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## Investigating "experimentalism" : a case study of the tuba and its repertoire

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INVESTIGATING “EXPERIMENTALISM”: A CASE STUDY OF THE TUBA  
AND ITS REPERTOIRE

A Monograph

Submitted to the Graduate Faculty of the  
Louisiana State University and  
Agricultural and Mechanical College  
in partial fulfillment of the  
requirements for the degree of  
Doctor of Musical Arts

in

The College of Music and Dramatic Arts

by  
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May 2013

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## ABSTRACT

The extant repertoire for the tuba serves as a landmark for how the tuba was perceived at that moment in time by that composer. This document contains a brief analysis of the tuba “experiment” that has been ongoing since its invention. In addition, it contains a brief parallel case study of the saxophone and how this instrument, invented at about the same time as the tuba, has embraced experimentalism and modern performance.

This document contains five major sections. The first provides a brief history of the tuba and its predecessors. The second introduces numerical data representing the performance frequency of top experimental and non-experimental works for tuba in a solo setting. The third section discusses in more detail the top three experimental works. The next section briefly examines parallels between the trajectories of the tuba, the tuba’s repertoire and, the tuba community to that of the saxophone. The final section includes conclusions drawn from the previous sections, as well as ideas for the future path of the tuba.

This document includes data compiled for the first time in the world of the tuba and tuba literature. It will also present some ideas that will hopefully inspire new avenues of thought, composition, and performance among tuba players. The saxophone, while at home in wind bands across the world, is almost more at home in an experimental setting. This experimentalism lies in the chosen repertoire, collaborative possibilities, or even the performance space itself. If tuba performers, teachers, and students do not begin thinking of embracing alternative performance



collaborations, locations, and experimental performance techniques, the future may be bleak for the tuba world.

Appendices to this document include copyright permissions with related communications, a brief discography of works included in the document, as well as a list of other experimental works for solo tuba, a list of some important experimentally-minded tuba performers and a few ideas for future research as inspired by this document.

## INTRODUCTION

Experimentation is at the root of the human experience. As human beings, experiments are a part of our daily existence. Experimentation creates new knowledge that influences our decision-making. There might be a new restaurant across from work that you try out. Perhaps a new route home became available when a housing development connected those two streets in your neighborhood. The decision to try one of these new experiences will necessarily involve experimentation. Whether or not these experiences become part of our routine existence speaks to the success of that experiment. Experimentalism has a rich and grand tradition, especially in the United States. This tradition dates back to the late 19<sup>th</sup> century with the early experimentation by composers like Charles Ives and continues into the early 20<sup>th</sup> century with composers like Henry Cowell, George Antheil, Carl Ruggles, Edgar Varese, and even Aaron Copland.<sup>1</sup> The word experiment is defined in several ways, but I plan to define it for my purposes as “a venture at something new or different.”<sup>2</sup>

In the world of scientific research and experimentation, there are two main approaches. Quantitative research is largely results based and housed in the hard sciences like biology, chemistry, and physics. Qualitative research is largely based in the experience and a description of that experience. Qualitative research is mostly housed in the social sciences like anthropology or ethnomusicology.

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<sup>1</sup> There are a multitude of resources that address the history of experimental music as well as the notation and theory behind it. Two of my favorites are: *Soundings: Music in the Twentieth Century* by Glenn Watkins for the historical information and *New Directions in Music* by David Cope for the theory/notational aspects.

<sup>2</sup> Princeton University “About WordNet.” Wordnet. Princeton University, 2010, accessed March 3, 2013, <<http://wordnet.princeton.edu>>.

To differentiate the two, visualize the following scenario. Imagine someone who commutes to and from work by bicycle. One day on the way home, he notices a road that seems to parallel the one he typically uses to get home. This route is completely unfamiliar and new. He decides to take the route to see if it is faster than his normal route. When he gets home, his son asks how the ride home was. The man describes to his son that he took a new route and informs his son that it takes 10 minutes longer to get home than the normal route.

Now, imagine being this person being back at that same intersection with the new route. This time, he decides to take the new route to see what he might find along the way. When he gets home, his son asks how the ride was. He informs his son that he discovered a small natural foods store, a city park with a playground, and a small shopping strip with an ice cream store along this new route.

In the first scenario, the focus of the ride along the new route was on the result. This route takes 10 minutes more than the normal route. This is an example of quantitative type experimentation. In the second scenario, the end result was not the focus of the experiment. Instead, the focus was the experience of riding along that new route, and discovering what unknowns it might hold. This is an example of qualitative type experimentation.

I like to think that the entire catalog of solo repertoire that has been written for the tuba is part of a grand experiment. The resulting pieces (or artifacts) serve as documentation of the tuba's path of experience. This experiment has been ongoing for the last 177 years. The individual pieces of music that performers play today, whether in an orchestra, wind band, brass band, brass quintet, or in any of

the myriad of solo settings are landmarks that represent the composer's thinking of the tuba and its capabilities at that moment in time. Sometimes this experimentation went well and the music is performed again and again. In a few instances, these pieces transcend this experimentation to become a classic or a standard. In other instances, the experimentation did not work out so well, or perhaps not for as many people, and the musical selection slipped out of the spotlight.

John Fletcher, one of England's great tuba virtuosos, wrote his thoughts on the tuba as a solo instrument in a two-part article series in 1976. In the second part of this article, he summarized some of the first part of his article by saying:

1. There is a vast amount of solo tuba music in existence.
2. Most of it is junk – true; signed J. R. W. F.<sup>3</sup>

This shows that in 1976 there were a large number of solo tuba pieces in existence. It also illuminates the opinions of one of the world's foremost tuba performers of that time and that he had questions and doubts about the tuba performing in a solo role.

The tuba did not come to have "vast amount" of solo repertoire overnight. The tuba experiment had to originate somewhere! Richard Wagner was one of the first composers to accept the tuba into the orchestral fold, seemingly without reservation. "Largely owing to his [Wagner's] lead, the expanded orchestra became more or less standardized, during the last two or three decades of the [19<sup>th</sup>] century,

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<sup>3</sup> John Fletcher. "Is the Tuba Really a Solo Instrument?" *Sounding Brass & The Conductor*, volume 5. Issues 1, 2 (1976): 13+, 54+.

for works of large scale.”<sup>4</sup> It is most likely thanks to Wagner that the tuba has its permanent home in the orchestra.

Wagner had already shown his interest in the tuba by including it in his *Ein Fauste-Overtüre* (1840)<sup>5</sup> in addition to his early operas *Rienzi*, *der Letzte der Tribunen* (1838-1841) and *Der Fliegende Holländer* (1842). He also included it in all four operas of his massive *Der Ring des Nibelungen*, composed between 1853 and 1874. Other early composers to adopt the tuba include Johannes Brahms in both his *Ein Deutsches Requiem* (1868) and *Symphony no. 2* (1877). Gustav Mahler included a prominent tuba solo in beginning of the third movement of his *Symphony no. 1*, composed from 1888 - 1896. The tuba is also featured prominently in his *Symphony no. 5*, composed 1901-1902. Arnold Schoenberg included the tuba in several of his compositions including, in 1900, a part in the massive cantata *Gurrelieder*.<sup>6</sup>

Progressing into the 20<sup>th</sup> Century, Igor Stravinsky wrote some of the more challenging tuba parts to date in his three early ballets: *L'Oiseau de feu* (1910), *Petrushka* (1911), and *Le sacre du printemps* (1913). Around this same time, Alban Berg composed his opera *Wozzeck* that includes tuba in the pit orchestra, as well as, on two separate occasions, in the onstage ensemble. One of these technically calls for *bombardon*, but the score dictates that muted tuba can be used in case a *bombardon* cannot be secured. In 1937 Silvestre Revueltas composed *Sensemaya*. This piece is based on a poem about a chant that brings death to snakes. Revueltas

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<sup>4</sup> Adam Carse. *The History of Orchestration*. (London: Kegan, Paul, Trench, Trubner, and Co., 1925). P. 269.

<sup>5</sup> This piece is extremely important because it is the first ever to begin with a tuba solo. The rest of the piece is based on the content of that solo.

<sup>6</sup> O.W. Neighbour. "Schoenberg, Arnold." *Grove Music Online*. Oxford Music Online. Oxford University Press, accessed February 20, 2013, <<http://www.oxfordmusiconline.com/subscriber/article/grove/music/25024>>.

gives the role of the snake to the tuba, which is featured prominently throughout the piece.

All these examples show that by the middle of the 20<sup>th</sup> Century composers the world over had followed Wagner's lead and included the tuba in their compositions. However, because this was a new instrument these composers were writing for, a varying degree of experimentalism is inherent in the compositions themselves. Composers explored the elements of range, rapid note changes, technical articulations, and volume. The degree of experimentation varied from composer to composer with each new piece. Also constantly challenged were the capabilities of the instrument, as well as the capabilities of the performers who were charged with performing the parts. By experimenting with the tuba's features within the safety and confines of the symphony orchestra, the doors were opened for the tuba to step out into the soloist's spotlight. It was not until the early part of the 20<sup>th</sup> Century that composers looked to the tuba to perform a serious solo role outside or in front of the orchestra. Not long after the first serious solo repertoire was written, composers began to further explore the sonic possibilities of the tuba.

The main purpose of this document is to identify and briefly examine some of the "experimental" tuba repertoire. More specifically, the examination will mainly focus on the experimental elements of each of the included pieces of music. This may include elements of notation, compositional language, form and structure of the piece itself, performance demands, and/or other traits. By conducting a thorough tabulation of performance frequency dating back to the beginning of the publication of the professional journal associated with the *Tubists Universal Brotherhood*

*Association* (now the *International Tuba Euphonium Association*), I was able to determine which pieces to include in this document.

The breadth of repertoire for the tuba has grown exponentially since the instrument was invented in the early 19<sup>th</sup> Century. An instrument that was initially patented in 1835<sup>7</sup> had a dreadful lack of solo repertoire written for it during the first 120 years of existence. The tuba did find itself a home in the concert hall as the bass voice in the brass section of the symphony orchestra. The tuba also found a home in the British brass band tradition, as well as the American concert band tradition as made popular by John Philip Sousa (and others). Because of the varied settings in which a tuba could be found, there is a plethora of tuba parts from pieces of music for large ensemble. For solo tuba, however, there is remarkably little repertoire written until the 1950s. An in-depth history of the tuba's design development as well as the development of its repertoire is in the first major section of this document.

For the purposes of this document, it is important to identify a working definition for the term "experimental" before continuing at any length. Experimental music has always enjoyed a varied and complicated existence. Even John Cage, widely considered one of the most "experimental" of experimental music composers, deplored the term.<sup>8</sup> Experimental music is defined as "a diverse set of musical practices that gained momentum in the middle of the 20th century,

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<sup>7</sup> F.W. Wieprecht, *The Chromatic Bass-Tuba*, Prussian Patent 9121, translated by V. Lawson, as quoted in Clifford Bevan, *The Tuba Family*, 2nd edition. Winchester, U.K., Piccolo Press, 2000. 513-524.

<sup>8</sup> John Cage. "Experimental Music" (speech, Chicago, Illinois, 1957), Music Teachers National Association Convention.

characterized by its radical opposition to and questioning of institutionalized modes of composition, performance, and aesthetics.”<sup>9</sup> To take that a step further, it is possible to surmise that as the 20<sup>th</sup> Century progressed, composers were interested in creating new sounds on conventional instruments to create the same sounds that were being created by contemporary composers working in the area of electronic music. Dr. David Randolph defines these experimental techniques as those involving the change of timbre of an existing pitch, multiphonic techniques on instruments generally associated with monophony, techniques involving the changing of pitch, and techniques that have to do with indefinite pitches. These may include knocking on an instrument, singing through an instrument, or using vibrations created by/into/through an instrument to influence other instruments or noisemakers.<sup>10</sup>

### Review of Related Literature

There are a number of resources that are available to tuba teachers, performers, students, and amateur hobbyists that can help locate repertoire that may or may not fit into the experimental role. First and foremost, it is important to recognize the compendium resource documents that exist for the tuba and the tuba literature. The repertoire for tuba has been extensively catalogued. The first such resource is called *Tuba Music Guide*. This resource, published in 1973, contains short annotations on each piece that is included. The sections range from tuba and

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<sup>9</sup> Cecilia Sun. "Experimental music." *Grove Music Online*. *Oxford Music Online*. Oxford University Press, accessed February 8, 2013, <<http://www.oxfordmusiconline.com/subscriber/article/grove/music/A2224296>>.

<sup>10</sup> David Mark Randolph. "New Techniques in the Avant-Garde Repertoire for Solo Tuba." DMA diss., University of Rochester, 1977.



keyboard, tuba and orchestra, to orchestral excerpts, methods and study books, and music for multiple tubas. There is also a guide to recordings by tuba players, as well as contact information for publishers, composers, and record companies.

The *Tuba Music Guide* would serve as a template for a 1996 publication called *The Tuba Source Book*. The *TSB*, as it is affectionately known in the tuba world, is currently out of print. R. Winston Morris took the lead on this, alongside co-author/co-editor Edward R. Goldstein, a Baltimore-based tubist, teacher, and music booking agent. This resource expanded the work R. Winston Morris had begun over 20 years earlier. More sections were added, featuring a wider variety of ensembles into which the tuba had been written. Also present are composer biographies, a brief history of the tuba, a discography, a bibliography, recommended literature lists for various age tuba students, and other helpful chapters. This would not be the last of these resources. Most recently, in 2006, R. Winston Morris teamed up with co-editor Daniel Perantoni to publish the *Guide to the Tuba Repertoire: The New Tuba Source Book*. This would more or less follow the setup of the 1996 edition, but would update each section.

These three resources are a physical showing of how the music for tuba has grown. In 1973, a tuba music resource contained 60 pages. By 1996, that had expanded to 656. In 2006, thirty-three years after the first version of this type of resource, the edition had grown to 662, but this was solely musical content. In the latest version, the sections on audition procedures, compositional guides for composers, biographies of important tuba players, and other non-musical topics were removed.

In the realm of university-related documents, there is only one dissertation that deals directly with experimental music and the performance of such music on the tuba. It is by David Mark Randolph and is entitled “New Techniques in the Avant-Garde Repertoire for Solo Tuba.” It was completed in 1977 at the University of Rochester.

