

NARRATIVE ANALYSIS OF FILM MUSIC:
ROTA'S SCORE TO *UNDER TEN FLAGS*

by

Edward Knoeckel
A Dissertation
Submitted to the
Graduate Faculty
of
George Mason University
in Partial Fulfillment of
The Requirements for the Degree
of
Doctor of Musical Arts
Composition

Committee:

_____ Director

_____ Program Director

_____ Director of the School of Music

_____ Dean, College of Visual and
Performing Arts

Date: _____ Summer Semester 2019
George Mason University
Fairfax, VA

Narrative Analysis of Film Music: Rota's Score to *Under Ten Flags*

A dissertation submitted in partial fulfillment of the requirements for the degree of
Doctor of Music at George Mason University

By

Edward C. Knoeckel III
Master of Education
University of Bridgeport, 2014
Master of Music
University of South Florida, 2006
Bachelor of Arts
University of Connecticut, 2002

Committee Chair: Jesse Guessford, Professor
Department of Music

Summer Semester 2019
George Mason University
Fairfax, VA

DEDICATION

This is dedicated to the many family members and friends who have encouraged and supported me through to the completion of the doctorate degree in music. It would not have been possible without the love of my life, Sarah, shown in unwavering sacrifice for my success.

ACKNOWLEDGEMENTS

I would like to thank the chair of my dissertation committee Dr. Guessford, and committee members Dr. Greene and Professor Camphouse for their continual commitment to support my scholastic and artistic growth. Many thanks to Dr. Monson and Dr. Owens who have taken such proactive measures to provide me with opportunities to teach and be part of Mason's Core curriculum. Many thanks to Professor Camphouse who as a teacher, in the truest sense, inspired me towards a deeper respect for the profession of composition and the highest standards in being a composer. This would not have been possible without Brian Satterwhite who committed himself to seeing me produce my best as a film composer.

TABLE OF CONTENTS

	Page
LIST OF TABLES.....	v
LIST OF FIGURES.....	vi
ABSTRACT.....	vii
1. STATEMENT OF THE PROBLEM.....	1
2. LITERATURE REVIEW.....	8
Narrative Potential of Film Music.....	8
Classic Theory of Film Music.....	14
Film Music Outside of Classic Theory.....	18
Film Music Beyond Diegesis.....	20
Film Music and Meaning.....	22
Literary Analysis for Narrative Meaning.....	25
Literary Analysis: Folktales.....	26
Literary Analysis: Semiotics and Narrative Meaning.....	27
Music Analysis for Narrative Meaning.....	29
Music Analysis: Narrative Archetypes.....	30
Music Analysis: Cultural Codes.....	33
Music Analysis: Opera Theory and Film Music.....	36
3. METHOD.....	39
ANALYSIS OF THE ESTABLISHING CUE TO <i>UNDER TEN FLAGS</i>	41
ANALYSIS OF CUE 5 TO <i>UNDER TEN FLAGS</i>	70
4. SUMMARY.....	86
APPENDIX A.....	94
BIBLIOGRAPHY.....	97

LIST OF TABLES

Table	Page
1. 3.1.....	40
2. 3.2.....	40

LIST OF FIGURES

Figure	Page
1. 4.1.....	44
2. 4.2.....	46
3. 4.3.....	47
4. 4.4.....	48
5. 4.5.....	48
6. 4.6.....	50
7. 4.7.....	54
8. 4.8.....	55
9. 4.9.....	56
10. 4.10.....	57
11. 4.11.....	58
12. 4.12.....	61
13. 4.13.....	63
14. 4.14.....	67
15. 4.15.....	72
16. 4.16.....	74
17. 4.17.....	74
18. 4.18.....	75
19. 4.19.....	76
20. 4.20.....	83

ABSTRACT

NARRATIVE ANALYSIS OF FILM MUSIC: A STUDY OF ROTA'S FILM SCORE TO *UNDER TEN FLAGS*

Edward C. Knoeckel III, D.M.A.

George Mason University, 2019

Dissertation Committee Chair: Dr. Jesse Guessford

This dissertation describes the current state of analysis of film music with the intent of finding connections between ideas on narrative analysis and film music. I posit an approach from Almén that overlays Micznik's semiotic and discursive categories onto Liska's three analytical levels and applies the analysis to cues of Nino Rota's score for *Under Ten Flags*. The result is an analysis of a film score that considers the intrinsic degree of narrativity apart from a vococentric film perspective.

Through this analysis I intend to demonstrate the narrative potential of a film score realized through a taking stock of its structural and semantic elements.

The technique I am proposing could be used in other film projects to synthesize filmic diegesis with a score's narrative trajectory. Understanding a film score's intrinsic meaning can also be useful in developing an approach to film music appreciation that has not been addressed yet in publication.

STATEMENT OF THE PROBLEM

A heraldic brass call rises over an undulating string ostinato. The call unfolds in a militaristic and pastoral sentiment through an ascending series of perfect fourths. Suddenly, at the point when there feels to warrant a cadential resolution a surprise interjection of a chromatic rise to a minor third causes a disruption. This break in the “call to hunt” is followed again by a flash of chromaticism, this time to a major third. What is happening? Why is this strong thematic statement breaking down?

Momentarily the hunting and taps related brass call regains its footing. This time it incorporates the chromaticism, now appearing inverted as an oscillating major then minor sixth leap. Eventually, this chromatic oscillation completely overtakes the perfect fourths motif and spins up, as into the clouds, through a tertiary related series of minor sixths. Upon reaching the stratosphere a completely chromatic and lamenting tune sinuously floats back down to earth. The taps motif is given a brief resuscitation, yet in a weakened state exemplified by its brevity and the lament theme returns to conclude in a glorious and affirming major mode.

Nino Rota was an exceptional composer that contributed greatly to the world of concert as well as film music. Born in 1911 in Milan, Italy Rota was unique in that he did not relocate to Hollywood during WWII as many composers in Europe did but decided to remain in Italy, where he died in 1979. He lived in the US briefly during his studies at the

Curtis Institute. His music gained international fame with the score *La Strada* (1955).

This was one of many films that Rota scored in collaboration with the director Federico Fellini. Their other collaborations include *La Dolce Vita* (1960), *8 ½* (1963), and *Amarcord* (1973). The score for *La Strada* was arranged into a ballet suite through a commission by the Milan opera house *La Scala*.¹

Rota composed more than 100 film scores yet, few are in circulation outside of Italy. Some exceptions are his most famous scores for Coppola's *The Godfather* and Zeffirelli's *Romeo and Juliet*. The latter remained in the Billboard charts for 74 weeks. He won an Academy Award in 1975 for *The Godfather Part II*.²

The compositional approach of Rota was typically based on folk-like and attractive melodies and quirky rhythms. Yet his music does not quite work in the way that we have come to assume music in film works. His music is absent of overly dramatic sentiment nor does it draw one into through diegetic gestural mimicking of physical action. Rota's style works on the opposite spectrum of a highly romantic composer such as Korngold. Richard Dyer in his book on Rota describes Rota's scores in regards to their relationship to what is on screen as "close and affectionate towards characters and events but still restrained, not detached but ironically attached".³

Duilio Coletti was the director for the film *Under Ten Flags* (1960) and had worked with Rota once before for the film *Folgore Division*, also known as, *The Battle of*

¹ Franco Sciannameo, *Nino Rota's The Godfather Trilogy: A Film Score Guide*, Scarecrow Film Score Guides, no. 9 (Lanham, Md: Scarecrow Press, 2010), 14.

² Richard Dyer 1945-, *Nino Rota : Music, Film and Feeling* (New York: New York : Palgrave Macmillan on behalf of the British Film Institute, 2010), 4.

³ Dyer, 8.

El Alamein (1955). For *Under Ten Flags*, the story follows the British navy as they track down and attempt to trap the German raider ship *Atlantis* which disguises itself as a neutral ship. The story is told from the German perspective of Captain Reger.⁴ Thus, the narrative addresses a question of how characters utilize or avoid violence to overthrow an established normative element in society, that is, how to reconcile personal belief with an established “normative” belief system. The film *Under Ten Flags* addresses issues of social order and transgression as it pertains to the unconventional actions of a Nazi warship captain and crew.

Traditionally, one would think that this musical introduction composed by Nino Rota to the film *Under Ten Flags* was simply a presentation of principle themes to be used throughout the film. However, oppositions between the lament theme and military motif continue throughout the film. I am left asking, what does this mean? What is being conveyed by the film score? Is it, the film score, attempting to narrate a series of messages that are just as important as what the filmic diegesis? I search for literature that explains ways of understanding narrative in film music. What I find are descriptions of Rota’s compositional practice, the history of thematic material he has used across multiple films, and his use of folk tunes through his collaborations with Fellini and writing on how particular film scoring techniques help set up the story that will be portrayed by the actors. In regards to film music there exists a body of work that proposes film music as inherently following what is seen on film. This parallelism holds music as

⁴ *Under Ten Flags*, accessed July 20, 2019, <http://www.imdb.com/title/tt0054328/>.

subservient to the image. In addition to parallelism the theory of voice and dialogue as the principle conveyers of narrative with music acting as usher maintains an established place in film music literature. This idea sees film music acting in the periphery of a vococentric paradigm. What I do not find are methodologies and theoretical frameworks that provide a system to understand the narrative conveying potential of Rota's scores. I wanted to find a way to understand and analyze the meaning of this score that intrigued me so much.

There has been relatively little study of the ways which ideas on film music interact with narrative analysis. It is the purpose of this study to provide an overview of the place of concepts on analysis in narrative and film music up to present day. I examine first the theories on narrative and how they qualify film music to be incorporated as recipient into that field. Second, I consider the current theories on film music analysis and the subversion of a vococentric theory by ideas about narrative intrinsic to the film score.

The problem thus far in film music analysis has been the focus on vococentricity and diegetic narrative dependency. By the term vococentricity, I refer to Nuemeyer and Buhler⁵ who state an inherent hierarchy in film that posits the priority in filmic narration as being held by the voice. Not only spoken dialogue but also quality or "grain" of the voice and its placement in the layering of sounds in a film scene. The view of vococentricity in film is one that is also held by Claudia Gorbman, known for her writing on music's role in the diegesis of film. For Gorbman music enacts a ceding of influence

⁵ David Nuemeyer and James Buhler, *Meaning and Interpretation of Music in Cinema*, Musical Meaning and Interpretation (Bloomington: Indiana University Press, 2015).

to spoken word, a “giving way” to dialogue.⁶ Neumeyer and Abbate, address the “stickiness” of music. This condition of stickiness is when music garners meaning by the taking up of gestural and verbal, and non-musical, symbols in congruence with its own syntactic unfolding. This leads Neumeyer to state that we should be reticent to hear films in terms of music and ultimately that a score is music “in” film not “for” film.⁷ Yet, “stickiness” can be addressed in a way that allows extra-musical connotations to reveal meaning inherent to the music instead of hearing music’s inherent meaning as being subservient to extra-musical connotations. Micznik’s, study of narrative in the music of Beethoven and Mahler form the basis for my methodology, incorporating gestural and temporal connotations to convey music narrative. Through this, Micznik offers an alternative to the view that considering music’s meaning must give way to a verbal hierarchy.

I agree with Neumeyer that hearing the film in terms of music alone can lead to an admittedly “distorted” view of the film. His reasoning is that the obfuscation of the myriad of filmic elements like sound design, camera angle, dialogue and visual effects should be included in a holistic approach that also incorporates a score’s supportive role. Yet, the process of film score analysis for its degree of narrativity should be careful of dismissing the potential of an existing narrative discourse being intrinsically bound to the score simply because of the presence of other media elements. Yes, a film score does

⁶ Claudia Gorbman, *Unheard Melodies: Narrative Film Music* (London : Bloomington: BFI Pub. ; Indiana University Press, 1987), 77.

⁷ Neumeyer and Buhler, *Meaning and Interpretation of Music in Cinema*, 13.

exist “in” the film and it also was conceived as Neumeyer admits, “for” the film by a composer responding to the film.

Considering the score as conveyer of a narrative trajectory does not disregard the post-production filmic experience but merely considers how, through a morphological approach the film score’s syntactic elements of music can lead to semantic unfolding and subsequently to a narrative understanding. I do not claim that the vococentric view of film is a problem of misdirection in analysis. For it is certain that experts in the field of film and film music theory can expose intricacies, nuanced production techniques, historical background information as well as metadata around reception of the movies in the ever-growing publication in these fields. However, there is a void not yet filled and questions not yet answered in the field of film music analysis pertaining to intrinsic narrative of the score. I hope that applying a narrative analysis to Rota’s score for *Under Ten Flags* will shed light on its inherent meaning.

Film music theorists have based their approaches on a premise that music is created as a response to image or that it serves as a continuity device for establishing diegesis and forwarding the narrative hand in hand with a voice narrator. This paper seeks to research what the existing writing in film music theory is, how film music might be qualified for a narrative analysis and ultimately understand how Rota’s score creates narrative in *Under Ten Flags*.

If it is possible to understand a film score as a system of sign patterns that can generate narrative, then one might see how a score contributes to our understanding of a film’s narrative more than the function of aiding the narrative of the film. To do this I

will analyze two cues from the score of *Under Ten Flags* by Nino Rota to examine the score's narrative sign model. My aim is to see the extent that the sign patterns of the score produce narrative and meaning.

LITERATURE REVIEW

Narrative Potential of Film Music

The closest research and one of the most contemporary to the field of narrative in film music is being constructed by Guido Heldt who readily admits that the systematic analysis of codes and signs in film music are not in his purview. For him the ways that film music functions and facilitates the understanding of narrative by the viewer is the focus. Heldt considers how film music takes an audience in and out of the diegesis, how it breaks the fourth wall of music in film and becomes music about the film, often with tongue in cheek humor. Yet, in the introduction to his book he does acknowledge that a systematic analysis to the score itself is a fascinating and largely untouched field but outside the scope of his research. Of the patterning within a film score and the resultant narrative elements he states, “It would be interesting to see how film music might be brought into such explorations: how it can articulate story patterns or codes, or how formal propensities of different kinds of music may mesh with such patterns. But that would be a different study.”⁸

⁸ Guido Heldt, *Music and Levels of Narration in Film* (Bristol: Bristol: Intellect Ltd, 2013), 8.

To consider the “formal propensities” and “patterns or codes” in the film score is to consider their own unique creation and design in relationship to each other, music to music, source to like source. Many existing film music texts consider how the audio/visual audience might perceive the filmic narrative, hence, considering the film as a singular source with multitudinous parts experienced cohesively by the “viewer”. The studies of Micznik consider singular movements of Beethoven and Mahler symphonies yet, the view is not distorted from the ability to consider the work’s entirety. Almén presents analyzes of single movements and Neumeyer presents vococentric analysis of single scenes. In the research and analysis presented in this paper I merely discuss the possibility of looking at a single source of meaning conveying signs, and consider the qualitative potential that narrative analysis would render it to.

Heldt’s term “formal propensities” is found in the narrative process of a transgression disrupting an established norm and creating hierarchy between opposing elements. This transgression is central to understanding how narrative unfolds in any medium. The disruption which I will discuss later in the methodology section occurs after a degree of normative is established in the film score and is opposed by a transgressive musical element. This kind of transgression can occur within a musical work as well as a literary work. Both mediums can then be analyzed for their narrative trajectory based on how the power struggle is resolved over the course of the work.

Film music poses a unique medium in that its typical experience is through the menagerie of many different aural and visual elements. In Kalinak’s book *Settling the Score*, she defines the process of film scoring as following as set of “conventionalized”

steps that guide “composers in responding to the image musically.”⁹ Her description conveys the heart of established critique and analysis of film music. Mainly, that film scoring is an audiocentric medium without its own supplemental narrative to which it can impart upon the film. Narrative analysis in music has not become an established field in film music studies and is primarily directed towards purely abstract concert music. Hatten, Almén and Klein focused their intentions towards narratological elements in music by way of shifting power between musical elements, primarily of music of the 18th and 19th centuries; i.e. Haydn, Mozart, Beethoven, and Chopin.

