic elements as pitch-class sets to create a grand soundscape weaved with a serial texture. Before going in-depth, let's first examine the original melody (Figure 4.20).

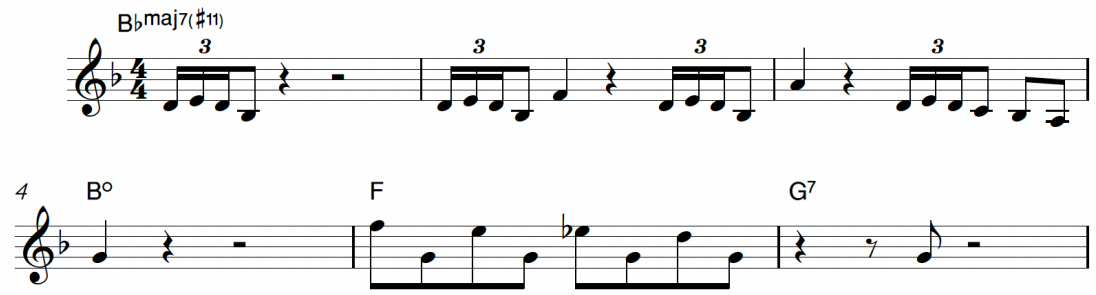

Figure 4.20 : The A section of *Criss Cross*.

The first passage has a call-and-response quality which in the initial phrase of the first four bars, repeats a motif of D-E♮-B♭ three times, going to F, A and G above respectively as the "call". Intervals of M2, M3, P5, M7 and M6 can be identified here. It then goes half-step down from F to D in its "response", adding the G an interval of m7 below the initial F-note in between each half-step note. Here, featured intervals are m2, m7, M6 and m6. In the B section (Figure 4.21), the latter motif is varied; it goes half-step down from G to F with the B♭ below inserted between each note. Here the significant intervals are m2, M6, m6 and P5, none that have not been mentioned in the A section.

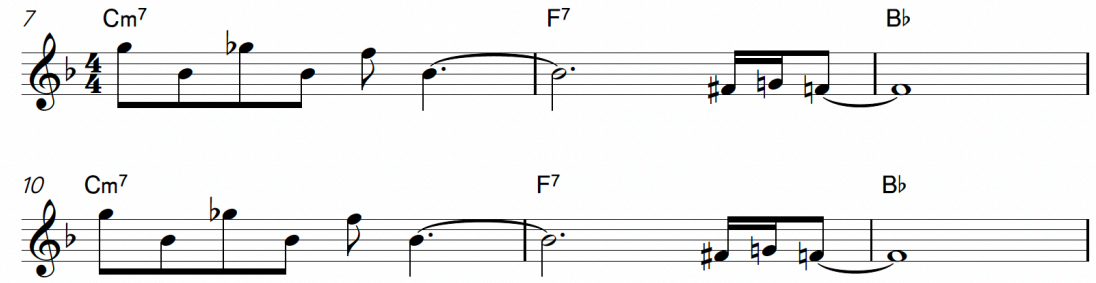

Figure 4.21 : The B section of *Criss Cross*.

Going back to Schuller's Variant 2, when searched for, finding intervallic relationships that seem to be drawn from the original melody discussed above would not be too wearisome. A good observer would immediately recognize in the very first bar two occurrences of M7 interval, one in violins 1 and 2 with E♭ and D, second in flutes with B♭ and A, the very first realization of the interval in the original melody. Now that we are once again in serial territory, let us call it interval 12 or interval class 1. A third

occurrence comes right after in bar 2 beat 2a[10] played by the guitar with a cluster of E and F, this time in the shape of interval class 1. In bar 2, the first flute goes to G♯, preceded by a short step up from B♭ to B♮. The short occurrence of B forms another interval class 1 with B♭, symmetrical to the former. G♯ forms an interval of m7, interval 8 or interval class 2 in Strauss' terms, with the same B♭, introducing a second prominent interval from the original melody. Meanwhile, in bar 2, the violins go to yet another interval class 1, D and C♯. The D in the second violin builds an inversional symmetry with the E♭ coming in bar 3a beat 2 of the guitar. The 16th-note embellishment at the end of bar 2b of the second flute also consists of two instances of interval class 1 in the pairs of F♯-G and B-C (Figure 4.22).

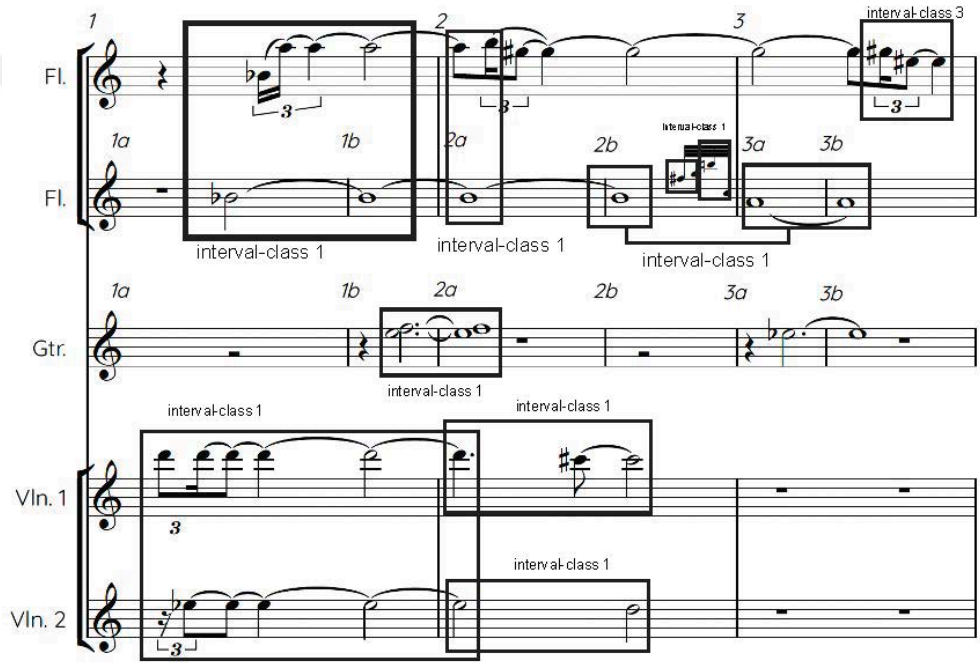

Figure 4.22 : Bars 1-3 of *Variants on Monk*, Variant 2.

To come to a generalization out of these first few bars, it can be stated that the composer chooses two inversions of interval class 1, which are interval 1 and interval 12, to establish the overall texture of the variant. Other intervals are scattered through,

[10] Regarding the rhythmic structure, Schuller uses a similar technique here to in *Conversations*, that is, writing relevant instruments in double-time and others in normal time, thus two bars of double time equaling one bar of normal time. Since the score in use does not provide bar numbers, the author of this thesis found it appropriate to also adopt Schuller's method of numbering the double-time bars he used in the previous score, referring to them as "1a, 1b, 2a, 2b…" to be aligned with the corresponding normal-time bar. E.g. While the D-note in the first flute part that comes on "bar 7 beat 4" will be referred to as such, the F♯-note that comes in the second flute in the same area will be referred to as "bar 7b beat 3".

perhaps even left to arise merely as eventualities while different transpositions of interval class 1 juxtapose. More examples may be found if looked for: The gesture in bar 5 that the viola and cello play in unison mirrors the motif from the original melody in its realization of D-E♭ and B♭-A for one (Figure 4.23). In bar 7 two of them are interwoven in a relatively subtler way, where the D in the upbeat of bar 7 beat 4 of the first flute pairs with C♯ of the first violin in the preceding upbeat as well as the F♯ in bar 7b beat 3 of the second flute with the G in bar 7 beat 4 of the second violin (Figure 4.24). The piano in bar 11a beat 3 explicitly plays an interval class 1 in C and B and so on.

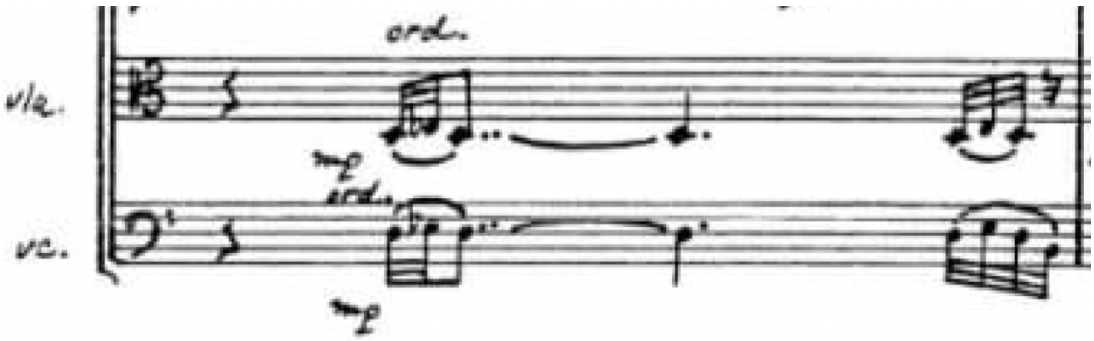

Figure 4.23 : Bar 5 of the viola and cello parts of *Variants on Monk*, Variant 2.

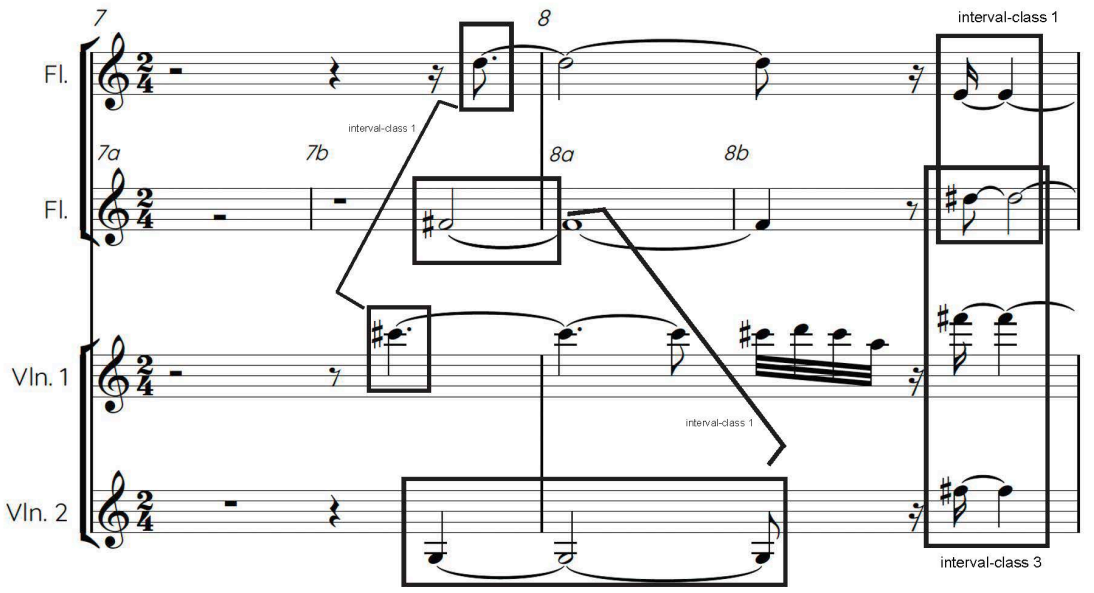

Figure 4.24 : Bars 7-8 of the flute and violin parts of *Variants on Monk*, Variant 2.

There is, however, one other interval that stays somewhat distinctive from the rest yet still prominent: interval class 6, the tritone. The piano plays different transpositions of the tritone subtly, marked with piano dynamic and staccato articulation. They imply

dominant 7th chords which we saw Schuller use while building his harmonic structures, though no chordal relation between different events of the interval can be detected. While the piano provides the most apparent manifestations of the interval class 6, a closer look would reveal other examples. In bar 6, one may be found within a chordal texture worth particular attention. The flutes play G♯ and F♯ while the violins play B♭ and E. The violins within themselves make up a rather clear statement of interval class 6, a unique case in the variant where it is realized by instruments other than the piano. The violins build an interval class 2 while G♯ of the first flute with the B♭ of the first violin constitute a second one and the F♯ of the second flute with the E of the second violin yet a third one, all while the piano plays a second interval class 6 in E♭-A. The unison A-note of the viola and cello forms a symmetrical inversion around itself, with the G♯ of the first flute and the B♭ of the first violin.

Beyond the individual intervallic events, Variant 2 develops in such a way that the abstract texture which only introduces particular intervals, comes to a point where more tangible motivic elements from the original theme can be heard more and more clearly. The motif of viola and cello in bar 5 mentioned earlier is the first example of this explicit motivic statement. It repeats in bar 8 in the first violin and twice again in viola and cello, in bars 10 and 11. The motif related to the B section of the original melody can be identified in bar 11b in the alto saxophone, although it is not an exact transposition of the one in *Criss Cross*. Schuller has it start again with an interval of 12, C♯ and the lower D, and the higher C♯ move half-stepwise down to B. Even though it is not the identical motif from Monk's tune, one would recognize it to be similar if one had listened to the original before (Figure 4.25).

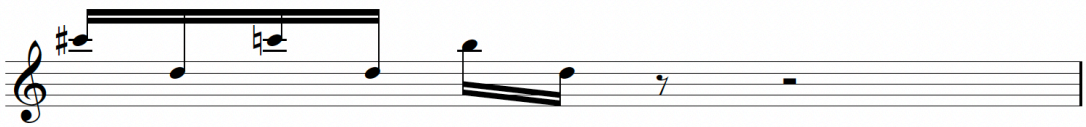

Figure 4.25 : The figure played by the alto saxophone in bar 11b of *Variants on Monk*.

Another, more extended variation on the motif comes in the flutes, in the upbeat of bar 12 beat 4. Here, Schuller starts with a G and B♭, an interval 10, although this time, instead of having only the upper notes go half-step down, moves both the lower and upper notes toward each other in half-steps, making the motif close up onto itself (Figure 4.26).

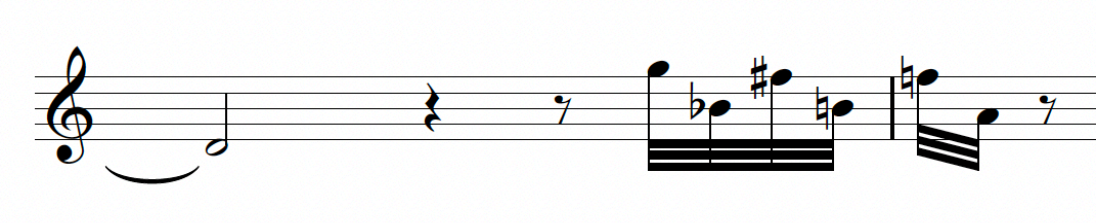

Figure 4.26 : The figure played by the flute, bar 12 of *Variants on Monk*, Variant 2.

The last five bars, 16-19, are what can be thought of as a climax in that the prevalence of the same motif is at its highest: Four versions of the same motif by four instruments, joined by a fifth, the alto saxophone, in bar 18. The flute this time expands the motif as opposed to having narrowed it before, having upper and lower voices move half-step up and down respectively, widening the initial interval 7 to interval 9; the guitar has the motif starting with an interval 11 in G♯ and A; first and second violins doing the same in F♯-G and C♯-D respectively. Schuller constructs the rhythmic juxtaposition here in such a way that the outcome is a relatively tight texture, the now very familiar intervals perceived almost as if they are in random order or in free time.