In his dissertation, David Randolph specifically addresses a variety of experimental techniques. These include: new notational devices for rhythm and pitch, definite pitch timbres, pitch changes, multiphonics, and, techniques involving indefinite pitches or noise effects.<sup>11</sup> For each of these topics, he discusses various methods that are available for a performer to use in executing the desired effect. In an appendix, he also shows how each effect might be notated; a useful guide for composers who wish to include such elements in their compositions for tuba. The main body of this paper, however, is an examination of nine specific solo tuba pieces that use some, or all, of the aforementioned techniques.

Although Dr. Randolph’s dissertation is the only one that deals specifically with experimental tuba music as investigated in this paper, there are others that are important to note. These are other dissertations and theses that include experimental music, or discuss experimental techniques, but only as a tangential relationship. The sole topic or purpose of these documents is not to discuss these experimental elements. These documents include: Timothy Sabo’s Master’s Thesis entitled “Stylistic Development of Tuba Composition in Contemporary Brass Ensembles,” Colorado State University, 1970; David Laurence Kuehn’s DMA

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<sup>11</sup> David Mark Randolph. “New Techniques in the Avant-Garde Repertoire for Solo Tuba.” DMA diss., University of Rochester, 1977.

dissertation entitled “The Use of the Tuba in the Operas and Music Dramas of Richard Wagner,” University of Rochester, 1974; Jeffrey Funderburk’s dissertation “An Annotated Bibliography of the Unaccompanied Solo Repertoire,” University of Illinois at Urbana-Champaign, 1992; and, Bradley Boone’s dissertation “The Evolution of the Tuba Quartet and Its Repertoire,” Louisiana State University, 2011.

Timothy Sabo’s thesis addresses the use of the tuba in 20<sup>th</sup> century brass ensemble repertoire. The repertoire that is discussed in this document does come from the 20<sup>th</sup> Century. The composers included (Alec Wilder, Eugene Bozza, Gunther Schuller, and John Cheetham) do little when it comes to experimental elements in the pieces included in this document. While it does show some illuminating information as to how composing for the tuba has progressed through time, it does not specifically address any compositions that include experimental techniques or notation or compositional elements.

Jeffrey Funderburk’s dissertation is a collection of annotated bibliographic entries for unaccompanied solo tuba repertoire. It does include some pieces that are experimental in nature, but only because they fall into the category of unaccompanied solo tuba repertoire. The scope of this document includes these pieces only by happenstance, not as a main focus of the document. Also, because of the nature of an annotated bibliography, the information included in each entry is brief and introductory in nature.

Bradley Boone’s dissertation is similar to Funderburk’s in that the experimental repertoire included is included by happenstance. Boone’s document is an examination of repertoire for the tuba quartet. Included in this document is

repertoire that includes experimental elements, but the inclusion is because it is for tuba quartet, not because it is experimental. The information contained in this document is simply to describe each piece, the overall aesthetic, and the pedagogical value of each piece.

In addition to university-based works, there are a number of articles and chapters in books that concern themselves with experimental tuba repertoire, performance, or techniques. Some of the most notable include: an article entitled “A Brief Summary of New Techniques for Tuba,” Barton Cummings, *NUMUS-West*, no. 5, 1974; an article entitled “Extending the Tonal Resources of Wind Instruments: Some Contemporary Techniques,” Gardner Read, *Music Educators Journal*, Vol. 63, no. 1, 1976; *The Contemporary Tuba*, a book, by Barton Cummings published by Whaling Music in 1984; and, a chapter by Simon Wills in the 1997 book *The Cambridge Companion to Brass Instruments* (Trevor Herbert and John Wallace, editors) entitled “Frontiers or Byways? Brass Instruments in Avant-Garde Music.” Barton Cummings and David Randolph also have a number of articles in various journals that are essentially simplified versions or breakdowns of smaller elements of their larger resources. Additionally, there may be other articles of a scholarly or non-scholarly level in some resources unknown to me. This is especially true if the resource is outside of the United States or outside of the English-speaking library collections.

In a 1974 edition of the journal *NUMUS-West*, Barton Cummings introduces some techniques that are available to composers when considering using the tuba in a solo setting. In addition to describing the effect, he also shows examples of

notation. This is the first time that a resource like this was made available with specific regard to the tuba.

In 1976 Gardner Read wrote an article in the *Music Educators Journal* that briefly discusses some contemporary techniques, including: multiphonics, a woodwind-only effect called harmonics, extended range possibilities, and microtones. While the article does contain some nice artwork featuring the tuba, the tuba itself is never mentioned, nor does it include a discussion on any music featuring the tuba with contemporary techniques.

Also by Barton Cummings, *The Contemporary Tuba* is a resource intended for tuba players and teachers, as well as composers. The scope of this document is quite narrow. Cummings wrote in the forward that the pieces and techniques included were ones that he commissioned or had written for him in some other fashion. In this book, Cummings describes various experimental effects, their desired result, and how they might effectively be notated. The basic principle of this book is where Cummings garnered publication of several shorter, less in depth journal articles. Sections about the tuba's use in various settings include: tuba with electronics and tuba in miscellaneous other non-traditional setting.<sup>12</sup> This resource, while dated, is the only one of its kind for the tuba.

Finally, in *The Cambridge Companion to Brass Instruments*, Simon Wills writes a chapter that is concerned with the role of brass instruments in *avant-garde* music. His chapter mainly discusses the role of the various brass instruments in

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<sup>12</sup> Barton Cummings. *The Contemporary Tuba*. (Salem: Cimarron Music Press, 2004), III. Author's note: Cimarron Music Press purchased the rights for publishing this document from Whaling Music Press, who first published it in 1984.

extant music by leading composers such as Berio, Stockhausen, Ligeti, and Xenakis. Despite this chapter not addressing experimental techniques explicitly, it does attempt to document the changing role of brass instruments in contemporary compositions. For this reason, it is a worthy resource for any brass musician interested in contemporary performance, whether as a solo performer, or as a member of a chamber or large ensemble.

In 1982 a methods book for students of the tuba was published in Prague.<sup>13</sup> This methods book, by Vaclav Hoza, appears to be very similar to most other methods books. In the back of this book, not unlike many other methods books, is a series of etudes with piano accompaniment. The difference between this methods book and other methods collections is that the final etudes contain instructions on contemporary performance technique. The purpose of this section is to introduce the tuba student to what non-traditional notation and performance techniques looks like. To my knowledge, this is the only methods book that contains any material of this kind for the tuba. Contemporary performance and the demands that are placed on the performer are generally ignored in methods books.

#### Description of Document

As I look to add this document into the annals of tuba resources, I have limited the pieces to be included to those for one solo tuba performer in an unaccompanied role. There are a number of important pieces of music that include experimental elements for tuba with electronic accompaniment, tuba with live electronics, solo tuba performer with other instrument (or instruments) also played

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<sup>13</sup> Vaclav, Hoza. *Schule für Tuba in F und in B*. Prague: Editio Supraphon, 1983.

by the tuba performer, tuba with a multiple variety of chamber ensembles, as well as a myriad of other settings. In order to address music that is applicable to the highest number of tuba performers, students, and teachers, I decided to limit my scope to the unaccompanied solo tuba repertoire.

This paper contains five major sections. The first section presents a brief history of the tuba, including its predecessors. The next section will contain a summary of “experimental” tuba repertoire, based on the definitions of “experimental” put forth in the DMA dissertation by David Randolph. In the following section, I will introduce three pieces that cross over from the “experimental” realm into the realm of standard tuba repertoire. This section will discuss *Encounters II for Tuba Alone* by William Kraft, *Capriccio for Solo Tuba* by Krzysztof Penderecki and, *Midnight Realities* by Morgan Powell. The fourth section will introduce a brief parallel case study of the saxophone and the progression of the saxophone in regards to experimental repertoire and performance. Finally, I will include a summarizing section, including a path forward for the tuba in regards to experimental performance and technique.

This paper also features the following appendices: copyright permissions and related communications, a list of other experimental works for solo tuba, a select discography of works discussed in this document, a list of some performers who currently exemplify some of the more experimental facets that I discuss in this document, and a short summary of a few areas of future research that presented themselves during the course of my research.

## A BRIEF HISTORY OF THE TUBA, ITS PREDECESSORS AND ITS REPERTOIRE

Before beginning any discussion of the experimental side of the tuba and its repertoire, it is important to first illuminate the history of the tuba. Additionally, identifying important milestones within the tuba repertoire is necessary. A discussion of the two separate trajectories (the instrument's history and its literature), will allow a deeper understanding of the experimental repertoire while identifying important dates and developments in the tuba's history. The tuba, despite having been invented in the early part of the 19<sup>th</sup> Century, did not have any serious literature written for it until the early part of the 20<sup>th</sup> Century. This means that for the better part of 100 years, the tuba's main role was an accompanimental one in the band and orchestra.

A general trajectory of orchestral instrument development seems to be the expansion of ranges and movement towards a more homogenous 'family' of instruments. The brass family of instruments is no different. In fact, they were the last of the families to gain a true homogenous sound throughout the various registers. In terms of expanding range, the strings had a complete family of instruments with the double bass serving as the contrabass voice and the violins capable of playing as high as anyone desired. The woodwinds enjoyed instruments on both ends of the register spectrum with the addition of the piccolo (mentioned as early as 1740)<sup>14</sup> and the contrabassoon having been in existence in one form or

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<sup>14</sup> Jeremy Montagu, "Flute." *Grove Music Online. Oxford Music Online*. Oxford University Press, accessed January 31, 2013, <<http://www.oxfordmusiconline.com/subscriber/article/grove/music/40569>>.



another since the early 16<sup>th</sup> century.<sup>15</sup> The clarinet family also gained new additions during the 18<sup>th</sup> and 19<sup>th</sup> centuries. Around the same time the tuba was invented, an additional woodwind instrument, the saxophone, was invented. The saxophone was unique because it had a complete family immediately, from the sopranino all the way to the bass. The brass family was the only one without a true bass voice. This void was filled with the creation of the tuba and its ancestral instruments.

The earliest predecessors of the tuba can be traced back to the early history of musical instruments in the form of lip-vibrated aerophones. Conch shells were used as a means of communication across distance by early humans, and are an early example of a lip-vibrated wind instrument. Instruments of similar purpose were later fashioned out of bone and metal. In order to gain more possibilities of notes within the harmonic series, holes were added to the lengths of bone or metal tubing. These holes eventually gave way to a keyed system (as an example, the keyed trumpet) that allowed these finger holes to be placed at more acoustically advantageous positions within the length of tubing. An interesting feature of this new technology was a journey to the lower notes on the tonal spectrum.

In the low-brass family, vented and key-operated instruments, like the serpent and the ophicleide, played the role of bass voice. These instruments afforded notes to be played chromatically, rather than being limited to the harmonic series. The serpent, first invented in about 1590 by Edme Guillaume,<sup>16</sup> was typically

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<sup>15</sup> William Waterhouse. "Bassoon." *Grove Music Online. Oxford Music Online*. Oxford University Press, accessed January 31, 2013, <<http://www.oxfordmusiconline.com/subscriber/article/grove/music/02276>>.

<sup>16</sup> Reginald Morley-Pegge, et al. "Serpent." *Grove Music Online. Oxford Music Online*. Oxford University Press, accessed January 31, 2013, <<http://www.oxfordmusiconline.com/subscriber/article/grove/music/25473>>.

constructed of wood, with preferred species being walnut, maple, and others related to the apple and pear, with six finger holes.<sup>17</sup>

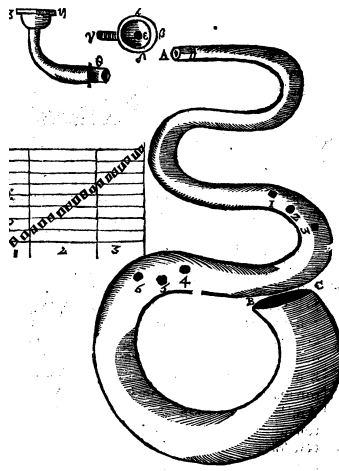


Figure 1. Serpent<sup>18</sup>

The role of the serpent was to accompany the male voice part in the Catholic mass. While the timbre of the serpent may have proven ideal for providing a small boost to the male voice in a sacred setting, it was not enjoyed by all. Hector Berlioz wrote about the serpent in his mid-Romantic treatise on modern instrumentation and orchestration when he said,

The fundamentally barbarous sound of this instrument would have been much more at home in the bloodthirsty rituals of the Druids than in those of the Catholic church, where it is always in evidence, a monstrous monument to the stupidity, tastelessness and clack of feeling which have guided the functions of music at divine service in our churches since the time immemorial. An exception must be made for occasions when the serpent is used to double the awesome *Dies Iræ* plainchant at Requiem mass. Its cold, horrible bawling is doubtless appropriate there. It even seems to assume a kind of poetic misery as accompaniment to those words embodying all the horror of death and the vengeance of a jealous God. This implies too that it would be well suited to secular music concerned with the expression of such ideas – but only for that. Besides, it blends poorly with other orchestral and

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<sup>17</sup> Clifford Bevan, *The Tuba Family*, 2nd edition. Winchester, U.K., Piccolo Press, 2000, 66.

<sup>18</sup> Marin Mersenne. *Harmonie Universelle*. Paris, Pierre Ballard, 1637. Accessed via IMSLP, April 9, 2013, <[http://imslp.org/wiki/Harmonie\\_universelle\\_\(Mersenne,\\_Marin\)](http://imslp.org/wiki/Harmonie_universelle_(Mersenne,_Marin))>.

vocal timbres. As the bass line to a wind section the bass tuba and even the ophicleide are much to be preferred.<sup>19</sup>

Perhaps the invective hurled at the serpent by composers and audiences alike ensured a relatively short orchestral life. Opposite the serpent, or sometimes, even, alongside, the ophicleide, patented in 1821 by French instrument maker Jean Hilaire Asté, was the other instrument attempting to fill the role of bass voice in the brass section.