Existing narrative analysis (Micznik, Klein, Almén, Abbate, Agawu) considers music that is composed and presented in a relatively complete and whole condition. In other words, music with a beginning, middle and end. An inhibitor to analyzing the tricky elements of film music from a traditional formal analysis as an entire score is the very nature of the medium, that is, it is presented in many short cues that avoid a total form in the traditional music sense (rondo, sonata allegro).¹⁰ An accumulation of short cues wasn’t always the case. After 1927 the development of spoken dialogue in movies effected the way that music would interact with what was being said or sung on screen and room for the spoken dialogue cut into the continuous musical background scoring from the silent era. With film scores starting and stopping around dialogue, sound effects,

⁹ Kathryn Marie Kalinak 1952-, *Settling the Score Music and the Classical Hollywood Film* (Madison, Wis.: Madison, Wis. : University of Wisconsin Press, 1992), 84.

¹⁰ This is also reason for considering music as being written *for* film and not relegated to considering music *in* film as Neumeyer states. Although, I do recognize that his take is on the ways that a viewer makes sense of the various cinematic components.

and Foley recordings it can be thought that film scores are not complete or long enough to establish a narrative trajectory.

Film music theorists like Prendergast considered problems that classical theory had with analysis of film music to partly stem from a perceived lack of a cohesive whole. In his book *Film Music: A Neglected Art* he recalls attempts of film scoring by art composers in which whole scores were “completed” prior to the film being done with production or having ever seen a single shot of the film.¹¹ The question of a film score’s formal cohesiveness becomes an analytical stumbling block because of its duration. To the extent it can present a conflict of marked and unmarked items, is considered when trying to understanding just how much a film score can convey.

Yet, duration of the work is not a disqualifying element for the potential narrative conveyance as seen in two examples from published works. Almén analyzes the opening nine measures of the Schubert, Sonata in B-flat Major, D. 960. In the span of just nine measures there is identified a disruption enacted upon an established norm, namely a pastoral theme. This disruption both in register and in the metric regularity of the pastoral theme creates an opposition and subsequently a hierarchy of markedness between the disruptive figure and the normative pastoral theme. It is within this identified opposition that the framework for a narrative exists.¹²

¹¹ Roy M. Prendergast, *Film Music : A Neglected Art : A Critical Study of Music in Films* (New York: Norton, 1992), 227.

¹² Byron Almen, *A Theory of Musical Narrative*, Musical Meaning and Interpretation (Bloomington: Indiana University Press, 2008), 45.

In a literary context the duration of a piece of text is also not a qualifier for a narrative potential to exist. As Felluga points out in his application of the Greimas Semiotic Square even a simple sentence as, “The road is clear.” can contain a kernel of narrative trajectory. Despite the seeming inactivity of the statement there is argued that any lexical statement can have inherent narrativity and even inactivity can qualify for a narrative situation.¹³

As for being a complete work, the film score can be considered as cohesive due to its construction around a singular produced film. Within the start and completion of the film itself exists the collection of intentionally composed music which responds to the filmic narrative presented to the composer (disregarding compilation scores). Within this framework there are signs of musical syntax which can be organized into binary oppositions. These oppositions implicate a construction of meaning due to either paradigmatic or syntagmatic procedures. That is, according to Greimas, Jakobson and Saussure, the construction of meaning can come from either the consideration of bundles of signs revealing that which is present or absent as well as seen as a string of signs that reveal inherent repetitions.¹⁴ By these definitions even the briefest film score could impart some narrative element towards the film.

Film scores often contain topical, stylistic and motivic oppositions that can be organized to construct a musical narrative and as such a consideration of the meaning

¹³ Dino Felluga, “Narratology Applications,” “Narratology Applications.” Introduction to Judith Butler, Module on Gender and Sex, January 31, 2011, <https://www.cla.purdue.edu/english/theory/narratology/application/applicTnRoadisClear2.html>.

¹⁴ Almen, *A Theory of Musical Narrative*, 49.

within the score is begged to be made. The idea of how a viewer and/or a composer understands the sounds and music of a film and imbue it with meaning as a cohesive whole has been subject to previous research. Prendergast remarks that many critics say film music lacks a cohesive form.¹⁵ Composers, by diagnostic means, have projected a form in the abstract sense from absolute music upon the film to supply it with a unifying element. For example, fugues or sonatas or other established forms are utilized in film scores but, Prendergast states that often the temporal restrictions of the film inhibit the cue from fully addressing the full unfolding of these forms. However, concert music composers have sought to apply simply a backdrop of music to the fixed media of film thinking that the film will adjust to the music in the way a ballet might. Whole scores have been composed prior to the completed or draft shooting of a film. The stories persist of Villa-Lobos and Stravinsky merely composing a score before ever even seeing the film.¹⁶ Again, in this approach a film is a fixed media and not an interactive source that music is contributing an experience to, or providing context with. Aaron Copland's suggestions on film scoring is much more synergistic and intimate between film and composer. He discussed the nuance and more contemporary practice of spotting films and responding to a film which has yet to go through the post production process.¹⁷ By this manner, film composing can elicit formal designs from concert music but still be flexible to work around the design features of the film.

¹⁵ Prendergast, *Film Music : A Neglected Art : A Critical Study of Music in Films*, 227.

¹⁶ Prendergast, 228.

¹⁷ Aaron Copland, *What to Listen for in Music*, [Rev. ed.]. (New York: McGraw-Hill, 1957), 115.

Classic Theory of Film Music

The question of how a film score “works” with a film, being the basis of film music analysis in its classic theory, is rooted in the functionality of technique by which film music is applied to a film. To reconsider this question one would ask where the music is coming from in a film and how is it that we can make sense of it. Chion and Burwell consider the question of how the viewer understands the dual components of audio and the musical score. They state that comprehension of the sounds of a film are understood from a logical-meaning based process once the sounds/music are reasoned with the images. The attachment is referred to as “spatial magnetization”. By this way the viewer mentally locates sounds from their putative source.¹⁸ Yet, the idea of reasoning a score alone is the basis of my research. This paper is concerned with investigating the ways that the compiled signs of music and patterns in the score present themselves as a collective narrative experienced in addition to the film narrative.

This above theory addresses the cue or scene by scene comprehension of the film but not the isotopic, overall, meaning of the film or score. The form of the film does direct the number and types of musical cues and for good composers, says Prendergast, this is paramount in the issues that a composer’s score should wrestle and entangle itself with. In this filmic/music relationship, “...the visuals on the screen determine the form of

¹⁸ Michel Chion, *Film, a Sound Art*, [English ed.], Film and Culture (New York: Columbia University Press, 2009), 248.

the music written to accompany it.”¹⁹ However, what is being addressed here is merely the quantitative elements of the music cues, duration and frequency. This “form” that Prendergast addresses is not addressing the choice of which theme is used, which style, or organizing element the composer chooses as cohesion among the cues, nor the underlying psychological development that the composer believes to be at work in what cannot be seen on screen. These choices are made through responses and filters that the composer enacts upon in the creation of a score and its cues. The form that Prendergast alludes to is later identified more articulately as “formal continuity”.²⁰

Kalinak writes about the established classical film theory of parallelism. Within this terminology it is understood that music’s manifestation of the experience that is seen on screen cease making the two units (visual and aural) independent of each other. So often the resultant analysis of film music is projected from the stance that music is working in parallel with the film and the film’s meaning is found in what the visuals convey. It is along these lines of parallelism (and its negative definition of counterpoint) that Prendergast, Adorno, Eisler, Sciannameo approach the analysis and discussion of film music. In explaining formal continuity, Prendergast analyzes a score along the terms of this parallel worldview and classifies the scores as “eloquent” in which visual-dramatic and musical elements all align. These scores are cast as the epitome of film scoring and exhibit “brilliant and imaginative examples of music”.²¹ The formal continuity examples

¹⁹ Prendergast, *Film Music : A Neglected Art : A Critical Study of Music in Films*, 227.

²⁰ Prendergast, 228.

²¹ Prendergast, 227.

demonstrate how music organizes itself and assists in organizing our understanding of the narrative. But Kalinak is clear to state that interdependence of film music and visuals gives cause to reconsider music's function with statements such as, "narrative is not constructed by image alone" and "music works as part of the process that transmits narrative information to the spectator...it functions as a narrative agent."²² Therefore the discussion of, say, music cues by Raksin in the film *Carrie* that tie multiple scenes together through the reintroduced musical elements of a bassoon solo and a waltz theme focus on the parallel function that the score fulfills. The score connects diegetic scenes to subsequent recollections of those scenes. Yet, this analysis of scene continuity depicts the efficacy and functionality of music through its "fitting in". What is not addressed is the meaning or narrative hierarchy of the syncretic elements of the score. For example, what is the bassoon solo's role in the score? In what ways does solo bassoon and the waltz style oppose each other to create a musical narrative.²³

Prendergast and Copland both address film music's role. The concepts they cover form a list compiled of musical elements that work together to solidify and convey a film's narrative. Ideas of leitmotif, monothematicism, and a developmental score are posited as means to formally unify the film.²⁴ Without a set number of repetitions at one's disposal the composer is restricted from working, generally, within explicit music formal designs such as rondo and sonata-allegro form across a feature length film. Leitmotifs are

²² Kalinak, *Settling the Score Music and the Classical Hollywood Film*, 30.

²³ Prendergast, *Film Music : A Neglected Art : A Critical Study of Music in Films*, 238.

²⁴ Copland, *What to Listen for in Music*, 124.

presented in through slight variations. Monothematic scores are restated in slightly altered ways that fit the mood of a scene. Developmental scores present the listener with expository material that are recapitulated by dramatic decisions yet derive from a singular group of music material.²⁵ In continuing the classic theory model they also view film music with similar functions (setting time and place, refining psychological state, background filler, build a sense of continuity) yet with no meaning attributed to the score's own collection of materials.

The meaning derived from the score forces us to consider film scores outside of the classic theory paradigm. Outside of a structuralist view the score is more than a taxonomy of cues and their orchestrations. The move toward considering music for meaning outside of classically held beliefs has been on the march for decades now. Theorists Leppert and McClary argue that the social context of a score is just as influential as the abstract principles of its creation.²⁶ They stress that meaning from music should be considered outside the formal and notational constructs of music. Yet, the film score's role as inundator of fantasy and sidekick of illusion to the screen is at the base of this classic theory. For this reason, it has become difficult to remove music from its visual pairing. "Film music binds the spectator into the fictive reality through its promulgation of identifiatory affect between audience and screen...this standardization of film music...institutionalized this ideological function."²⁷

²⁵ Prendergast, *Film Music : A Neglected Art : A Critical Study of Music in Films*, 234.

²⁶ *Music and Society : The Politics of Composition, Performance, and Reception* (Cambridge [Cambridgeshire] ; Cambridge University Press, 1987).

²⁷ Hanns Eisler, *Composing for the Films* (London ; Athlone Press, 1994), 9.

Film Music Outside of Classic Theory

In a review of film music publications, the prominent analysis of film music for meaning has been focused on a classic theory relationship demonstrated in parallelism and counterpoint. Abstracting the music from the bound filmic experience might shed light on the way that narrative is understood. The research and analysis I present in this paper is focused on the way that a narrative is conveyed through the film score. The abstraction of elements in a sign system such as literature and music, for understanding intrinsic narrative, has a precedence in related fields of study. Vladimir Propp's *Morphology of the Folktale* and Greimas's Semiotic Square both derive from literary criticism. They both seek to make extrinsic what meaning may be initially intrinsic to the medium. Propp's study has been influential as that it abstracts the narrative into basic building blocks that reveal how it demonstrates archetypal features. Greimas's Semiotic Square in a similar way but with a less broad application considers elementary structures of signification by "marking off the oppositional logic that is at the heart of both narrative progression and semantic, thematic or symbolic content."²⁸

As Propp's abstraction revealed connections across a broad array of folkloric stories it created the potential to categorize the material not just in folktales but in the narratives of much fictional literature. For this purpose, Northrop Frye identified a set number of archetypes that narratives might, in a morphological manner, fit the mold of.

²⁸ Felluga, "Narratology Applications."

Each of these archetypes are built upon the premise of a transgression to a normative state. A hero figure within the archetype formulas can restore, create a new, or fail to overcome the transgression. The result of the opposition between transgressor and norm leads the narrative to fit into a romantic, tragic, ironic comedic archetype (and the subtypes found therein). These analytical procedures have been applied towards the understanding of narrative and oppositional elements in absolute music with fascinating results.

That absolute music is justly sufficient to convey narrative independent from libretto or literary device is explored at length within narratological research. The lament that music should be exclusively emotional support rather than carrier or proponent of narrative is foundational to Byron Almén's theory of musical narrative. His discussion of the descendent model of narrative placed music under the auspices of literary narrative analysis. Yet, this formula was destined for failure in that music, if understood to express narrative in the same analogous fashion as literature, was forced to fit the definition of narrative only if it was "able to mimic or approximate the effects of literary narrative".²⁹

Almén proposes a sibling model that redefines narrative at its core as opposed to how it is manifest in literature. This allows a common ground to be found between music and literary elements towards the formulation of narrative. The "universal" elements of narrative that can be applied to music are "dynamics and possible outcomes of conflict or interaction between elements, rendering meaningful the temporal succession of events,

²⁹ Almén, *A Theory of Musical Narrative*, 12.

and coordinating these events into an interpretive whole”.³⁰ Meanwhile, to avoid the pitfalls of interpreting music as a watered-down stream of literary events there are proprietary elements of music that act as narrative ingredients. Music has syntactic properties such as harmony, melody, rhythm, tempo, register, and orchestration that are employed to navigate conflict and resolution. These elements, absent of named character specificity, can convey narrative without the limitation of literary specificity. Almén points out that,

“music provides even greater flexibility for the listener to track the interplay of narrative relationships. The relative freedom from descriptive specificity in music allows the dynamic interactions between events to be foregrounded...psychological and social dynamics emerge all the clearer and with greater force in the absence of a descriptive milieu.”³¹

Although, the analysis of a film score removed from the narrative of the visual in a vococentric paradigm can seem limiting. Almén reveals that through the reflection on musical elements alone and their “dynamic interactions” the narratological potential becomes quite powerful.

Film Music Beyond Diegesis

Guido Heldt remarks on the limitations which have been reached from the exploration into Claudia Gorbman’s initial presentation of the terms diegetic, nondiegetic

³⁰ Almen, 15.

³¹ Almen, 13.

and metadiegetic. Since her publication in 1987 film music analysis has become constrained through the looking glass of this framework. Heldt posits that this tripartite diegetic terminology is ignoring the fact that music is itself a narrative art form. He states that out of a significant list of authors and theorists in the field of film music (Neumeyer, Kalinak, Gorbman, Copland, Buhler and Prendergast to name a few) none address how the film music articulates the patterns or codes of narrative itself.³²

The literature at present focuses on how the film scores contribute to or enhance the narrative of the film. What is missing from the literature is a qualitative study that investigates the way that a film score creates its own narrative and thus can be categorically matched with a narrative archetype that compliments or contrasts with the filmic narrative. Relevant in the context of research on musical meaning, this active view of a film scores' independent narrative potential calls for further exploration, especially in description of analytical practice. Hence, the purpose of this paper is to inquire into, from a theoretical perspective, the analytical practice for understanding narrative derived from a film's score and the way that it relates to the film's visual narrative. By visual narrative I refer to the perceived unfolding storyline on screen in a film.

³² Heldt, *Music and Levels of Narration in Film*, 9.

Film Music and Meaning

In the literature focused on film score analysis there are established writings which support the idea that the film score has no inherent meaning removed from the diegetic narrative. Ultimately, the film score is subservient in the relationship between the visual narrative and musical elements. The analysis of the film's score is limited to the interaction between the score and the diegetic narrative. In looking at the established works in this field closely we see some subtle variations in the approach to understanding meaning in film music.

Claudia Gorbman, whose seminal book, *Unheard Melodies*, bases her overarching perspective of film music criticism on the score's effectiveness at supporting the diegetic narrative.