For the last bit of our discussion on *Variants on a Theme of Thelonious Monk*, let's investigate the introductions and endings of Variants 1 and 4 to see how they relate to the harmony established in Variant 2. Variant 1 starts with a fragmentation of the two main motivic elements of the melody distributed over the ensemble. It starts with the motif that has a 16th-note triplet going between D and E♭, then down to B♭ and up a M7 to A. The immediate introduction of the interval class 1 both in the form of D-E♭ and B♭-A is apparent. The motif repeats in bar 3 by the guitar and the cello, this time ending in A♭, forming another interval class 1 with the ending note of the former motif, A. It keeps repeating, ending in F and F♯ to build yet another interval class 1. In bar 5, these intervallic pairs come together in a loud statement of the juxtaposition of the interval class 1, constructing a chord. Over it, the second motif is introduced in the melody, performed in unison by the vibraphone and the flute. This statement is yet another derivation from the original one, in which both the lower and the upper voices move half-step down, starting with C in the upper voice and E♭ in the lower. A more exquisite relation lies in that the E and C♯ which come in the first and second double bass in bar 5 beat 4 and last until bar 8 beat 4 have the intervallic relationship of 1 with the melodic notes of E♭ and C respectively, which are the starting notes of the second

motif, coming in bar 7 beat 1. Thus, Schuller establishes both the serial harmonic elements and the motifs in the introduction of the first twelve bars of the whole piece. The ending of Variant 1, after a series of improvised solos, goes back to the opening motif of the melody, recurrently turning into a chordal structure that consists not only of interval class 1 but also a clear occurrence of interval class 5, P5 intervals, as inverted P4's.

As for Variant 4, its introduction surprisingly remains distinctive compared to what we have seen until this point. Even though the sparse texture resembles that of Variant 2 and the introduction and ending of Variant 1, the harmonic construction has quite different features. While the vibraphone again refers to the motifs from the original melody, the strings hold a chord that can be interpreted as a C7#9 chord, meaning that it includes both the scale degrees ♮3 and ♭3, in bars 2-6, a characteristic of Schuller that we've previously seen several times. Then with subtle changes, the strings build an A major chord with an F in the bass, resulting in an Fmaj7#5 sonority. The very last chord, heard quite shortly in the latter half of bar 11, with the inclusion of a high C in the flute, we do hear an interval class 1 with the C in the flute and C♯ in the second violin. Similarly, the F in the double bass and the E in the first violin give us a second interval class 1 and most remarkably, the A note of the cello and the D♯ of the viola form an interval class 6, the tritone. Thus, the piece comes to an end with an occurrence of voicing of two interval class 1 and one interval class 6 simultaneously, the two most significant interval classes of the entirety of Schuller's interpretation of Thelonious Monk's *Criss Cross*.

We have now seen Schuller's approach to a standard jazz tune and how he adapts it to fit with his unique Third Stream style. This work of his has a particular importance in that it shows how he is able perceive a given piece of music both in terms of its functional harmony and revise it to his own liking but also to look out for its serialist potentials, divorce it from its original context and put it into an entirely new one. Now, in our last analytical discussion, we will attempt to see how Schuller deals with the technical and musical confines, combining two distinctive genres of music and naturally bringing a larger context, that is, an orchestra.

4.3 Analysis 3: Variants for Jazz Quartet and Orchestra

Variants for Jazz Quartet and Orchestra, written also in 1960, was recorded in 2008 by the Boston Modern Orchestra Project conducted by Gil Rose. The jazz quartet who joins the orchestra are Edwin and George Schuller on the double bass and the drums, who are the two sons of Gunther Schuller himself, along with Tom Beckham on the vibraphone and Tim Ray on the piano. The piece consists of seven parts, the first of which is what can be called a "main theme"[11], followed by five variants and a "Finale". The same lineup of the jazz quartet used in *Conversations*, consisting of piano, vibraphone, double bass and drums is also utilized here. Schuller seems to combine the commonly used classical form, theme and variations, with the common performance practice of jazz where after a main theme or the "head" is stated, each instrument in the group takes up a solo. Here, it comes with a twist in that the head adopts serial harmony and has a sparse texture. In each of the first four variants, one instrument of the jazz quartet is brought to the forefront, the orchestra taking up an accompanimental role. The jazz quartet never plays as a full band in their "solos". The respective leading instruments are either left alone, accompanied by only the orchestra or joined by only a second quartet instrument. The exception is Variant 5, where one may comprehend that the jazz quartet itself is in the spotlight in its entirety, having finished their respective solos. However, in contrast to how it would probably be in a usual jazz setting, the "solos" are not improvised, making this the only piece without any improvisation at all among the other three in the subject.

The main theme functions as an introduction to the harmonic world of the piece right from the beginning. With its sparse texture and slow tempo, it is a large statement for the jazz quartet to develop upon in the following sections. It only gets relatively faster halfway through, to also introduce the swung rhythmic character which we have only been teased earlier in the introduction whereas later in the section, the swing rhythm is much more prominent and supported by the brass section which from time to time resembles that of a big band with loud "hits" and swung block-chords.

The basic serial material is introduced right from the top. The first seven pitch classes of the series can be heard one by one, whereas the remaining five come simultaneously.

[11] Unlike the following respective variants and the Finale which are labeled on the score as such, the first section is not given a label. Thus, the author of this thesis, for the sake of practicality, found it suitable to refer to this first section as the "main theme" throughout the analysis.

A B♮ by the first horn, followed by a G and B♭ by the violins and the first clarinet, preceding a C♮ and C♯ in the lower register, played by the celli, the double basses of the string section, the harp and the bass clarinet. The initial B♮ is long enough to disjunct with the B♭ and the C♮, introducing the interval class 1 which will be one of the most prominent interval classes throughout the piece, similar to the previous pieces. The notes heard until this point, in the first two bars, are B-G-B♭-C-C♯, giving us a pitch-class set of [E, 7, T, 0, 1]; [7, T, E, 0, 1] in normal form and (01236) in prime form. If we include the G♯ and A which are heard in bar 2 beat 4 of the viola and the bassoon, we have a chromatic structure from G to C♯. Adding the F and G♭ of the violins and flute, the D of the trumpet and the E♭ and E♮ of the 2nd bassoon and the violas in bar 3 beat 1, we have all of the 12 tones of the chromatic scale composed into a row which may be shown as below (Figure 4.27).

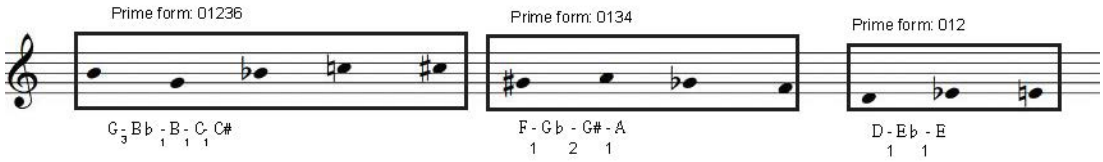

Figure 4.27 : The 12-tone row of *Variants for Orchestra* and characteristic groupings that are frequently used in the piece.

Note that contrary to the case in *Conversations*, here the exact order of the series as it appears in the figure above is important. Even though here the E♭, F, G♭ and D are introduced simultaneously, making it rather tricky to decide on the order that Schuller intends, later sections will reveal that he, indeed, uses this very row in this particular order. The set class (01236) which makes up the first five notes of the series is one that will draw the most attention throughout the piece, in different transpositions. The next four pitch-classes, G#-A-F♯-F♮, form the set class (0134) which is another set class that we will see to have been used individually. The last three pitch classes, D-E♭-E, form a small chromatic figure that can be shown as (012). Notice the frequent use of the interval class 1 in the entire series. The first set class drawn from the series, (01236) consists of one interval class 3 preceded by three instances of interval class 1. The second set class, (0134), is essentially two interval class 1 with a distance of two semitones in between them. It may also be regarded as two pairs of interval class 3 intertwined, with a distance of one semitone in between each pair. The last set class is

itself a chromatic figure of three notes. To better illustrate this, the figure below which shows the intervallic relations in the series may be observed (Figure 4.28).

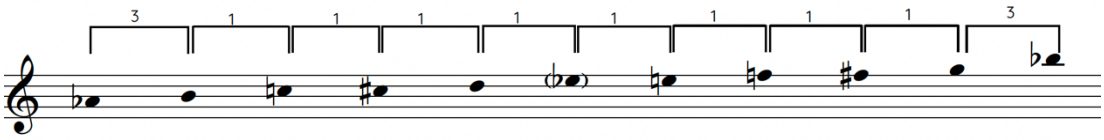

Figure 4.28 : The frequently used intervallic relationships in the row of *Variants for Orchestra*.

Let us look at other connections that may be drawn from the first few bars with the pitch-class set found. Several pairs of interval class 1 are quite apparent. The C played by the cellos, as well as creating an interval class 1 with the B of the first horn, forms yet another one with the C♯ that comes immediately after it in the double basses and harp. The G♯ and A in the triplet in bar 2 beat 4 of the violas and the bassoon, F-G♭ of the violins and flute; E♭-E♮ of the violas and the second bassoon in bar 3 beat 1; D of the first trumpet both with the aforementioned C♯ and E♭ are other instances of the interval class 1. The way the pitches are grouped either in register or in instrumentation makes them stand out in pairs, making the whole chord sound like a superimposition of several instances of interval class 1 (Figure 4.29).

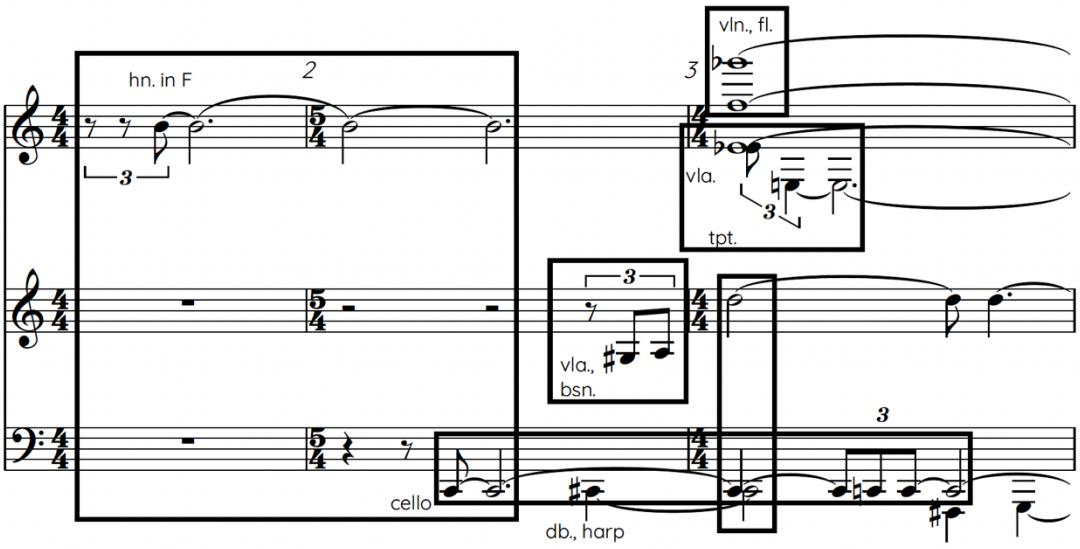

Figure 4.29 : Instances of interval class 1 in the first three bars of the main theme of *Variants for Orchestra*.

Quite an explicit statement of the set class (01236) is heard in bar 3 beat 2, played by the second flute. It is stated in the order it appears in the original series, this time at T_9,

starting from A. A remarkable difference from the previous is that while the pitches were scattered through three octaves and several bars in the initial set, this time they are compressed into one octave and one beat, allowing for its bluesy quality to stand out. As we have already seen in *Conversations*, Schuller devises his series and set classes to form a kind of "blues scale", a derivation of it if not exactly itself, that makes use of both scale degrees ♮3 and ♭3. Throughout the piece, the set class (01236) will be seen to be used in this manner frequently. The series at T_9 is completed when F♯-G are heard in the lower register, coming from the double basses and tuba in bar 3 beat 3 and 4, followed by E♮-E♭ of the celli and the horns in bar 4 beat 1 and C♮-C♯-D in beat 2 of the same bar, coming from the same instruments. Another related set class may be drawn from the celli in the C which lasts from the upbeat of bar 2 beat 2 all the way to the first note of the 8th-note triplet in bar 4, followed by the E♮ and E♭, creating yet another set class (014), inverted. The pair of E♮ and E♭ are joined by a G in the very end of bar 4, the three pitches sounding simultaneously, forming the pitch-class collection of [0, 3, 4], an inversion of the set class (014) at T_3I (Figure 4.30; 4.31).

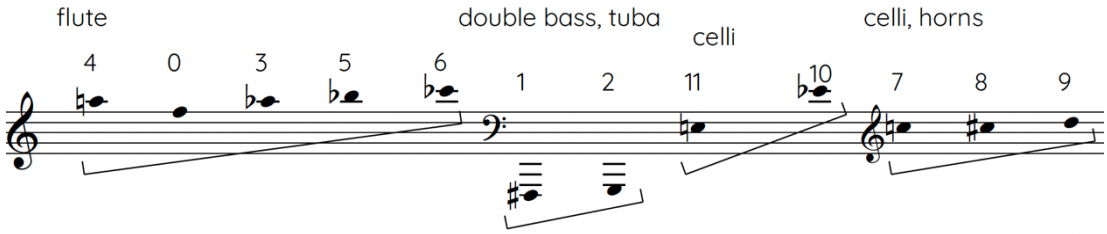

Figure 4.30 : The row in *Variants for Orchestra* at T_9 is scattered through instruments.

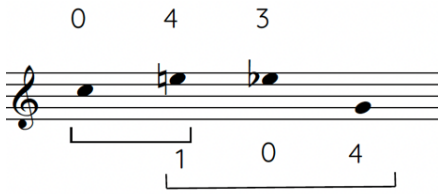

Figure 4.31 : Other set classes of (014) in *Variants for Orchestra*.

Even though not as discernible as the examples shown above, a few other relations are spotted in the introduction. One is in the harp and the first and second trumpets in bar 3, where C♯ is followed by E in the harp, while the trumpets play D and F simultaneously. Together, these four notes form (0134), a set class detached from the original series, transposed at T_2. They are grouped to form two sets of interval class of 3 in the respective instruments. (Figure 4.32).

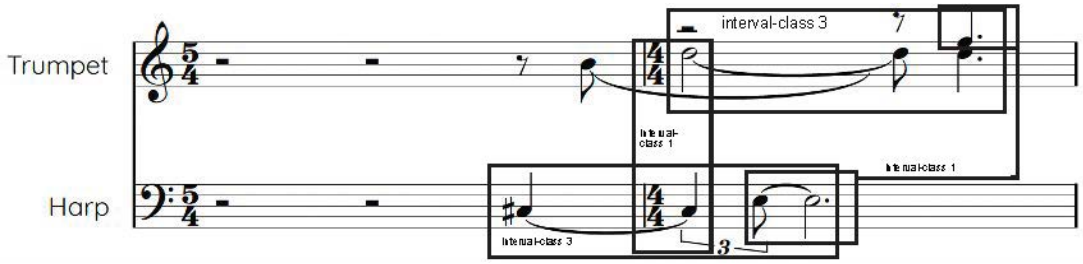

Figure 4.32 : The trumpet and harp in bars 2 and 3 of the main theme of *Variants for Orchestra*.

The second example of the series is found right after, starting in bar 5, transposed at T_8. The first four pitch classes, G♯-E-G♮-A are sounding together in the harp, the trumpets and the trombones in the upbeat of bar 5 beat 4, ordered as they appear in the series from the bottom up. The next two pitch classes, B♭-F are given to the clarinets in bar 6 forming an interval of P5, lasting for only an 8th note less than two bars. G♭ and E♭ enter respectively in the violas as the former two pitches still last, followed by a high D by the violins in the upbeat of bar 7 beat 2. The last three chromatic notes of the series are compressed in their register but scattered through instruments and a relatively large duration. The B comes in bar 7 beat 4 in the oboe and lasts for two beats, going up to C in bar 8 beat 1. Notice that bar 7 is in 5/4. In the upbeat of bar 8 beat 1, the violins move chromatically down from D♮ to D♭, clustering with the C of the oboes. Thus the series is heard in its entirety yet a third time already, 8 bars into the piece (Figure 4.33).