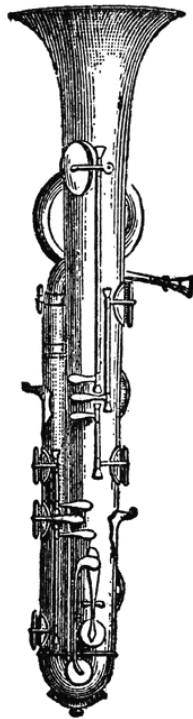


Figure 2. Ophicleide<sup>20</sup>

The ophicleide was shaped more or less like a modern day bassoon with a crook leading into the main body of the instrument itself. Most ophicleides were conical, constructed of brass, sometimes with a silver finish, and had keys covering all the

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<sup>19</sup> Hugh Macdonald, *Berlioz's Orchestration Treatise: A Translation and Commentary* (Cambridge: Cambridge University Press, 2002), 242.

<sup>20</sup> Educational Technology Clearinghouse. "Ophicleide." Florida Center for Instructional Technology, University of South Florida, GIF, accessed February 7, 2013, <[http://etc.usf.edu/clipart/15600/15676/ophicleide\\_15676.htm](http://etc.usf.edu/clipart/15600/15676/ophicleide_15676.htm)>.

holes in the tubing.<sup>21</sup> The range of the ophicleide consisted of about three octaves, depending on the abilities of the player. The note changing method for the ophicleide was to uncover the holes to descend in pitch. This resulted in more of the tubing being open as the instrument played lower. Issues related to breath control were of paramount concern to ophicleide performers.<sup>22</sup>

In 1835, the Prussian instrument makers F.W. Wieprecht and J.G. Moritz make the first mention of what would become known today as the tuba.<sup>23</sup> Prussian Patent no. 9121, dated September 12, 1835, (paraphrased here) states that the new bass tuba, among other assertions, is the lowest musical instrument, save the organ, supersedes the string bass in both wind band and military band, and has a range that is larger than any other brass or woodwind instrument.<sup>24</sup> Before Wieprecht and Moritz could patent their bass tuba, other technological advancements and the invention of the valve were needed in order for the bass tuba to replace the serpent and ophicleide.

Stepping back in history, Heinrich Stölzel is responsible for the first patent of one of the more major technological advances in brass instrument construction. In 1814, Stölzel, a horn player in the orchestra of Prince von Pless,<sup>25</sup> described

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<sup>21</sup> Bevan, *The Tuba Family*, 142.

<sup>22</sup> Reginald Morley-Pegge, et al. "Serpent." *Grove Music Online*. Oxford Music Online. Oxford University Press, accessed March 22, 2013, <<http://www.oxfordmusiconline.com/subscriber/article/grove/music/25473>>.

<sup>23</sup> Jeremy Montagu, "tuba," in *The Oxford Companion to Music*. Oxford Music Online. Oxford University Press, accessed January 31, 2013, <<http://www.oxfordmusiconline.com/subscriber/article/opr/t114/e6968>>.

<sup>24</sup> Bevan, *The Tuba Family*, 513.

<sup>25</sup> Anthony Baines, *Brass Instruments: Their Development and History* (New York: Dover Publications, Inc., 1993), 206-07.

what would become known as the *Stoelzel valve*.<sup>26</sup> These valves were depressed by the performers fingers, and returned to position by means of an internal spring. This was the first viable valve system that allowed instrumental performers to truly attain the entire chromatic range of a brass instrument. Stoelzel's system required the air stream to move at a right angle immediately upon exit from the valve itself. This sharp angle made it very difficult for performers. The sharp bend in the tubing makes the airstream undergo a substantial change in backpressure. This makes the response, when changing notes, very inconsistent for the instrumentalist.

Friedrich Blühmel, a member of a Silesian mining company band,<sup>27</sup> created a different take on the valve system in 1828. He applied for a patent for this system, but was unable to secure one.<sup>28</sup> Blühmel's system, (the 'conical turning-canister valve')<sup>29</sup> is known today as rotary valves. These valves re-route the air stream by rotating on a central axis. These valves corrected the issue of consistency that was experienced by the earlier *Stoelzel Valve* by eliminating some of the sharp turns in the valve tubing.

In 1833, Wieprecht applied for a copyright for what he called the *Berliner-pumpe* valve. This valve combined the mechanics of the *Stoelzel Valve* system with the tonal consistency that Blühmel's rotary valves produced. The invention and development of this valve system is directly connected to Wieprecht's development of the chromatic bass tuba.

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<sup>26</sup> Bevan, *The Tuba Family*, 182.

<sup>27</sup> Ibid., 182.

<sup>28</sup> Baines, *Brass Instruments: Their Development and History*, 211.

<sup>29</sup> Ibid., 211.



Figure 3. Wieprecht/Moritz Bass Tuba<sup>30</sup>

With the invention of the chromatic bass tuba the range of the brass family was complete. The serpent and the ophicleide provided some recompense in the bass voice role, but their technical inadequacies proved to be insurmountable for most composers and performers.

#### Historical Repertoire for the Tuba

The technological history of the tuba was largely completed by the time music for tuba in a solo setting began to be composed. The earliest music for solo tuba can be traced back to the late 19<sup>th</sup> century, with an arrangement for solo tuba of T.H. Rollinson's *Rocked in the Cradle of the Deep* dated in 1881.<sup>31</sup> The *Sonata for Bass Tuba and Piano* (1955) by Paul Hindemith is widely regarded as the earliest piece of serious solo music for the tuba.<sup>32</sup> This overlooks several other significant works for solo tuba that pre-date the Hindemith *Sonata*. Zoltán Gárdonyi's *Sonata*

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<sup>30</sup> Photo of Moritz Tuba, JPEG, Accessed April 9, 2013.  
<<http://www2.mackey.miyazaki.miyazaki.jp/MusicRoom/VienneseTuba/default.html>>.

<sup>31</sup> R. Winston Morris, *Tuba Music Guide* (Evanston: The Instrumentalist Co., 1973), page v.

<sup>32</sup> Bevan, *The Tuba Family*, 437.

*for Tuba and Piano* is credited as being written from 1948-1951.<sup>33</sup> Approximately ten years earlier, in 1939, Alexander Tcherepnin wrote his *Andante for Tuba or Bass Trombone*.<sup>34</sup> Despite the existence of the Gárdonyi and Tcherepnin examples, Hindemith's *Sonata* remains widely regarded as the first piece of its kind for our instrument.

Ralph Vaughan Williams is widely acknowledged as having composed the first concerto for tuba. This is not actually the case, as *Concerto no. 1* by Alexei Lebedev was published in 1947.<sup>35</sup> The *Concerto for Tuba and Orchestra* by Ralph Vaughan Williams remains commonly considered the first concerto composed for the solo tuba, despite having a composition date of 1954, seven years after the publication of the Lebedev *Concerto no. 1*. The first public performance of the *Concerto* by R. Vaughan Williams took place in London, in the year of its completion, by the London Symphony Orchestra. The featured solo tubist, Philip Catalinet, gained a certain sense of celebrity in London's musical circles following his performance of Vaughan Williams' *Concerto*.<sup>36</sup>

The unaccompanied tuba literature cannot be traced back as far as accompanied tuba literature. The earliest published unaccompanied piece for tuba dates to 1963, nearly ten years after the first public performance of the *Concerto* by Vaughan Williams. This piece was commissioned by the great tuba performer, and

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<sup>33</sup> Zoltan Gardonyi. *Sonata for Tuba and Piano* 1948/1951. Magdeburg: Edition Walhall, Verlag Franz Biersack, 1998. Online, <[http://www.edition-walhall.de/englisch/index.html?brass\\_instruments\\_tuba.htm](http://www.edition-walhall.de/englisch/index.html?brass_instruments_tuba.htm)>.

<sup>34</sup> Lily Chou. "Alexander Tcherepnin: A Generic Catalog of Works. Accessed January 30, 2013. <[http://www.tcherepnin.com/alex/comps\\_alex.htm#woodwinds](http://www.tcherepnin.com/alex/comps_alex.htm#woodwinds)>.

<sup>35</sup> Doug Yeo, "Complete Program Notes for *Two of a Mind*." (Liner notes, online edition,) CD, Egon Digital Recordings, CD SFZ107, 2002.

<sup>36</sup> Bevan, *The Tuba Family*, 437.

advocate, Harvey Phillips and is called *Serenade No. 12* by Vincent Persichetti.<sup>37</sup>

Other unaccompanied pieces from the early days of the tuba repertoire include:

Walter Hartley's *Suite for Unaccompanied Tuba*, written in 1964;<sup>38</sup> Walter Sear's *Sonata*, of 1966;<sup>39</sup> and, David Reck's *Five Studies*, written in 1968.<sup>40</sup> This last piece is of particular importance because of the notational style that was used. This will be discussed in more detail later in this document.

In addition to the simple phenomenon of repertoire being written for solo tuba, the development of the instrument's repertoire has developed to find itself in a variety of ensemble and chamber settings. As a point of reference regarding the modern performer, I have performed in all of the following settings: wind ensemble, symphony orchestra, brass choir, jazz big band, jazz nonet, jazz small combo, brass quintet, tuba with piano accompaniment, tuba with wind ensemble accompaniment, tuba with cello, tuba with harpsichord, tuba with organ, tuba with electronics, tuba with prerecorded accompaniment, tuba with bass clarinet, tuba with flute and bass clarinet, tuba with violin and piano, tuba quartet, tuba-euphonium ensemble, and tuba in an unaccompanied setting. By referencing my experiences I mean to illustrate that the consummate tuba performer must be flexible and be able to adapt to the particular demands of the repertoire that is being performed.

The accompanied repertoire for the solo tuba can be traced back as early as 1881, with the first pieces of 'serious' repertoire being written in 1939 and 1948.

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<sup>37</sup> Gary Bird, *Program Notes for the Solo Tuba* (Bloomington: Indiana University Press, 1994), 70.

<sup>38</sup> R. Winston Morris and Daniel Perantoni, eds., *Guide to the Tuba Repertoire: The New Tuba Source Book* (Bloomington: Indiana University Press, 2006), 230.

<sup>39</sup> *Ibid.*, 241.

<sup>40</sup> *Ibid.*, 240.



Paul Hindemith wrote the first sonata and Ralph Vaughan Williams the first concerto in 1954. These were the first pieces for the tuba in a solo setting by major composers. In the 1960s, the first unaccompanied pieces were written. These include pieces by Vincent Persichetti (1963), Walter Hartley (1964), Walter Sear (1966), and David Reck (1968). The last of these, by David Reck, is written with a fairly experimental notational approach. Since its composition in 1968, it has not enjoyed a large number of performances.

Forty-six years passed from the invention of the tuba in 1835 to the earliest known composition (1881) to feature the instrument in a solo role. It was not until 1939 that a serious piece of music was written for the solo tuba. Before 1939, the tuba typically performed transcriptions of works for other instruments or portrayed the role of elephant or other large land based quadruped. This means that there was a gap of 104 years before the tuba had any serious solo repertoire written for it. The unaccompanied literature began even later, with the first piece being published in 1963. The gap between invention and this composition is 128 years. With a foothold in the ensemble and solo repertoire, the next logical direction was one towards experimentation and experimental performance techniques.

## EXPERIMENTAL TECHNIQUES AND PERFORMANCE FREQUENCY DATA

As with any type of experimentation, the tuba “experiment” has its repertoire as the result. In this document, the criteria with which I define which experimental compositions are included in my study is based largely upon the dissertation completed in 1976 by Dr. David Mark Randolph. While some more recent scholarly documents discuss experimental techniques as they apply to specific pieces of music, David Randolph’s DMA dissertation is the only document of major scope that speaks on general experimental tuba performance. Dr. Randolph graduated with his Doctor of Musical Arts degree from the Eastman School of Music in 1978.<sup>41</sup> His other degrees were a Bachelor’s Degree in Music Education (1967) from West Virginia University, as well as a Master of Music Degree (1972) from the Eastman School of Music.<sup>42</sup> Dr. Randolph also held a position in the American Wind Symphony Orchestra in 1966 and a post in the United States Army Band from 1968-1971.<sup>43</sup>

Dr. Randolph died as a result of complications of an operation related to treatment of leukemia in January of 2000. He was Assistant Professor of Music at the University of Georgia, tubist with the Georgia Brass Quintet, consultant on *The Tuba Source Book* and, at one time or another in his career, editor of the new materials section of the *ITEA Journal*, National Brass Chairman for Music Teachers

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<sup>41</sup> R. Winston Morris and Edward Goldstein, eds. *The Tuba Source Book*. (Bloomington: Indiana University Press, 1996), 501.

<sup>42</sup> Ibid., 501.

<sup>43</sup> Ibid., 501.

National Association, wrote numerous articles for various journals, and the performer on two solo CD recordings.<sup>44</sup>

Dr. Randolph's legacy is one of thoughtfulness and intelligence. His promotion of the tuba is in part responsible for my being introduced to solo tuba literature. His commitment to promoting the tuba and new music involving the tuba is evident in his role as editor of new materials for the *ITEA Journal*, as well as in his writing. Aside from the numerous articles he wrote for a variety of professional journals and magazines, his dissertation is entirely dedicated to elements of experimentalism and how they are used in a number of pieces written for the tuba. As an end result of his document, he commissioned a new work for the tuba that is heavily dependent on the experimental elements he discusses in his dissertation, as well as some that he does not discuss.

As previously noted, Dr. Randolph's dissertation is one of the few resources that deals exclusively with experimental tuba performance technique and experimental music for the tuba. The experimental techniques that Dr. Randolph included in his dissertation are, in part, what I am using as a base for my own definition of experimental. It has been 36 years since his document was completed and a great deal has changed in the world of music, more specifically, in the world of experimental music and experimental performance. What has not changed is the existence of extended techniques for the tuba, and how those techniques are notated. There will certainly be variation from one composer to another or one

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<sup>44</sup> The *International Tuba Euphonium Association (ITEA)* was previously known as the *Tubist's Brotherhood Universal Association (TUBA)*. The journal followed the name change and is currently known as the *ITEA Journal*. In this document, I will refer to it as the *ITEA Journal* throughout.

music printer/publisher to another. At this point it is necessary to show some examples of what experimental techniques are and how they are notated. None of these examples are exclusive to the tuba. In fact, most are probably used throughout the instrumental repertoire. More precise examples of these notations (as well as others) can be found in resources like *Music Notation: A Manual of Modern Practice* or *20<sup>th</sup> Century Microtonal Notation*, both by Gardner Read.