To judge film music as one judges "pure" music is to ignore its status as a part of the collaboration that is the film. Ultimately it is the narrative context, the interrelations between music and the rest of the film's system, that determines the effectiveness of film music.³³

Gorbman who goes on to state that film music is nonrepresentational.³⁴ It is this discrepancy of meaning that gives rise to questions of established means for film music analysis. The visual cue will have a meaning while the musical cue will provide its own meaning. Ultimately it is in the 'focused listening' of pure musical codes as they relate to the diegetic narrative that meaning is derived. The blocked bridges to consider the two

³³. Gorbman, *Unheard Melodies*, 12.

³⁴. Gorbman, 13.

elements, filmic narrative and musical meaning, as separate come from terms such as ‘effectiveness’ and ‘judge’ that could be found in Gorbman’s analytical approach. The analysis of a film score is directed by considering how effective it was in the film and judging the craft of the score’s composition. Yet, the questions not addressed are of the score’s potential to become understood differently by the absence and presence of visual stimuli. That is, Gorbman’s approach leaves out how are the sequences of musical codes can be understood as a coexisting narrative, not simply an accompaniment, to the diegetic narrative.

Outside of the filmic narrative the film score has been shown to have intrinsic meaning. This meaning can stem from considering the score’s cultural associations as well as its historical context. Richard Dyer³⁵ considers the music of Rota for its use of reference both to Rota himself as well as to existing music. For this reason, the music is not simply what exists in the film but can be understood in light of a composer’s particular historical output, that is as parody and cliché. The attention on the use of reference by Rota is also found in Sciannameo’s film score guides which highlight the Italian quality of Rota’s melodies and folk music ancestry, yet, not on the chain of signs in the score which can create a contrasting narrative.³⁶

Other approaches to understanding film music support the idea that there is intrinsic meaning that can be derived. Yet, this intrinsic potential for meaning within film music, identifiable beyond the diegetic world, is largely seen as resulting from the

³⁵. Dyer, *Nino Rota : Music, Film and Feeling*, 24.

³⁶. Sciannameo, *Nino Rota’s The Godfather Trilogy*, 16.

compilation and consideration of all audio-visual pairings in total from a film. Sound effects, dialogue, and musical score are compared with camera angles and *mise en scène* to extract the implicit interpretation of a scene.

Separating the two textual elements, diegetic narrative and musical meaning, to interpret meaning in a film is no easy task. However, David Neumeyer is optimistic about the potential for separating textual effects from interpretive practice. As such he clarifies two different levels of understanding meaning in a film's narrative: "comprehension" and "interpretation". These terms stem from a heuristic by Bordwell. Here, Bordwell provides an open door to considering the explicit and the implicit meaning from a film. The explicit meaning is derived from the diegetic world and biographical information about the director's intentions. The implicit meaning, "interpretation" focuses on ideology and symptomatic meaning. It is also the result of compartmentalizing the textual elements and analyzing them for their abstracted meaning.³⁷

Neumeyer considers film music to share a narrative function with the voice. Film music is considered to work with the voice and image to flow between diegetic and nondiegetic registries and present narrative. These two elements he believes are the only ones capable of propelling narrative forward while image establishes diegesis. Yet, the potential for film music to assume its own narrativity is difficult because film is inherently audiovisual. He classifies film as vococentric cinema, where music and voice trade roles as filmic narrator. In analyzing the opening scene from the film *To Have and Have Not*, Neumeyer shows film music as functioning like an announcer, telling the

³⁷. Neumeyer and Buhler, *Meaning and Interpretation of Music in Cinema*, 7.

audience something about the film to come.³⁸ Yet, the score does not act as a separate, complementary or contrary, voice of narrative.

Through considering the “interpretation” apart from “comprehension” there is a perspective that is akin to the priorities for interpretation found in semiotics, namely, Barthes’ denoted and connoted signs. Neumeyer is taking on sometimes individual scenes of films, sometimes particular scoring tropes such as stinger chords or non-diegetic cues, to address how all the audio elements (sound effects, scoring, dialogue) contribute to meaning within that cue. Yet, Neumeyer, even in his attention to formalist analysis of film cues limits his attention to the extrinsic elements of grandness from the musical trope yet not of the extroversive meaning that the harmonic progressions convey in the cue.

Literary Analysis for Narrative Meaning

There is precedence in the scholarly work of literature analysis that support the idea of music being a carrier of intrinsic meaning. Admittedly, the traditional consideration of narrative is found in literary sources. However, Liszka, in *The Semiotic of Myth*, defines narrative as something that, “takes a certain set of culturally meaningful differences and transvalues them by means of a sequence of action”.³⁹ The “sequence of

³⁸. Neumeyer and Buhler, 41.

³⁹ James Jakób Liszka, *The Semiotic of Myth: A Critical Study of the Symbol* (Indiana University Press, 1989), 117.

action” is an implication of the temporal nature of the narrative medium, i.e. the change over time. Almén summarizes this definition of narrative as, “the effect of transgressive shifts or conflicts on a prevailing cultural system, as inflected by that which is important to the observer”.⁴⁰ A narrative organization in cultural artifacts with a temporal orientation is significant in myth, literature as well as music. I think that the methods that literary scholars used to understand narrative in literature can provide tools and deeper understanding for music analysis. Meaning in music is the result of it being a proponent of myth. Myth is created through the accumulation of oppositional elements. Through semiotics and folk tale analysis the abstracted stories of people groups were reduced to the basic elements called paradigms which then were linked into syntagms. Lévi-Strauss and Tarasti discuss the realization of common linked syntagms across diverse cultures and the existence of narrative archetypes shared between music and myth.⁴¹ The work in narrative analysis included the identification of narrative archetypes in music.

Literary Analysis: Folktales

Approaching the analysis of a narrative for meaning from a strictly textual standpoint was first formulated by Vladimir Propp⁴². His model for identifying

⁴⁰ Almén, *A Theory of Musical Narrative*, 40.

⁴¹ Eero Tarasti, *Signs of Music: A Guide to Musical Semiotics*, Approaches to Applied Semiotics 3 (Berlin ; New York: Mouton de Gruyter, 2002), 36.

⁴² Vladimir Yakovlevich Propp, *Russian Folktale by Vladimir Yakovlevich Propp* (Detroit, US: Wayne State University Press, 2012), 12.

underlying connections through a morphological approach was useful to connect diverse folk tales of the wondertale category across diverse cultural settings. Propp presented a systematic breakdown of narrative functions used to create an abstracted archetype.⁴³

Propp was proposing that by abstracting, that is, taking a morphological approach to folktale narratives there could be revealed an overarching myth. Myth then could exist at an extrinsic level and an intrinsic one, revealed by textual analysis.

Literary Analysis: Semiotics and Narrative Meaning

Myth, as created by music, is addressed by Lévi-Strauss.⁴⁴ For in semiotics there is an approach which separates what is presented from what is meant. In linguistic terms one can find this separation between paradigmatic and syntagmatic elements. Meaning is found within a two-part structure of paradigms, that is the groups of elements, words, notes or sounds, that together form syntagms. When the paradigms are collected, and given cultural meaning they create a constructed meaning called a syntagm.⁴⁵ It is the

⁴³. Vladimir Propp 1895-1970, *Morphology of the Folktale*, 2d ed., and edited with a pref. by Louis A. Wagner [and a] new introd. by Alan Dundes.. (Austin: Austin, University of Texas Press, 1968), 16.

⁴⁴. Eero Tarasti, *A Theory of Musical Semiotics*, *Advances in Semiotics* (Bloomington, Ind: Indiana University Press, 1994), 21, <http://mutex.gmu.edu/login?url=http://search.ebscohost.com/login.aspx?direct=true&db=nlebk&AN=23218&site=ehost-live&scope=site>.

⁴⁵. Roland Barthes and Sandy Petrey, "Reflections on a Manual," *PMLA* 112, no. 1 (1997): 72, <https://doi.org/10.2307/463054>.

syntagm which is related to both culturally specific myths as well as the identification of more universally recognized myths.⁴⁶

Also, useful in the understanding of archetype in narrative is the work of James Liszka.⁴⁷ His writing in semiotics focuses on how archetypal analysis paves the way into questioning how narratives promote or deny a cultural order. The expression of cultural order is presented within the framework of myth. Myth is created through identifying markedness of oppositions. Understanding how to identify valiative oppositions, in effect, markedness of terms (although the element “terms” would need to be replaced with syntactic symbols of music) comes through binary pairings such as presence/absence, simple/complex, and paradigmatic/derived that create a mythological threadwork that is the world view of the creator of the work (be it literature or music).⁴⁸ It is the idea of heroes that Liszka’s research is primarily involved with as being determining factors in the expression of cultural order in literature. Heroes are the focus of each narrative archetype and as part of each archetype face victory or defeat while transgressing against an established order or defending that order against transgressions.⁴⁹

Liszka presents the analytical approach of considering a musical work at its agential level and how musical cultural units work and extend the theories of Propp’s Morphology of a Folktale (hero/protagonist, villain/antagonist, helper etc). Motives and

⁴⁶. Mireille Ribière, *Barthes* (Penrith: Humanities-Ebooks, 2008), 125.

⁴⁷. Michael Leslie Klein and Nicholas W. Reyland, eds., *Music and Narrative since 1900*, Musical Meaning and Interpretation (Bloomington ; Indianapolis: Indiana University Press, 2012), 28.

⁴⁸. James Jakób Liszka, “Transvaluation and Myth: Markedness and the Structure of Elementary Narration,” *The American Journal of Semiotics* 6, no. 2/3 (1989): 145.

⁴⁹. Liszka, 9.

themes can be seen as similar to interacting personae from a narrative. Liszka's actantial level of analysis takes the former level and considers how it propels narrative momentum. The resultant momentum from agential interactions is the center of the actantial level. Thus, actantial level analysis not only identifies musical units as having personae type involvement and thus generate narrative but as creating hierarchies through their interactions with each other.⁵⁰

Music Analysis for Narrative Meaning

The semiotic approach of revealing meaning through oppositional binary pairs has been applied to musical analysis. This approach of using syntagms is also found in studying popular music. Richard Middleton applies this semiotic system to understand how various influences within a popular music selection can ultimately lead one to understand the cultural significance of that music.⁵¹ He shows how syntagms can be collected together paradigmatically and analyzed within a cultural context for meaning. As the analysis unfolds constructed signs from musical elements paired with their cultural context present a broader meaning.⁵² The two-part sign system of paradigm and syntagm

⁵⁰ {Citation}

⁵¹. Richard Middleton, *Studying Popular Music* (Milton Keynes [England] ; Philadelphia: Open University Press, 1990), 12.

⁵². Middleton, 35.

was taken by Barthes further to signifier and signified. The form that signified something is the signifier and the meaning applied to that form is the signified.⁵³

Music Analysis: Narrative Archetypes

The deconstruction of extrinsic elements to reveal intrinsic connections is further applied towards understanding comparative similarities through the unfolding of musical structural features. Studies in literature analysis and semiotics support the idea that music has an intrinsic meaning identifiable through a narrative trajectory created from a structural analysis. Syntagmatic chains, mentioned above as fundamental components in literary meaning, can be seen through the linking of musical oppositions in a musical work and weighing them based on repetition, variation, and transformation. How the conflict of the oppositions is eventually resolved forms the final paradigms towards recognizing a musical narrative. Whereas literature works with semantic elements Michael Klein proposes that a music narrative is derived from the identification and analysis of synchratic, that is, musical elements.⁵⁴

In the way that myth can be derived from literary narrative so Michael Klein applies quasi-structuralist analysis to absolute music with the goal of making an implicit narrative explicit. Klein, in formulating meaning of the Chopin, Nocturne in B, op. 32/1, states that musical narratives should be investigated for their topics, codes, conventions,

⁵³. Ribière, *Barthes*, 42.

⁵⁴. Klein and Reyland, *Music and Narrative since 1900*, 32.

and genres (semantics) as well for their harmony, voice leading, and rhythm (syntactic). It is through the analysis of these two components that narrative archetypes can be applied. As Klein states, these archetypes are ideologies of both the text and the perceiver (reader/responder) of the text.⁵⁵

Considering archetypes that reduce folk tales and stories to a set of characters is another method that allows analysis to go beyond the comprehension stage. On a more macro scale Northrop Frye contributed greatly to the categorization of archetypes by identifying four overarching characteristics in narratives, irony, tragedy, romance and comedy. Greimas analyzed folk tale action more minutely and reduced them to oppositions of two terms, ‘semes’. The two semes along with their corresponding negated values identify the six actants of a narrative (based on the work of Propp) and are applied to his actantial model which graphically conveys how each actant works upon the others. The foundation of the actantial model is one laid out by a subject who either wants or does not want to be joined to an object. The remaining four actants help or hinder this desire. The process of narrative has been described as ultimately a pursuit to retrieve something that was once lost.⁵⁶ Klein often makes references to films through his musical analysis, yet it is for their filmic storyline narrative that he applies Frye’s and Liska’s archetypal definitions. The narrative archetype mode that this dissertation is primarily concerned with is irony. Frye’s research on ironic narratives show that irony is primarily concerned with fragments and questioning of a society’s ability to accomplish

⁵⁵. Michael L. Klein, “Ironic Narrative, Ironic Reading,” *Journal of Music Theory* 53, no. 1 (2009): 4.

⁵⁶. Tarasti, *A Theory of Musical Semiotics*, 36.

its tasks. The idea of interpretation (implicit meaning) is also at the heart of what Frye suggests irony to be:

...more that a deep structure of narratives, whether historical, literary, or scholarly: irony is a mode of interpretation, a master signifier that organizes our thinking around contradictions, social failures, lapses of causality, and so on.⁵⁷

Although, Klein describes narratives from multiple films in his writing on ironic narrative in music he does not address film music as either complimenting the diegetic narrative or contrasting it.

To expand the idea of connecting narrative archetype to film score towards a consideration of the broader relationship between multiple film scores or a film composer's *oeuvre* is beyond the scope of this paper. Often, the group effort of post-production contributes too many variables to point out a singular approach across films. Yet, perhaps, from the abstraction of a film score one might be able to connect overarching isotopies of a composer's work. Here I refer to the writings of Northrop Frye on his theory of connectedness. Of the works of Blake, Frye found that identifying a common mythology revealed to him a "sameness" across many different works that pulled him away from seeing Blake's works in a historical context and shifted the view towards a mythological framework. Frye expands on this "sameness" as being a component of "identification" which is given its framework within myth.⁵⁸

⁵⁷. Klein, "Ironic Narrative, Ironic Reading," 105.

⁵⁸. Glen Robert Gill, ed., "Cleansing the Doors of Perception:," in *Northrop Frye and the Phenomenology of Myth* (University of Toronto Press, 2006), 103.

Liszka's theory is placed within a musical context by Almén.⁵⁹ In works of Beethoven Almén makes note of musical oppositions and whether a work gives preference to one pole (established musical element) over another and then whether the achievement of the pole's goal or not is met.⁶⁰ For example, whether the work concludes with an established rhythmic trope or concludes in a tonal area established earlier in the work.

Almén approaches narrative construction or the narrative trajectory by way of a structuralist analysis that compiles motives from a work of music and weighs them for value based on repetition, variation, and transformation. Meaning is found by then considering the motivic material by way of oppositions. Once the primary oppositional material is found then the narrative implications are revealed by way of seeing how the conflict of the oppositions is eventually resolved, how the opposing agents are reconciled to each other.⁶¹

Music Analysis: Cultural Codes

In addition to the formal analysis for meaning there is the idea that meaning in music is the result of a combination of structuralist analysis and the identification of historical-cultural signs. Yet, Hatten states that the limitations placed on a narratological

⁵⁹. Almén, *A Theory of Musical Narrative*, 13.

⁶⁰. Almén, 32.

⁶¹. Almén, 10.

understanding of music is seen by many as limited to music of the Romantic period, programmatic music, and as a hermeneutic response to formalist approaches.