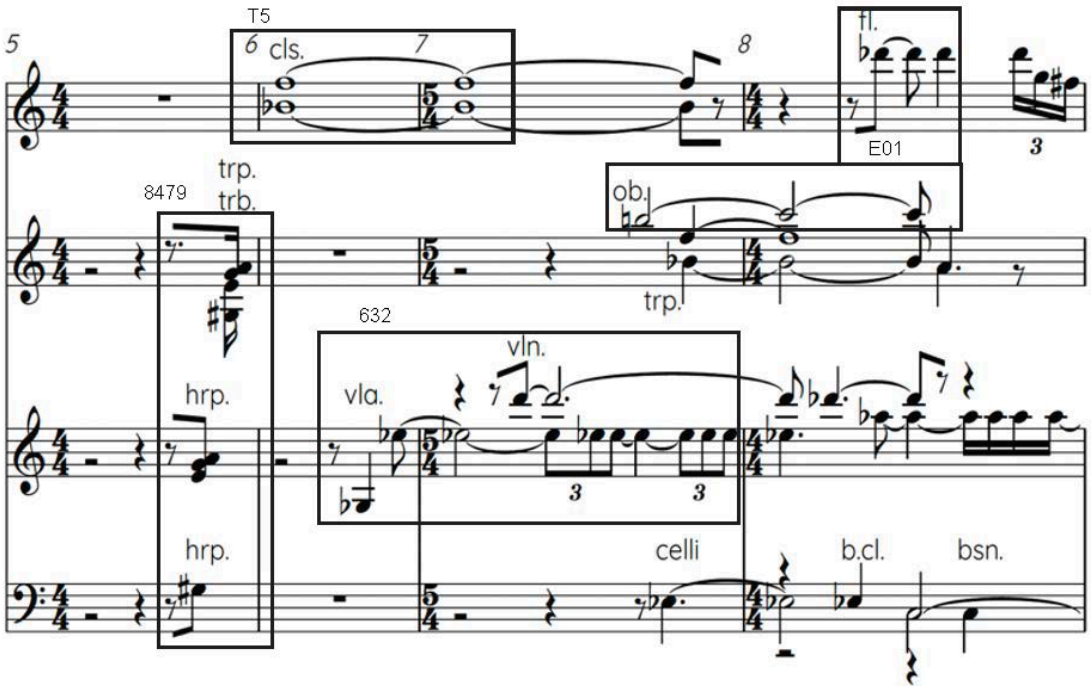

Figure 4.33 : The 12-tone row, as it appears in bars 5-8 of *Variants for Orchestra*.

Notice that Schuller groups the series in a relatively different way from our explanation of it above. The characteristic ordering of the interval classes 3 and 1 is still there, in the initial [0, 3, 4, 5] set in the harp and the trumpets in bar 5 although the next note B♭ is grouped with F to form the interval class 5 or a P5. The G♭ that comes next makes a rather large leap of 21 semitones, going to the E♭ two octaves above. The last four pitch classes, D♮-B-C-D♭ can be considered to form a chromatic group, in a higher register. While different groupings of the same series are what provide many serialist pieces with their broad sound world, the grouping previously made will prove not to be an arbitrary one as its intervallic values will be found to be used frequently throughout the piece.

Now that we have defined our series and grasped the idea of how Schuller uses it, let us not bore ourselves with picking out every single instance of it and instead jump forward to the part where the swing groove becomes rather prominent and the brass section functions as a big band to see how Schuller utilizes the defined pitch material to achieve a "jazz sound".

The first instance which strikes the listener as resembling too much of a big band comes in bar 16 (Figure 4.34). The trumpets and trombones play a homophonic little gesture in big band style. The swing feel is attempted to be achieved by the use of triplets, in this case in 16th notes as the tempo is still too slow, quarter note equaling

52, making a 16th-note triplet barely sound like a medium swing. The interval class realized by the first trumpet is now a familiar one, going chromatically up from A to B. The pitch-class set is 012, a subset of the set class (01236). The second trumpet plays G♯-G-E, an inversion of 014 at T_8I. The third trumpet plays C♯-C♮-D♯, which makes 013 when ordered in prime form. This is a set frequently used by the composer, as seen in *Conversations*. Even though we have not paid attention to the entirety of the piece, prior instances did occur, such as the figure B♭-C-D♭ in bar 9 beat 2 of the horns, C-B-B♭ in bar 12 beat 2 of the first clarinet and E-F♯-G in bar 14 beat 2 of the violins which is an inversion of the set in T_4I. Its relation to the blues sound that Schuller is trying to achieve has been discussed in the analysis of *Conversations*. Finally, the trombones play D-F♯-F♮, [0, 3, 4], yet another (014) at T_2I. If we consider how they are ordered vertically, we see that the first chord, A-G♯-C♯-D, is comprised of two interval class 1, seven semitones away from each other. The second chord, B♭-G-C-F♯ is [F♯, G, B♭, C] in normal form of which its first three pitch classes are an inversion of (014) at T_6I. When C is included, it resembles a minor blues scale with the scale degree 7, leading to G, the tonic. Moreover, G-B♭-C is a subset of our initial pitch-class set of (01236). The last chord, B-E-D♯-F, has three chromatic notes with an added B that is 5 semitones away from E.

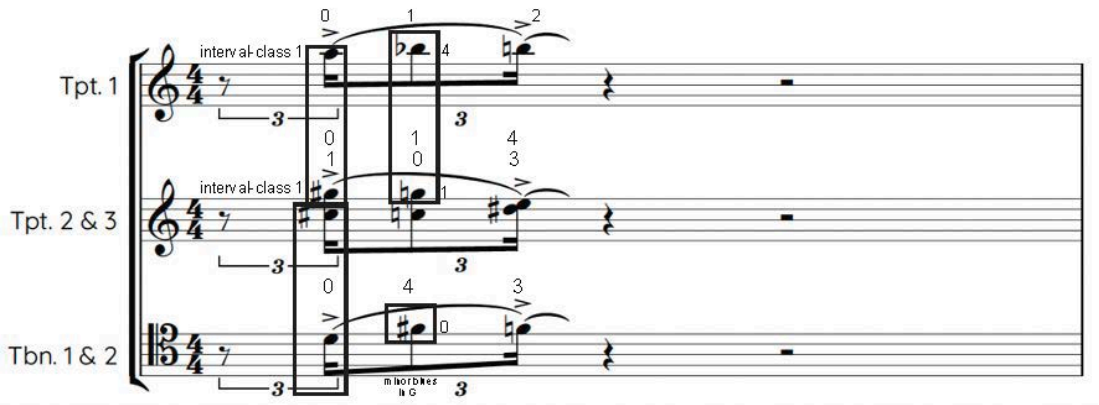

Figure 4.34 : The swing gesture in bar 16 of the main theme of *Variants for Orchestra*.

The first area where we rest on a swing groove for a relatively longer time comes in bar 26, where a series of syncopated chords for two bars are realized by the brass section, all while a solo double bass of the string section, instead of that in the jazz quartet, plays quarter notes in walking bass manner and two percussionists share a

swing groove where one plays "sock cymbal"[12] on beats 2 and 4 while the other plays a regular swing groove, notated with triplets on suspended cymbal. Let us remind ourselves that the tempo had increased to a quarter note equal to 104 in bar 21, which here made a regular 8th-note triplet sufficient to convey a swing groove, instead of the prior use of the 16th-note triplet. Here, one crucial aspect must also be underlined which is the fact that the jazz quartet never appears in this first section, the main theme. The piano will enter the very last bar, to give a solo headstart to Variant 1. So in the area discussed, the "jazz sound" is achieved by leaving the brass section, percussion and a solo double bass alone while the other sections rest, except for a small gestural figure in the violin part, in bar 28.

The progression under investigation provides us with chords that are worth having a closer look at, as they can be defined, in a context, both as serial pitch-class sets and defined, tertiary chords that are in relation to each other. The first chord, E♭-F-G-G♯-B from the bottom up, which comes in bar 26 beat 3, is such an example. If we regard it as a pitch-class set, its prime form would be (02458). The last three pitch classes give the subset (014) at T_7I. The pitch-classes 2, 4 and 5 are an inversion of (013) at T_5I. The pitch-class 0 may be regarded as an extension of the set, making it (0135). The same collection of pitches may be also be defined as an Fm9♭5 chord. The second chord, D-F-A♭-B♯ (C)-C♯ from the bottom up, gives us (01258) in prime form. The subset (012) is a chromatic collection we have encountered before. If we extract the latter three pitch classes which are 2, 5 and 8, we have the subset (036). The chord may be defined as another half-diminished chord, Dm7♭5 with an added C♯, a minor 3rd below the initial one. The third chord, C-E♭-F♯-A-D is formed by putting three interval class 3 on top of each other, creating this time a D7♭9 chord, sharing the same root with the previous Dm7♭5 chord. The normal form is [0, 2, 3, 6, 9] which gives a very similar structure to the previous chord in that the pitch-classes 3, 6 and 9 are a transposition of (036) at T_3. The next one, B♭-D-F-A♭-B-D♯, may be defined as a B♭7(♭9,11) chord, again a major 3rd away from the D7♭9. In normal form, its pitch classes give us [2, 3, 5, 8, E, T], which involves two transpositions of (013), one at T_2 and the other at T_8. The penultimate chord, A♭{G♯}-D-F-B-E, can be considered to be

[12] Hi-hat.

an E7♭9 chord, moving a tritone from the preceding chord. Ordered in normal form [D, E, F, A♭, B], an inversion of (013) at T_2I as well as a transposition of (014) at T_4 can be found. Lastly, the final chord of the progression, B-G-E♭-F-A-B♭-C-D-F, is a tricky one to define although it creates a C minor chord, with a scale degree ♮6 and involving both the scale degrees ♮7 and ♭7. Its prime form is (023579TE). Its scale quality makes it hard to discern it into pitch-class sets, although the general sonority that makes use of interval classes of 1 and 3, the set classes of (013) and (014) can be detected within it.

Let us jump to the ending of the main theme. We see a dense texture built from interlacing a single melodic line on top of itself, played by the woodwinds and the violins, divided into four, rhythmically juxtaposing the said melody in a way that it cannot be distinguished on its own, weaving a tense texture. In contrast, the brass and the double basses play loud, homophonic and syncopated chords, still in a big band manner and the percussions keep the swing groove. The melodic line is shown below (Figure 4.35).

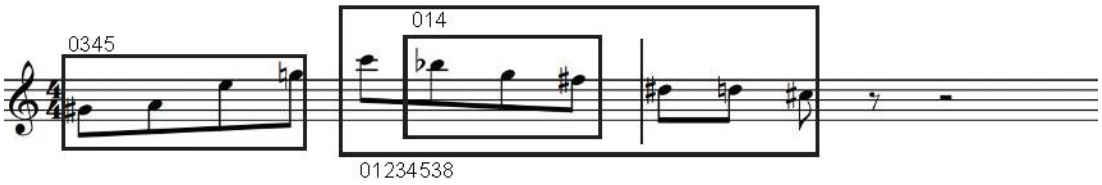

Figure 4.35 : The melodic line, from bar 68 to the end of the main theme of *Variants for Orchestra*.

The first four notes, when ordered in normal form, can be identified to be [E, G, G♯, A]. This set class may be regarded as a subset of the set class (01236). The remaining notes bear two more versions of the same set. When ordered in normal form, the relation is much clearer. F♯-G-B♭ is set class (014), transposed at T_6I while G-B♭-C-D♭-D♮-D♯ gives the set class (012358). Even though the pitch-class 4 is missing to make it chromatic, the relation is still clear (Figure 4.36).

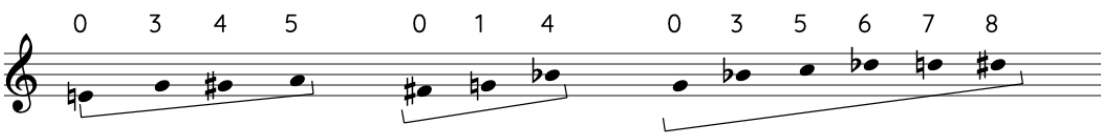

Figure 4.36 : The pitch-class sets in the melody in *Variants for Orchestra*.

In the very last bar, the melodic line joins with a shorter melodic gesture in the brass section which uses the four notes of the original series that provide its bluesy sound.

Variant 1 has the piano as the solo instrument of the section. It starts with quite an explicit statement of the series in its original transposition, starting on B♮. This time it is realized by the piano, not with sparse notes with each coming from a different instrument in the klangfarbenmelodie manner of the main theme, but with all its bluesiness, in a laid-back swing feel, shown on the score with triplets as usual and using the C as a grace note that goes to D♭. The first five notes of our original row that are presented here are B-G-B♭-C-D♭, the set class (01236). The tempo is still relatively slow but as fast as to allow an easy, relaxed swing; quarter note equaling 60. While the section starts, the strings play a soft chord after the first bluesy phrase of the piano. The chord, coming in bar 2 beat 4, consists of C-D♯-B from the bottom up and forms an inversional symmetry of [G-B♭-B] around B, our original set class (014). The piano continues with its second phrase, to complete the series, going to G♯-A at the end of bar 3, sounding G♭ and F together at the end of bar 4 and going to D-E♭-E♮ while the G♭ is held. All the while, the strings create another transposition of (014) at T_2 in bar 4, going to D♭-F-E from the bottom up. This set, while indeed creating a second [0, 3, 4], is also a subset of the inversed series around B, used in the first string chord. The third chord which comes in bar 5, coincides with the ending of the original series played by the piano, consisting of the pitch-classes A♭-G♭-A♮-F, creating the set class (0134) in its original transposition (Figure 4.37). This set class has been mentioned before in our description of the series. In bar 6, it goes to yet another transposition of the same set class again at T_2, giving us the pitch-classes A♭-G-A♮-F from the bottom up. We may remember this having occurred before in the main theme. Another chordal set class (0134) is again in the piano part, in the phrase that starts in bar 5 and goes into bar 6. The notes D♭-C-B♭-F♯-G-A♭, form the said set class with the pitch-classes G-A♭-B♭-C, surrounded by interval class 1 with F♯ at its bottom and D♭ at its top. The first notes of the piano phrase, D♭-C-B, also create the set class (01236) combined with the B and G played by the trumpet and the oboe respectively.

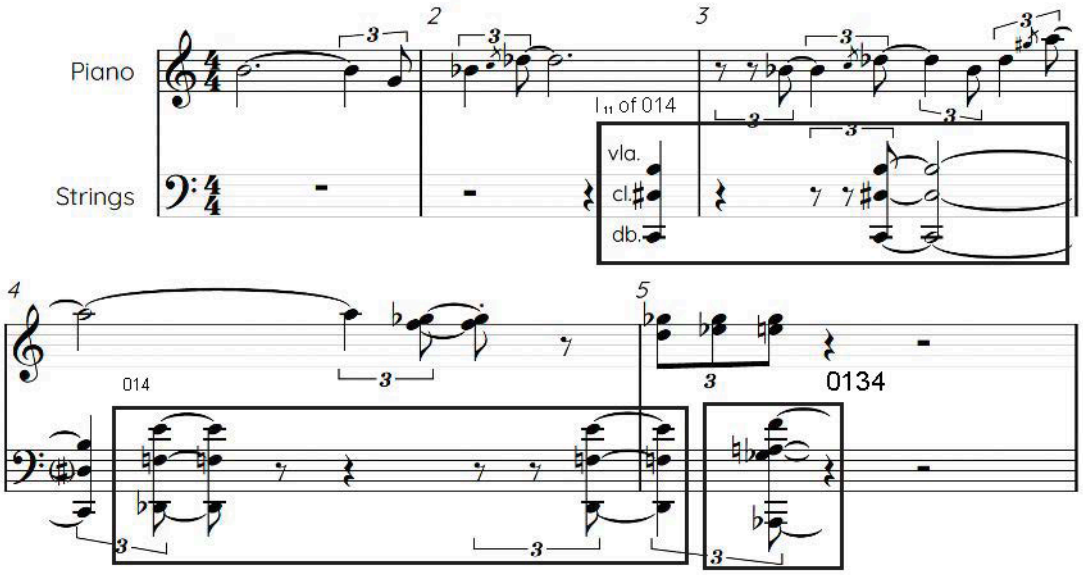

Figure 4.37 : The piano melody and string chords that start *Variants for Orchestra*, Variant 1.