The most common extended techniques that are found in the tuba repertoire, based on my own 15 years of performance experience are not limited to but include the following examples:

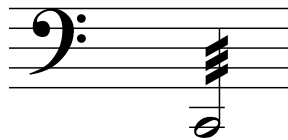


Figure 4. Flutter tongue

This notation is an indication for a performer to create a constant articulation for the duration of the note. To differentiate between this and the tremolo, which uses the same notation, the composer will typically include the German *flutterzunge* (or an abbreviation) to indicate the intended flutter tongue technique. The most common way to create this effect is by rolling the tongue as would be done when pronouncing a 'double r' in the Spanish language and simultaneously playing the note. It can also be accomplished with the back of the tongue or by growling in the back of the throat.



Figure 5. Changes in tempo

This notation is used to indicate increases or decreases in articulation or tempo. The change may cover a series of different pitches or, more frequently, occur on the same pitch.

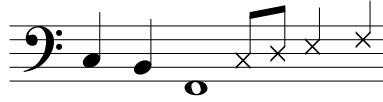


Figure 6. Multiphonics<sup>45</sup>

In this example, the C, B, and F are played normally. The C, D, E, F notated with an “x” as the note head should be sung through the instrument, while holding the normally played F.



Figure 7. Extreme range changes

Even for a skilled tuba performer a change in register like the one in this example is a challenge. Changes like this, or even larger, have become more and more prevalent in tuba repertoire.

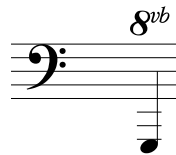


Figure 8. Extreme pedal register

Notes that are technically below an instrument’s fundamental pitch are somewhat common in orchestral and band repertoire. These notes are even more frequent in chamber music compositions, especially in those for tuba/euphonium quartet.



Figure 9. Glissando

This is an example of how a typical glissando is notated in tuba literature. There are several variations on this notation. Sometimes the line is not a straight

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<sup>45</sup> The term “multiphonics” means different things to different instruments. In the woodwind family two notes are physically created when multiphonics are employed. Brass instruments simulate this by singing and playing at the same time.

line but, rather, a squiggly one. This notation may cover a larger interval, or a smaller one.



Figure 10. Half valve

For this technique, the performer is to depress the valve combination for a given note, here, an E, half way down when the note is indicated with an “x” above it. The standard, open valve position is used when an “o” is above the note. This technique creates a stifled, compressed sounding version of the tuba’s sound. Sometimes it has pitch, sometimes the pitch is difficult to discern and it is more of a sound event.

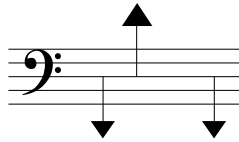


Figure 11. As high/low as possible

This directive instructs the performer to play as high or low as possible. The degree of extreme may or may not be relative, depending on the placement of the arrowheads within or above/below the lines of the score by the composer.

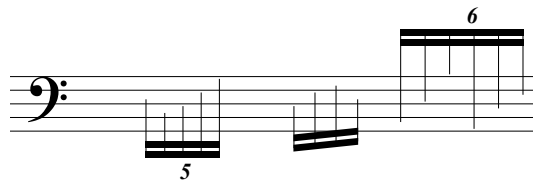


Figure 12. Precise rhythm, indeterminate pitch

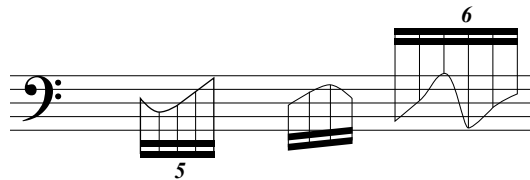


Figure 13. Alternate notation of precise rhythm, indeterminate pitch

Here, the performer is typically directed to make the pitches sound as close to where the ends of the stems are, while following the rhythm precisely. The aim is towards a gestural sound event, rather than a precise melodic and rhythmic event. A performer would most likely interpret these two versions differently. The first would contain an articulated rhythm for each of the stems while the second would most likely be slurred.

The *ITEA Journal* provides recital repertoire performance information as a service to members of the association. This service was in print form of the quarterly *ITEA Journal* until 2011. Beginning in 2011 an online automatic submission process replaced the print version of this service. This resource served as a reference for other tuba and euphonium players. As a young student I found the information to be useful and intriguing as it allowed me to see what other students my age were performing, as well as being a source of pride when I saw my own performance listed. Despite having access to the physical program submissions from 1972-2011, I decided to use a 30-year block, from 1980-2009, as my sample pool. To do this work I consulted the submitted programs in each physical edition of the *ITEA Journal* and looked for performances of works that fit the criteria listed below. I kept a tally for each journal and the resulting information is based on that tally. It should be mentioned that this is by no means an exhaustive or comprehensive resource for information of this kind. It is, simply, the only resource that exists for this specific information. There are performance records kept by ASCAP and other professional publishing and licensing companies, but they are not tuba specific and, if a composer is not a member of that particular organization, records will not be kept for that composer. In addition, information from some of these companies is only available at a cost to those seeking the information. For

these reasons, the *ITEA Journals* are the only resource utilized to compile this information.

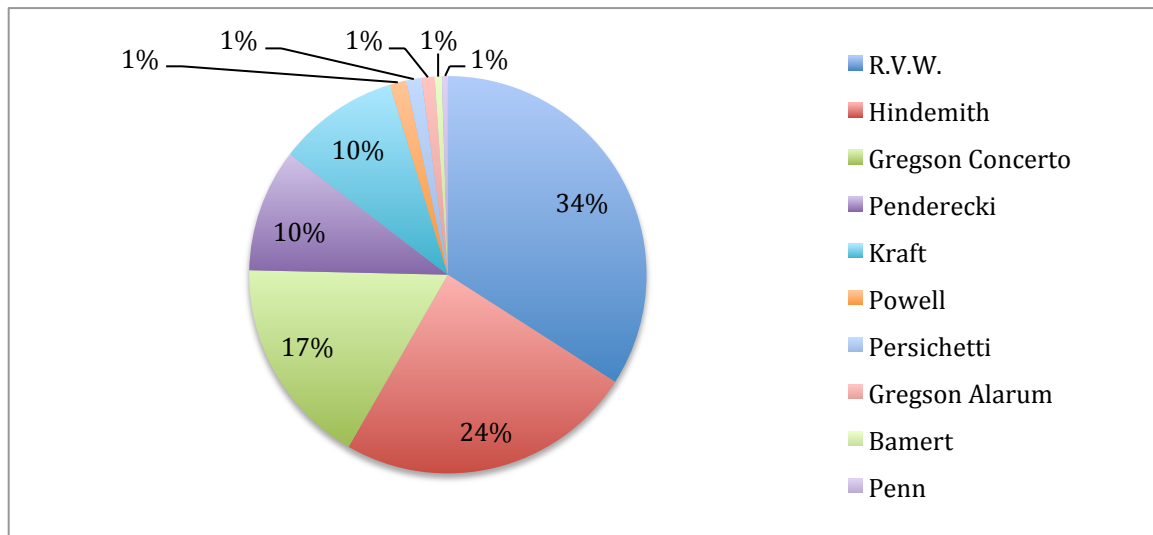
The experimental pieces of music included in my numerical data were chosen based on the following criteria:

- 1) the piece was for solo, unaccompanied tuba
- 2) the piece was a major contribution to the tuba repertoire at the time of its composition, and retains that value today
- 3) the piece contains experimental elements (primarily non-standard notation) in the Randolph dissertation
- 4) the piece had 5 or more performances between the periods of 1980 and 2009

The works that met the preceding criteria are:

<i>Capriccio for Solo Tuba</i>	Krzysztof Penderecki
<i>Encounters II</i>	William Kraft
<i>Midnight Realities</i>	Morgan Powell
<i>Parable XXII</i>	Vincent Persichetti
<i>Alarum</i>	Edward Gregson
<i>Inconsequenza</i>	Matthias Bamert
<i>Three Essays</i>	William Penn

Table 1. Percentage of Performance Frequency

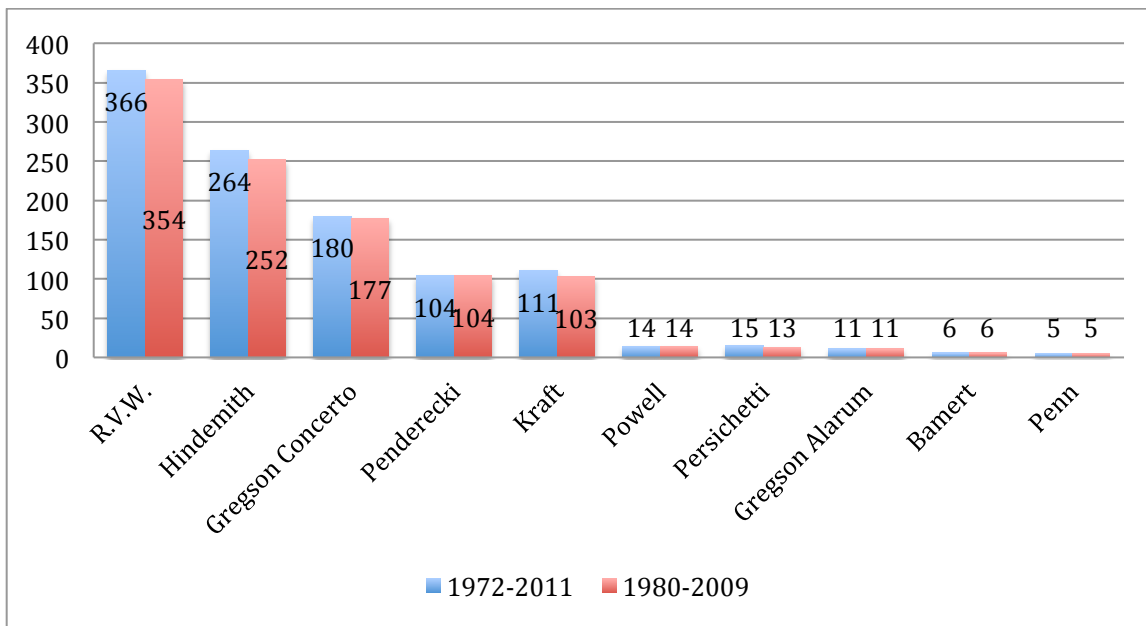




The three non-experimental works I chose to include in my discussion are some of the most frequently performed works for the solo tuba. These include the aforementioned *Sonata for Tuba and Piano* by Paul Hindemith as well as the *Concerto for Tuba* by Ralph Vaughan Williams. An addition to these two early works for solo tuba is the *Concerto for Tuba* by Edward Gregson. Altogether, these three works account for over 75% of the performances that were counted during this 30-year period, as shown in Table 1. Of 1039 total performances, 783 belonged to these three compositions. This leaves 256 performances for the seven experimental pieces included in this study. Of those 256 performances, just under 81% of the performances were of the Penderecki and Kraft, leaving a combined total of 49 performances for the remaining five compositions.

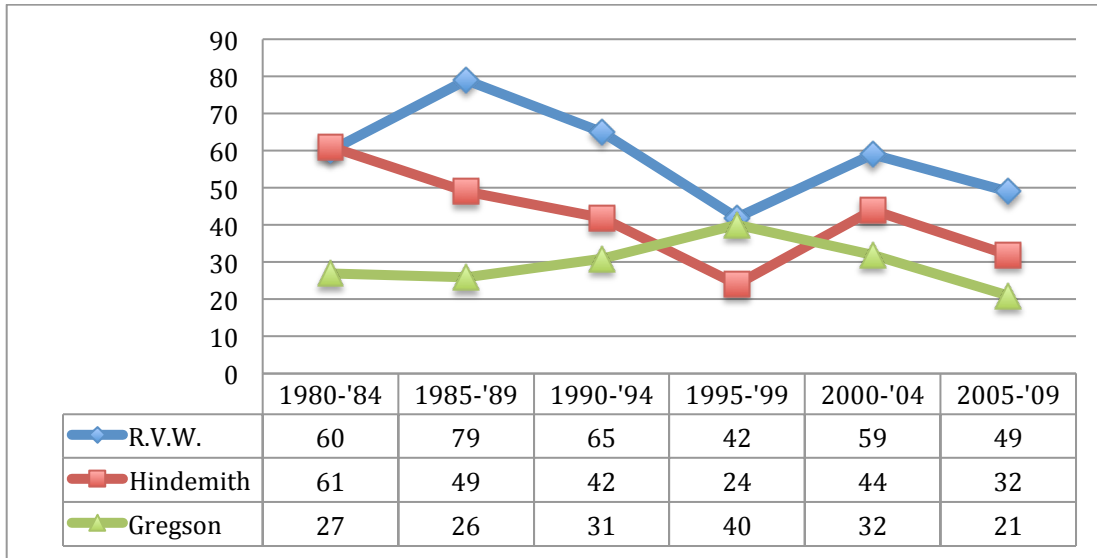
I tabulated a total number of performances, beginning in 1972, ending in 2011. By only including 1980-2009, the 1039 performances that I am including do not include the performances occurring from 1972-1979 and from 2010-2011. This resulted in an expected decline in performance numbers in all three of the non-experimental pieces, as shown in Table 2. Of the experimental pieces, the Gregson *Alarum*, Penderecki, Bamert, and Penn were all composed after 1980 so their numbers were not impacted by the cutoff date whatsoever. The Kraft and the Persichetti were the only experimental works to experience a decline in performance number due to the narrowing of focus. The performance frequency decline for the Persichetti actually made it the 4<sup>th</sup> most frequently performed experimental work in this study and, because I am only discussing the top three experimental works, pushed it out of eligibility for discussion in this document.