In *Interpreting Musical Gestures, Topics and Tropes* Robert Hatten builds on Barthes' structuralist approach to meaning in a text, be it semantic or syntactic, and combines with it a focus on hermeneutics.⁶² In Hatten's work, I would find the corresponding structuralist analysis and framework in music that Barthes and Lévi-Strauss had applied to literature. Hatten creates archetypes for music from structural descriptions that ultimately create a historically informed understanding of style and expression.⁶³ Examples of structuralist terminology in music include motive, sequence, cadential types, and elisions. These musical attributes are paired with expressive elements of the music, admittedly more subjective in nature, such as breakthrough, surprise, sweetening ornaments, and threatening. What I find interesting is his use of terms that imply a narrative within musical works. References to a theme being the sonic existence of a protagonist-agent, a soft youth with a sweet voice, even of tropes finding spiritual acceptance within a purely musical work. As stated before the framework for Hatten's writing is focused on understanding absolute music for its inherent meaning and how a listener can come to understand that meaning.⁶⁴

⁶² Robert S. Hatten, *Interpreting Musical Gestures, Topics, and Tropes: Mozart, Beethoven, Schubert*, Musical Meaning and Interpretation (Bloomington: Indiana University Press, 2004), 15.

⁶³ Robert S Hatten, *Musical Meaning in Beethoven Markedness, Correlation, and Interpretation* (Bloomington: Bloomington : Indiana University Press, 1994), 42.

⁶⁴ Hatten, *Interpreting Musical Gestures, Topics, and Tropes*, 23–33.

Agawu's writing in *Playing With Signs*, opens the doors to hermeneutic and teleological discourse by considering a work of music as a mixed bag of both cultural-historical signs as well as formal-structural signs. In his terms, the holistic consideration of both these elements lead to a comprehensive understanding of what the music means, both to the ears of contemporary listeners and perhaps to the original progenitors of the music. Thus, he analyzes a work through its extroversive and introversive semiosis.⁶⁵

For Micznik narrative meaning is observable through unconventional music analysis which in a way relates to Agawu's extroversive and introversive semiosis. Micznik considers a musical work's narrative and its ability to communicate meaning through discursive syntax, gestural connotations and temporal discursive processes. Both discursive syntax and temporal discursive processes refer to intramusical relationships whereas gestural connotations are extramusical and break purely musical discourse to reference the concrete or linguistic realm. She has posited analysis that highlights the low or high degree of narrativity within a work as being the result of how the unfolding of events display structuralist properties as well as their extramusical properties. The summation of formal development that meets or avoids expectation and the extramusical references within the work (melody, style, genre, harmonic areas, rhythmic clichés) all work together towards a hearing of narrative in music.

More specifically her concept of discursive categories consider how music unfolds a temporal narrative by way of repetition and general plan. Her other set of

⁶⁵. V. Kofi Agawu, *Playing with Signs: A Semiotic Interpretation of Classic Music* (Princeton, N.J: Princeton University Press, 1991), 35.

categories is focused on concepts that fall under a semiotic umbrella. Under this semiotic category the general oppositions between music units are considered with increased levels of complexity.⁶⁶ Ultimately, Micznik finds that general tonal syntax like that of the Classical era holds lower degrees of narrativity than the rich semantic connotations in works of Mahler.

Music Analysis: Opera Theory and Film Music

To speak of film music analysis one must not pass over the rich heritage that opera has provided to the practice of movie production. More specifically let us consider the views that music analysis has on the relationship between music and narrative in opera. Carolyn Abbate speaks on her consideration of how music has possession of a diegetic voice and narrative ability by way of opera.⁶⁷ This view considers music as a narrative proponent only in a qualitative way. It must meet certain criteria for being connected to the act of progressing narrative. For example, physical representation of an action or mickey-mousing is mutually agreed by both Abbate and Prendergast to be outside the purview of a narrative role. Abbate, considers the intrinsic potential of music to speak in a manner distinct from verbal singing or even the libretto. She moves towards

⁶⁶ Vera Micznik, "Music and Narrative Revisited: Degrees of Narrativity in Beethoven and Mahler," *Journal of the Royal Musical Association* 126, no. 2 (2001): 193–249, <https://doi.org/10.1093/jrma/126.2.193>.

⁶⁷ Carolyn Abbate, ed., "PREFACE," in *Unsung Voices: Opera and Musical Narrative in the Nineteenth Century* (Princeton University Press, 1991), xii, <https://www.jstor.org.mutex.gmu.edu/stable/j.ctt13x0rk0.3>.

music as narrative voice and investigates how it can “re-speak” elements of the diegesis and “distance” itself from the diegesis. She states that opera music (both sung text and instrumental) can contain the essence of a diegetic element while also removing the diegetic element from the “sensual realm” and transcending it into the “fantastic”.⁶⁸

From perhaps a distance Abbate is building on a concept from decades prior. Copland in *What to Listen for in Music* assigned a function of film music that speaks for the unseen psychological state in a way prophesizing the concept of Abbate.⁶⁹ However, in Copland’s case there was still the aura of the classical theory that restrained the understanding of the film score as being parallel to the film, acting as buffer and emotional support, between film and viewer. Abbate’s view supports the existence of narrative within both literary lines as well as musical notes. The operatic “scoring” is not drawn from a strict leitmotif to actor correlation. In opera music, there can be more than one voice being expressed through the music. This musical voice is also not simply an unfolding of musical events. She states that there is a multi-layered existence of music in opera. At one level is found the historical individual (composer) who created the work, ex. Wagnerian style. At another level, there is the “dramatization” of actants with narratological and “prosopopoeial” qualities. That is, the music is created by the composer yet it can also be their own dramatization of events separate from their own voice. Musical elements then undergo anthropomorphization to symbolically help propel the narrative.⁷⁰ By this course the music is no longer simply present but given

⁶⁸ Abbate, xii.

⁶⁹ Copland, *What to Listen for in Music*.

⁷⁰ Abbate, “PREFACE,” xiii.

intentionality outside of a formalism and imbued with meaning as contributor to the narrative.

The argument I make is not too removed from a similar reduction; the film score can exist as both a contributor to the unfolding of events but also as narrator. In what Abbate refers to as musical synthesis, “a musical moment that reinterprets musical actions from a time already past” is a concept from Micznik referred to as temporal discursive processes. As a process that adds levels of narrative in music temporal manipulations can work between discourse in music and an expected or ‘ideal’ temporal discursive scheme or by way or order relationships. For the latter one compares variance of patterns presented in the beginning to patterns derived from the beginning but, having gone through manipulations or development, have transformed by the end. Micznik claims that order, at the motivic level is a semantic component of a musical work and its organization.⁷¹ Film music as well can be considered under these parameters of conveying meaning through temporal discursive processes, of creating nostalgia through semantic utterances in motivic development and variance. By way of a syntactic and semantic analysis a film score can be considered, removed from the vococentric pairing and visual diegetic strains that articulate a “voice” of the film (music in film, at another narrative level as “voice” of the score, music for film.

⁷¹ Vera Micznik, “Music and Narrative Revisited: Degrees of Narrativity in Beethoven and Mahler,” *Journal of the Royal Musical Association* 126, no. 2 (2001): 235–37, <https://doi.org/10.1093/jrma/126.2.193>.

METHOD

Rota's score for *Under Ten Flags* consists of motifs, thematic variations, secondary themes, repetition, harmonic progressions, and orchestration. These syntactic elements play a part in compiling a narrative understanding of music. The methodology I will implement takes the compiling of syntactic elements as a step in the process toward understanding the score on narratological terms.

The analysis will focus on two cues from the score to *Under Ten Flags*; the establishing cue and cue 5 from the film. The methodology chosen, based on Almén's overlaying of narrative theories by Liszka and Micznik, allows for the musical elements regardless of style to be filtered through a series of analyzes that lead towards a narrative understanding.

This methodology will consider structural components of the score, then move to reconsider the structural interplay within a semantic paradigm and ultimately synthesize the overall analysis in terms of a narrative archetype. The goal of the first analyses leads towards a general overarching quality of the segment of the score, the cue. The analysis progression of the second is focused more acutely on the morphology and cell level and moves through semantic and ultimately the narrative trajectory of the cue. These levels are explored through the agential and actantial levels of Liszka's narrative theory (see table 3.1 below) as well as through the semiotic and later the discursive categories as

formulated by Vera Micznik (see table 3.2 below). The final step will be considering how the film score aligns with the definitions of narrative archetypes as established by Frye and Liszka.

Table 3.1. Liszka's Analytical Levels

Agential Level: In which musical agents are defined	Actantial Level: narrative functions of musical agents	Narrative Level: actions grouped by oppositions of order vs. transgression
---	--	---

Table 3.2. Micznik's Semiotic and Discursive Categories

Semiotic analysis 1. Morphological 2. Syntactic 3. Semantic	Discourse analysis 1. Discursive syntax and function 2. Gestural connotations 3. Temporal discursive processes
--	---

This will lead to the formation of an analytical methodology that to my knowledge has not been applied to Rota's music before. I will address the film score's structural, semantic and narrative implications by analyzing the levels, semiotic and discursive, derived from Micznik's writing on degrees of narrativity and Liszka's three narrative levels (agential, actantial and narrative).

I will systematically lay out the findings of the analysis by filtering Rota's cues into three groups. Analysis of semiotic categories at the agential level will be placed into Group 1. Group 2 will consist of analysis of discursive categories at the actantial level. Group 3 analyzes the film cue at the narrative level. I will provide definitions of each group along with supporting examples from the cue.

ANALYSIS OF THE ESTABLISHING CUE TO *UNDER TEN FLAGS*

The voice is the element that begins the storytelling. This is the principle that established classic film music theory as proposed by Neumeyer and Buhler. It is through the voice of an actor and following that actor on screen that that narrative is carried out.⁷²

Neumeyer and Buhler offer up an analysis of an “establishing cue” in their book *Meaning and Interpretation of Music in Cinema*. The cue being that of Franz Waxman’s score to the *Casablanca* sequel *To Have and Have Not*. In their approach the elements of sound and accompanying music act only as heraldic proclamators of an incoming diegesis which is established by the voice. They do provide some broad potential in the explanation of purpose that an opening musical sequence can fulfill. They state that music, in an introductory cue, is traditionally extradiegetic can tell the audience about the story to come as well as act as a formal frame that works in juxtaposition with the picture to establish time and space. Yet, throughout their analysis of Waxman’s cue the diegesis is only established by an actor’s voice while the possibility of a musical diegesis, one given to isomorphic relationships between musical elements and oppositions, is not considered.⁷³

This process falls short of considering all possible meaning of the score. From a narratological perspective one is left with questions unanswered of hierarchy, opposition,

⁷² Neumeyer and Buhler, *Meaning and Interpretation of Music in Cinema*, 38.

⁷³ Neumeyer and Buhler, 36–41.

syntactic and semantic meaning, and digression of the norm. Neumeyer states that whether there is a musical meaning for Franz Waxman's harmonic language or use of topics, "is impossible to decide".⁷⁴ There is very likely narrative meaning that can be derived from the music cue but Neumeyer analytically leaves the musical signs and codes at the poietic level of semiology.

This said, I will construct a plausible meaning through application of a musical narrative analysis on the opening cue from Nino Rota's score to *Under Ten Flags*.

Group 1

Agential Level and Semiotic Categories

The agential level is related to Propp's *Morphology of the Folktale* in that it lays out the interim and fluctuating roles between the features of *dramatis personae*. This term in Propp's *Morphology* is related to actors in a narrative abstracted from proper names. The musical features create oppositions within the narrative per the culture in which they are found. In this context, the "culture" is the music. The agential level oppositions subsequently provide the "relative value in the cultural units present in a musical work".⁷⁵ Cultural units may be a bit of an esoteric term. In the agential analysis of music cultural units may refer to thematic or motivic musical "characters".

⁷⁴ Neumeyer and Buhler, 41.

⁷⁵ Almen, *A Theory of Musical Narrative*, 55.

Corresponding to the agential level can be mapped Micznik's three semiotic categories that allow one to consider the generated oppositions of cultural units with a greater specificity. To refer to linguistic analytical practice these categories focus on the paradigmatic meanings in a tripartite set of increased complexity.

Group 1.A Morphology

At the morphological level the building blocks of the music are defined and catalogued according to their degree of variance. These basic elements derive from a recognized set of cells, motives and themes. Micznik breaks down the dissection of the cells and motives into two sets of parameters. Primary parameters are concerned with the thematic and motivic construction in regards to their rhythm, interval and harmonic components. The secondary parameters are derived from contour, timbre, attack, texture, dynamics, and instrumentation. In the way that Propp defined the morphology of a folktale so the musical elements are disentangled and abstracted for examination and classification.⁷⁶

⁷⁶ Micznik, "Music and Narrative Revisited," 2001, 210.

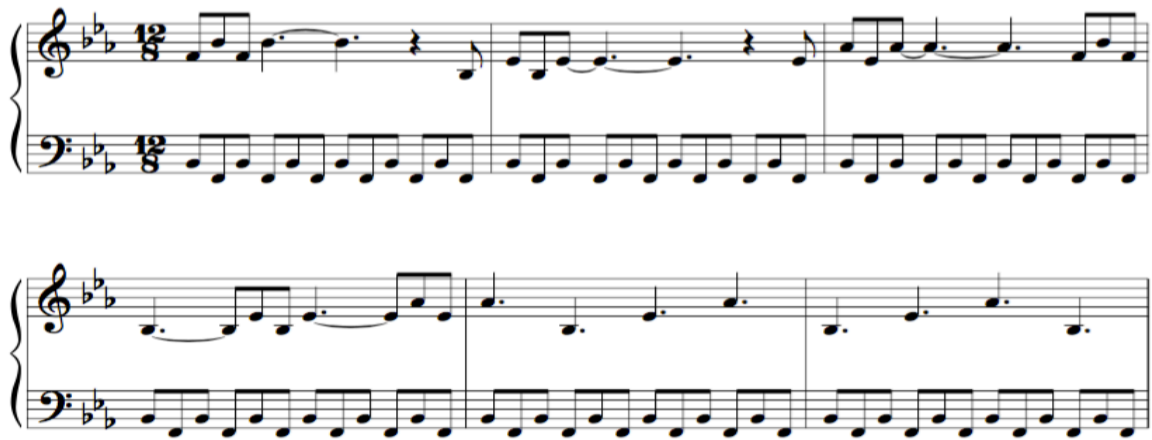


Figure 4.1. Opening cue to score of *Under Ten Flags*, measures 1-6 (transcription by the author)

The morphology of the cue consists of an ostinato of a perfect fourth begins in the low strings (see figure 4.1). The intervallic material is mirrored in the upper register but with an augmented rhythm by trumpets. Horns enter at measure 3 playing the opening motif through an expanding sequence at the fourth. The opening motif with its undeniable militaristic association related to taps picks up a pastoral and operatic quality with the entrance of horns. The prevalence of ascending fourths in the brass give the section a pastoral quality by its intertextual relationship with the Moderato portion of Wagner's 'long call' from Siegfried.

In Rota's establishing cue, the agential level spotlights musical units that establish markedness and rank values. For example, by measure 6 of figure 4.1 the pastoral overtone is unmarked and semantically normative. The horn call also features as a normalizing event in that it is a cultural ideal of what an opening 'should' sound like. The

ostinato in the low strings meanwhile provides a lulling momentum to the motivic material.

Therefore, to review, at the morphological level the work opens with cells of ascending fourths in the upper registers and undulating fourths in the ostinato. The prevalence of brass is featured for melodic material while a driving fourths figure presses the opening measures, out of the gates.

Group 1.B Syntactic Category

The syntactic level is concerned with the influence that interplay between musical cells, themes and motives can have on the, “musical dramatic argument” of a musical work. In other words, the syntactic level of analysis traces how the cells and motives related to the themes propel the theme’s role through a (tonal) plot.⁷⁷ This category approaches analysis from a formalist perspective. It seeks to recognize the way that musical elements convey hierarchies and plot at the structural level of a musical work. This might be observed through the tracing of motivic variations that are significant as they create a formal structure of, say, a classic sonata-form. However, the syntactic plot may lack considerable referential topics and ideas. The cells and motives of a work might lack contrast or unexpected dramatic enfolding and therefore work towards the establishment of a primarily syntactic plot. The relationships, if mostly syntactic, between

⁷⁷ Micznik, 207.

musical materials points to a musical discourse that is concentrated at the level of musical syntax.