The section develops on the mentioned set classes, making use of several transpositions of subsets of the series, reaching a climax in bar 14. It falls in dynamics and in textural intensity from this point on until the end of Variant 2. A solo oboe and a solo trumpet share a short melodic fragment, seemingly derived from a G minor scale which bears both the scale degrees ♮4 and ♯4, its pitch classes being C♯-A-B♭-C♮-G in the order they appear in the melody.

Variant 2 is essentially a long "walking bass". It makes use of several different versions of the original row and starts with an explicit statement of the inversion of the row at T_9I. Interestingly, the grace notes in the beginning, A-E, are the first and last notes of the row but in reverse order. After the grace notes, the walking bass starts in bar 1 beat 2 with C♯, the second pitch class of the row. The double bass of the jazz quartet plays this introductory part solo, with only a cymbal hit in the upbeat of bar 1 beat 2. The row takes three bars to complete, all in quarter notes, followed by row R_9, the retrograde of the original row starting at pitch-class A in bars 4-6. In bar 7 it starts a downward move from G, first a distance of interval class 3, then a chromatic move down to D, leaping an octave up in the middle, in E♭, and back, forming once again a version of (012347). This hexachordal set class can be regarded to be an extended usage of the pentachordal set class (01236). The drums accompany the walking bass from bar 9, keeping a swing groove, notated once again with 8th-note triplets. From bar 10 to bar 13, a third row is heard, even though its beginning is rather subtle. It is the original ordering, transposed at T_2. The double stops of A-C♯ and D-B♭ contain

the first pitch classes of the row, D-B♭-C♯ when ordered in its original form. Then comes D♯-E-B-C-A♮-A♭-F♮-F♯-G. The B-C repeats twice and a low A is interspersed between D♯-E, yet the identity of the row is not disturbed. The pitch classes in bar 16 into bar 17 beat 1 give us a subset of the reversed transposition at T_2. A solo trombone, clarinet and bass clarinet join later with fast gestural melodies, generally outlining set classes from the original row and harp with occasional chords. With an accelerando in bar 32, the section is carried to a small climax in bar 36 where the strings sound a chord with effective gestures from the woodwinds. The walking bass starts immediately in the very same bar, rounding back to the beginning to repeat the T_9I and R_9. Set-class 01237 me the rest is not the same. R_9 appears twice more after the initial one starting in bars 45 and 51 respectively. The section is carried to an ending more or less in the same manner, to arrive at a chord played softly by the strings in bar 56 beat 4 into bar 57, lasting until its end in bar 62. The chord may be described as two set class of (0123458) superimposed. One is its transposition at T_{10}, namely B♭-C♯-D♮-D♯-E-F and the second is that at T_9, giving us A-C♮-C♯-D-D♯-E-F. The two are a semitone away from each other, causing the former to involve one pitch class less than the latter in its higher end. The double bass plays in triplets several arpeggio-like figures to end its solo from bar 59 beat to the end of bar 60 beat 3. The arpeggios can be defined as B♭7-A-Cm. The last triplet consists of the pitch-classes B-F♯-F♮ which can not be described as a conventional chord. The last note F of the triplet goes downward chromatically to E before a glissando down to E♭ to end the section (Figure 4.38).

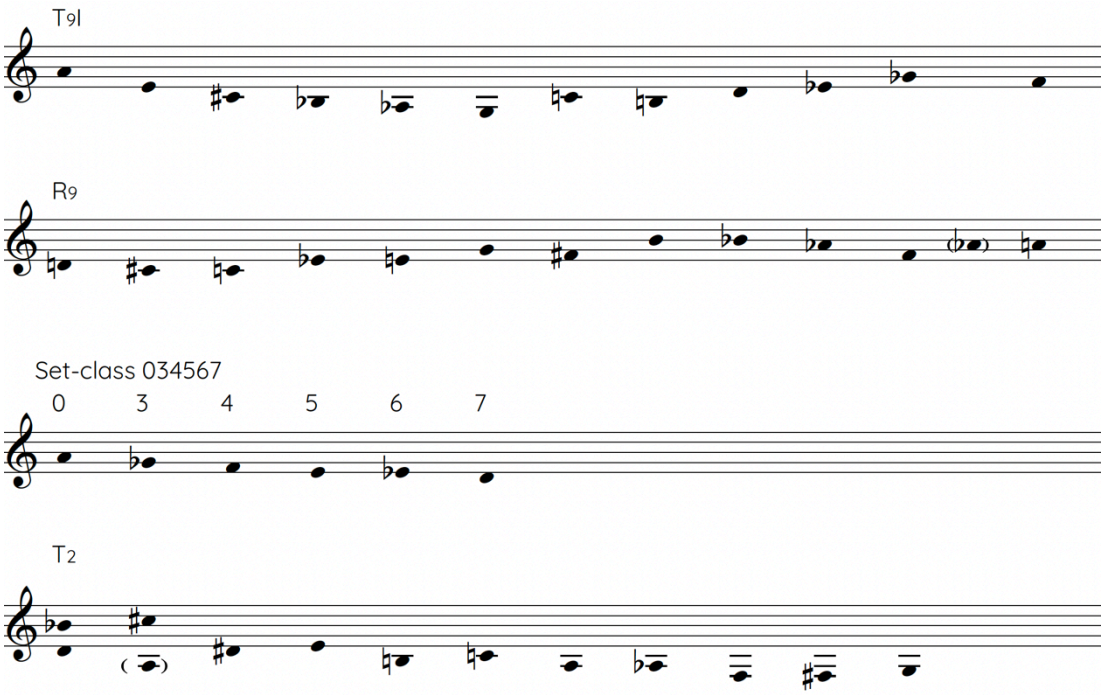

Figure 4.38 : Some of the rows and set classes of *Variants for Orchestra*, Variant 2.

Variant 3 perhaps sounds more like an improvised "jazz solo" than any of the previous ones discussed above. Here, the solo instrument is the vibraphone and it starts its "solo" without any accompaniment at all. It interestingly plays the same arpeggio figure the double bass just played at the end of Variant 2, but transposed a half-step down to start with a G7 arpeggio. The next two chords are F♯-Am and the last triplet figure is A♭-E♭-D which maybe described as 016. This small figure can be regarded as an introduction to the new section, connected with a run upwards to form a chord with sustained notes. The run starts with an interval class 3, shaped by F♯-A, followed by a chromatic move upward to C which again spans an interval class 3, to leap 3 semitones up yet again and end the run on F. The line leaps this time down to F♯ and up two octaves to G. This way, it is still moving in interval class 1, although the last two pitches did not move in chromatic motion. The G is hit simultaneously with a D♭, again leaping 3 semitones up to E. These last three pitches gave us a diminished triad, a chord we have seen Schuller use frequently. The last seven notes are left to ring, forming a chordal structure in bar 2. Notice that the beginning of Variant 3 had no time signature, allowing the vibraphone to play in free time. The composer provided it starting only with the chord in bar 2. The chord consists of all the chromatic notes from D to G, spread across almost three octaves.

While the chord rings, the flute states once again an instance of the interval class 1, in its three transpositions. First a C-B, followed by a G♯-A and A-B♭. Their ordering, C-

B-G♯-A-B♭ may be regarded as the last five notes of the original row, transposed at T_5. The same notes repeat in the vibraphone part, in a different order, this time to form a chord with the inclusion of the violins and the first flute in bar 4 beat 4. This chord, when ordered in prime form will provide a set class of (012347), starting from F. The B♭ at the bottom of the chord played by the violins starts the original row. The only difference is that the composer switched the places of B♭ and B in the original series, to fit it with the previous chord. Schuller is known to allow himself these kinds of liberties in his serial music. As can be seen, the structure of the row is not too much disturbed. He elongates the row with a set class of (01234569) at the top of the melodic line, starting with a G in bar 6 beat 3 and going up chromatically to E. This is another liberty Schuller takes and in fact, one that we have already seen many times. He elongates the interval class 1 in a given set to his liking before concluding it with an interval class 3, to fit it with the regional musical context (Figure 4.39).

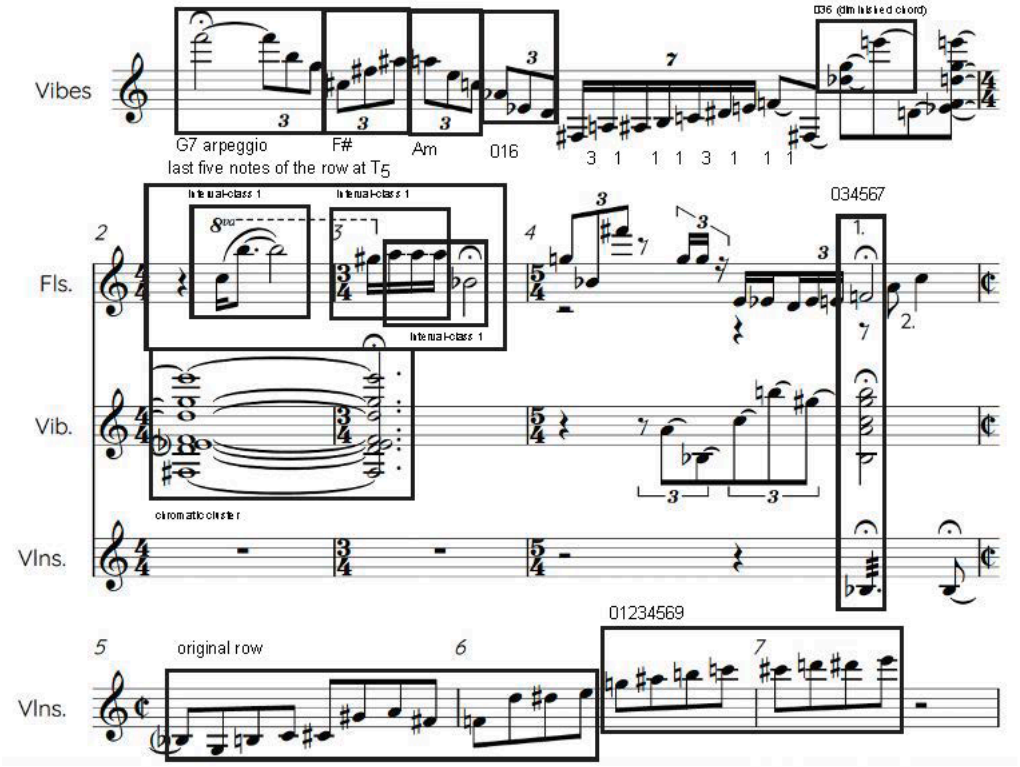

Figure 4.39 : *Variants for Orchestra*, Variant 3, bars 1-7.

Let us move forward to get an overview of the section. The vibraphone plays a solo, almost non-stop. The violins play melodies, interweaving with the vibraphone. The almost improvisational nature of the vibraphone solo in spite of the fact that it is completely written out is worth noticing. The drums keep the swing groove while the horns accompany with chords, later to be joined by the rest of the brass section. The

double basses and the celli accompany the group, playing pizzicato, sometimes leaving only one solo double bass with the celli to play walking-bass-like figures and other times to supply the bass register to the horn accompaniment.

The accompanimental chords seem to be preferred to fit with the particular region of the vibraphone solo and the string melody. Even though they are voiced to highlight the characteristic intervals of the set classes in use, they are on many occasions much more easily recognizable as chords defined in the context of tonal harmony, although no functional relation can be observed. We can take as an example the horn chords in bar 36. They may be defined as inversions of F♯7-E♭maj7(♯11)-F♯7-Fmaj7(♯11)-B7. Notice the tritone relationship between the last two major-7 and dominant chords. The second chord, E♭maj7(♯11), is voiced in such a way to create two pairs of a 7th interval. A-G in the 1st and 2nd horns are a minor 7 interval while the E♭-D in the 3rd and 4th horns are a major 7. The chord in bar 39 is the set class (014) and the following chord that comes in bar 40 beat 4 is a set class (013). The chord in bar 50 beat 1, when ordered in normal form, gives us the pitch-class set of [C♮, D♭, E♭, F, A]. The first four pitch classes are (0134), extracted from the original series at T_1. If we move the ultimate A to the very beginning, the ordering becomes A-C-D♭-E♭-F. Particularly the first three notes are those of T_1, ordered in step-wise motion. The next horn chord in the same area, in bar 51 beat 3, involves two interval class 1; E-E♭ of the 1st and 2nd horns and B♭-B♮ of the 3rd and 4th horns (Figure 4.40).

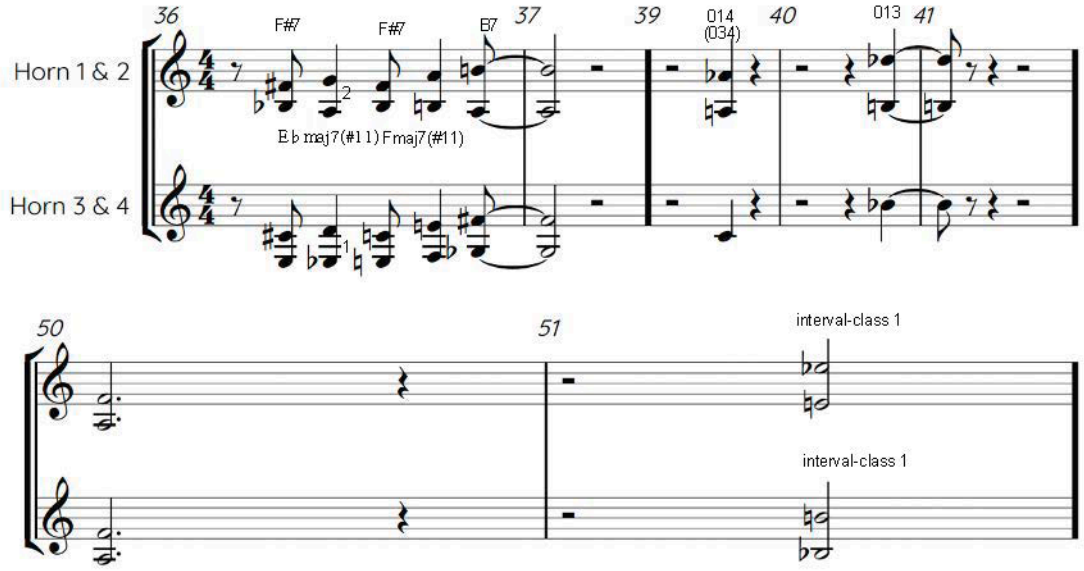

Figure 4.40 : The horn part of bars 36-37, 39-41, 50-51 in *Variants for Orchestra*, Variant 3.

Variant 4 may be described as a “drum solo” if we stick with our previous indication that each variant is carried out by one of the jazz quartet instruments. Although here, Schuller perhaps wants to derive from the common jazz practice where a drum solo is unaccompanied, in order to contribute a melodic shape to the piece. An added clarinet in a collaborative “solo” with the drums seems to be aiming just that. The brass section and the piano, in accordance with the rhythmic texture of the variant, accompany the drum with occasional block chords which often come in upbeats of 8th-note triplets, contributing to the swing feel of the drums, again shown in triplets. The orchestral percussion is also integrated with the drums. The brass-and-piano-heavy instrumentation of this particular variant, where the strings are excluded and woodwinds appear rather briefly in bar 4 to support the brass, makes it sound like a big band, rather than an orchestra. Another remarkable difference from a regular jazz drum solo is that this one is completely written out although it can be argued that Schuller aims to accomplish an improvised-like sound.