Table 2. Change in performance frequency with narrowed scope



Over the course of the 30-year span, I have the numbers for each piece broken down into 5-year blocks. The following series of tables will illustrate the facts I am about to discuss. For the non-experimental pieces, table 3 shows the progression of each piece of music over the 30-year period. While all three pieces saw an overall decline in performance frequency, the Hindemith experienced the largest decline in the frequency of performance, falling from 61 in the first 5-year block to just 32 in the final 5-year block. The Vaughan Williams experienced the second most, declining from 60 to 49 over the 30-year span. The Gregson, having only been written 4 years prior to 1980, experience a spike of 40 performances in the 4<sup>th</sup> 5-year block before settling down to 21 performances in the final 5-year block. This is down just 6 performances from the initial reporting in 1980-'84. Please see Table 3 below for a graphic representing these performance numbers.

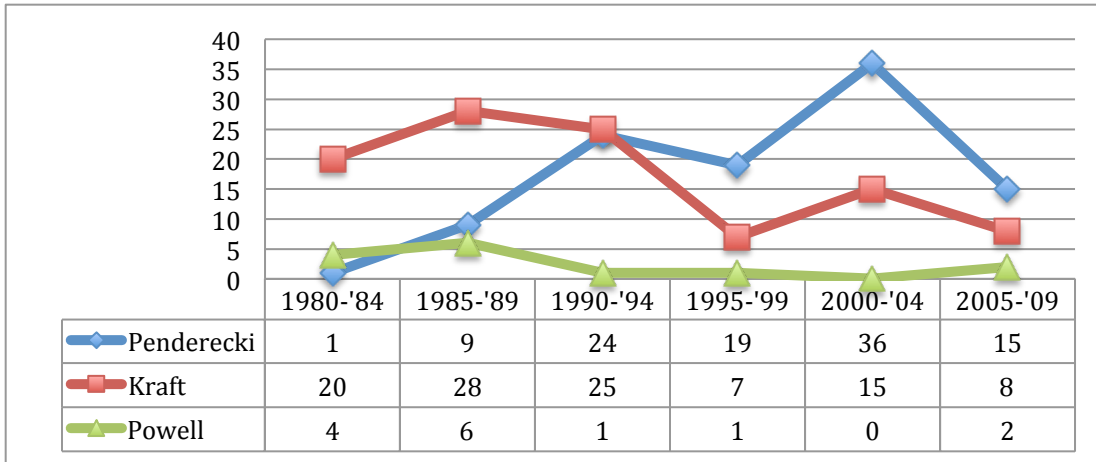
Table 3. Performance Frequency for non-experimental works



For the experimental works, I have split them into two separate graphics because of the disparity of performance frequency within the category. The Penderecki and Kraft experienced significantly higher performance frequency than the other four works combined. However, because I am including three works in my discussion, the information for the Morgan Powell will be included in the graphic (Table 4) alongside these two works. I will discuss this in more detail in the next section of the document.

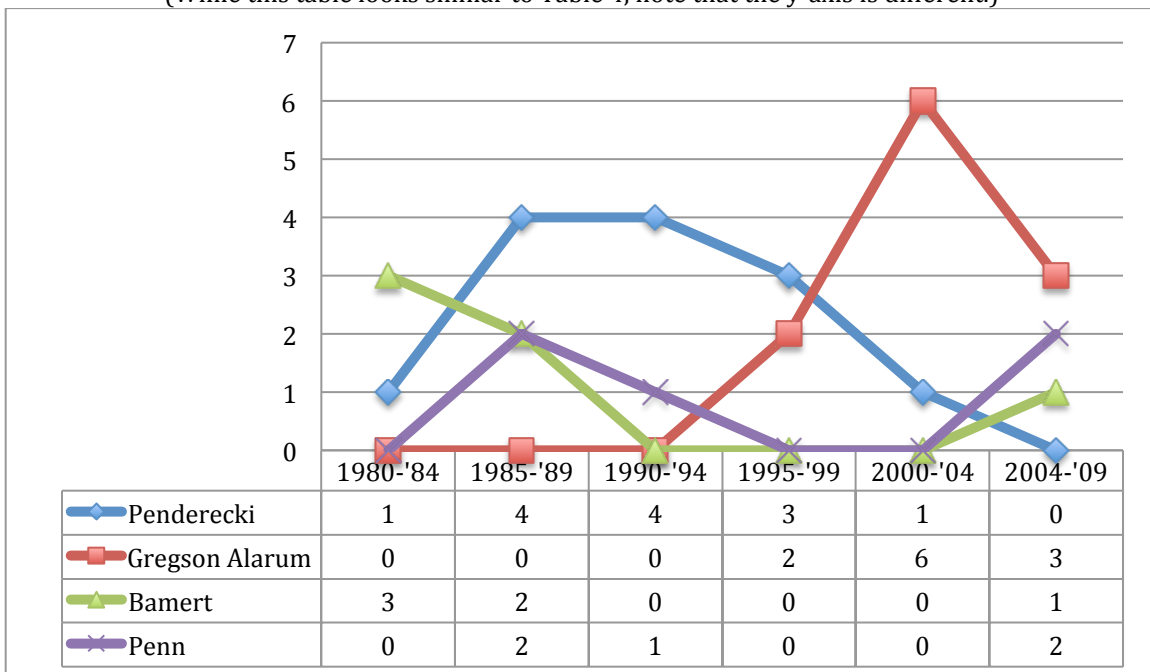
The remaining four experimental compositions, by Persichetti, Gregson, Bamert, and Penn, will be on their own graphic (Table 5) to illustrate how infrequently they were performed over the 30-year span. The total number of performances of these four compositions is a mere 35. Several of the 5-year blocks saw zero performances of some of these works. An exception should be made for Edward Gregson's *Alarum*. It was composed in 1992, and such, could not have any

Table 4. Performance Frequency for Top 3 Experimental Compositions



performances occur before the 3<sup>rd</sup> 5-year block. In 10 more years, if this same sort of study were duplicated, it is possible that *Alarum* could surpass both Persichetti's *Parable XXII* as well as Morgan Powell's *Midnight Realities* as the 3<sup>rd</sup> most performed experimental piece.

Table 5. Performance Frequency for Bottom 4 Experimental Works  
(While this table looks similar to Table 4, note that the y-axis is different.)



In an attempt to identify any trends within the performance frequency of these pieces over the 30-year span, I tabulated and graphed the percentage of change between each of the 5-year blocks. This information provided little insight, as no real trends were identifiable. Because the program submissions to the *ITEA Journal* are member submitted on an “as you wish” basis, the numerical data is heavily dependent on the extant information. The number of performances reported to the *ITEA Journal* is most likely different than the number of performances actually performed. It is also most likely that the overall frequency of performance, and the order in which I have placed the pieces based on that performance frequency would be approximately where it is now. I do not think that that additional, more precise information would change the outcome all that greatly. The pieces by Powell and Persichetti might switch places again. There may also be some newer pieces of music that have gained in popularity, but aren’t being submitted to the program section of the *ITEA Journal*.

## THE THREE MOST PERFORMED EXPERIMENTAL WORKS

As a result of the tally of performance frequency seen in the previous section from 1980-2009, there were three pieces of music for solo tuba performance that had the most performances. The three most frequently performed during the surveyed time period were: *Capriccio for Solo Tuba* by Krzysztof Penderecki, *Encounters II* by William Kraft and, *Midnight Realities* by Morgan Powell. In this section I will introduce each of these pieces and discuss them in a bit more detail. More specifically, I will discuss what in each piece categorizes it as experimental. I will also attempt to identify why each of these pieces has attained its particular amount of performance frequency.

The experimental aspects of each piece that I have chosen to highlight represent the unique parts of each piece that differentiate it from the other three. For example, I will not discuss multiphonics at length in Powell's *Midnight Realities* because it is discussed at length in describing Kraft's *Encounters II*. My goal with this section is to highlight the relevant, new experimental techniques that set these pieces apart from each other.

The most frequently performed piece was *Capriccio for Solo Tuba*, with 104 performances between 1980 and 2009. This piece of music is indicated to last about 6 minutes in performance. Of the recordings of this piece that I am familiar with, most last between 5 minutes 45 seconds and 7 minutes.<sup>46</sup>

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<sup>46</sup> Before I continue discussing the Penderecki I must alert my readers that as of the date of this writing (March 12, 2013) I have not gotten a response from Schott Music regarding my request for copyright permissions to reprint excerpts from the *Capriccio*. Because I do not have the appropriate permission from Schott, I will not be including any examples directly from the Penderecki. Instead, I will be referring back the representational figures of experimental notations earlier in this document. I will include the figure number, as well as the page number when referencing these figures.

The experimental nature of this piece is in several areas. There is not a preponderance of a specific type of experimental material. Penderecki chooses to spread out his experimentalism throughout the work. The interpretation of the piece is the area in which there is the most room for experimentalism on the part of the performer. There is little information given to the performer in the score. There are a few tempo indications, but even these are given in prose, with no numerical range following.

The score itself is written in a largely traditional style. Penderecki used a traditional five line score, with notes appearing as one would expect in any piece of music. There are a few sections of the piece that contain non-traditional types of notation. Towards the end of the second page a series of arrows pointing up and down indicate for the performer to play the highest or lowest note possible, while following the tempo, volume, and articulation markings that are indicated in the piece. An example of what this looks like is given in figure 11 on page 29.

Another example of non-traditional notation is present towards the end of the piece. Penderecki indicates for the performer to follow an approximate trajectory of notes by including stems for a specific rhythm, but using a wavy line to connect where the note heads would be. An example of what this would look like is given in figure 12 and 13 on page 29.

Since its composition in 1980, the Penderecki has come to be one of the more standard pieces in the unaccompanied tuba repertoire. The piece presents numerous challenges to the performer. Among the requirements for a technically sound performance of this piece are: finger dexterity and clarity when aligning

finger movement with tonguing speed in faster sections, an ability to navigate in and out of the extreme registers of the instrument with relative ease and, a clear vision for the piece itself. Without a clear blueprint, interpretation is one of the most challenging aspects of the piece.<sup>47</sup>

The second most frequently performed piece from 1980 to 2009 was *Encounters II* by William Kraft, with 103 performances. *Encounters II* had several performances that fell outside of the 30-year block that caused it to drop from most frequent to second most frequent. This piece, like the Penderecki, is between five minutes thirty seconds and seven minutes long, depending on the interpretation of the performer.

*Encounters II* was written around 1967 for Roger Bobo, who was Principal Tuba of the Los Angeles Philharmonic at the time. Because of the time of its composition, this piece enjoys a long history of performance. Adding to the mystique of this incredibly challenging work, it was included as a solo piece for the Principal Tuba audition held by the New York Philharmonic in 1979.<sup>48</sup> Despite being outside the range of my 30-year scope, I did not see a noticeable increase in public performance of *Encounters II* around this time.

As for the experimental elements in *Encounters II*, the notation is largely traditional (outside of the central multiphonic section). Compositionally, the piece

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<sup>47</sup> Several notable recordings of the *Capriccio* have been made. Information about these recordings is located in the Select Discography located in the appendix of this document.

<sup>48</sup> Kraft's *Encounters II* enjoys a continuing reputation as a landmark piece in the tuba repertoire that began as soon as it was composed. This reputation began with Roger Bobo's recording of the piece, which was first released in 1968. In 1979, the New York Philharmonic, while under the musical direction of Pierre Boulez, selected the piece to be on the list for their principal tuba audition. These are only two examples, but fitting ones, that have contributed to the mystique that this work has in the tuba community.



is broken into sections using double bar lines. Each section concludes with a fermata, indicating to the performer to hold before moving on to the next section. *Encounters II* also utilizes a large range of dynamics, from *fff* to *pppp*. In addition, the range requirements are to the extreme. This was certainly the first piece to utilize the entire physical range of the instrument, as opposed to only using the practical range. The practical range is generally regarded as Bb1 through f. The entire practical range of the instrument, as used in *Encounters II* is from C<sub>2</sub> through bb'.<sup>49</sup>

Perhaps most notably, this piece utilizes a large amount of multiphonics. As far as included experimental techniques, that is the largest component in the Kraft. An entire central section pits normal tuba playing against the multiphonic effect. In this instance, it creates a type of counterpoint between the two independent voices. Examples of the various ways that Kraft uses multiphonics are included in the following figures.

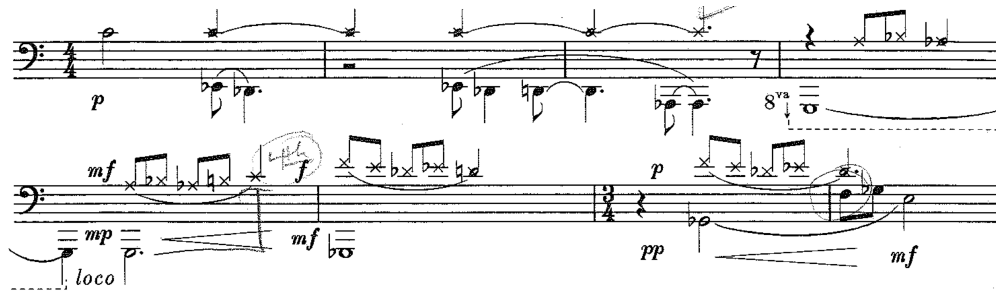


Figure 14. *Encounters II* – Multiphonic notation example #1

All musical excerpts are used with the permission of the publisher: [www.editions-bim.com](http://www.editions-bim.com)

<sup>49</sup> Range notation follows the model outlined in R. Winston Morris and Daniel Perantoni, eds., *Guide to the Tuba Repertoire: The New Tuba Source Book* (Bloomington: Indiana University Press, 2006), xv.