Figure 4.2. Chromatic intrusion of fanfare gesture, measures 7-14 (transcription by the author)

The opening sections of the establishing cue work to ground what is considered the syntactic *normal* in that they contribute to establishing a tonal center on Eb. Measures 1-6, figure 4.2, give a dominant pedal as part of a suspense giving emotion. The bass ostinato give signs of a cadential ii-V, F-Bb, function while the upper register, due to the

prevalence of fourths, makes a major or minor modality ambiguous. Yet, the Gb of measure 7 (see figure 4.3 above) allude to the Dorian mode.

From measures 7-14 Rota introduces ascending fifths to the established fourths melodic figures. All this introductory material thus far would be clearly characteristic of hunting and reverie tropes and establish a setting of heroic, pastoral mystery within a modally ambiguous setting if it wasn't for a seed of dissent.



Figure 4.3. Measures 7-8 of establishing cue to *Under Ten Flags* (transcription by the author)

In measures 8 of figure 4.3 the ascending fifths figure is opposed by an ascending minor second interval. This disruption is in stark contrast against the initial ideal. Opposition is established. A swell of momentum is made at measure 7 where the brass make the broadest interval sweep as of yet in the introduction with the two consecutive perfect fifth leaps (see figure 4.2, Gb-Db-Ab). The abrupt A natural of measure 8 could be seen with leading tone functionality to a dominant Bb. Yet, this chromatic obstruction avoids any resolution and the next phrase marks a return at trying to reestablish the preliminary motivic material.



Figure 4.4. Measures 10-12 of establishing cue to *Under Ten Flags* (transcription by the author)

The chromatic intrusion is made more pronounced a second time at measure 12 (see figure 4.4 above) by a chromatic slash spanning an augmented second (Ab-B natural). Both chromatic intrusions disrupt the normalcy of the fourths and fifths establishment. Ultimately, they will contribute to overthrowing the ideal.



Figure 4.5. Measures 13-14 of the establishing cue to *Under Ten Flags*

The augmented scale degree 5 in measure 12 is used as a common tone for a semitone modulation move to E minor in measures 13-14 (see figure 4.5). In this next section of the cue there are strong semantic developments at the agential semantic levels.

Group 1. C Semantic Category

The semantic level of meaning considers stylistic codes, topics, contextual expectations, and extramusical references that is, “notions shared with experiences outside music”.⁷⁸ To further define the semantic level Micznik connects to Barthes’ theory of denotation and connotation. At the denotation level a noun may be directly referenced to its physical embodiment, ex. sunflower. However, at the connotative level the noun may be the symbol or representation of a pastoral life, energy, the sun. As such, Micznik states that music as well can transcend its morphological structure and a waltz can be more than just a waltz. Although, this is not based on arbitrary audience perception but on the patterns and practices established through conventions.⁷⁹

As the cue the transitions to E minor it undergoes a compounding of semantic elements. Principally the undoing of the initial pastoral and heroic motive is furthered by the introduction of a chromatic descending and ascending bass voice (see figure 4.6 below).

⁷⁸ Micznik, 210.

⁷⁹ Micznik, “Music and Narrative Revisited,” 2001, 211.



Figure 4.6. Measures 15-28 of establishing cue to *Under Ten Flags*

In the first measure of figure 4.6 there is a shift in the bass ostinato that moves from oscillating perfect fourths to a chromatic undulating rise and falling figure. This change semantically opposes the established norm of perfect fourths. The chromatic intrusions that initially had disrupted the tonal balance can be seen to cast further doubt on the strength of the initial militaristic fourths motive by becoming a driving force that replaces the original ostinato.

The chromatic bass voice brings a transformational element to the established norm. Semantically speaking, the new events seen in figure 4.6 hint at the chromatic

intruder as rising having a high degree of markedness. The rising hierarchy of the chromatic step is further supported by the leaps of a sixth in measure 16 and 18. With each leap there is an oscillation of a minor second.

Initially the intrusion of the chromatic step provided the semantic opposition to propel the musical story. In the course of the rising perfect fifths the minor second provided a destabilizing element (review figure 4.3). This semantically rich development created by the initial intrusion of the chromatic step becomes the element that ultimately transfers the story away from the initial military and heroic allusions.

Group 2

Actantial Level and Discursive Categories

As the absolutist and formalist perspectives say music meaning lies between the elements of its intrinsic structure so Almén states that the summation of parts is value neutral. In a way that phonemes convey no value difference between themselves and yet their amalgamation into morphemes create value distinctions so too is it helpful to look at the broader chains of the agential level analysis. In order to continue the compilation of value rich oppositions on a more isomorphic level the actantial analysis takes the differences from the aforementioned level and assigns them to a “higher order grid” of tension between agents. The agential cultural units are not enough for seeing narrative trajectory for they simply mark the difference of each unit to another unit. At an actantial

level the agents and events caused between power shifts of agents, take on marked and unmarked, high and low rank positions.⁸⁰

The actantial level, when being described by Almén, incorporates terms such as insufficient, at the expense of, transvaluation, intrusion, and restoration. These terms strike at the heart of actantial level analysis which is the way that “musical agents interact”.⁸¹ As the hierarchies between units is observed they are mapped according to how they activate narrative momentum.

The actantial level of analysis is supplemented with three discursive categories laid out by Micznik. At the discursive level of analysis meaning is understood through the outpouring of syntagmatic chains and shifting hierarchies. A work’s discourse is generally defined as the unfolding events and the means by which those events progress the story.⁸² For Micznik, it is quite clear how the literary connection of narrative and the music expression of narrative through discourse relate to each other. Micznik states that, “It is not difficult to conceive that the strategy chosen by a writer of a novel deciding how the events will follow one another and, therefore, what ultimate shape the narration will take is in many ways similar to the strategy of a composer deciding in which temporal order to use the thematic materials, how many times and according to which general plan.”⁸³ Towards this general plan Almén incorporates Micznik’s three discursive

⁸⁰ Liszka, *The Semiotic of Myth*, 212.

⁸¹ Almén, *A Theory of Musical Narrative*, 56.

⁸² Seymour Benjamin Chatman, *Story and Discourse : Narrative Structure in Fiction and Film* (Ithaca, N.Y.: Cornell University Press, 1978), 19.

⁸³ Micznik, “Music and Narrative Revisited,” 2001, 219.

categories to discuss the ways that the narrative, that is, the discourse of the work, contribute to the direction and completion of the musical composition.⁸⁴

Group 2.A Discursive Syntax

Within a musical work's discourse is discursive syntax and functions. The syntactic and functional components are observed in the gathering of the occurrences in which events and the means by which the events are worked into the discourse of a musical piece. What the frequency of events and their degrees of contrast convey will ultimately project a higher or lesser degree of narrativity as well as one with more or less suspense. The degrees by which the events in a work are contrasting with each other leads a piece to have a more unified semantic narrative or one that is based on syntactic relationships. That is, a work more focused on a single topic or idea would be manifest through musical syntax rather than a semantic rich narrative which conveys a more multifaceted connotative experience. Meaning is acquired through the interplay in between thematic returns, or nostalgic reference points, referred to as the 'nuclei'. These moments of familiarity are separated by (in Micznik's analysis of Mahler) collisions of autonomous motives. The motives are analyzed for their morphological and syntactic

⁸⁴ Micznik considers the discursive functions in a work as compiling a higher or lesser degree of narrativity in a piece. This present research is not based on whether a score is validated by its degree of narrativity. It is focused on demonstrating how a narrative discourse is present or observable in a film score. Micznik refers to Prince's qualifications for a high degree of narrativity being numerous events, presence of conflict, a perceived complete structure etc.

structure that can point to connotated values being assigned. These values ‘push forward’ towards other events in the narrative.⁸⁵

There can be observed at measure 15 three syntactic elements that struggle within the musical discourse (see figure 4.7).



Figure 4.7. Measures 15-16 to establishing cue of *Under Ten Flags*

The chromatic bass line, the perfect fourths with a military taps-like association, and the leap of a sixth. The initial heraldic discourse of the musical cue is giving way to a very diverse syntactic menagerie. The extension of the register down a 6th to G² at measure 19 increases a sense of ominous fatality. Secondly, the rising 6th motive overtake the perfect 4th motive and at measure 23 ascends as if into thin air (see figure 4.8). However, it can also be seen that the discursive syntax of figure 4.8 reveals that the ascending sixths are made possible through steps down a perfect fourth. The ironic archetype is one that holds up an initial ideal as being unable to support itself and doomed to crumble. In much a similar way so this is occurring within the cue. These numerous musical events are working towards creating a musical cue with a high degree of narrativity.

⁸⁵ Micznik, 226.



Figure 4.8. Establishing cue of *Under Ten Flags*

Group 2.B Gestural Connotations

Gestural connotations are moments in the work when a purely musical discourse is broken and a referential relationship can be drawn to concrete or linguistic and verbal narrative. Through secondary parameters of music (i.e. processes of accumulation, velocity, dissolution and disorientation) tonal schemes in a musical work are made subordinate to an analogous layer of meaning that may have broader, organic, connotations.⁸⁶

Another feature that is working towards increasing the narrativity of Rota's cue is the way in which the syntactic tonal plot is undermined every few measures by semantic processes resulting from musical discursive processes that seem to reference something extra-musical. Gestural connotations in the cue follow along the lines of more linguistic narrative descriptions rather than strict musical syntax. The gestural connotations realized in this cue are fascinating contributors to the cue's narrativity.

⁸⁶ Micznik, 232.

There is at work a series of syntactic events which undergo gestural shifts in the cue. Through the initial two sections of the cue (measures 1-28) there is a dissolution of thematic material brought about by rising pitch and register. The rising pitch is worked into the cue slowly but observe in the following figures how each new thematically significant section brings an elevation in pitch (see figure 4.9).



Figure 4.9. Entrances of thematic material to establishing cue of *Under Ten Flags*

This dissolution of the thematic material comes about also by the accumulation of the minor sixth leaps. This accumulation does not seem to be tonally or syntactically inspired but a gesture of striving and bounding up towards an ethereal goal. For example, when the leaps conclude at the octave E's this is through the seeming arbitrary use of the D# to act as a leading tone. Yet, the gestural connotation of pursuit and striving overshadow any tonal plot that the consecutive minor sixth leaps might be employing. The syntagmatic structures are then controlled not through syntactical rules (harmonic

progressions) but another autonomous layer (see figure 4.10); expressed through a concrete or linguistic medium.



Figure 4.10. Physical gesturing of dissolution through accumulated leaps

Group 2. C Temporal Discursive Processes

At another tier in the triptych are temporal discursive processes. This level of analysis stems from literary narrative discourse and considers how “duration, frequency, speed, and order of events” produce degrees of narrative meaning.⁸⁷ These elements are observed in a musical work and then compared with expectations of temporal and discursive form of a “generic scheme or expected pattern”. The tension, ultimately creating higher and lower degrees of narrativity, can also be observed between temporal patterns at the beginning of a work and the transformation of those patterns throughout a piece. Micznik illustrates a work by Beethoven as not carrying significant degrees of semantic narrativity in that the work primarily runs the course of an expected sonata-allegro form. The infrequent semantic fluctuations occur when discursive semantic

⁸⁷ Micznik, 235.

meaning is generated by excessive repetitions of patterns that generate a semantic connotation of “frenzy”.⁸⁸

There is the expectation that the standard establishing cue will act as a typical overture. Neumeyer mentions that the classical Hollywood approach would be to make a strong “song statement” in the overture section. The formal expectation then is by measure 7 (see figure 4.11 below) the music cue would usher in its “song statement”, typical of classic film score overtures given the discursive syntax employed of repetition and augmentation of rhythms.



Figure 4.11. Discursive syntax of repetition and augmentation

The chromatic intrusion at measure 8 and 12 initiated a break and set the work spinning off from the B natural to the unrelated key of E minor. It is observed that the oppositional element presented in measure 8 (A \flat to A natural) creates the break from a topical framework as well as subverts the heroism and stability of pastoral and militaristic references.

⁸⁸ Micznik, 237.

The marked element, that subverts the established norm, namely the ascending minor second and leaps of a sixth, increase their rank standing in relation to the unmarked elements, the perfect fourth motive. This is where transvaluation occurs and narrative activity can be dynamically observed. These subversions from the expected military and pastoral elements of the opening create an increase in the degree of narrativity that a work of music presents. Had the introduction, per Neumeyer's view of classical Hollywood production, stated two song like melodies back to back the degree of narrativity would have been substantially lower. The listener would be presented with two melodies that might have easily fit into an expected casual unfolding. Yet, as Micznik states, "in music, the more the events and the discourse of the piece contradict an expected order and make the listener constantly wonder what unexpected situation will occur next, the more 'narrative' the music will be."⁸⁹

Micznik marks a similar discursive element in Mahler's 9th symphony. In the first movement of the work there is a failed resolution of a climactic build as well as an avoidance of a move to an expected tonal center of Eb (see figure 4.12).

⁸⁹ Micznik, "Music and Narrative Revisited," 2001, 246.

This musical score page contains measures 196 through 200 for a string ensemble consisting of Violin I (vln I), Violin II (vln II), Viola (via), and Violoncello (vlc.).

Measures 196-198: The first system covers measures 196 to 198. The key signature has two flats (B-flat and E-flat), and the time signature is 4/4. Measures 196 and 197 begin with a forte (*sf*) dynamic. In measure 198, the dynamics change to *sf sf* for the violins and *sf* for the viola and cello. The violins play a melodic line with a half note and a dotted half note, while the viola and cello play a rhythmic pattern of eighth notes.

Measure 199: The second system begins with measure 199. The tempo marking *a tempo* appears above the staff. The violins play a continuous sixteenth-note pattern. The violas and cellos play a triplet of eighth notes, marked with a '3' below the staff.

Measure 200: The system concludes with measure 200. The violins play a melodic line with a half note and a dotted half note. The violas and cellos play a triplet of eighth notes, marked with a '3' below the staff.



Figure 4.12. Mahler, Symphony no.9, first movement, measures 196-203, failed resolution of motives

In Rota's scoring an expected closure of the pastoral/military theme would be achieved through a return to the perfect fourth motive as a way of reinstating the establishment of its initially unmarked and hierarchically empowered status. Micznik refers to the long chromatic descent in the Mahler work as the "equivalent of a discursive

collapse, of a catastrophe, which provides postponement of the action.”⁹⁰ Here in the introduction of *Under Ten Flags* it can be seen that there is also a great semantic shifting taking place. The chromatic bass voice interjects into the lament theme in E minor (see figure 4.13 below). There is a gestural connotation found in this shift that, owing to the move away from the initial motive and dissipating texture, of dissolution and ‘dying away’. However, there is also the expectation that this strong lament theme will play out as a stand alone melody, not in a dissimilar way to say, Steiner’s score for *King Kong* and his laying out of leitmotifs in an almost chronological manner as they relate to the diegesis to come. Rota takes a different approach. Even the lament theme is open to interjections. The chromatic bass voice in figure 4.13 provides another semantic event that creates a hierarchical opposition with a new unmarked syntactic musical element. Thus, a narrative statement could be seen being made here that the militaristic and pastoral ideals have an inability to stand up to small (minor 2nd) intrusions and significantly, that the romantic lament theme must, in considering these musical elements as agential factors of the cue, reconcile somehow with the *passus duriusculus*.

⁹⁰ Micznik, 239.



Figure 4.13. Measures 29-32 to opening cue of *Under Ten Flags, passus duriusculus* (transcription by the author)

The theme takes full ownership of the *passus duriusculus*. At measure 32 the return of the chromatic descending bass figure returns yet with different syntactic and semantic functions. The chromatic descent now is syntactically normative due to its reaffirming of the E minor tonal center and related by its chromatic syntax to that of the melody (see figure 4.13 above). In the temporal discursive process of this section of Rota's cue a resolution to the conflict that the chromatic bass voice had initially created is found. The chromatic bass is not in tension with the newly established lament and romance discourse of this second theme and it is therefore considered semantically normal.