Let us consider the chords and the melodic structure of the solo clarinet. It is possible to observe that they are usually derivations of the 12-tone series of the piece, its subsets and versions which include extensions of related intervals. The first chord that comes in bar 2 by the horns, trumpets and trombones is a juxtaposition of the 4th, 5th, 6th, 7th, 8th and 9th pitch classes of the series at T_6, seemingly a chromatic set spread across one and a half octaves. The clarinet plays a B and F♯ in the upbeat of bar 2 beat 3 which can be considered as the last and the first notes of the same series, implying an end and another start to the series, even though it is not heard in its completion. The way the chord is voiced emphasizes the interval class 5 or P5/P4. The trumpets play E♭-A♭ while the horns play C-G, forming two simultaneous instances of the interval, followed by yet a third one in the clarinet’s melodic B-F♯. The row is rounded in bar 4, where the remaining four pitch classes, A-D-F-B♭ are sounded over the F♯ of the bass clarinet, a pitch which moved from the top voice of the previous chord in the clarinet part to the bottom voice of the latter in the bass clarinet (Figure 4.41). The introduction of the solo clarinet in bar 6 is a statement of the whole 12 tones but not in the order of the series used in the entire piece. Here Schuller seemingly takes the liberty to order the pitch classes to his liking for a soloistic effect. Two major arpeggios, D major and B♭ major are connected by a common pitch, D. The E♭-D♭-B that follow, resemble the first three pitches of a B major scale going stepwise down. The B seems to be resolving up to C which goes to G-G♯-E, forming an A♭maj7(♯5) chord (Figure 4.42).

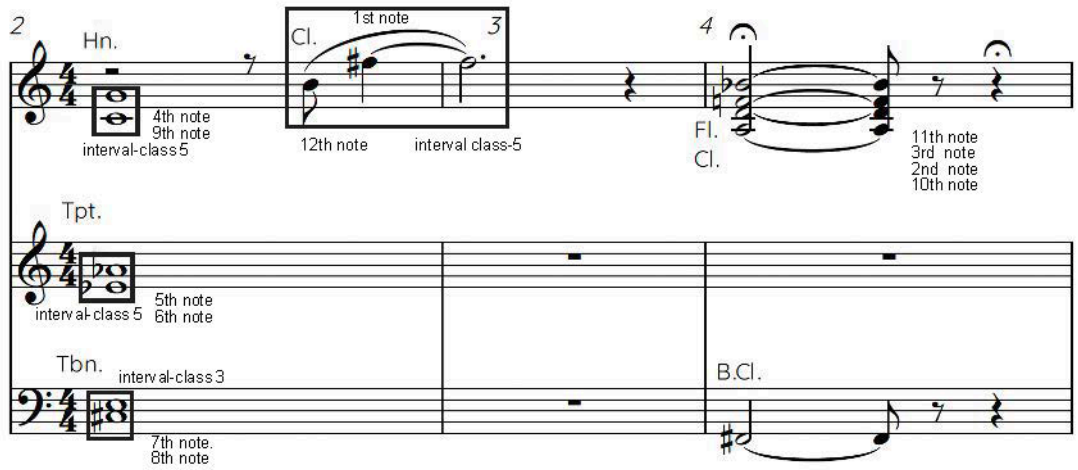

Figure 4.41 : *Variants for Orchestra*, Variant 4, bars 2-4.

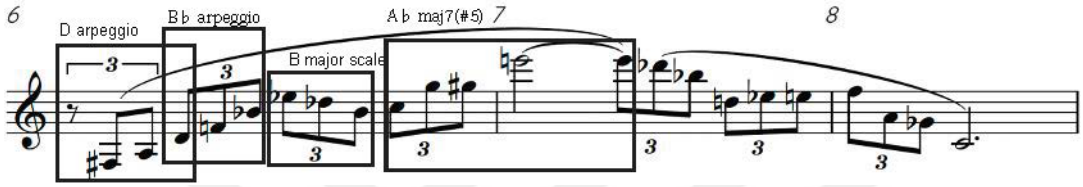

Figure 4.42 : *Variants for Orchestra*, Variant 4, the clarinet line in bars 6-8.

The chord that comes on the upbeat of bar 13 beat 1 juxtaposes the first six pitch classes of the original series at T_7. Meanwhile, the drums keep a 4/4 swing groove, having started from bar 6, playing the 2nd and 4th beats of each bar with the hi-hat, along with the ongoing clarinet. In bar 14, the ride cymbal joins in with swung 8th notes, shown in triplets. The next clarinet line in bar 18 is derived from the original series, at T_{11}. The repeating D♮-D♯-E are the last three notes of the series. The F♮-F♯-A-D♭-C-G♯ that follows is a reordering of the 4th, 5th, 6th, 7th, 8th and 9th pitch classes of the series and the first three notes, B♮-G-B♭, comes in the end. It seems like Schuller divides the series into particular sets and orders them in reverse. The six-note chord previously heard in bar 14 repeats in the upbeat of bar 19 beat 1, immediately followed by another six-note chord by the piano in the upbeat of beat 2. The latter completes the missing pitch classes of the former and forms a sequence of ascending chromatic notes followed by an interval class 3 in the end, an extension of the figure we have seen quite often (Figure 4.43; 4.44).

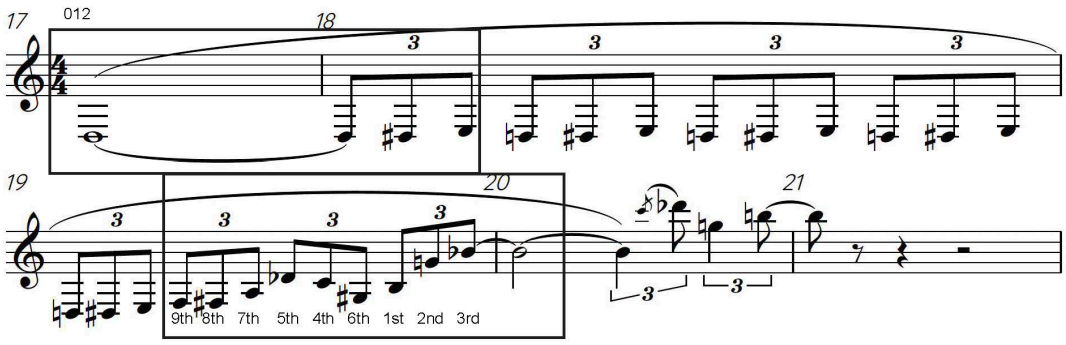

Figure 4.43 : *Variants for Orchestra*, Variant 4, clarinet line of bars 17-21.

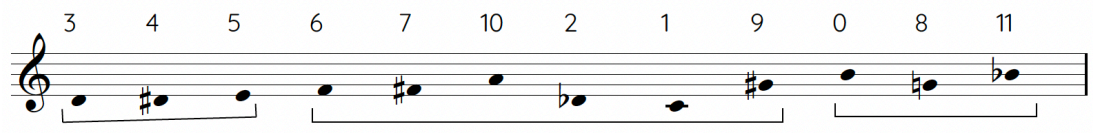

Figure 4.44 : The series as it's used in bars 17-21 of *Variants for Orchestra*.

A variety of subsets of several transpositions of the series may be found throughout Variant 4, both in the piano and brass chords and the clarinet melody. Let us suffice with pointing out those that stand out the most before moving on to Variant 5. The clarinet line starting in bar 33 (Figure 4.45) is a most clear one, slightly shifting the order of the original at series at T_9 but maintaining its characteristics. The first three pitch classes, A♭-A♮-F form the set class (014). While, in the original series, these pitch classes appear in the order of A♮-F-A♭, here it is changed varied to start with an interval class 1. The next pitch classes, according to the original series, are supposed to be B♭-B♮-F♯-G-E♮-E♭. Here, the pairs of B♭-B♮ and E♮-E♭ shift places within themselves. The remaining pitch classes of the series, C♮-C♯-D appear in bar 34 of the brass section as part of a chord which consists of an interval class 3 between A and C, followed by a juxtaposition of interval classes 1 (Figure 4.46).

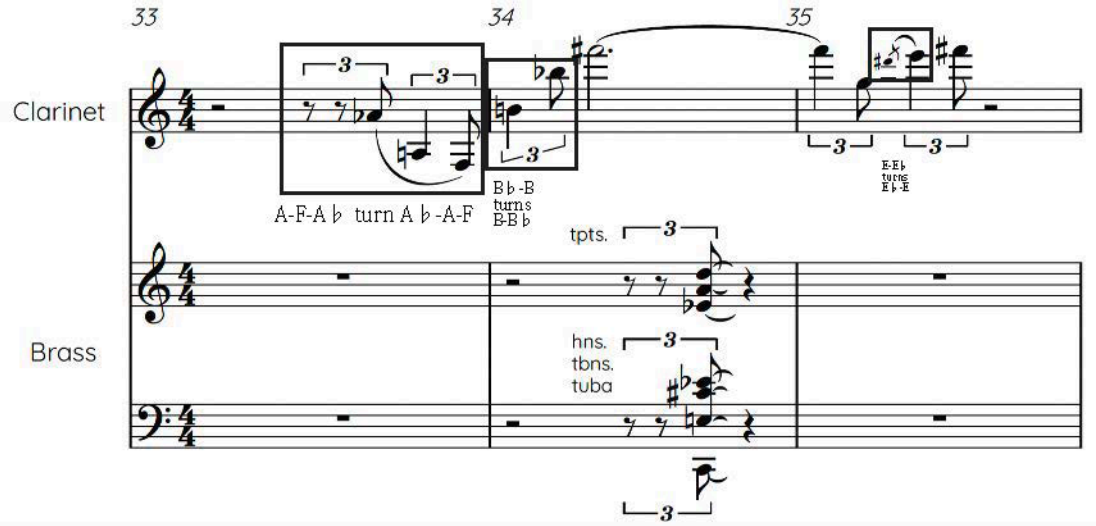

Figure 4.45 : Bars 33-35 of *Variants for Orchestra*, Variant 4.

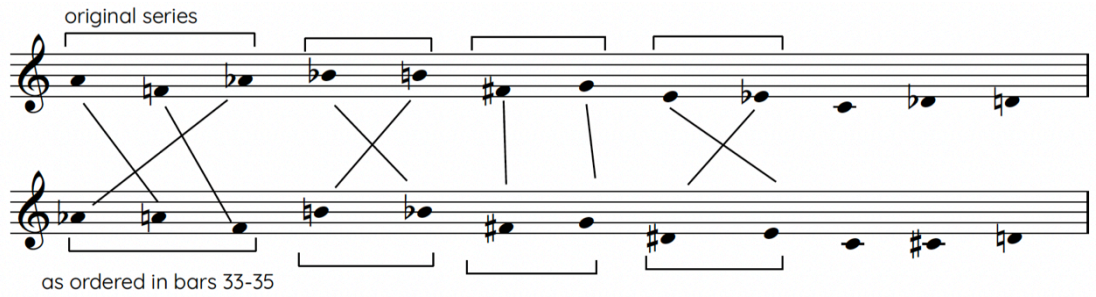

Figure 4.46 : The series as it's used in bars 33-35 of *Variants for Orchestra*, Variant 4.

A rather unusual occurrence takes place in the brass section of bar 56, where a progression of chords that are identifiable with the terminology of functionality appear. The chord in beat 1 is an F♯13 chord, going to F♯m13, changing only one note, the scale degree 3. The last chord is an Fm7♭5. Chromatic chords have been commonly used by Schuller in the previous pieces too and this one provides another example.

To wrap up Variant 4, let us look at its ending. The toms that have been building tension since bar 43, first in a swung passage with irregular "lines", then with half-note triplets, getting busier until a 16th-note "roll" end the variant. A series of loud brass chords accompany. These chords are a blend of those that draw material from the 12-tone series, those that may be described as "polychords" and tertiary chords. The first of these, coming on the upbeat of bar 73 beat 1, consists of a juxtaposition of two major triads with a ♭5, one over D♭ and the other over D♮. The piano chord coming just before may be considered together with the following brass chord. It builds over a B chord seemingly aiming for an A blues sound with an A, E, C, and E♭. The B stays in the bass in the aforementioned brass chord, tying the two together. The second

chord, coming on bar 73 beat 4, may be described as an F13(♯5, ♭9). The third chord on bar 74 beat 2, when ordered in a particular order, reveals to involve an inversional symmetry of set class (0125). The penultimate chord on bar 74 beat 3 is found to allow two descriptions, not really too far from each other. When ordered in normal form and divided into two groups particularly for each group to involve every other pitch class of the normal form, it gives us two diminished triads, B♭° and B°. The second way to describe the chord reveals two transpositions of the pitch-class collection 034…, one extended into a five-note set and then the other into a four-note one. The last chord consists of a low-register D major triad played by the trombones, juxtaposed with a D♭maj7♭9 by the horns and the trumpets, all over an E♭ bass by the tuba. When ordered in normal form, the pitch-class collection 034, the inversion of set class (014), is perceived at its top and a chromatic movement at its bottom. The two groups are separated by an interval class 2 (Figure 4.47).

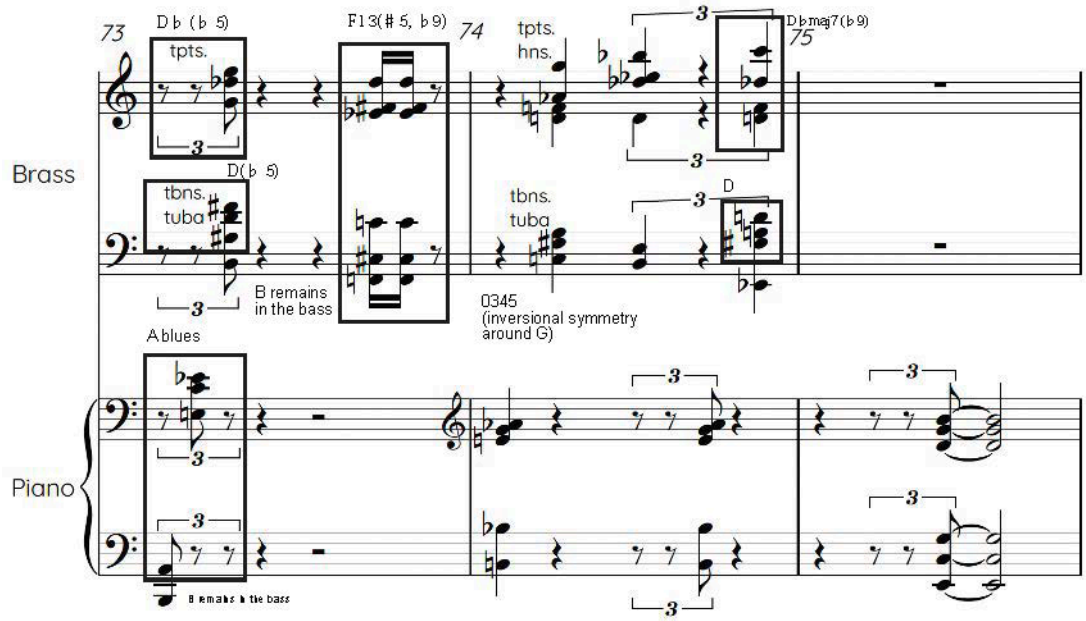

Figure 4.47 : The ending of *Variants for Orchestra*, Variant 4.

The piece immediately goes to Variant 5 with its first chord appearing on the last bar of Variant 4, in the piano part. Variant 5 is unique in that the tonal qualities of the 12-tone series used are carried to the forefront and harmonized with chords that can be functionally analyzed, at least to a large extent. It's the shortest variant in duration, taking less than two minutes and involving only twenty-two bars. It is also unique in that it is the only variant where all of the jazz quartet plays together.

Variant 5 comprises melodic statements of the original 12-tone series, played by the vibraphone in the first half and by the piano in the second half of the variant, with several derivations. These derivations result by either particular shiftings of some pitch classes or accomplished simply by phrasing, ending the melodic phrases on a pitch that exceeds the second statement of the series.