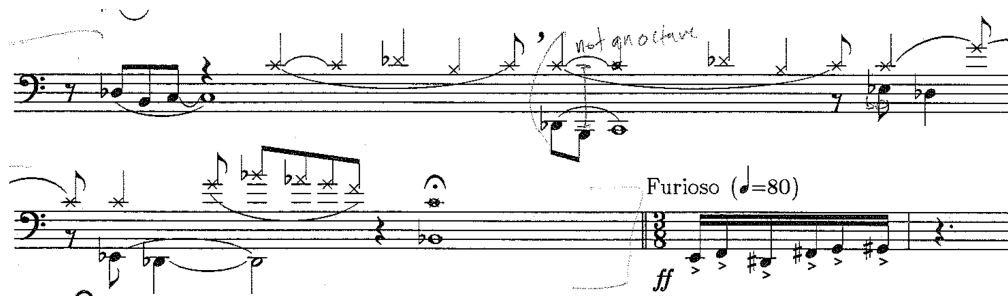


Figure 15. *Encounters II* – Multiphonic notation example #2

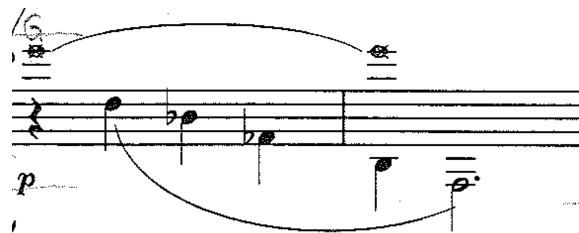


Figure 16. *Encounters II* – Multiphonic notation example #3  
(notated here in bass clef)

Kraft also employs a half-valve technique that changes the timbre of sound, while attempting to maintain the same pitch on the tuba. This timbre change audibly changes the pitch, but by only a small amount. To do this, he uses a series of “X’s” and “O’s” above the notes.<sup>50,51</sup>



Figure 17: *Encounters II* – Half valve notation  
(notated here in bass clef)

All musical excerpts are used with the permission of the publisher: [www.editions-bim.com](http://www.editions-bim.com)

<sup>50</sup> In the first edition of this piece, there is no indication to the performer as to what the X and O markings above the notes mean.

<sup>51</sup> Several notable recordings of *Encounters II* have been made. Some of the more prominent performances are by Roger Bobo, Alan Baer, Oystein Baadsvik. Information about these recordings is located in the Select Discography located in the appendix of this document.

*Midnight Realities* by Morgan Powell is the third piece I am including in my discussion. Daniel Perantoni, who currently teaches at Indiana University, commissioned Powell's addition to the tuba repertoire. Even though Perantoni is seen as the "only" performer of the piece, I know that several other performances took place. In my opinion, these performances, while not reported to the *ITEA Journal*, justify this piece's position above the Persichetti *Parable XXII*. *Midnight Realities* is the shortest of the pieces in my discussion, lasting only about 5 minutes in a typical performance. Of all three pieces included in this discussion, *Midnight Realities* is the least traditional. The piece represents "those quiet isolated hours of the night when ideas suddenly come to consciousness in intelligent forms."<sup>52</sup> Powell calls for the performer to sing through the instrument, click the valves, use multiphonics, and even employs the use of a mute.

The notation is a mixture of traditional, multiphonics-type notation, and various non-traditional notations. Powell includes an explanation for some of the less common non-traditional notations that he uses in the piece. Some of the non-traditional techniques I'd like to highlight include the following:

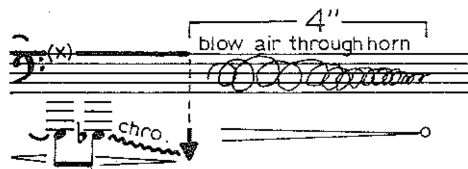


Figure 18. *Midnight Realities* – multiphonic/blow air through horn

All musical excerpts are used with the permission of the publisher: [www.editions-bim.com](http://www.editions-bim.com)

<sup>52</sup> Powell, Morgan. "Program Note." As quoted in Bird, Gary, ed. *Program Notes for the Solo Tuba*. Bloomington: Indiana University Press, 1994.

In this section, the performer is required to sing an A, which is notated by the “X” at the top of the staff. While holding the A, the performer is playing the indicated notes (here an E and Eb) and continuing to descend chromatically until the lowest note possible is reached. Then, the performer is to continue blowing into the instrument creating a blustery wind sound, while fading to nothing.

Not indicated in this excerpt is that the tuba should play this muted. The indication to mute the tuba comes on the previous line of the music. This excerpt includes non-traditional notations indicating speed and rate of vibrato. The difference between this and normal vibrato indications is that the indications apply

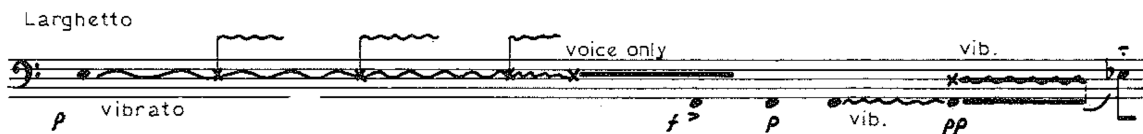


Figure 19. *Midnight Realities* – Multiphonic alternating vibrato

to both the traditionally played notes as well as the multiphonic notes that the performer is asked to interject an almost impossible mutiphonic vibrato layered over the played notes. Bold, non-wavy lines indicate held pitches with no vibrato, whether for the voice or the tuba part.

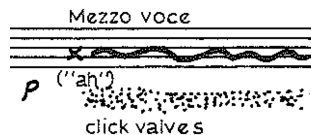


Figure 20. *Midnight Realities* – Valve clicking while singing through horn (notated here in bass clef)

Here Powell indicates for the performer to sing with an “ah” syllable into the tuba at the prescribed pitch while clicking the valves. The *mezzo voce* directive,

coupled with the valve clicking, creates an ominous broken vocal sound. Luckily for the performer, there is a small break before and after this section, making transitions in and out of it much less difficult.

The final experimental technique I'd like to highlight in this piece is an extended glissando of enormous range. This glissando, located towards the end of the piece, covers approximately four octaves. In addition, the volume indication goes from *ffff* to *mp* over the course of the "long, uneven glissando."<sup>53</sup>

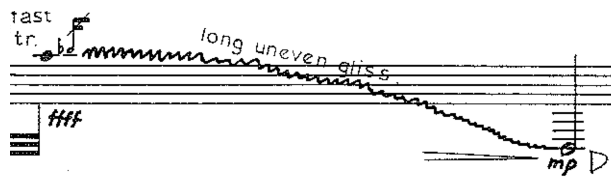


Figure 21. *Midnight Realities* – Long, uneven glissando  
(notated here in bass clef)

All musical excerpts are used with the permission of the publisher: [www.editions-bim.com](http://www.editions-bim.com)

Now that I have highlighted some of the experimental aspects of each piece, I would like to make some observations as to why these pieces have achieved their performance frequency over the 30-year time span.

Penderecki's *Capriccio* has garnered the highest performance frequency for several reasons. One of the biggest reasons is that the piece dabbles with experimentalism, but is largely based in standard notation and technique. The physical dexterity required to effectively perform *Capriccio for Solo Tuba* is immense. The development of an interpretation of the piece is also paramount to a

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<sup>53</sup> To my knowledge, only one recording of *Midnight Realities* exists. Information on this recording is located in the Select Discography located in the appendix of this document.

successful performance of the work. The pedagogical implications in this piece lie in these two areas. The high demands on the performer and the positive results yielded from practice of those demands made the *Capriccio for Solo Tuba* the most performed experimental work in the tuba repertoire during my survey period

*Encounters II* enjoys a different place in the tuba repertoire than Penderecki's *Capriccio*. Kraft wrote a truly impressive piece when he penned *Encounters II*. When Roger Bobo recorded it in 1967, it was the highest, lowest, loudest, and softest tuba piece ever written. The range and dynamic extremes have been pushed further since the composition of *Encounters II*, but the piece still enjoys the reputation of being a landmark piece in the repertoire.

As I established earlier in this section, *Encounters II* is largely traditional in notation, aside from a central multiphonics section. It is this multiphonics section that I believe garners the most attention from teachers of the tuba. *Encounters II* is one of the few pieces that is largely traditional in notation that has a complicated multiphonic duet composed into it. Along with the other extended technique and a mastery of the dynamic fluctuations, mastery of the contrapuntal multiphonic section makes for a truly impressive performance. These characteristics contributed to Kraft's contribution garnering the second highest performance frequency during my survey period.

*Midnight Realities*, being the least traditional of the three in regards to notation, range, and form, among other aspects, makes its presence in the top three frequently performed for another reason. *Midnight Realities* is an example of how much difference one performer can make in championing a work or composer that

he feels is worthy of notice. Daniel Perantoni being responsible for all 14 reported performance in my survey period shows that one person can have a marked impact on the relatively young and somewhat impressionable “tuba community.”

## PATHWAY FORWARD: THE SAXOPHONE AS AN EXAMPLE

Changing gears from discussing repertoire back to instrumental invention, a brand new family of instruments was introduced around the same time as the invention of the tuba. Adolph Sax invented the saxophone family beginning in the late 1830s and into the early 1840s. He was granted a patent for the saxophone in 1846.<sup>54</sup> He dubbed this new instrument the saxophone. This new family of instruments had, and has to this day, six voices to make up the complete family. They are the bass, baritone, tenor, alto, soprano, and sopranino saxophones. Unlike the brass family, in which the tuba filled a missing role as the bass voice, the saxophone family was complete from the beginning.

Because it was viewed as an effective bridge between the woodwind sections and the brass sections, the saxophone found a home in the military and wind band traditions – a relationship that exists to this day. An apparent result of the “saxophone experiment,” was that it did not take a strong hold in the orchestra. Despite this, there are a few notable orchestral works that include saxophone. They include the following: Richard Strauss’ *Sinfonia Domestica* (1903), *Symphony No. 4* by Charles Ives (1910-1916), Maurice Ravel’s *Pictures at an Exhibition* (1922)<sup>55</sup> and *Bolero* (1928), and even Giacomo Puccini’s opera *Turandot* (1926), in which the saxophone is featured on stage! George Gershwin included the saxophone in some of

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<sup>54</sup> Claus Raumberger and Karl Ventzke. "Saxophone." *Grove Music Online*. Oxford Music Online. Oxford University Press. Accessed March 7, 2013.  
<<http://www.oxfordmusiconline.com/subscriber/article/grove/music/24670>>.

<sup>55</sup> The score calls for the alto saxophone to play one of the more major melodies of a section entitled *The Old Castle*. This section lies early in the piece, and the saxophone plays no other parts in the rest of the piece.



his symphonic works as well, which may be related to the saxophone's growing popularity in the jazz idiom.

It seems, judging from the lack of orchestral writings for the saxophone, that the "saxophone experiment" did not work out well in the minds of composers when considering it for inclusion in orchestral compositions. Not content to remain simply a member of the wind band, it is possible to surmise that the lack of a permanent home for the saxophone (in an orchestral setting) contributed to saxophonists embracing experimental performance and experimental composition.

In order to offer comparisons between the "experiments" of the tuba and saxophone, I feel that I should iterate a few facts. Aside from the approximate date of invention and the typical brass finish of the instruments themselves, the tuba and the saxophone have little in common. The saxophone is a woodwind, using a reed as the source of vibration, while the tuba is a brass instrument using vibrations of the lips. The saxophone utilizes a number of keys and pads to change pitch while the tuba has anywhere from three to six piston or rotary valves to change pitch. The saxophone is capable of a much larger spectrum of sounds and effects than the tuba, simply because of the differences in method of tone production, as well as the differences in the design of the instruments themselves. The saxophone was also a complete family from the beginning of its existence. With all six members (bass, baritone, tenor, alto, soprano, sopranino) having similar sonic properties, the possibilities of composition for the saxophone are truly limited only by a composer's imagination. The tuba, on the other hand, has only bass and contrabass variations.

Acknowledging the inherent differences between the instruments, as a tubist I believe there are some lessons to be learned from the saxophone and its community of performers and composers. The saxophone has a few landmark documents and resources that I believe are unparalleled in the tuba world. These resources enable composers to write music for the saxophone that is more thoughtful and lies better on the instrument itself. I see a lot of tuba music that simply does not work well for the instrument. Resources like the ones I will outline in the next paragraph give the composer a basic working knowledge of the instrument's capabilities. In addition, I think that the saxophone world has some living advocates that are working tirelessly to promote their instrument and explore new possibilities for the saxophone. I worry that tuba players have become complacent with their current role and are not working at the same pace as our saxophone brethren to bring the tuba into the 21<sup>st</sup> century.<sup>56</sup>

The saxophone enjoys a huge repertory of resources for performance, contemporary technique, and all other facets of instrumental pedagogy. There are two specific documents that I believe are landmark resources. The first is entitled *Preliminary Etudes & Exercises in Contemporary Techniques for Saxophone* and was published in 1980.<sup>57</sup> The second, published in 1989, is entitled *Hello! Mr. Sax, or*

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<sup>56</sup> To elaborate I'd like to share some observations I've made: the instrument that I see making a living outside of the orchestral and recital hall more than any other is the saxophone. Collaborations with artists from various disciplines seem to be more and more common in the saxophone community than with any other instrument. I think that these types of partnerships, including performances in non-traditional spaces like art galleries, warehouse spaces, bars, etc., are the future of music performance. Tuba players should take notes from their saxophone counterparts!

<sup>57</sup> Ronald Caravan. *Preliminary Exercises & Etudes In Contemporary Techniques for Saxophone*. Medfield, MA: Dorn Publications, Inc., 1980.

*Parameters of the Saxophone*.<sup>58</sup> Both of these resources have similar intentions: to advise composers and performers of the correct way to notate and perform extended techniques for the saxophone.

Londiex goes a bit more in depth with each section than does Caravan. Londiex presents a section in prose before each technique that describes what each sound is, how it is attained, and under what circumstances its use might be effective. He also goes into historical detail on some of the topics. For example: in the chapter about vibrato he discusses the role of vibrato dating back to the 17<sup>th</sup> century and how it has progressed since then.<sup>59</sup> Both resources discuss extended techniques dealing with changes in pitch, timbre, duration, volume, and methods of attack/articulation. The main contribution of the Caravan is that following the presentation of each type of technique there are etudes that allow a student to work on that particular technique. In summation, the Caravan is more aimed for students of the saxophone while the Londiex is aimed more for composers writing for the saxophone. In addition to *Hello! Mr. Sax*, Londiex commissioned a sonata for saxophone and piano in 1970 from composer Edison Denisov. The resulting work is the first work to include notated multiphonics for the saxophone.<sup>60</sup>

There is one additional resource that is a landmark resource for the saxophone. *The Art of Sax (L'Art du Saxophone)* by Daniel Kientzy, is a CD with accompanying booklet. This resource is intended to provide composers with

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<sup>58</sup> Jean-Marie Londiex. *Hello! Mr. Sax: or Parameters of the Saxophone*. Paris: Alphonse Leduc & Cie., 1989.