Group 3

Narrative Level of Analysis

The third tier of this outlined methodology, following the agential/semiotic and actantial/discursive analyses, is concerned with the accounting of agential oppositions

and actantial transvaluation. These details become redefined as they correspond to a limited number of Frye's narrative archetypal plots. The consideration of the analytical levels is focused on overall effect. Frye's mythoi describe narrative "at the most fundamental level".⁹¹ Liszka handles the archetypes as a prescribed set of four binary based trajectories. The binary opposition between violence of order imposition (normative, unmarked) and the violence of transgression to that order (low rank, marked disruption). These binary pairs of order/transgression and victory/defeat are summed up as:

1. Romance: the victory of an order-imposing hierarchy over its transgression (victory+order)
2. Tragedy: the defeat of a transgression by an order-imposing hierarchy (defeat+transgression)
3. Irony: the defeat of an order-imposing hierarchy by a transgression (defeat+order)
4. Comedy: the victory of a transgression over an order-imposing hierarchy (victory+transgression)⁹²

The four narratives for Liszka are paired by order and transgression as well as by victory and defeat of one or the other member of the former pair. Yet, this binary element is slightly different in the original description of the archetypes by Frye. In "Archetypal Criticism" the hierarchy shifts between binary pairs rotates around the concepts of ideal and actual or reality. These concepts can also be seen in the way that cultural units are marked or unmarked, establish the norm or transgress the initial hierarchy. By this

⁹¹ Almén, *A Theory of Musical Narrative*, 65.

⁹² Almén, 66.

manner Frye's archetypes move from romance in which an initial ideal is restored despite a transgressive act. The rotation then moves to tragedy in which the initial hierarchy defeats a cultural unit that attempts to transgress it. Next up we would rotate to irony, Frye also refers to it as satire, by which an initial hierarchy is defeated by a transgressor that reveals an inherent shortcoming or flaw in the system. Finally, the fourth stop along the archetype circle lands on comedy. Comedy is understood as the ability of a disruptive element to win out over the flawed or antagonistic hierarchy. Moving through the four archetypes is analogous to rotating around a sphere or "wheel of fortune falling from innocence toward hamartia, and from hamartia to catastrophe."⁹³

Almén synergizes the aforementioned processes from Liszka, Micznik and Frye into an eclectic methodology. The procedure from Agential to Narrative level takes the following pathway.

In summary, the methodology outlined above connects a film score's internal components, thematic power struggles, the narrative unfolding and prominent motivic functions throughout a film score. These processes of evaluation and analysis also allow for a break from the classic film music theory of parallelism that, as Kalinak stated, so pervades current critical literature on film music and re-focuses attention onto the narrative trajectory potential of the film score. This approach also breaks from the vococentric subservience that film score is often understood by.

Agential and semiotic considerations can work well with *leit motif* practices common to film music as they look at the way motifs influence the unfolding of the

⁹³ Frye, *Anatomy of Criticism*, 162.

score. In cases where *leit motif* is not the compositional approach this analysis could reveal broader implications that motives have upon the score's total structure.

Meanwhile, semiotic categories follow the route that musical agents become varied throughout the work by primary and secondary parameters. To see the effect that these agents (musical motives or cells) have upon the unfolding score brings a deeper familiarity with the formal and structural design. Meanwhile, the semantic considerations form a character analysis of the agents by way of denotation informed by common practice and convention.

Actantial level analysis emphasizes narrative leanings more than structural intricacies as of agential analysis. Following a work at the actantial level recounts events that occur between musical agents and considers the events by way of a marked and unmarked hierarchy. Seeing the discursive syntax and functions help define the way by which these events are reached. Yet, the events, or the moments between events, may imply extra musical references, identified as gestural connotations, to provide historical or cultural context beyond the score.

Ultimately, the building catalogue or oppositions and transvaluation is filtered through the parameters of myth. Within myth the narrative is redefined in correspondence to limited archetypal plots. The archetypes are formulated by broad and foundational victories or defeats of order and transgression.

The ironic archetype is formulated by the presentation of an initial ideal as something to be mocked or burned as an effigy. The archetypal model is clearly supported through the cue's ending section. In figure 4.14 (see below) there is a last ditch

effort for the initially unmarked fourths motive to return the normalcy it had once established. The lament/romance theme dovetails into the returning militaristic fourths motive with its gesticulated leaps of a sixth. Yet, the march is unable to establish either syntactic nor semantic hierarchy. The march can neither tonally resolve in B minor nor reconcile the *passus duriusculus* unto itself as the romance theme could do. Thus, at the Largo section of figure 4.14 the romance theme interrupts the march and with gestural connotations of a heavenly dissolution into the heavens climbs the stairway as the winner of the narrative unfolding.

The image displays a musical score for measures 33-46 of a piece titled 'Under Ten Flags'. The score is written for piano and is divided into four systems. The first system is marked 'Largo' and 'Brisk march tempo'. It features a treble and bass staff with a key signature of one sharp (F#). The tempo changes from Largo to Brisk march tempo. The second system continues the music. The third system is marked 'Largo' and features a treble staff with a key signature of one sharp. The fourth system is marked 'rit.' and features a treble staff with a key signature of one sharp. The score includes various musical notations such as notes, rests, and dynamic markings.

Figure 4.14. Measures 33-46, end of cue, of *Under Ten Flags*

Formally speaking I would have expected the musical cue to conclude with a restatement of the first theme, thus implying that the military element will be what the filmic narrative is about. This would also convey some symmetry and a beginning-middle-end syntactic form to the cue. In Neumeyer's approach the establishing cue would set the stage for the diegesis to begin with the first words of the actor or some sound from the stage. Yet, instead of presenting the audience with another thematic idea that might smoothly integrate into the approaching visuals after the credits finish rolling Rota presents us with the height of conflict for the cue, of oppositional struggle. The transformation of setting for the thematic material allows this cue to gain additional layers of connotations thus giving the cue a high degree of narrativity.

As the cue concludes the romantic notions are also shattered or shown to be not impervious to interjections. One could easily expect the first theme to crash through at any moment and thus there exists a pervading potential of ridiculing the romantic mythical ideals presented in both the perfect fourth motive and romance theme. Meanwhile, the marked sixths infected with the minor second continually overthrow the norm of militaristic and heroic connotation. The initial hierarchy relations between units undergo a series of changes as these units interact. By tracking the effects of transgression on a syntactic, semantic and narrative order we consider the narrative trajectory of the work. In this case the changes, with the establishing cue of *Under Ten Flags*, most fittingly displays Frye's narrative archetype of a tragic irony which features a "disintegration or an overturning of the initial hierarchy, leaving nothing or something of

lesser value in its place”.⁹⁴ Neither the romance theme nor the heroic military theme are free from digression. The romance theme can be seen to gain rank due to it being the final utterance of the cue and used as the segue into the diegesis of the film, yet, due to its lack of resolution and modal shift it comes nowhere near to overthrowing the initial hierarchy of the hero theme.

Film music theorists like Neumeyer and Gorbman often assert the opposition/hierarchy role between film music and dialogue. The opposition exists within the experience and conveyance of meaning of audiovisual film analysis. How effective a film score is, they propose, becomes determined by the relationship between the music and the rest of the film elements. This hierarchy, in classic film theory, is spearheaded by the dialogue and speech which, are considered the primary benchmarks for propelling narrative and controlling the film music choices. The findings in this chapter seek to expand the classic theory view to reconcile with the fact that there is a considerable narrative trajectory to be observed in Rota’s film score when it is not held in submission to dialogue and visual features of the film.

⁹⁴ Almén, *A Theory of Musical Narrative*, 168.

NARRATIVE ANALYSIS OF CUE 5 TO *UNDER TEN FLAGS*

At cue 5 in the film *Under Ten Flags* similar themes and cells return which were initially presented in the establishing cue. I will highlight through this analysis how the autonomous nature of motives and cells, gleaned from the morphology of the cue contributes to the cue's high degree of narrativity. Much in the way that Micznik's analysis of Mahler's, Symphony, no. 9 showed that narrative momentum was provided by motives, it will be seen that understanding the morphology and syntax of Rota's cue at the musical cell and motive level will lead to understanding semantic connotative values for the narrative trajectory of the whole cue.⁹⁵

To provide some visual context Rota's music cue 5 (00:24:36-00:26:57) is underscoring a scene where the English navy has sent out a destroyer towards the location of the disguised German warship. Meanwhile, the Germans are taking on the survivors of a merchantman ship. The analysis of the cue will follow the progression that moves from the agential level (morphological, syntactic, semantic) to the discursive level (discursive syntax, gestural) and culminate with the narrative level. Almén's utilization of the same progression is used as the model for my analysis of the film cue.

⁹⁵ For a full transcription of cue 5 see Appendix A.

Agential Level Morphological: Cells, Motives and Themes

This cue exhibits all four of the principle thematic material in a continual unfolding process not totally unlike the introductory cue of the film score. Cell relationships play a significant role in the development of the cue. Cells are vital to each themes morphology and as such because of the cellular relationships there can be an observed additive and subtractive relationship between themes. When the cells are incorporated into the themes new themes take place. Yet, the distinction between themes is still significant as I will thus describe. The cells are significant in the respect that they can not only relate thematic material but also contribute to the intrusions that interject into unmarked thematic material.

The cue consists of all the principle themes of the film score which are contrasted to each other by their topic, contour and emotive quality. The themes' cells are either transformations of previous cells or new cell intrusions which assist for the creation of new thematic material and work toward as forces of opposition against normative ideals.

Theme 1



4

cell b

cell c

cell c'

Theme 2

8

cell a

3

cell d

3

cell d'

Theme 3

passus duriusculus motive

14

cell e''

cell e

cell e'

cell e

cell e'

Theme 4

pp

21

cell e'

25

cell d'

cell e

30

cell d'

cell e'

72

The oscillating fourths of theme 1 derive from cell a: measures 1-3 (see figure 4.15 above). This cell is then inverted into ascending perfect fifths to create cell b in theme 2. The disjunct motion of the fifths in theme two is met with an intrusion by the ascending minor second and, subsequent, augmented second that form cell c and cell c' in measures 4-7 for the second part of theme 2. The resultant major and minor sixth leap in theme 2 is found in other cues as development material. This use of the leap, with gestural connotations of bounding and striving upward was observed in the introductory cue of the film score. In theme 3 (measure 8-11) the alternating fourths convey a return of cell a from theme 1 now paired with a portion of theme 2's chromatic second ascending figure (cell c: minor sixth leap to C, major sixth leap to C#: measures 9,11). The difference between the ascending sixths is a semitone and the semitone becomes a central figure for theme 4. Yet, before moving to the fourth theme it should be mentioned that a motivic figure in the bass enters and acts as a segue between the third and fourth themes. This chromatic movement, first heard in theme 2, is unfolded into a quasi *passus duriusculus* in the low register (beginning at measure 8). The continual rolling chromatic figure outlines a major third. Both the semitone and interval of a third will be important to the following theme.

Theme 4 is a highly lyrical and lamenting theme. It is also concerned with a sigh figure as central to its unfolding (see figure 4.16 below).



Figure 4.16. Sigh motif, theme 4, marked by arrows

The melodic trajectory of theme 4 augments the *passus duriusculus* figure by inserting chromatic and diatonic figures which fill in the space between a chromatic descent E-C that spans the first half of the phrase (see arrows in figure 4.17 below).

Figure 4.17. Arrows indicating augmentation of *passus duriusculus* in theme 4

Of note is that the principle figure leading to each pivotal chromatic descent is either a leap of a third or a descending third filled in by stepwise motion (cells e and e': see figure 4.17). The ascending stepwise motion of a minor third is used at the beginning of the opening two phrases of theme 4. The motion of an ascending minor third is related to theme 2's augmented second (enharmonic equivalent) ascending figure cell c' (see

figure 4.15 above). However, because the minor third is now filled in by ascending stepwise motion this variation to the long-short rhythm of cell c' is labeled as cell c'' (see figure 4.18 below).



Figure 4.18. Variations of cell c

The descending third movement of cell e' is used syntactically towards the end of a variation to theme 4 to break out of both the established C minor mode and the stepwise melodic motion. The cell moves the beat emphasis of the measure to a weak beat two. Previously, this cell was used in theme 4 to emphasize a strong down beat. In measures 46-47 (see figure 4.19 below) both cell e and e' are used.



Figure 4.19. Cell e and e' used to offset beat emphasis

A cell taken from theme 4 is the triplet ascending (measures 15, 18, 27 and 30) or its mirror descending direction. It is used towards the end of this cue. Interestingly, this motive takes the retrograde structure in the cue's closing section as from how it was presented in theme four's initial statements. In words the figure initially was presented as descending twice then ascending twice (measures 15, 18, 27 and 30). However, as the cue works towards its closing remarks the triplet figure is presented twice as descending and then twice descending (measures 51, 55, 59 and 62).

A cell from theme one, presented in a truncated fashion (cell a') the ascending fourth (Bb-Eb) is presented in the penultimate measure of the cue. In its echoes the descending quasi *passus duriusculus* decrescendos into a fade out. The chromatic ostinato is also played in a truncated form and rests on the final note Db which completes the chromatic descent that spans a major third, relating to the motive of a descending third in theme four.

The connection between themes can be observed in the taxonomical listing below. Of note is the cumulative quality of the cell and theme relationship. Each theme after the

first incorporates some cell of the previous theme. Intrinsically, theme two and theme one share cell a with cell b being an inversion of cell a's alternating perfect fourth being realized as an ascending perfect fifth. The result is a sonic familiarity between the first two cells.

Theme 1: cell a

Theme 2: cell b, cell c, cell c'

Theme 3: cell a, cell c (separated by cell a), cell d

Theme 4: cell c'', cell e, cell e'

Agential Level: Syntactic

Syntactically, this cue is characterized by the almost continual presentation of different thematic material in different keys. The cue begins in Eb minor and moves to E minor, a tertiary move than takes place C minor, with a brief diversion to F minor, the cue concludes in C minor. As mentioned previously there are syntactic bonds between themes at the cellular level. Also, the chromatic ostinato, first presented under theme 3 is used as a segue into theme 4 working syntactically to clarify the minor modality of both themes 3 and 4.

In considering the narrative potential of this cue a distinction can be made between syntactic connections and events which promote dramatic propulsion. The syntactic density of cue 5 is related mostly to the intrinsic cell connections between the 4 themes. Each theme up to theme 3 is stated briefly without repetitions. When theme 4 is stated it is clearly the longest continual thematic statement. The extent of its accumulated

cells contributes to its ability to develop and undergo a variation(refer to figure 4.15 above).

These syntactic connections show help show the oppositional factors at work in the narrative discourse of the cue. The perfect fourths and fifths are stable and clearly able to remain within the realm of the pastoral and militaristic themes. Yet, the unstable chromatic element is show to have the greatest potential for continual development. The relationship in theme 4 to both cells c and d (see figure 4.15 above) demonstrate that the morphology of theme 4 also points to its potential for hierarchical priority.

The retardation is achieved by a triple statement of ascending and descending triads (D major-F# major, A major-F# major, E -C). The triads are rounded off by cell e'. An extended stretching out in stepwise motion over the span of a seventh (A-G: measures 26-28) happens twice (C-B: measures 30-33). Ultimately, the climax of the theme also acts as a common tone (dominant in e minor to leading tone of c minor) for the tertiary modulation.

Understanding this syntactic connection allows us to also understand that harmonic movements are connected to musical cells. The move of a third is central to theme 4 and is also a primary harmonic shift in Rota's establishing cue as well as cue 5. In cue 5 theme 4 shifts a major third away for its variation statement. In the establishing cue theme 3 was stated in both E minor and G minor. Syntactically speaking, the movement of a third is related to the intrusion of cell c' as well as modulatory instability through many directed key centers.

Agential Level: Semantic

Semantically speaking this cue forms a “story” that arises from changes of moods, events, and topical elements within thematic sections. The perception of a high number of thematic events lends itself to marking a high degree of narrativity considering Micznik’s research. The higher degree of narrativity is achieved through more numerous events, presence of conflict, a perceived complete structure and more discrete fundamental specific states.⁹⁶ The shape of the narration will ultimately be the outcome of the temporal order of thematic materials that the composer decides to layout. As mentioned in the review of the introductory cue from *Under Ten Flags* there are several topics present from the themes.