Let us draw our attention to how Schuller derives the row subtly but rather effectively to create melodic variety in Variant 5. The vibraphone melody that starts on the upbeat of bar 2 beat 4 is a bluesy one in G and derives from the series at its original transposition, at T_{11}. Instead of starting on the pitch-class B♮ and going to G, it starts on G and leads to C through an appoggiatura B♮ and goes back to G, this time through B♭. Thus, the first four notes of the series, B♮, G, B♭ and C are presented in a new order (Figure 4.48). Schuller here clearly draws attention to the bluesy quality of the row, which he clearly designs to inherently involve, rather than maintaining the original order. The rest of the series is given in the original order, making it rather easy to hear the presence of it if one is familiar enough with the piece. The series is completed in a 16^{th} note more than one bar, transitioning to its inversion around B in bar 3, this time taking up four bars, concluding the entire phrase on bar 7. A second vibraphone phrase starts on the upbeat of bar 11 beat 3, which lingers on the first note of the series, B, before moving on to the rest of the series, this time strictly keeping its original order. It omits the very last note of the series, E, to connect it to the sequential piano phrase which refers to the inverted series at TI to make a connection to yet a third statement of the original series at P_{11}, taking up two bars and a half. The very last statement of the same series is not the main melody but a short bass line to round up Variant 5, which comes on bars 20-21 and ends on bar 22, hitting the last pitch class of the series, a very low E.

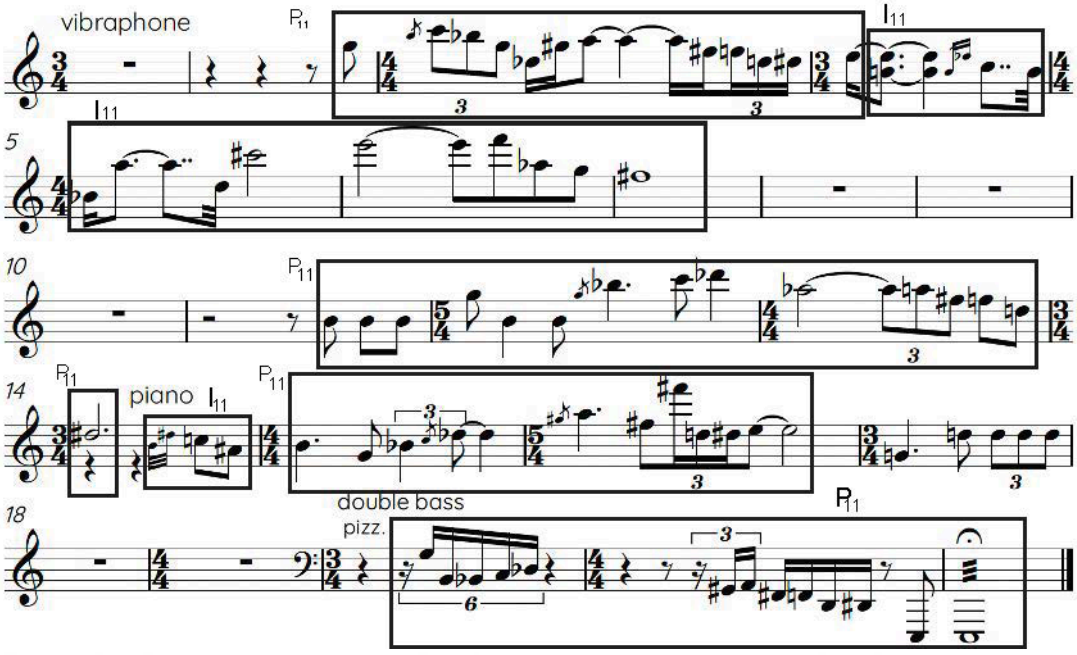

Figure 4.48 : The entire melody of *Variants for Orchestra*, Variant 5.

Unlike the previous ones, the harmonic structure of Variant 5 is largely homophonic. Indeed, similar homophonic sections have been seen, especially where the brass section was designed to resemble a big band although no other variant has relied on this type of texture to this extent where a distinction between the melodic lines of the vibraphone and the piano and the accompaniment of the orchestra is quite apparent.

A particular method to construct the chords has been more or less maintained throughout the variant, first heard in the piano part, then extended to comprise first the brass and woodwind sections, then the string section. The chord progression may be described in two ways that would support each other. The first is to consider each chord in its entirety and define them as conventional tertiary chords. The second is to focus on how voices are grouped in instrument sections in a particular way to form polychords.

Let's now look at the chord progression. When inspected closer, it may be seen that although it bears several alterations, it heavily relies upon a dominant resolution in C. Let us consider the piano chords in the very first bars to see the relation. The first chord is a Cmaj9 chord in its first inversion with its scale degrees 3, 1 and 5 on the left hand and 9, 5 and 7 on the right hand, ordered from bottom to top. How it is grouped in two hands may also allow us to consider it as a polychord with a C major triad on the left hand and a G major triad on the right hand. The same goes for the second chord, juxtaposing a B♮° in the left and a B♭ major on the right. In bar 2, it resolves back to

the initial Cmaj9 chord. The second chord, when considered in its entirety, is actually a B♮° chord with an added B♭. It is a common practice both in jazz and common practice era classical music, to substitute the V7 with the VII° chord. The composer seems to have adopted this practice and the added B♭ may be examined as Schuller's method that is now known to us well, that is, to use the scale degrees ♮3 and ♭3 of a given chord together. If we regard the chord as a rootless G7, this examination would be easy to grasp (Figure 4.49).

This rather short progression is repeated throughout most of Variant 5, starting in the piano, then expanding in the brass section and lastly the woodwinds for the ending. An alteration that stands out is in bar 6, where the piano goes from the preceding B° chord that has been discussed, to what can very clearly be defined as a C13(#9) chord. It lingers on it for some time before resolving to the previous B° and finally back to Cmaj9. A second derivation is in bars 10-13. In the upbeat of bar 10 beat 3 is what can be regarded as a Gmaj7(#9), going to E7(#9, ♭13) and Em7(♭13) in bar 11. In bar 12, the chords pass on to the string section and the first chord is again a Cmaj9, voiced similarly to those that came before. It leads, however, to an A13(♭5) and Dmaj9(♭13). This progression resembles what is largely called in jazz music a "turnaround", I-VIm-IIm-V-I, although here the V is missing and it goes to a Cmaj7(#9, #11) chord. Here, the use of the ♮3rd and ♭3rd is again apparent. It progresses to what can be considered an E♭7 and then an E♭maj9(#11). Between these two chords which are compressed into bar 13 beat 4 are some passing tones and the two chords with the passing tones in between form a 12-tone aggregate (Figure 4.50).

The C13(#9) appears yet a second time, this time in the string section, in bar 16. Variant 5 leads to its ending through a progression which, when examined in detail, is found to be resembling an IV-V-I progression in C. The very last low E prepares us for the "Finale".

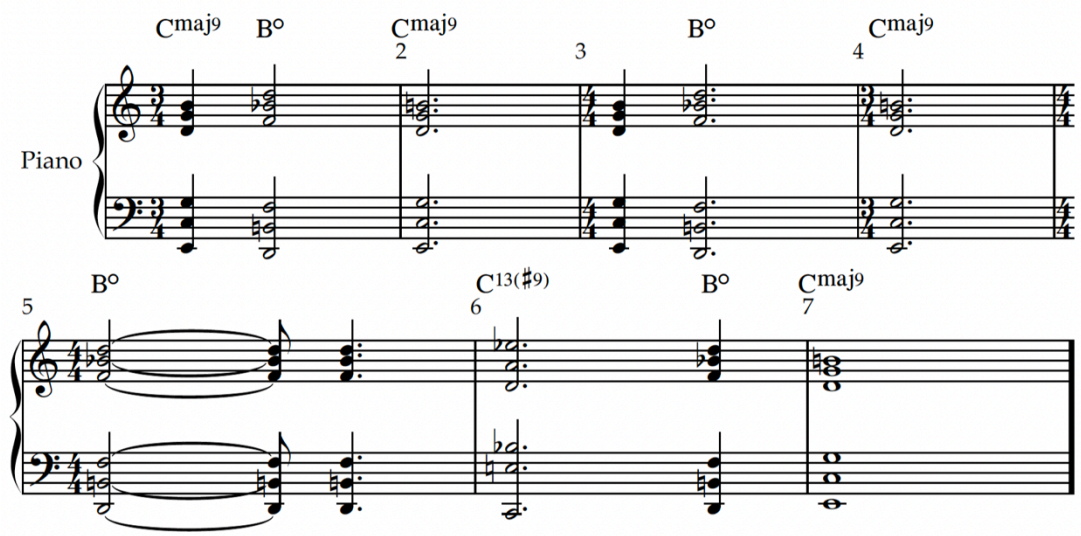

Figure 4.49 : The harmony in bars 1-7 of *Variants for Orchestra*, Variant 5.

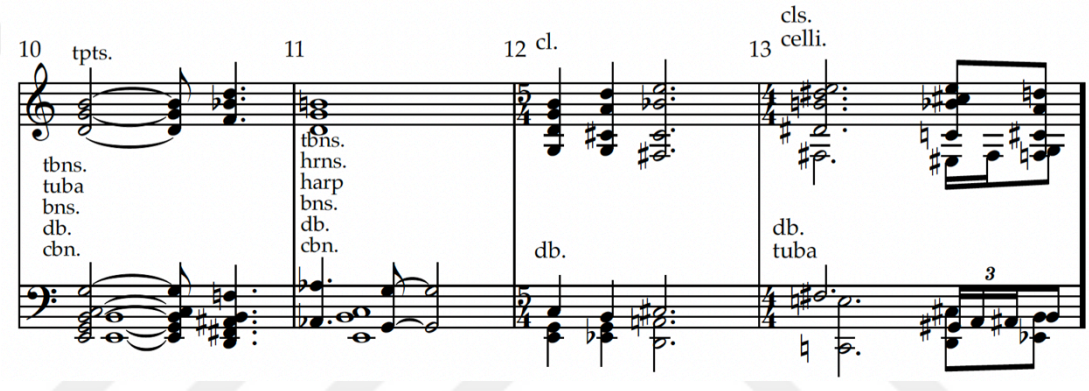

Figure 4.50 : The harmony in bars 10-13 of *Variants for Orchestra*, Variant 5.

The “Finale” starts quite distinctively. The low E that has started in the last bar of Variant 5 in the double basses is prolonged well into the Finale, until bar 10. The tempo is rather slow, quarter note equaling 46bpm. The violins are divided into seven stands and the first stand is divided into two solo players. The violas and celli are divided into two. Each player, or pairs of players, plays the 12-tone row in a different transposition and in a different rhythmic grouping, either in 8th-note triplets or 16th-notes. Each start on a different subdivision of a given beat, all play pianissimo and all but the celli play con sord. and sul tasto. The percussion accompanies the double basses who are keeping a pedal E with a suspended cymbal and play tremolo in pianissimo dynamics all the way until bar 27. The string section thus creates somewhat of a braid-like texture where after a point the individual melodies are lost into the overall texture, the transposed rows indistinguishable (Figure 4.51).

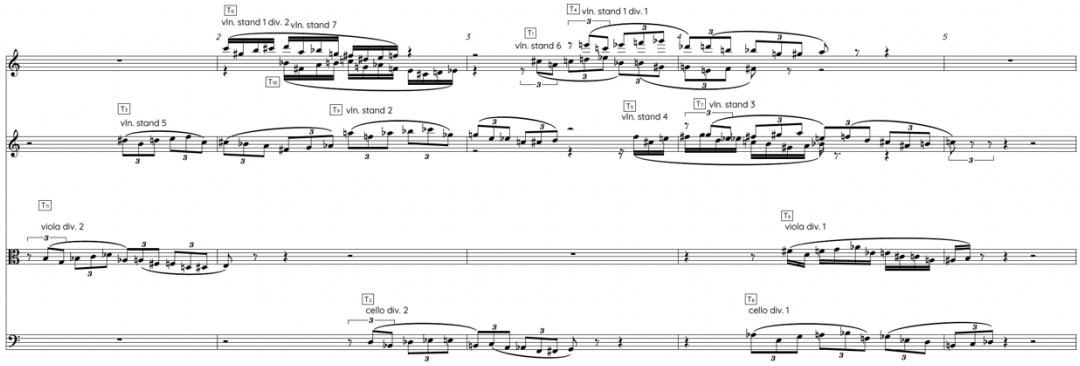

Figure 4.51 : The twelve transpositions of the row, layed out in *Variants for Orchestra*, Finale. Each row repeats in their respective instruments until bar 28.

The first part of the Finale, until around bar 41, is almost like an overview of the whole piece where short references to previous themes appear. In bar 7, a loud brass chord tears through the texture and only two bars later, a familiar piano melody enters (Figure 4.52). It is the first four notes of the row in its original transposition, at T_{11}, recalling the bluesy beginning of Variant 1 over the rather tense introductory string texture of the Finale. In bar 10, simultaneous with the piano melody, a reference is made to Variant 5 where a progression of Cmaj9-B°-Cmaj9 appears in the brass section, voiced as it has initially been in the previous variant. In the upbeat of bar 11, into bar 12, an Emaj9 chord by the woodwinds overlaps the initial progression, voiced in the same way as the previous Cmaj9 that is, an E major triad in first inversion in the bottom with a B major triad in second inversion on top of it. In bars 13-16, the brass section plays Cmaj9- B°-C13(#9)- B°-Cmaj9 progression while the woodwind section plays the same progression, again in E major, that is, Emaj9-D♯°-E13(♯9)-D♯°-Emaj9. In bar 18, the first clarinet references its significant melody introduced back in Variant 4, where it performed a collaborative solo with the drums. In bar 22, the double bass of the jazz quartet plays the first three bars of its walking line from Variant 2 (Figure 4.53).

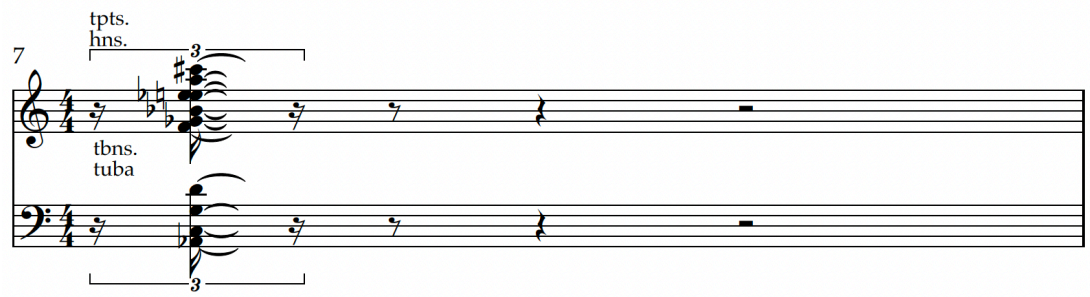

Figure 4.52 : The brass section of bar 7 of *Variants for Orchestra*, Finale.