<sup>59</sup> Ibid.

<sup>60</sup> "Article from CD Contrasts." *Article from CD Contrasts*, accessed March 8, 2013. <<http://sergeykolesov.com/en/articles/6-contrasts.html?start=1>>.

information regarding timbre, notation, and the idiosyncrasies of the saxophone. All members of the saxophone family are included in this document. The booklet contains written music as well as explanations about notation and performance practice. Much of the prose in this booklet is in French, although a small section in the back of the book is translated to English.<sup>61</sup> The CD itself contains excerpts of unpublished works containing various extended techniques that were written for Kietnzy. There is also a series of short tracks featuring the various techniques discussed in the booklet as performed on each of the members of the saxophone family.

Considering that the first work for tuba to include experimental notation or performance technique surfaced in 1968 (David Reck's *5 Studies for Tuba Alone*), it seems the tuba and the saxophone came to embark on their experimental journey at around the same time. While the tuba enjoyed early advocacy (pre1950s through late 1990s) by William J. Bell, R. Winston Morris, and Harvey Phillips, the saxophone also has a number of high profile advocates. Among them are Ryo Noda, Christian Lauba, Claude Delangle, Daniel Kientzy, and Barry Cockcroft. These saxophone artists are furthering their instruments in ways that tuba artists could learn from.

- Ryo Noda (b. 1948) is a Japanese saxophonist-composer who has studied in Japan, France, and the United States. Mr. Noda has a

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<sup>61</sup> While on the topic of resources in other languages, I came to wonder in the course of this document whether there are documents in other languages that might be of use to the tuba community. Specifically, I think of Italy and Poland as being two of the main countries where resources about experimental performance may exist that are not known to the larger worldwide community. Future research should be done in this area.

number of original compositions for saxophone and should be regarded as one of the earlier advocates for the instrument.

- Christian Lauba (b. 1952) is a French composer who, in addition to other works for saxophone, has a collection of etudes for the saxophone. This collection, entitled *Nine Etudes for Saxophones in 4 books*, includes etudes composed with the intention of helping students master various contemporary performance techniques. Alphonse Leduc published Lauba's collection in 1996.
- Claude Delangle is a French saxophonist-composer and teacher who is, among other achievements, known for having worked closely with Luciano Berio on the installment for saxophone in his series of *Sequenzas*. Notably, he was appointed as professor of saxophone at the Paris Conservatoire in 1988.
- Daniel Kientzy (b. 1957) is a prolific commissioner of new works for saxophone. In 2002 he published a compendium style resource called *Saxologie* that outlines contemporary performance techniques, how they are notated, and specifically how a performer can achieve them. It is a much more comprehensive resource, including notations and fingerings for each saxophone in the family for each different technique.
- Barry Cockcroft (b. 1972) is an Australian saxophonist-composer who is responsible for the commissioning of nearly 1,000 new works for saxophone.

These brief profiles are examples of some of the more successful living saxophone artists and advocates. At this point, one could ask, “why is all this information about the saxophone important or even relevant to the tuba?” I believe that the reason composers refrain from including the tuba in some of their compositions is because they feel intimidated by writing for the instrument and are perhaps ignorant to the instrument’s sonic capabilities. If there were comprehensive resources for the tuba (similar to the saxophone), it is possible that composers would include the tuba in their works more often. I also believe that, in general, tuba players do not have the same open mindset as saxophonists.

I think tuba students, teachers, scholars, and performers could learn a thing or two from the saxophone world. The saxophone is an instrument that has truly embraced experimental music, experimental performance techniques, and contemporary musical styles. The tuba has, in general, been less enthusiastic in its acceptance of experimental music and techniques. Music falling into the experimental category certainly exists, but, by and large, students and teachers stick to the musically conservative standards and the closely surrounding repertoire.<sup>62</sup>

Londiex and Caravan identified that the saxophone has some incredible possibilities. They wrote resources that made it easier for students of the saxophone to perform works that included experimental extended techniques. Londiex compiled notations and explanations for extended techniques that enabled composers to more succinctly compose music for the saxophone.

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<sup>62</sup> By closely surrounding I mean to say that outside of the ultra standard repertoire, there is a larger “circle” of less-common-than-ultra-standard-but-still-pretty-standard repertoire. Most performers, more often than not, tend not to stray too far from the pieces in the “inner circle” of standards.

The early advocacy for the tuba, beginning in the 1950s that was largely done by William Bell, R. Winston Morris, Harvey Phillips, seems to have taken root earlier than advocacy for the saxophone. Noda, Lauba, and Delangle began their work in the 1970s. There are very few tuba performers who have stepped up to continue the commissioning work that Bell, Phillips, and Morris began. I think it would be incredible for the tuba to achieve a norm similar to the level that saxophone counterparts are achieving today.

I think that the tuba and the saxophone communities and representative repertoire have much more in common than I am able to outline in the scope of this document. The correlations between the instruments, their repertoire and, their compendium-type resources are an area of research that I plan to continue. By illuminating these perceived connections, I hope to inspire other students of the tuba to look for other tuba-related connections to other instruments or, even, artistic disciplines. I believe that inter-disciplinary collaboration is going to be the future of tuba performance.

## CONCLUSIONS

It seems these days that our society is so incredibly starved for creativity that when something new comes along, it is “gobbled up” in epic proportions. This can be evidenced by all of the viral videos we are obliged to check out, or the various talent finding shows one can watch on network television several nights a week. This also makes for a prime moment for the enterprising musician to jump at a potential opportunity. In a time when a majority of U.S. symphony orchestras are operating at a profit loss and are trying to re-brand to be more relevant in the 21<sup>st</sup> century, the tuba community needs to make a similar move. It would be in the best interest of tuba artists worldwide to acknowledge the relative conservatism of the tuba community and work to adapt in a way that is unique to the tuba, but in a similar vein as the saxophone.

Because the saxophone has embraced experimental performance in the last 40 years, the experimental repertoire is prolific in the saxophone world. It is because of this that the three pieces I have included in this document seem so conservative. In comparison, the experimental tuba canon is extremely limited. If the pieces I described in my document are the three most frequently performed pieces in this genre, the tuba community is in trouble. The progression of music composition and performance experience has passed us by. Tuba players in general seem less willing to embrace experimental music or alternative performance opportunities because we have a home in the orchestra. With that home as the primary focus, other possibilities can be pushed to the periphery as “oddities.”



In contrast, many of the world's top saxophone performers are also prolific composers of music for the saxophone. Because these performers are so familiar with the instrument they are composing for, the music is often incredibly well written and specifically nuanced. The tuba community can learn a lot from this trend. There are very few tuba performer/composers. This model is nothing new; Beethoven and Mozart were performer/composers. In addition to more tubist/composers, some other pursuits need to be paired with competent tuba playing to make a tuba player fully marketable. Tuba players can no longer plan to be one-dimensional orchestrally talented musicians. This particular career trajectory is simply not realistic.

Since the beginning of the *ITEA* in 1973 (then, *TUBA*) the vision of Harvey Phillips was one of notoriety through commissioning. I think that Phillips felt the way for the tuba to gain respect across the world was through the commissioning of new works from well-respected composers. Phillips established early on in the existence of the tuba community's collective psyche the desire to be legitimized through commission of major composers. In 2013 the tuba has legitimacy. Is it the worldwide recognition of the tuba as an instrument of similar status as that of the violin, cello, clarinet or piano? Certainly not. Does the tuba occasionally perform concerti in front of orchestras around the world? Absolutely! Is the tuba generally considered a solo instrument? Perhaps not by most, but certainly by more than in 1973 when *TUBA* was formed. In my opinion, the time has come for we in the tuba community to shift our focus. We have a much higher degree of notoriety, legitimacy, and credibility than existed in the 1970s. It is time to build on that

notoriety and try a new path towards furthering the tuba and nurturing it to new heights that Harvey Phillips could not have envisioned.

There are a number of tuba artists who are currently exploring the many possibilities that the tuba presents to any creative and entrepreneurial individual. Some of these individuals are exploring intersections of tuba performance and electronics. Others are working with high profile musicians as part of their ensemble for recordings and world tours. Others are developing new technical mechanisms that expand the sonic possibilities of the instrument. Among them are Robin Hayward, Oren Marshall, Wolff/Drums and Tuba, Marcus Rojas, Stuart Estell and Sam Underwood under the moniker *ORE* (a doom metal band). For more information on these individuals/groups, please see Appendix D.

The tuba as an instrument has such capability! It is a shame to limit such a noble instrument, either through unadventurous assignment of literature in the applied lesson or by constriction to a traditional concert venue. There is definitely no shortage of compositions for the tuba, nor live performances featuring the tuba. This study shows that the tuba community is alive and well. Performances happen frequently. Ambassadorship for the instrument itself is certainly continuing. Commissioning new works is worthy and good. The tuba community needs to more openly embrace experimentalism and other non-traditional paths to exhibit complete ambassadorship.

I hope this document will instill a sense of urgency regarding cross-pollination of musical preparation. This need is especially true in the United States university system. The idea that a tuba player can make a living solely by

performing in one orchestra or military band is dwindling by the day. There are too few jobs and too many students of the tuba for that model to be sustainable. For this reason I believe that tuba players must experiment as early as possible with repertoire choices, collaboration with other musicians and artists, and even performance venues. Our saxophone colleagues already model a pathway forward.

It is my hope that tuba players, teachers, scholars, and enthusiasts will approach the tuba as an instrument of enormous capability, rather than simply a bass voice in an orchestral or wind band brass section. It is also my hope that this document will inspire new lines of research within the tuba and its repertoire.

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## APPENDIX A: COPYRIGHT PERMISSION AND RELATED CONTENT

3/20/13

Gmail - Copyright Permissions



Copyright Permissions - Editions Bim

### Copyright Permissions

Andrew <thetubamonster@gmail.com>  
To: Editions Bim Sophie Rochat <order@editions-bim.com>

Wed, Jan 16, 2013 at 12:46 AM

Hello!

My name is Andy Larson. I am a doctorate student at Louisiana State University. I am hoping to contact someone at Editions BIM who would be able to grant me copyright permission to print a few snippets from William Kraft's Encounters II for Solo Tuba in my DMA Dissertation. I have a formal letter I can forward, but would like to address it accordingly. Please let me know to whom I can address my letter, and how I might get it to them.

Thank you for your time!

--  
Andy Larson  
--  
DMA Candidate  
Louisiana State University  
thetubamonster@gmail.com

"Without music to decorate it, time is just a bunch of boring production deadlines or dates by which bills must be paid." Frank Zappa

"Awake, my lute, and struggle thy part with all thy art" R. V. Williams

Editions Bim / Sophie Rochat <order@editions-bim.com>  
To: Andrew <thetubamonster@gmail.com>

Wed, Jan 16, 2013 at 3:56 AM

Dear Andy Larson,  
Thanks for your request.

Please answer this email, confirming that you accept the condition here below. Add the number and approx. length, in bars (average: i.e. between 2 and 5 bars) of the excerpts you intend to use.

if our answer is acceptable, you need to print the following text (below in bold), precisely and directly under the first and the last excerpts to obtain free permission to use these short examples in your dissertation, .

**All musical excerpts are used with the permission of the publisher: [www.editions-bim.com](http://www.editions-bim.com)**

Please send us a voucher copy of your dissertation when printed, at the following postal address:

Editions Bim  
International music publishing  
route des Echelettes 51  
CH-1674 Vuarmarens  
Switzerland

I stay at your disposal for possible question and I send you cordial greetings from Switzerland!

3/20/13

Gmail - Copyright Permissions

Sophie

Le 16 janv. 2013 à 07:46, Andrew a écrit :  
[Quoted text hidden]

---

**Andrew** <thetubamonster@gmail.com>  
To: Editions Bim / Sophie Rochat <order@editions-bim.com>

Wed, Jan 16, 2013 at 1:32 PM

Hello Sophie--

Thank you for the prompt response to my request! The excerpts I would like to use in the Kraft are listed below.

On the second page:

- 1) last measure of the first line to the second measure of the fourth line (beginning with Andante until the Large section)
- 2) entire 6th line and seventh line until the bar line
- 3) last two measures of the eighth line

On the third page:

- 1) third line, last three measures and first measure of the fourth line

Those short excerpts are all I would like to include. I will include the copyright statement exactly as provided in your email underneath the first and last excerpt that I use in the paper. I will also forward a voucher copy to the provided address.

I thank you for your time and appreciate your time in this matter!

Sincerely-

Andy Larson  
[Quoted text hidden]

---

**Editions Bim / Sophie Rochat** <order@editions-bim.com>  
To: Andrew <thetubamonster@gmail.com>

Thu, Jan 17, 2013 at 2:01 AM

Thank you and all the Best for your Disseration!  
Sophie  
Le 16 janv. 2013 à 20:32, Andrew a écrit :  
[Quoted text hidden]



3/20/13

Gmail - Morgan Powell



Compose | Settings | Help

---

## Morgan Powell

Feb 17, 2013

Andrew <thetubamonster@gmail.com>  
To: Editions Bim Sophie Rochat <order@editions-bim.com>

Sun, Feb 17, 2013 at 10:02 PM

Hi Sophie!

I am hoping to add some excerpts from Morgan Powell's *Midnight Realities* to my DMA document. Is this piece handled by Editions BIM now? All of my information says that it is published by The Brass Press, and they still have a website with contact information. I sent them an email, but haven't heard back from them in several weeks. Can you give me any information about from whom I can obtain copyright permissions?

Thank you so much for your help! You have always been informative and helpful when I've contacted Editions BIM. I appreciate that a great deal!

Sincerely-

Andy Larson

—

DMA Candidate  
Louisiana State University  
thetubamonster@gmail.com

"Without music to decorate it, time is just a bunch of boring production deadlines or dates by which bills must be paid." Frank Zappa

"Awake, my lute, and struggle thy part with all thy art" R. V. Williams

---

**Editions Bim / Sophie Rochat** <order@editions-bim.com>  
To: Andrew <thetubamonster@gmail.com>

Tue, Feb 19, 2013 at 2:53 AM

Dear Andy,

Thanks for your mail. Could I just ask you to which e-mail address you have sent the request to (for Brass press?)