1. Expression of pastoral, hunting and heroism: brass fanfare in alternating fourths and fifths
2. Lamenting and sorrowful pleading: minor mode lyricism

The first category comprises the general topic of the first three themes. These themes feature brass instrumentation proclaiming in often punctuated gestures topics related to hunting, nature and heroism. The absence of any step wise motion in theme one conveys the sense of a call to arms or call to proceed *en masse*. The modal center is ambiguous giving no leanings toward major or minor. The melodic motion is always in disjunct leaps and, thus, with the attendance of the smallest interval being a fourth, there

⁹⁶ Micznik, “Music and Narrative Revisited,” 2001, 220.

is no tertiary relationship to be observed. The thematic material is presented over a pedal point or in unison. However, this “pure” pastoral theme gives no subjective commentary until the semantically rich chromatic intrusion of theme 2. This event disrupts the topic. The shifts towards another semantic dimension occurs because of the conflict that is imbedded into the situation, namely, the semitone and augmented second, arrived at by fast grace notes and shattering sforzando accents. The conflict is continued by theme 3’s modal ambiguous leaps of minor and major sixths. In the lower register a chromatic ostinato figure conveying the *passus duriusculus* or “lament bass” contribute to the fanfare’s demise. The ratio of disruptive chromaticism and hunting trope now places the latter in considerable jeopardy. It is at this breaking point for the stable military call topic that there is a giving way to the foreboding consecutive semitones.

The second category of semantic topic in this cue is the lamenting and pleading lyricism found in theme 4. The shift moves the semantic dimension from forceful collectivism to sorrowful individualism. Lighter orchestration is an explicit cue to the change of topic. Secondary parameters assist in conveying the semantic rich transition such as orchestration. Higher register strings overlaid on the continual semitone bass line portray a low groaning mixed with celestial yearning of the individual. The abundance of sigh figures in cell e and increased pathos of the pleading cell c are found throughout the theme. The length of the state within this semantic dimension is considerably longer than the previous themes and its harmonic language is richer and progresses from tonic to a dominant half cadence. The formal order of the theme contributes to the conveyance of a perceived complete structure. The lyrical rubato playing of the theme over the semitone

bass produce an out of phase experience that produces the sense of a new time signature, particularly achieved by the theme's asymmetrical three measure length. Per Gerald Prince each of these elements lead towards a high degree of narrativity even in the event where the emotional state is held through a prolonged period.

Actantial Level: Discursive Syntax

The archetypal trajectory of irony can be described through a review of the discursive syntax in the cue. Per Liszka the establishment of archetype is reached through the transvaluative process through, in music's case, a temporal unfolding of transgressions on a hierarchical order. In cue 5 the presentation of theme 4 exhibits a gestural connotation of breaking through the dark. Out of a series of accumulated transgressions against themes 2 and 3 comes a hierarchical shift in power and attention. It is typical of the ironic archetype that a defeat occurs against an order imposing hierarchy by a transgression. The initial condition of the cue is confident, strong and brazen. Yet, as transgressions chip away at the militaristic front a teleological goal takes shape, namely, that the strident fourths and fifths are not the pillars of strength they initially present themselves as being and are undermined by a disruptive individual.

Theme 3 is undermined by the chromatic interjections and from the semitone bass line. In other words, it is undermined from both above and below. If the cells a and b returned after theme 3, then the archetypal allusion would be towards a romance. This would be achieved by the victory of an order imposing hierarchy over a transgression.

Yet, this was not the case, as theme 4's presence is an answer to the previous transgressions. Its hierarchy was also further established when the *passus duriusculus* presented halfway through its first statement in the cue did not undermine it yet fused with it and gave it momentum to continue onto its strong half cadence and subsequent repetition. Straight repetition of theme four might have weakened its hierarchy yet, the effect was rather one of transformation. Syntactically the melodic material maintains similar contour but the semantic significance is achieved through secondary parameters. The register is transposed up a third for a more enhanced ethereal effect and the orchestration is made more spare for the focus on a lyrical solo melodic line. These transformations enhance the focus on a shift from a collective expression towards an individual expression. To further progress this narrative the segments of theme four that are spun out towards the end of the cue alternate between two solo instrument voices. Solo clarinet and solo horn make the final musical statements of the cue.

Frye, in discussing the elements of irony in narrative states that the hero of irony is, "somebody who gets isolated from his society" who "is guilty in the sense that he is a member of a guilty society, or living in a world where such injustices are an inescapable part of existence".⁹⁷ By this definition the end of the cue (cell a and the lament bass) is the echo of the society that the individual has transgressed against and overcome. Through the instrumentation cell a's proclamation at the end of the cue is considerably weaker when compared to its initial statement by full brass. Its syntactic functions perhaps alludes back to the original Eb tonal area and is an attempt to disrupt the C minor

⁹⁷ Frye, *Anatomy of Criticism*, 42.

statement of theme 4. The orchestration and unstable harmonic movements also allude to a gestural connotation of dying away. In regards to discursive syntax, the repetitions of theme 4 in opposition to the meager attempt of cell a' bring additional semantic dimensions. Theme 4 undergoes continual transformations throughout the end of the cue (see figure 4. 22). Under the discursive strategy of repetition (developmental variation) the theme 4 statements of measures 51 and 55 present also a solidifying effect of the leap of a sixth as now fully integrated into the lament/romance theme. Semantically, these developments support narrative that the initial “guilty world” was unable to withstand the digression from the individual.

The musical score for Figure 4.20 is divided into three systems, each representing a different section of the music. The first system, measures 46-52, begins with a Harp part. The first two measures are marked with 'cell e'' and the next two with 'cell e'. The tempo is marked 'meno mosso' and the instruction 'rit.' (ritardando) is present. The Clarinet part enters in measure 51 with a 'solo clarinet' marking. The second system, measures 53-59, features a 'solo horn' part in measure 53 and a 'solo clarinet' part in measure 55. The tempo is marked 'a tempo'. The third system, measures 60-65, shows a 'cell a'' marking in measure 60 and a 'solo horn' part in measure 61. The dynamics are marked 'fp' (fortissimo) in measure 61 and 'pp' (pianissimo) in measure 65. The score is written for Harp and Clarinet/Horn, with various musical notations including notes, rests, and articulation marks.

Figure 4.20. Transformations of theme 4 towards end of cue 5

Narrative Level

Cue 5's established tonal centers under the militaristic norm are bombarded with tonal transgressions. The established tonality of the lament/romance theme which is built upon the transgressive cell maintains its tonality through its first statement. The variation of the theme is subject to syntactic variations of the theme as well as semantic events that obscure the C minor tonality. There is an increase in syntactic drama towards the end of the cue that take on semantic dimensions. These events could be syntactically related to the first three themes in their contour and interval content. The syntactic events led to added semantic dimensions of instability and dissolution. However, there was increase in drama that reinforces an "impression of assurance when the narrative is resolved"⁹⁸. The initial condition of primary thematic material is not tonally pure or strongly established. In fact, the echoes of theme 3 are, in the penultimate measure more of a jest than a last battle cry.

The narrative of cue 5 is not resolved or made to demonstrate a truce between initial and transgressive thematic agents. The romantic ideals of theme 4, supported by the *passus duriusculus*, gain hierarchical standing over themes 1 through 3 (topoi of hunting, pastoral and the military) and holds them up as insufficient to maintain order. Thus, in cue 5 we see from the beginning a threat made towards the themes that force a process towards a pleading and sorrowful minor-mode lyrical theme. The reality of the

⁹⁸ Almén, *A Theory of Musical Narrative*, 60.

coup over the idealism is maintained at the end of the cue which also highlights the impotence of the overthrown hierarchy.

SUMMARY

The results of this analysis of cues from Rota's score for *Under Ten Flags* found that indeed there was an exhibited narrative trajectory in the music. The research found that because of the high degree of narrativity in the score, particularly between contrasted thematic material, the trifold methodology could easily be applied to observe an archetype of irony running pervasively through the cues.

A methodology that considered agential, actantial and narrative levels of the music helped to see that syntactic elements such as harmony, theme, motive and rhythm produced a series of power struggles within each cue. The sign patterns conveyed a sense of expectation and digression which fueled a narrative trajectory. As Micznik points out, these temporal discursive processes create a tension between the actual discourse of the music and the 'ideal' scheme.⁹⁹ Gestural connotations within the thematic material of a militaristic, heroic and pastoral nature gave way to chromatic intrusions and ultimately a lament with tragic overtones. The oppositional forces were thus polarized between brass led quartal harmonies and string led highly lyrical pathos. Ultimately, the cues analyzed maneuvered conflict through the insurrection of the military theme for an overthrow of

⁹⁹ Micznik, "Music and Narrative Revisited," 2001, 200.

lament. Almén's useful pairing of Liszka's and Micznik's theories led to an understanding of the score as more than 'underscore' but as narrative contributor.

I found that through the analyzes of both the establishing cue and cue 5 of Rota's music that his scoring exhibited a high degree of narrativity. Passages exhibited numerous events, the coexistence of various cell and thematic material and certainly the presence of conflict. Throughout both cues a struggle between pastoral/militaristic elements and lament/romance ideals battled for hierarchy. The discursive technique of an intruding chromatic cell resulting in the breakdown of an initial pastoral ideal as well as providing cell material for an overpowering subsequent theme contributed to a narrative trajectory exclusive to the scoring. That the score's intrinsic syntactic and semantic discourse revealed a narrative of itself was, for me, the fascinating discovery.

There might be a tendency to view the thematic oppositions as calling towards a tragedy archetype because of the subversion that takes place on the heroic theme. As Frye discusses the difference between irony and tragedy there is an unavoidable collapse of the ideal that is not the case with irony. The ironic development presents more of a ridicule by social forces upon the ideal so that the unmarked material is held up as a strawman. This happens several times when revenants of the pastoral find echoes in the cues after the romance and lament material has taken over. By this manner there is not a death to the pastoral but an exposure of the weakness therein. Frye describes it aptly when he states that, "the ironic drama is a vision of what in theology is called the fallen world, of

simple humanity, man as natural man and in conflict with both human and non-human nature.”¹⁰⁰

When compared to an example of vococentric film music analysis it was shown that the gap which Neumeyer labels as *poietic* is truly fertile ground for further research and exploration. For narrative and the repeated images that lead to archetype are extensions of human activity. This activity of film scoring, done within the confines of a film’s temporal space and through a collaborative process between composer and film, no matter how small, can exhibit a narrative intrinsic to its own structure. To this point Felluga demonstrates how even the most succinct literary statements are laden with narrative.¹⁰¹ Almén was able to tease out an agential analysis and subsequent archetypal leaning within only nine measures from a piano work of Schubert.

It was quite fascinating to see the area of intersection between definitions of narrative in music and literature as part of this research. For Frye the process of creating poetry is "the activity of the human artifice" that identifies narrative and meaning through a binary pairing between grammar, that is, word order or rhythm, and logic, being the pattern and structure of a work.¹⁰² In a similar way the methodology that I have applied from Almén considered the morphology (grammar) and discourse (events occurring over temporal unfolding) of Rota’s score. This process led to considering how the structure (accumulation of narrative events) was put together according to a logic

¹⁰⁰ Frye, *Anatomy of Criticism*, 285.

¹⁰¹ Felluga, "Narratology Applications."

¹⁰² Frye, *Anatomy of Criticism*, 104–12.

laden with meaning and aligned with an archetype, that is, an imitation of human action as a whole composed by Rota.

In poetry, there is a literary element that can convey narrative such as that Barthes and Lévi-Strauss discuss in terms of ‘nuclei’, thematic returns that ‘inaugurate and conclude uncertainty’¹⁰³, syntagmatic chains, and binary oppositions. But perhaps most important is the semiotic approach that separates what is meant from what is presented. It is on this semiotic level that there exists the hinge between narrative analysis of film music and classic film music theory. Neumeyer states in an analysis of a Franz Waxman cue a certain amount of reticence to see narrative in the structure of a film cue yet, also reveals the presence of intentional human design and response provided by the composer.

"Whether the rounding off in the return of the parallel triads and the fanfare is meant motivically or topically or is simply a device of composition...is impossible to decide. This suggests that the relation of music's narrative functions in film and its "music-ness" will not always (or perhaps not even often) be that of simple opposition.... a composer's original underscore is an aural trace of his or her response to the film print."¹⁰⁴

As was seen in the narrative analysis of *Under Ten Flags* the return of music motives establish a narrative trajectory of the score. The use of motives in music and thematic returns in literature are proven not to be that unrelated. Micznik shows how the functions of themes and motives act as narrative generating events in literary fiction. The

¹⁰³ Roland Barthes and Lionel Duisit, "An Introduction to the Structural Analysis of Narrative," *New Literary History* 6, no. 2 (1975): 93, <https://doi.org/10.2307/468419>.

¹⁰⁴ Neumeyer and Buhler, *Meaning and Interpretation of Music in Cinema*, 41.

same is found in a music work's unfolding. They, with other syntactic elements, propel the narrative forward and contribute to further discourse.¹⁰⁵

This paper presented finding that presented a case to reconsider the existing school of theory that says music should be considered in subservience to the diegetic narrative. My review of literature on narrative analysis studies in concert music laid out the broad spectrum of elements that allow one to perceive its narrative potential. Many of those elements are found, as was presented in this paper, within the design of Rota's film score. By these means there might be a valid potential for the permeation of classical film music theory to allow greater room for narrative analysis of the score as an influencing element in the appreciation of film music.

Limitations

Ultimately, the limitations of this research are present in the scope of the analysis. Although findings showed that many elements of the film score by Rota exhibited a high degree of narrativity the overarching isotopic results for the entire score have yet to be considered. For this to take place further research needs to be conducted which accounts for all conflict resolutions and power struggles for every cue throughout the film. This

¹⁰⁵ Micznik, "Music and Narrative Revisited," 2001, 225.

broadier summary could then be analyzed for an overarching archetypal assignment that the film music narrative aligns itself with.

One problem that I encountered in the study was the limited number of variations that themes took through the course of the score. In studies were methodologies from Liszka and Micznik were undertaken, Almén's narrative analysis of the last movement from Mahler's Symphony no. 3 and Micznik's analysis of Mahler's Symphony no. 6, the concert works contained dozens of motivic cells that went through continual interplay and power struggles. In Rota's score the thematic materials, although in opposition to each other, rarely took on modified forms as result of their conflict. This being the case though the effect was minimal on deriving a narrative trajectory in part to the numerous occasions where the thematic materials were presented in conflict with each other. I saw this as a consistent reiteration of an implied narrative trajectory rather than a deficiency in narrative potential.

It should also be said that although this research advocates for an embrace of film scores as narrative rich elements in the filmic experience it is not a hard and fast rule. In similar ways that degrees of narrativity are more or less present in concert music of particular epochs so there could be varying degrees of narrativity in film scores. As the paper pointed out Micznik's comparison of a classical era work, Beethoven's *Pastoral*, with a romantic era work, a Mahler symphony, so film scores can also be carriers of high or low degrees of narrativity. The degree of narrativity may not be linked directly to historical practices of a given epoch but instead imposed by the composer's approach. By

this I mean that it is up to each composer's film score to be considered as having a high degree of narrativity but that not all film scores will express one. The score of *Under Ten Flags* demonstrated multiple instances of highly contrasting and stylistically diverse musical motives and cells. On the contrary for example, in the era of pop music in film scores there will often not be a series of oppositions, of which Levi-Strauss referred to as binary pairs, that will convey much narrative. However, some film composers will exhibit highly oppositional syntactic elements in their scores that act as, as Barthes puts it, 'catalysers' for narrative propulsion¹⁰⁶.

Next Steps

To take a complete holistic morphological approach of multiple scores by Rota and compare the archetypal fingerprint of diegetic narrative with the score narrative was beyond the scope of this research. To undertake this endeavor would be quite insightful if not quite intense an activity. A step further and one could be following Propp's folktale path by grouping collections of scores together to consider abstracted patterns that might exist.

It is in fact these last few ideas that would lead toward immensely rewarding further research. Namely, now that it is shown for a film score to possess intrinsic

¹⁰⁶ Micznik, 225.

narrative trajectory, compare whole scores with whole diegetic narratives for contradictory or complimentary archetypes. There could also be undertaken the compilation of scores by a composer for understanding their creative output in terms of archetypes, in a way that literary criticism groups Greek plays by archetype.