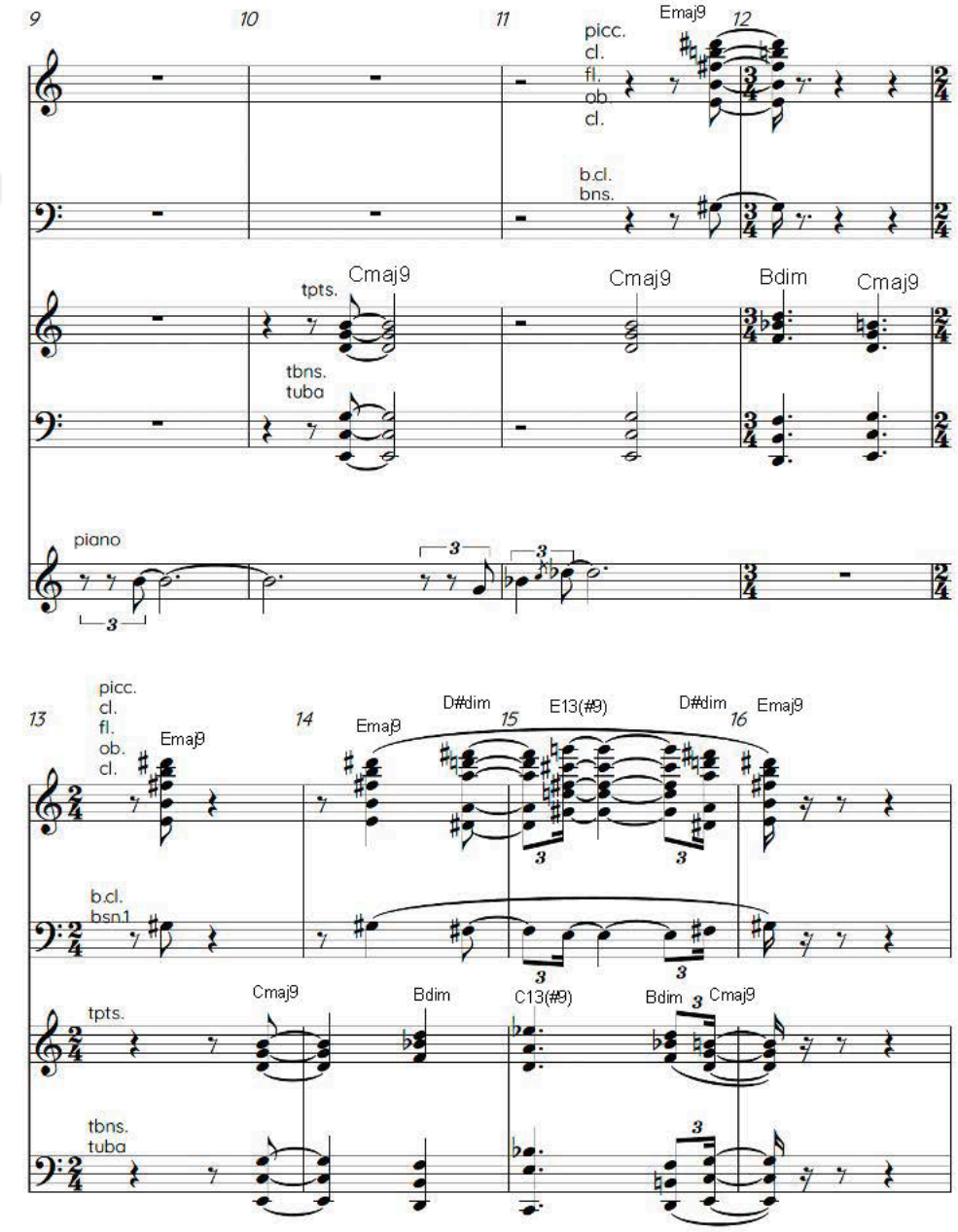

Figure 4.53 : The wind instruments of bars 9-12 of *Variants for Orchestra*, Finale.

While the texture built in the string section gradually fades out, a grand 12-tone aggregate builds up in the woodwind section to put an end to what may be perceived as the first part of the Finale. The 12-tone aggregate turns into a loud sound mass to "break down", so to say, and yield, in bar 41, into what may be defined as a "blues" part. The double basses play a rather common blues riff, going from the root note to the ♭3 and than chromatically to ♭5 and back. This one-bar riff is played repetitively in three voices divisi; starting on E, G and G from the bottom to the top. Notice that these are the bottom three notes of the first chord of the progression of the Variant 5, forming the first inversion of C major triad (Figure 4.54).

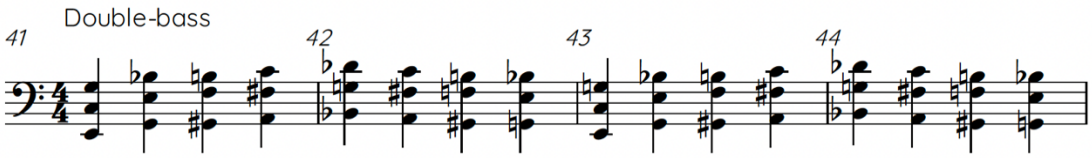

Figure 4.54 : The double bass riff that appears from bar 41 on in *Variants for Orchestra*, Finale.

The bass riff is accompanied by brass chords and the swing groove of the drum set, notated as slashes and an indication of *ad lib.*, implying to simply keep a steady groove. It is interrupted by the familiar Cmaj9-B°-Cmaj9 progression of the piano in bar 45 which is in 5/4, to keep on right after. A few bars after this interruption, a new progression is introduced in the string section, comprising the chords Emaj9/G♯-D7(♭9)/F♯-E13(♯9). These chords work as the new driving force of the second part of the "Finale" (Figure 4.55). If the linear intervallic relations between the voices of each chord are paid attention to, it is seen that though not exclusively, the interval classes 3 and 1 are dominating the melodic lines sprung from the chords, allowing the section to have an integrated sound with the overall piece. The strings are again interrupted with short phrases, usually not more than a few bars, which bring back the themes previously used in the piece. One of them is a short melodic fragment used at the end of Variant 2, shared between the oboe and the trumpet. The 3-bar initial progression of the strings is interrupted yet again, this time referencing the walking bass of Variant 2. The strings take over for another two bars, only for the walking bass to take over, this time bringing back a small melodic fragment of the double bass, again from Variant 2. All the while, the double basses keep on the one-bar blues riff going under the strings.

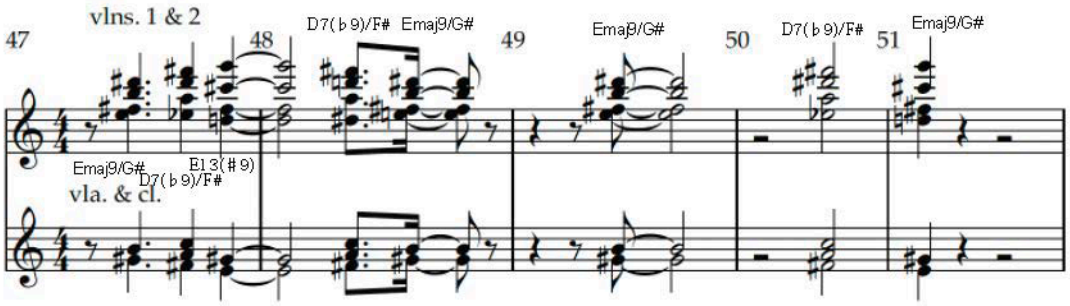

Figure 4.55 : The string figure that starts in bar 47 of *Variants for Orchestra*, Finale.

The ending of the Finale, thus the whole piece, is a loud and busy one, where several musical themes are juxtaposed. The double basses keep on the one-bar blues riff in three voices, the solo double bass of the jazz quartet joining in with the lowest voice, starting the riff on E. The rest of the string section continues playing the chord progression Emaj9-D7♭9 -E13(♭9) in a highly syncopated rhythm, now joined by the woodwinds, thickening the chordal texture. The drums keep an uptempo swing groove, where the tempo is now a half note equaling 108-112 bpm. The percussion section supports the drums with timpani, tam-tam and antique cymbals[13]. The brass section generally lingers on the pitch-classes B♭ and G. The timpani accompanies with a swung B-G-B♭-D♭ which recalls the beginning of the original series, except it omits the C before D♭.

Another interesting treatment of the set class (01236) appears in the vibraphone and the piano. The vibraphone plays a bluesy phrase consisting of the pitch-classes G-B♭-C-D♭ while the piano lingers on a single B note. It is indicated that the pianist is to play "ad lib. on this note", implying somewhat of a rhythmic improvisation on a single note. The vibraphone phrase is repeated for four and a half bars, rhythmically shifting from the upbeat of beat 3 to that of beat 2, 1 and 4 and when combined with the B-note of the piano, it is clearly using the first five notes of the original series (Figure 4.56).

[13] Crotales.

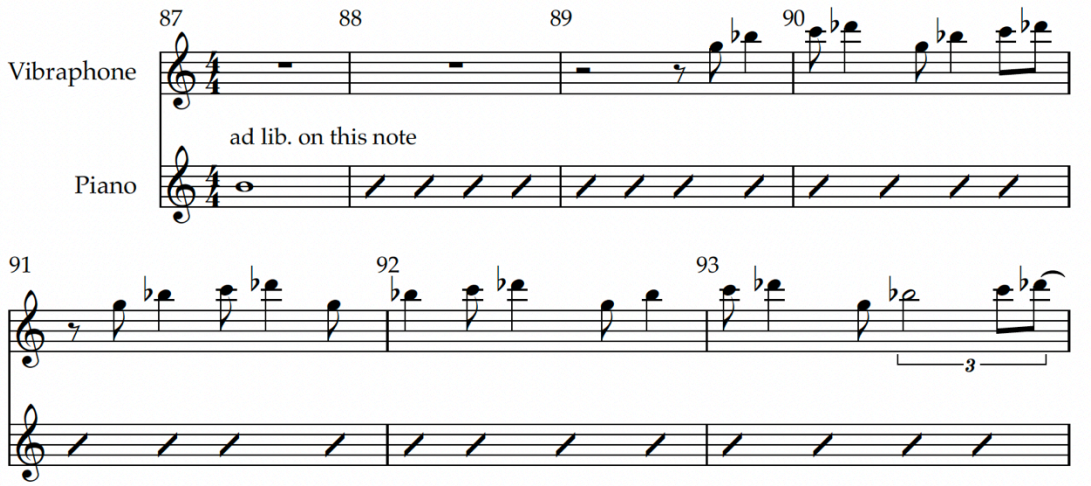

Figure 4.56 : The vibraphone and piano parts of bars 87-93 of *Variants for Orchestra*, Finale.

The piece concludes with three long chords, played in soft dynamics by the strings and the jazz quartet. The first, a high-registered cluster of notes, includes only the violins and the vibraphone. The violins hold a high G while the vibraphone plays a closed-position chord of G-B-C-D. It may be assumed, that when the overall piece and the 12-tone series are considered, a G-central sound is aimed at this chord, making it possible to label it as G(add11). The second and third chords are rather more complex to label. Let us pay attention to the lower voices, provided by the double bass of the jazz quartet, the harp and the contrabassoon. The penultimate chord is grounded on an A♭, going to E♭. The high G of the violins is held throughout the three-chord progression. The celli and the piano form a D triad in the first inversion with added B and C of the violas and the vibraphone, all over the aforementioned A♭. D13/A♭ would perhaps be suitable labeling. The D triad of the celli and the piano goes to an E triad, again in first inversion while the violas and the vibraphone move up to C and D. Thus, the previous chord in its entirety moved a whole step up, except the B of the violas moving a half step up to C. The bass note, as explained, is an E♭, creating a movement going a perfect 4 down. The quartal movement in the bass voice may as well be considered to be aiming to contribute somewhat of a functional essence. The piece reaches its end with a soft hit of the antique cymbal while the last chord elongates (Figure 4.57).

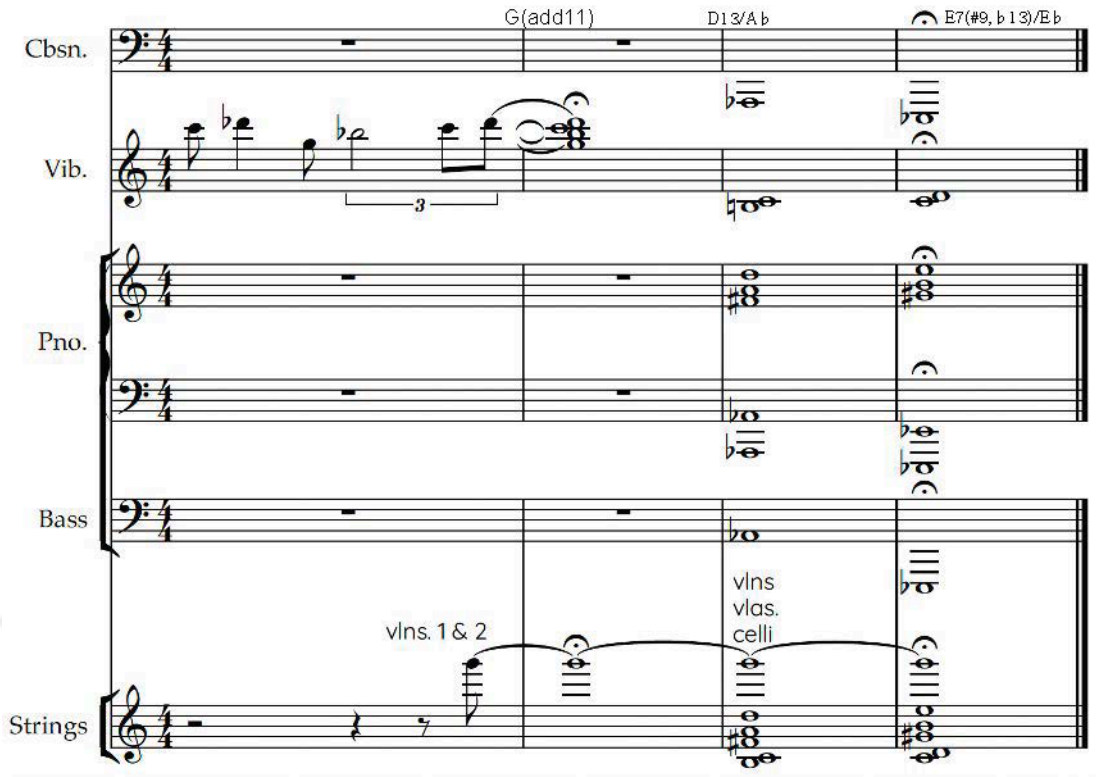

Figure 4.57 : The last three chords of *Variants for Orchestra*.

4.4 Assessment of Data Retrieved From Analysis

Let us first consider the overall similarities and differences between each piece analyzed here. All of them feature the combination of a classical ensemble with a jazz ensemble. *Conversations* puts a jazz quartet and a string quartet together. *Variants on a Theme of Thelonious Monk* integrates a large jazz ensemble that consists of three winds and a rather crowded "rhythm section" that has vibraphone, guitar, piano, drums and interestingly two double basses in it, again with a string quartet. *Variants for Jazz Quartet and Orchestra* makes use of the same jazz quartet as *Conversations* but this time places it against a much larger classical group that is, an entire symphonic orchestra. All three pieces utilize a basic swing groove and notate it as an 8^{th}-note triplet. While *Conversations* and *Variants on Monk* integrate improvisation, *Variants for Orchestra* has no improvisation at all, except for a short region in the piano part indicated with "ad.lib." toward the very end of the piece, bar 87 of "Finale" and a similar indication for the drums to convey that they have to keep the swing groove. That said, many soloistic passages occur that are in an improvisational manner, mainly in the piano and vibraphone parts of Variants 1 and 3 respectively, nevertheless, all written out. The instrumentation of *Variants on Monk* may be considered to be more

stylistically integrated than the other two as the parts of different sections of the lineup, especially the winds and the strings, share more common features than those of the other two pieces. Even though, if an overall comparison is needed, it can be suggested that *Variants for Orchestra* is more musically integrated than *Conversations* where the jazz quartet and the string quartet are written to sound quite distinctively and remain in their respective stylistic idioms, while in *Variants for Orchestra*, the jazz instruments individually interact with the rest of the orchestra or smaller sections of it much more. Variant 2, where the walking bass of the jazz quartet is doing a kind of call-and-response with a solo double bass and a solo cello from the string section, may provide an example. Another example is a feature that can be found in the entirety of the piece, in that the percussion section and a solo double bass in the string section often substitute drums and double bass of the jazz quartet while the latter doesn't play at all.

The harmonic languages are also similar in each piece. All three pieces extensively use serial harmonic language and attempt to combine it with a jazz sound. In *Conversations*, the set classes of (036), which constitute the diminished triad, as well as set classes (013) and (023) are characteristic. The approach to building 12-tone rows is rather liberal and more than one ordering of the chromatic scale may be found throughout the piece. The chord progression over which the jazz quartet improvises is designated to be non-functional, although some reference to functional harmony is found in the dominant 7^{th} chords going down chromatically which resembles a chain of substitute dominants and also in the progression ♭VI-♭VII-I which is a commonly used cadential progression. These chords are seen to be represented by chord symbols which is a common jazz practice used as a framework for improvisation. The written regions of the piano and vibraphone solos make excessive use of interval classes 1 and 3 which reinforce the harmonic frame established earlier. The pitch material that strings use while accompanying the solos is clearly designed to refer to the blues scale which, when considered in relation to the common simultaneous use of scale degrees ♮3 and ♭3 of a given chord in the piece, contributes to the fusional quality of the overall piece.