Because you are right, The Brass Press is now under Editions Bim (for more than 10 years now).

As I did not get any message from you regarding this piece, I'm really wondering where you have shipped your request.

Anyway regarding this, you get the permission, same conditions as per the Kraft piece.

Is that ok for you?

At your disposal and have a nice day!  
Sophie Rochat

Editions Bim & Brass Press  
P.O.Box 300  
CH-1674 VUARMARENS, Switzerland  
Tel 0041 - (0)21 - 909 10 00  
Fax 0041 (0)21- 909 10 09

order@editions-bim.com  
<http://www.editions-bim.com>

3/20/13

Gmail - Morgan Powell

Facebook • Twitter • YouTube

Le 18 févr. 2013 à 05:02, Andrew a écrit :  
[Quoted text hidden]

---

**Andy Tuba** <thetubamonster@gmail.com>  
To: Editions Bim / Sophie Rochat <order@editions-bim.com>

Tue, Feb 26, 2013 at 2:41 PM

Hi Sophie—

I apologize for taking so long to respond. I've been on a writing roll!! My document is coming together well.

I sent my original email to: sales AT brasspress DOT com

My score is in my office at the university. I will get you exact measures I'd like to reproduce in a few hours.

Same conditions as with the Kraft are agreeable to me! Thank you!

Andy Larson  
[Quoted text hidden]

---

**Editions Bim / Sophie Rochat** <order@editions-bim.com>  
To: Andy Tuba <thetubamonster@gmail.com>

Wed, Feb 27, 2013 at 1:50 AM

Dear Andy,

I understand now... in fact Thompson Editions took the Brasspress.com (without our authorisation) but they have nothing to do with us, I mean we have no exclusiv distributors....

We gonna write them in the following days... Thanks for the info!  
I wait for your mail regarding Morgan Powell's permissions.

Cordially,

Sophie Rochat

Editions Bim & Brass Press  
P.O.Box 300  
CH-1674 VUARMARENS, Switzerland  
Tel 0041 - (0)21 - 909 10 00  
Fax 0041 (0)21-909 10 09

order@editions-bim.com  
<http://www.editions-bim.com>

Facebook • Twitter • YouTube

Le 26 févr. 2013 à 21:41, Andy Tuba a écrit :  
 [Quoted text hidden]

---

**Andrew** <thetubamonster@gmail.com>  
 To: Editions Bim / Sophie Rochat <order@editions-bim.com>

Tue, Mar 12, 2013 at 3:17 PM

Hi Sophie--

In my clean up of emails, I realized I have yet to follow up on our latest conversation! The parts I would like to include in my document are as follows:

on page One:

the first half of line 4: up until the double bar line  
 the last line

on page Two:

the last small section of line 1 (mezzo voce, showing the valve clicking)  
 the second half of line 6 (showing the long uneven glissando)

That is all! I will include the aforementioned copyright information in bold as agreed for the Kraft on these excerpts as well. Please let me know that all is in order and that I am okay to go ahead and put these excerpts in. Your help is most appreciated, Sophie.

Sincerely--

Andy Larson in Baton Rouge  
 [Quoted text hidden]

--  
 Andy Larson

--  
 DMA Candidate  
 Louisiana State University  
 thetubamonster@gmail.com

"Without music to decorate it, time is just a bunch of boring production deadlines or dates by which bills must be paid." Frank Zappa

"Awake, my lute, and struggle thy part with all thy art" R. V. Williams

---

**Editions Bim / Sophie Rochat** <order@editions-bim.com>  
 To: Andrew <thetubamonster@gmail.com>

Wed, Mar 13, 2013 at 2:44 AM

All is fine like this Andy!

Good work and good day!  
 Sophie

Le 12 mars 2013 à 21:17, Andrew a écrit :

APPENDIX B:  
SELECTED LIST OF EXPERIMENTAL WORKS FOR TUBA

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Ptaszynska, Marta. *Two Poems*. Polskie Wydawnictwo Muzyczne, 1979.

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Silverman, Faye-Ellen. *Zigzags*. Seesaw Music Corp., 1988.

Stevens, Thomas. *Encore: Boz*. Wimbledon Music, Inc., 1977.

Takahashi, Tohru. *Canzon*. No publisher information, 1982.

Van der Slice, John. *Solo for Tuba*. Tuba Euphonium Press, 1993.

Warren, Frank E. *Leeann*. Seesaw Music Corp., 1975.

APPENDIX C:  
SELECTED DISCOGRAPHY OF WORKS INDLUDED IN THIS DOCUMENT

WILLIAM PENN – *THREE ESSAYS*

Pokorny, Gene, *Big Boy*, CD, Summit, 2001.

Turk, John, Not Available (Out of Print)

MATTHIAS BAMERT – *INCONSEQUENZA*

*To my knowledge, this piece is not available on any commercial recordings.*

EDWARD GREGSON – *ALARUM*

Gourlay, James, *Gourlay Plays Tuba*, CD, Doyen, 1994.

VINCENT PERSICHETTI – *PARABLE XXII*

Baszinka, Josef, *Waves*, CD, Hungarton, 1997.

Nelson, Mark, *New England Reveries*, CD, Crystal, 1990.

MORGAN POWELL – *MIDNIGHT REALITIES*

Perantoni, Daniel, *Big Trombone & Sterling Brass*, CD, Crystal, 2008.

WILLIAM KRAFT – *ENCOUNTERS II*

Baadsvik, Oystein, *Tuba Works*, CD, SIMAX, 1993.

Baer, Alan, *Coast to Coast*, CD, Baer Tracks Music, 2006.

Bobo, Roger, *Bobissimo!*, CD, Crystal, 1993.

KRZYSZTOF PENDERECKI – *CAPRICCIO FOR SOLO TUBA*

Bobo, Roger, *Bobissimo!*, CD, Crystal, 1993.

Gourlay, James, *Gourlay Plays Tuba*, CD, Doyen, 1994.

Perantoni, Daniel, *Daniel in the Lion's Den*, CD, Summit, 1994.

Pierce, Benjamin, *Wheels of Life*, CD, Ribbet Records, 2006.

EDWARD GREGSON – CONCERTO FOR TUBA

Fletcher, John, *Concertos for Brass*, CD, Chandos, 1994.

Gourlay, James, *British Tuba Concertos*, CD, Naxos, 2006.

Lind, Michael, *Play Tuba*, CD, Four Leaf Clover Records, 1988.

PAUL HINDEMITH – SONATE FÜR BASSTUBA UND PIANO

Baadsvik, Oystein, *Tuba Works*, CD, SIMAX, 1993.

Baadsvik, Oystein, *Danzas*, CD, BIS, 2006.

Bobo, Roger, *Bobissimo!*, CD, Crystal, 1993.

Torchinsky, Abe, *Hindemith: Sonatas for Brass and Piano*, CD, Sony Classical, 2011.

Wallerand, Fabian, *Art of the Tuba*, CD, Indesens, 2011.

RALPH VAUGHAN WILLIAMS – CONCERTO FOR TUBA

Baadsvik, Oystein, *20<sup>th</sup> Century Tuba Concertos*, CD, BIS, 2008.

Dowling, Eugene, *The English Tuba*, CD, Fanfare/Pro-Arte, 1995.

Gjerdevik, Erik, *Music for Blue Days*, CD, LAWO, 2012.

Gourlay, James, *British Tuba Concertos*, CD, Naxos, 2006.

Lind, Michael, *The Virtuoso Tuba*, CD, Caprice, 1995.

Pierce, Benjamin, *Wheels of Life*, CD, Ribbet Records, 2006.

## APPENDIX D: SELECTED LIST OF TUBA PERFORMERS

These persons (or groups) are the epitome of creativity and entrepreneurial spirit. They are not making a living playing the tuba in an orchestra or band, but in a much more individualistic way.

- Robin Hayward. <<http://www.robinhayward.de/>>

Robin Hayward had done extensive research in the area of developing a fully microtonal tuba. The system he developed, the Hayward System, has been professionally manufactured and made commercially available through B & S Instrument Makers. In addition, Robin performs in a variety of settings. Perhaps most notably is his involvement in the trio of microtonal tubas named *Microtub*.

- Oren Marshall. <<http://orenmarshall.com/>>

Oren Marshall is currently Head of Brass Studies at Trinity Laban Conservatoire, London and teaches on the Jazz course at the Royal Academy of Music. He has performed for The Queen, the President of China, The German Chancellor, and The Pope. Gunther Schuller, one of Harvey Phillips' greatest friends, called Marshall "a rambunctious young man." His career and output is as varied as it gets.

- Wolff/Drums and Tuba. <<http://www.wolffandtuba.com>>

Drums and Tuba was the original group to feature tuba player Brian Wolff of Austin, Texas. After parting ways with his drummer, he renamed his project Wolff and Drums. Under the solo moniker of Wolff, Brian Wolff has released several solo albums. They utilize the tuba as the sole source for all sounds on the album.

- Marcus Rojas. <<http://www.marcusrojas.com/Home.html>>

Marcus Rojas has performed with Howard Johnson, Henry Threadgill, Dave Douglas and Brass Ecstasy, John Zorn, George Michael, and Harry Connick, Jr. Marcus Rojas is as versatile and busy a freelancing tuba player as any in the world.

- ORE. <<http://www.oretubadoom.com/>>

Ore, comprised of tuba players Stuart Estell and Sam Underwood, is a doom metal duo based in the U.K. Their music is largely drone based, as is found in the doom metal genre.



## APPENDIX E: AREAS OF POSSIBLE FUTURE RESEARCH

Italy, Poland, and elsewhere?

It is highly likely that resources relating to experimental compositions, experimental techniques, or other aspects of experimentalism exist in other countries. I think of Italy and Poland as being two prime examples. Italy could be viewed as the founders of the concept of electronic music with Busoni, Russolo, and Pratella and their roles in the futurist movement. It is quite possible that resources discussing experimental performance, music, and techniques exist in Italian that are not known to those outside of Italy and, possibly even, to those in Italy. Zdzislaw Piernik, one of the most prolific tuba “experimenters” lives in Poland. Outside of Poland, very little is known of Piernik and his work. There are some YouTube videos featuring his captivating and outstanding playing, but very little else. For this reason, I think that Poland may be a prime location to find some resources regarding experimental performance and repertoire as it pertains to the tuba.

### Experimental Technique Pedagogy

Because of the complete lack of experimental pedagogy that currently exists in the private studio, some type of curriculum featuring experimental performance techniques could be developed. Additionally, a set of etudes of varying degree could be composed that would assist young tuba students in developing their experimental techniques. I will be doing work in this area.

### Compendium type resource aimed towards composers

I think that a compendium-type resource that is aimed towards composers could be developed for the tuba. This resource, similar to Kientzy's *L'Art du Saxophone*, could outline various experimental techniques specifically as they apply to the tuba. Included could be the various ways of notating each technique, a description of the technique itself, as well as considerations from the performers point of view when deciding whether or not to include it in a composition. Additionally, a CD containing sound examples of the various could be recorded and included. I will also be doing work in this area.

## VITA

Andy Larson is currently pursuing the Doctor of Musical Arts degree from Louisiana State University. He will be graduating in May 2013. During his first year in doctoral study at LSU, Andy was awarded the Byron Lamb Low Brass Scholarship. Andy was teaching assistant to Dr. Joseph Skillen at LSU from 2009-2012. Andy holds the Master of Music degree from the University of Wisconsin-Milwaukee (2007) where he studied with the great Marty Erickson. In 2005, he graduated with his Bachelor of Music degree, which he also earned from Louisiana State University.

From 2007-2010 Andy was Instructor of Tuba and Euphonium at Southeastern Louisiana University in Hammond, Louisiana. During his time there he grew the studio from 6 members when he arrived to 14 during his final semester. His students have gone on to successfully enter graduate school, win national competitions, enter the U.S. military band system, and begin successful business careers.

An active solo performer, Andy has presented at least one solo recital every semester since Spring 2006. He has also participated in a number of solo competitions. Some highlights include: competitor at the 2006 Lieksa Brass Week International Tuba Solo Competition in Lieksa, Finland; semi-finalist at the 2007 Leonard Falcone International Euphonium and Tuba Solo Competition in Blue Lake, Michigan; finalist at the 2010 International Tuba Euphonium Conference Solo Competition in Tucson, Arizona; 1<sup>st</sup> prize at the 2011 Leonard Falcone International Euphonium and Tuba Solo Competition in Blue Lake, Michigan; and competitor in the November 2012 "Citta di Porcia" Concorso Internazionale in Pordenone, Italy.

Andy will be the first student to graduate with a minor in the newly developed Experimental Music and Digital Media program at LSU. Through his work in this area, Andy developed a deep passion and interest in modern, contemporary, *avant-garde*, and experimental music. In 2012, Andy was selected to present a world premiere composition (*Fishing for Jörmungandr*) for 2 tubas and 2 GUA-ists at the International Tuba Euphonium Conference in Linz, Austria. The piece was commissioned from two of Andy's colleagues at LSU, Nick Hwang and J. Corey Knoll. *Jörmungandr* has also been performed at the National Student Electronic Music Event (N\_SEME) in Philadelphia, Pennsylvania (March 2013), and at the South Central Regional Tuba Euphonium Conference (SCRTEC) in Baton Rouge, Louisiana (April 2013). Also known as The Cool Van, the three have a lasting friendship and productive collaborative outlook for their group. Also in the experimental music realm, Andy has partnered with saxophonist-composer William Walker Conlin. The two have performed multiple improvisatory duets together as well as pieces for solo instrument with live effects. The pair are primarily interested in utilizing their instruments with participatory live electronics.

Andy also maintains an active chamber music presence through the Lautes Quartet. The group most recently performed at the SCRTEC in Baton Rouge. They have plans to record some historically significant works for the *ITEA* this summer. They also have a series of commissions that are currently being written. They will be recorded and released on CD in the summer of 2014.

Andy currently lives in Baton Rouge with his girlfriend Rachel, dog Sonya, and way too many bicycles.