These proposed research ideas are much needed as that they would inspire not simply dissertation length analysis but text book length work. This would greatly contribute to the existing literature on film music theory as well as film music criticism and appreciation. It would shed new light on film scores in a very comprehensive way as well as allow for deeper examination of scores not just as a whole but as collections of similar design despite distance between their creation. That is, film scores would be able to be considered not simply as works that were produced in a given year but group by narrative in a way that literature can be grouped by type of story in collections. The creation of this book length research would also become insightful to composition programs as that it opens up a whole world of repertoire that can be considered for meaning that has generally been untouched. For example, Almén, Klein, Micznik, Abbate, Hatten and Agawu all address issues of meaning in their writings as related to music of the classical era and opera but it has yet to incorporate the repertoire of film music. The development of a book on Rota's film music and meaning would fill a void that the research of this paper has hopefully revealed to exist.

APPENDIX A

Transcription of Cue 5 to *Under Ten Flags* (transcription by the author)

The musical score is presented in four systems, each with a grand staff (treble and bass clefs) in 4/4 time. The tempo is marked as $\text{♩} = 120$.

- System 1:** Labeled "Theme 1". It features a melodic line in the treble clef starting with a quarter note, followed by eighth and sixteenth notes. A bracket labeled "cell a" spans the first two measures. The bass clef contains whole rests.
- System 2:** Labeled "Theme 2". It begins with a measure rest (marked "4"). The treble clef contains a half note, followed by a measure with a half note and a quarter note. A bracket labeled "cell b" spans the first two measures. The next measure has a half note, followed by a measure with a half note and a quarter note. A bracket labeled "cell c" spans the third and fourth measures. The final measure has a half note and a quarter note. A bracket labeled "cell c'" spans the last two measures. The bass clef contains whole rests.
- System 3:** Labeled "Theme 3". It begins with a measure rest (marked "8"). The treble clef contains a half note, followed by a measure with a half note and a quarter note. A bracket labeled "cell a" spans the first two measures. The next measure has a half note, followed by a measure with a half note and a quarter note. A bracket labeled "cell d" spans the third and fourth measures. The final measure has a half note and a quarter note. A bracket labeled "cell d'" spans the last two measures. The bass clef contains a continuous line of eighth notes, labeled "passus duriusculus motive".
- System 4:** Labeled "12". It consists of two measures with whole rests in both the treble and bass clefs.

14 Theme 4

cell e''

cell e

cell e''

cell e

cell e'

pp

21

cell e'

25

cell c

30

cell e'

34

Variation of Theme 4

42

cell e'

Harp

47

cell e

rit.

solo clarinet

meno mosso

53

solo horn

solo clarinet

a tempo

60

cell a'

solo horn

fp

pp

BIBLIOGRAPHY

- Abbate, Carolyn. *Unsung Voices: Opera and Musical Narrative in the Nineteenth Century*. Princeton University Press, 1991.
<http://www.jstor.org.mutex.gmu.edu/stable/j.ctt13x0rk0>.
- Agawu, V. Kofi. *Playing with Signs: A Semiotic Interpretation of Classic Music*. Princeton, N.J.: Princeton University Press, 1991.
- Almén, Byron. *A Theory of Musical Narrative*. Musical Meaning and Interpretation. Bloomington: Indiana University Press, 2008.
- Barthes, Roland, and Lionel Duisit. "An Introduction to the Structural Analysis of Narrative." *New Literary History* 6, no. 2 (1975): 237–72. <https://doi.org/10.2307/468419>.
- Barthes, Roland, and Sandy Petrey. "Reflections on a Manual." *PMLA* 112, no. 1 (1997): 69–75. <https://doi.org/10.2307/463054>.
- Berleant, Arnold. "Reviewed Work: Soundtracks, a Study of Auditory Perception, Memory, and Valuation." Edited by Jean Gabbert Harrell. *The Journal of Aesthetics and Art Criticism* 45, no. 3 (1987): 318–19. <https://doi.org/10.2307/431468>.
- Bordwell, David. "Film Futures" 31, no. 1 (2002): 88–104.
- . "Innovation by Accident." Edited by Joseph Mankiewicz and Sam Wood v, no. 3 (2014): 367–79.
- . *Making Meaning: Inference and Rhetoric in the Interpretation of Cinema*. Cambridge, Mass.: Harvard University Press, 1989.
- Born, Georgina, and David Hesmondhalgh. *Western Music and Its Others*. Berkeley, US: University of California Press, 2000.
<http://site.ebrary.com/lib/alltitles/docDetail.action?docID=10051537>.
- Buhler, James, 1964-. *Hearing the Movies : Music and Sound in Film History*. New York: New York : Oxford University Press, 2010.
- Butler, David. "The Days Do Not End: Film Music, Time and Bernard Herrmann." *Film Studies*, 2006, 51–63.
- Castellani, Renato. *Il Brigante*. DVD. Rizzoli Films, 1963.
- Chatman, Seymour Benjamin. *Story and Discourse : Narrative Structure in Fiction and Film*. Ithaca, N.Y.: Cornell University Press, 1978.
- Chion, Michel. *Film, a Sound Art*. [English ed.]. Film and Culture. New York: Columbia University Press, 2009.
- . *Film, a sound art*. New York: Columbia University Press, 2009.
- Clément, René, Raymond Hakim, Robert Hakim, and Goffredo Lombardo. "Purple Noon," n.d.
- . *Purple Noon*. New York, NY: Janus Films, n.d.

- Colletti, Duilio. *Under Ten Flags*. DVD. Dino de Laurentiis Cinematografica, Paramount Pictures, 1960.
- Cone, Edward T. *The Composer's Voice*. The Ernest Bloch Lectures. Berkeley : University of California Press, 1974.
- Cooke, Mervyn. "Nino Rota: Music, Film and Feeling (Review)." *Music, Sound, and the Moving Image* 5, no. 2 (February 25, 2012): 185–90.
- Cooper, David. *Bernard Herrmann's The Ghost and Mrs. Muir: A Film Score Guide*. Rowman & Littlefield, 2005.
- Copland, Aaron, 1900-1990. *What to Listen for in Music*. Rev. ed.. New York: New York, McGraw-Hill, 1957.
- Copland, Aaron, Alan Rich, and Leonard Slatkin. *What to Listen for in Music*, 2011.
- Coyle, Rebecca. "Point of Audition: Sound and Music in Cloverfield" 3, no. 2 (2010): 217–37.
- Dyer, Richard, 1945-. *Nino Rota : Music, Film and Feeling*. New York: New York : Palgrave Macmillan on behalf of the British Film Institute, 2010.
- "Eclipse Series 28: The Warped World of Koreyoshi Kurahara." The Criterion Collection. Accessed October 26, 2016. <http://www.criterion.com/current/posts/1963-eclipse-series-28-the-warped-world-of-koreyoshi-kurahara>.
- Eisler, Hanns. *Composing for the Films*. London ; Athlone Press, 1994.
- Falck, Robert. "Edward T. Cone. *The Composer's Voice*. Berkeley: University of California Press, 1974; Paperback Edition 1982, ix, 184 Pp." *Canadian University Music Review*, no. 4 (1983): 333. <https://doi.org/10.7202/1013910ar>.
- Felluga, Dino. "Narratology Applications." "Narratology Applications." Introduction to Judith Butler, Module on Gender and Sex, January 31, 2011. <https://www.cla.purdue.edu/english/theory/narratology/application/applicTnRoadisClear2.html>.
- Frye, Northrop. *Anatomy of Criticism*. Princeton University Press, 2015.
- Gill, Glen Robert, ed. "Cleansing the Doors of Perception." In *Northrop Frye and the Phenomenology of Myth*, 101–78. University of Toronto Press, 2006. <http://www.jstor.org/stable/10.3138/j.ctt1287v75.9>.
- Gorbman, Claudia. "Music As Salvation: Notes on Fellini and Rota." *Film Quarterly* 28, no. 2 (1974): 17–25. <https://doi.org/10.2307/1211629>.
- . "The State of Film Music Criticism." *Cinéaste* 21, no. 1/2 (1995): 72–75.
- . *Unheard Melodies: Narrative Film Music*. London : Bloomington: BFI Pub. ; Indiana University Press, 1987.
- Hamilton, Guy. *The Best of Enemies*. DVD. Columbia Pictures, 1962.
- Harrell, Jean G. *Soundtracks: A Study of Auditory Perception, Memory, and Valuation*. Buffalo, N.Y: Prometheus Books, 1986.
- Hatten, Robert S. *Interpreting Musical Gestures, Topics, and Tropes: Mozart, Beethoven, Schubert*. Musical Meaning and Interpretation. Bloomington: Indiana University Press, 2004.
- . *Musical Meaning in Beethoven Markedness, Correlation, and Interpretation*. Bloomington: Bloomington : Indiana University Press, 1994.
- . "Markedness and a Theory of Musical Expressive Meaning" 16, no. 4 (1997): 51–63. <https://doi.org/10.1080/07494469700640231>.

- Heldt, Guido. *Music and Levels of Narration in Film*. Bristol: Bristol: Intellect Ltd, 2013.
- . “Music and Mildred Pierce, 1945 and 2011.” *Screen* 54, no. 3 (September 1, 2013): 403–9. <https://doi.org/10.1093/screen/hjt034>.
- Hickman, Roger, author. *Reel Music : Exploring 100 Years of Film Music*. First edition.. New York: New York : W.W. Norton, 2006.
- Jakobson, Roman. “Language in Relation to Other Communication Systems,” 1970.
- . *Word and Language*. Walter de Gruyter, 2010.
- James Jakób Liszka. “TRANSVALUATION AND MYTH: MARKEDNESS AND THE STRUCTURE OF ELEMENTARY NARRATION” 6, no. 2/3 (1989): 141–81.
- Jeeshan Gazi. “Redeeming Kracauer’s Theory of Film: An Examination of the Importance of Material Aesthetics.” *Substance* 45, no. 1 (2016): 66–80. <https://doi.org/10.3368/ss.45.1.66>.
- Kalinak, Kathryn Marie. *Settling the Score Music and the Classical Hollywood Film*. Wisconsin Studies in Film. Madison: University of Wisconsin Press, 1992.
- Keller, Hans. “Hans Keller: Essays on Film Music: II. Composers: Leonard Bernstein.” *Film Studies*, 2004, 126–29.
- Klein, Michael Leslie. “Ironic Narrative, Ironic Reading.” *Journal of Music Theory* 53, no. 1 (2009): 95–136.
- . *Intertextuality in Western Art Music*. Bloomington, IN: Bloomington, IN : Indiana University Press, 2005.
- Klein, Michael Leslie, and Nicholas W. Reyland, eds. *Music and Narrative since 1900*. Musical Meaning and Interpretation. Bloomington ; Indianapolis: Indiana University Press, 2012.
- Kracauer, Siegfried. *Siegfried Kracauer’s American Writings Essays on Film and Popular Culture*. Weimar and Now: German Cultural Criticism. Berkeley: University of California Press, 2012.
- Liszka, James Jakób. “The Narrative Ethics of Leopold’s Sand County Almanac.” *Ethics and the Environment* 8, no. 2 (2003): 42–70.
- . *The Semiotic of Myth: A Critical Study of the Symbol*. Indiana University Press, 1989.
- . “TRANSVALUATION AND MYTH: MARKEDNESS AND THE STRUCTURE OF ELEMENTARY NARRATION.” *The American Journal of Semiotics* 6, no. 2/3 (1989): 141–181.
- Lowe, Melanie Diane. *Pleasure and Meaning in the Classical Symphony*. Musical Meaning and Interpretation. Bloomington: Indiana University Press, 2007.
- Marsen Sky. “How to Mean without Saying: Presupposition and Implication Revisited.” *Semiotica* 2006, no. 160 (2006): 243. <https://doi.org/10.1515/SEM.2006.049>.
- Maus, Fred Everett, Marion A. Guck, Charles Fisk, Fred Everett Maus, James Webster, Alicyn Warren, and Edward T. Cone. “Edward T. Cone’s ‘The Composer’s Voice’: Elaborations and Departures.” *College Music Symposium* 29 (1989): 1–80.
- Micznik, Vera. “Music and Narrative Revisited: Degrees of Narrativity in Beethoven and Mahler.” *Journal of the Royal Musical Association* 126, no. 2 (2001): 193–249. <https://doi.org/10.1093/jrma/126.2.193>.
- Middleton, Richard. *Studying Popular Music*. Milton Keynes [England] ; Philadelphia: Open University Press, 1990.

- Music and Cinema*. Hanover, NH: Hanover, NH : University Press of New England, 2000.
- “Music and Levels of Narration in Film: Steps Across the Border by Guido Heldt (Review)” 72, no. 2 (2015): 374–76.
- Music and Society : The Politics of Composition, Performance, and Reception*. Cambridge [Cambridgeshire] ; Cambridge University Press, 1987.
- Nattiez, Jean Jacques. *Music and Discourse : Toward a Semiology of Music*. Princeton, N.J.: Princeton University Press, 1990.
- Neumeyer, David, and James Buhler. *Meaning and Interpretation of Music in Cinema*. Musical Meaning and Interpretation. Bloomington: Indiana University Press, 2015.
- Neupert, Richard. “The Musical Score As Closure Device in The 400 Blows” 14, no. 1 (1989): 26-32,48.
- “Nino Rota Music Catalogue.” Accessed October 26, 2016.
http://www.ninorota.com/pages/advsearch.php?cat_id=6&keyword=197&match=all&submit=Search.
- Prendergast, Roy M. *Film Music : A Neglected Art : A Critical Study of Music in Films*. New York: Norton, 1992.
- Ribière, Mireille. *Barthes*. Penrith: Humanities-Ebooks, 2008.
<http://site.ebrary.com/id/10567299>.
- Scheurer, Timothy E. *Music and Mythmaking in Film : Genre and the Role of the Composer*. Jefferson, N.C.: Jefferson, N.C. : McFarland, 2008.
- Sciannameo, Franco. *Nino Rota's The Godfather Trilogy: A Film Score Guide*. Scarecrow Film Score Guides, no. 9. Lanham, Md: Scarecrow Press, 2010.
- Slowik, Michael. “Experiments in Early Sound Film Music: Strategies and Rerecording, 1928-1930.” *American Music* 31, no. 4 (2013): 450–74.
<https://doi.org/10.5406/americanmusic.31.4.0450>.
- Stevens, Dana. “Listening to Taxi Driver.” *Slate*, March 25, 2011.
http://www.slate.com/articles/arts/movies/2011/03/listening_to_taxi_driver.html.
- Tarasti, Eero. *Signs of Music: A Guide to Musical Semiotics*. Approaches to Applied Semiotics 3. Berlin ; New York: Mouton de Gruyter, 2002.
- The Composer's Voice*. Accessed October 13, 2018.
<https://www.ucpress.edu/op/9780520046474/the-composers-voice>.
- The Oxford Handbook of Film Music Studies*. Film Music Studies, 2014.
- Will, Richard James. *The Characteristic Symphony in the Age of Haydn and Beethoven*. New Perspectives in Music History and Criticism. Cambridge: Cambridge University Press, 2002.
<http://mutex.gmu.edu/login?url=http://search.ebscohost.com/login.aspx?direct=true&db=nlebk&AN=112569&site=ehost-live&scope=site>.
- Yan, Sui, and Fan Ming. “Reinterpreting Some Key Concepts in Barthes’ Theory.” *Journal of Media and Communication Studies* 7, no. 3 (2015): 59–66.
<https://doi.org/10.5897/JMCS2014.0412>.

BIOGRAPHY

Edward Knoeckel received his Bachelor of Arts in Piano Performance from the University of Connecticut in 2002. He went on to receive his Master of Music in Music Composition from the University of South Florida in 2006. He further developed his compositional technique at the University of Hartford's Hartt School of Music receiving an Artist Diploma in 2012. While teaching at the secondary school level he received his Master in Education (Music K-12) from the University of Bridgeport as well as passed exams for a Connecticut state teaching certification in music. He is an active duty member of the United States Air Force serving as pianist for the Band of the West, stationed at Lackland Air Force Base in San Antonio, Texas.