Variants on Monk, just like *Conversations*, integrates serial harmony with tertiary chords that are shown with chord symbols idiomatic to jazz, which are used to improvise over. However, it stands out in terms of its harmony from the other two as being the only work that relies primarily on functional harmony rather than serial.

While in the former two the "jazz chords" are heard as if they are dressed up over the overarching serial harmony, it is the contrary in *Variants on Monk*. It is, of course, due to its arrangement-like quality and the limitation the original material brings. These chords allow a functional analysis and are found to be a derivation of the original Monk tune, maintaining the larger harmonic areas of each section of the theme. The progression in the original key of B♭ major in Variant 1 is found to have modulated to several other keys in later variants. Yet, Schuller goes on to write a whole variant where he uses the characteristic intervals of the tune as material for an entirely serial take on Monk's *Criss Cross*. Variant 2 is an exception in that it exclusively makes use of serial harmonic structures, particularly utilizing interval classes 1 and 6, referring to characteristic intervals of the original melody.

The serial harmonic structure of *Variants for Orchestra* does call for "functional sounds" although no such explicit connection could be drawn from the analysis, except perhaps Variant 5 where the harmonic structure is based on a I- VII°-I progression. Furthermore, Schuller (1995) is known for composing his 12-tone rows in such a way that would accommodate a somewhat functional harmony when desired. The harmonic and melodic material of *Conversations* and *Variants for Orchestra* are found to be quite similar, not in terms of pitch material but in terms of the intervallic relationships and interval class sets used. The interval classes 3 and 4, as well as 1 are used frequently in both pieces to achieve a balance between the serial and "bluesy" or "jazzy" sound of both pieces. This feature is found to be common in the harmonic language of all three pieces analyzed. A remarkable example is the very beginning of *Variants for Orchestra*, where the 12-tone series is introduced in a sparse texture, with a klangfarbenmelodie, where all the notes, most of them relatively long, come in disjunction with each other, from multiple instruments. When the very same pitch classes are played by one instrument, the piano, compressed to one octave in a relatively higher tempo and shorter note values in the beginning of Variant 1, they are no longer a klangfarbenmelodie but a bluesy melodic line in a laid-back swung rhythm.

The tendency to try to explain what Schuller attempts to do, with vague descriptions such as "bluesy" and "jazzy" and the fact that the almost only element in the expense of jazz that could be drawn from the harmonic and melodic analysis of the pieces to be the adoption of interval classes 1 and 3, alternate or simultaneous use of the major and minor 3rd intervals in chords, as well as swing rhythm and some degree of improvisation, may be telling of Williams' (2011) claim who deemed Schuller's music

to bear “disunity” (p. 149). Regarding the problems she points out related to the rhythmic interpretation, Schuller seemingly tries to solve this issue by using only small instrument sections and avoiding most of the time big tutti combinations in the larger part of *Variants for Orchestra*. In *Conversations*, however, the composer seems to confront this issue, writing remarkably complex textures for the strings to be played over a swinging jazz quartet, the success to which it reaches, of course, remaining rather a subjective discussion. Let us highlight once again the effort of Schuller to overcome the rhythmical obstacles by cleverly employing rhythmic modulation only for the jazz quartet, keeping the strings in normal time, in an attempt to adjust the performance habits of classical and jazz performers to each other. In *Variants on Monk*, too, strings are only reserved to serial regions and accompanying the melody or in the case that they are accompanying an improvised section of the jazz group, they usually exploit once again the main melody.

Let us also consider Joyner’s (2000) arguments in relation to the analyses. Schuller’s not adopting any improvisation at all in *Variants for Orchestra* seems to be approving Joyner’s points. Yet we know, from Williams’ (2011) analyses, that Schuller does employ improvisation in *Concertino for Jazz Quartet and Orchestra*, written for the same instrumentation. *Variants* is, indeed, much longer and therefore more formally complex than *Concertino* which consists of only three parts as opposed to the seven parts of the *Variants*. Moreover, Schuller tends to break the swing groove quite frequently as can be seen in the pieces scrutinized here which also seem to support Joyner’s claim that formal complexity does not support a continuous pulse against which improvisation can be realized. That said, we have already discussed referring to the analyses made by Williams that formal complexity combined with improvisation can be possible.

What Williams does not address in her illuminating thesis, however, is that even though she identifies the musical elements that Third Stream suggestively cannot make work while other jazz musicians influenced by classical music can, she does not specify exactly what goes into Third Stream’s attribution of “unsuccessfulness” against the factors that supposedly contribute to the “success” of the other styles.

With all that aside, the comparative illustration we have done regarding our analyses of the pieces in relation to the criticisms may or may not hold value in the eyes of Gunther Schuller. After all, he had proposed long ago that Third Stream does not have to swing or pertain to any standards that either jazz or classical music will impose on

it. He quotes his friend John Lewis in saying "It isn't so much what we see (and hear) in the music of each idiom; it is more what we do *not* [italics original] see in the one that already exists in the other" (Schuller, 1961/1986).

One other quote from Schuller (1981/1986) is perhaps one that summarizes his intentions better than any other:

> Third Stream is nothing if it fails to amalgamate at the most authentic and fundamental levels. It is not intended to be a music of paste-overs and add-ons; it is not intended to be a music which superficially mixes a bit of this with a bit of that. When it does, it is not Third Stream; it is some other nameless kind of poor music. (p. 120)

The extent to which Schuller complied with his own standards is one that may be continued to be discussed endlessly, as is the case with all artistic endeavors. The extra-musical issues that we have not discussed here withstanding, the answer of many to this question, such as Williams, Joyner and Givan is apparent, as well as that of many others, such as Lewis, Blake and Ehle. The aim of this thesis has not been to come to a judgment regarding how successful Third Stream was in its pursuit but simply to examine how Gunther Schuller attempted to do it using various compositional tools. While doing this, a critical perspective was not disregarded as such an approach is always crucial for an all-around investigation of any given subject. The author hopes to inspire via this thesis future academic and artistic work that extends several of the discussions that have only been scratched the surface of.

5. CONCLUSION

Third Stream, as described in sub-chapter 3.3., is an attempt by Gunther Schuller to fuse certain elements of classical music and jazz into a new type of music which Schuller aims to distinguish itself from both. He seeks to bring the "improvisational spontaneity and rhythmic vitality of jazz with the compositional procedures and techniques acquired in Western music during 700 years of musical development" (1961/1986, p. 115) together as he defines it.

First, the framework of the thesis project is defined to be the examination of how Schuller utilizes several compositional tools to achieve a balanced combination of the two musics. Later, his music is analyzed in relation to the conceptual background established in the chapters that come before the formal and harmonic analysis. This conceptual background includes, first, a historical overview of the two "streams" of music, which Schuller merges to create his musical concept. It covers a period from the late 19th century until the 1940s and 1950s for classical music and 1960s for jazz. The survey of the developments in jazz includes the predecessors such as work songs and percussion music performed by the African slaves in New Orleans' Congo Square, ragtime, New Orleans jazz and Dixieland, the fixation of the blues form, Swing, bebop, which is considered to have initialized modern jazz; cool jazz, hard bop, free jazz of the 1960s, fusion and later styles and integration of jazz to much other music such as rock, pop and local popular and ethnic musical styles as well as contemporary classical music. Here, the discussion concerning the earlier styles such as early jazz, New Orleans and Dixieland; provides background information and helps to understand better the origins of one music stream that Schuller utilized to create his own. Whereas later styles are found to be more directly related to Third Stream itself, being direct influences on the subject composer. In the case of Swing, this can be considered to be true, with pioneers of the style, like Duke Ellington and Benny Goodman, having deeply inspired Schuller. Cool jazz, on the other hand, has an even closer relationship with Third Stream, the two having emerged almost simultaneously and Schuller having

personally contributed as a horn player to Miles Davis' unique cool sound in his *Birth of The Cool*.

The assessment of the classical music tradition starts with laying out its status in the late 19th century, a time that tonality is considered to have reached its limits with Strauss and Mahler, followed by many advancements such as serialism and 12-tone music of Schoenberg, rhythmic innovations and polytonality of Stravinsky and the influence of rural music on Bartók's compositions that had a nationalistic drive, as well as the situation in the United States where many European composers had fled to, which resulted in them contributing deeply to the newly emerging art scene in the new world. Charles Ives, Aaron Copland, Gershwin and Bernstein are mentioned as prominent figures of the classical scene in the United States. Neoclassicism is also briefly explored as an important development that influenced European and American composers alike and also one that played a crucial role in shaping the characteristic sound of an important portion of jazz musicians. The highly chromatic tonal music of the late romantic composers and reexploration of tonality in neoclassicism, as well as the newly found serial language of the early 20th century, are all designated as strong influences on Gunther Schuller in shaping his musical taste. The developments in both classical and jazz that have proved to have little or no influence on the Third Stream, some of which are only namely mentioned, are left out of the discussion. Thus, Chapter 2 defines the historical background of the circumstances under which Schuller was an active composer and in the light of which all the later analyses and discussions are to be comprehended. It also provides an understanding of the nature of each music whose combination caused many controversies among musicians, critics and scholars alike.

In Chapter 3, the scope of focus is narrowed down and the confluence of jazz and classical music that took place before Third Stream is explored. By referring to the writings of Brown and Joyner, a certain classification of how jazz and classical music intersected throughout the first half of the century is determined in the sub-chapter numbered 3.1. and how this may contribute to a further discussion on Schuller and Third Stream is explained. Firstly, the inherently confluent quality of jazz is recognized, the first category of Brown's classification being ragtime, an early jazz style described in Chapter 2. The influence of jazz on many early contemporary classical composers is also mentioned even though it is stated that the influence remained to a lesser degree and a large impact that shaped the nature of the style cannot be detected. It is then explained that these early intersections of classical and jazz

established a ground for Schuller to shape his Third Stream idiom, some aspects of which he was in favor of and some not so. The informational aspect of the sub-chapter is framed as such to contribute to the discussion in sub-chapter numbered 3.4. about the criticism Third Stream received regarding its invented quality.

The chapter is furthered in sub-chapter 3.2. with a short biography of Schuller which provided an understanding of his personal background, musical influences and the vast array of musical jobs he has done in his career that earned him the friendship of classical and jazz musicians alike, which shaped his ideas toward his music. Perhaps the most crucial parts of Chapter 3 are the sub-chapters 3.3. and 3.4., in which a comparative discussion of the definition and development of the concept and the criticism it received are respectively given space. In sub-chapter 3.3., it is designated that many definitions of Third Stream have been made throughout the years, primarily by Schuller and his student and colleague Ran Blake, which, from time to time, have contradicted each other. While in some statements of Schuller, it is found that he implies to include confluent music that has been produced way before he conceived of Third Stream, such as Milhaud, Ellington and Stravinsky; in later years he seems to have included all music with any fusional element in the umbrella of Third Stream, those that are widely labeled as “world music”, “cross over”, “fusion” etc. These contradictions are identified in relation to the classification of the intersection of classical music and jazz made by Brown. Lastly, the earlier definition of the Third Stream, which refers to the rhythmic and improvisational qualities of jazz and compositional tools of classical music, is chosen for reference to decide on the pieces that are analyzed in Chapter 4, as it is deemed to be much clearer and precise.

Lastly, in sub-chapter 3.4., the criticisms Third Stream received are put under the scope, with a comparative discussion specifically on those of Williams, Joyner and Givan. Their points of criticism are found to have common features which can be summarized as Schuller and his fellow Third Stream musicians approaching jazz through evaluative criteria of classical music. This view is observed in Williams’ thesis and Givan’s article where both authors open to discussion a critical article of Schuller about a recording of Sonny Rollins and argue how Schuller misinterprets, through the lenses of a classical musician, Rollins’s improvisatory performance and misses the stylistic context of the recording. A similar argument is also seen in Joyner’s argument about the infeasibleness of formal complexity and improvisation to coexist. The points that Williams and Joyner, in their critique of Third Stream, depart from each other are

also detected in this sub-chapter. While Joyner finds it near impossible to fuse elements of jazz and classical music due to the very nature of respective idioms, Williams attributes Third Stream's deemed unsuccessfulness to its ideological agenda to label a music that did not yet evolve naturally in a cultural and social context. She gives examples of several other styles where classical and jazz elements coexist much more naturally. Some issues that might have been explored in relation to these discussions are consciously left out in the said discussion. They include the cultural, social and historical implications that come with such music, especially in the context of the era and the country in which it has emerged. They also include the regard of Gunther Schuller, who seemingly holds a privileged social status, to jazz which held a critical social position as a music that emerged among and largely done by the once enslaved African-American people. The criticisms mentioned generally spring from such issues but come to the conclusions that are related to the aesthetic and structural evaluation of the music. The problematic situation and the further discussions that may be made are acknowledged but only explored under the said sub-chapters, to the extent that they concern these musical evaluations. The extra-musical discussions are left with the hopes that scholars in related areas further the findings here with additional research on the topic.

In Chapter 4, formal and harmonic analyses are applied to three pieces of Schuller. A variety of analytical tools are used to accommodate the intersectional nature of the music to accommodate the fusional nature of the music in question. The most remarkable difference between these is, perhaps, the fact that while one focuses on "atonal", serial music, the other mainly does so on tonal harmony as used in the traditional jazz idiom. The need to combine these two to examine Schuller's music highlights its most unique aspect as an invented musical concept.

The harmonic analysis is reserved for particular regions of each of the three musical works, as a written account of such examination of the entirety of the three pieces is found to be ineffectual for this research whose aim is, rather than a detailed analysis, to provide an overall inspection of the Third Stream as a hybrid music through looking at the techniques adopted in a variety of musical examples in the light of the framework provided earlier. In the final assessment, the analyses are compared and discussed in relation to this framework. The three pieces in the subject are found to have adopted similar strategies in their harmonic structures, extensively utilizing interval classes 1 and 3, juxtaposing the scale degrees ♮3 and ♭3 of tertiary chords and building the rows

and set classes to accommodate to a derivation of the blues scale, to contribute to the "jazz sound" of the respective pieces. Two pieces, *Conversations* and *Variants on Monk*, are found to integrate chord symbols with serial harmony and include improvisation while the third piece, *Variants for Orchestra*, has no improvisation and limited usage of functional harmony. Here, the intended structure of the 12-tone row in use and the swing rhythm are designated as elements that provide the jazz quality of the piece. The fact that no other connection to jazz could be detected in the analysis other than the use of certain set classes and interval classes in each piece, is argued to support Williams' accusation of disunity. It is also found that the obstacle of rhythmic realization that Williams underlines is attempted to be overcome by avoiding tutti passages of jazz quartet and orchestra in *Variants for Orchestra* and confronted with more complexity in *Conversations*. A particularly interesting approach is also seen which uses a partial rhythmic modulation to adjust the practices of jazz and classical players with each other. Avoidance of improvisation in *Variants for Orchestra* is said to support Joyner's view about the disincentive of improvisation and complexity in form to coexist. However, this argument is found to be contradicted by Williams' examples which she argues to have accomplished a successful combination of both. The criteria to which Williams deems Third Stream a failure while others successful in combining different idioms is stated to be unclear. Moreover, Schuller's statement against the mentioned criticisms referred is, to draw attention to his argument that Third Stream does not need to pertain to the criteria of either jazz or classical music but ought to be evaluated according to its own standards.

Lastly, further academic as well as artistic research is encouraged which may include a variety of approaches, some of which may be the artistic production of certain musical works that attempt to propose optional methods to the problems pointed out by several research mentioned in this thesis; an examination of the Third Stream in relation of the musical content to the politics of race and culture within the context of the historical period that Schuller was active as a Third Stream composer, a survey of other Third Stream composers from a selected area and region, the potential relation of certain jazz and classical musicians in Turkey to the fusional approach defined by the Third Stream.

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