Spring 2023

# Appalachian Dreams: Traditional Folk Songs in Concert Literature for Classical Guitar

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# APPALACHIAN DREAMS: TRADITIONAL FOLK SONGS IN CONCERT LITERATURE FOR CLASSICAL GUITAR

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Bachelor of Music
University of Nebraska Omaha, 2017

Master of Music
University of Memphis, 2019

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Submitted in Partial Fulfillment of the Requirements

For the Degree of Doctor of Musical Arts in

Music Performance

School of Music

University of South Carolina

2023

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# DEDICATION

This document is dedicated to my wife, Camille. Without your support, encouragement, patience, and love I would never have made it to this point. Thank you for the sacrifices you have made for me to be able to walk this path, and for walking the path with me. Your curiosity, empathy, and perseverance inspire me every day.

# ACKNOWLEDGEMENTS

I would like to thank my family for their unwavering support and encouragement throughout my academic journey. I am forever grateful to have you all in my corner.

I would also like to thank Professor Christopher Berg for his assistance, insights, and encouragement while writing this document and throughout my Doctoral studies. I am a better musician, teacher, and writer because of your guidance.

Additionally, I would like to thank my committee for their aid with this project. The suggestions of Dr. Alexandria Carrico, Neil Casey, and Dr. Craig Butterfield have been invaluable.

# ABSTRACT

Transcriptions and arrangements of works for other instruments make up a substantial portion of the concert literature for the classical guitar. Additionally, the classical guitar's connections with folk music traditions from around the world are undeniable. While much of the folk-inspired repertoire for guitar engages with the musical traditions of Spain and Latin America, this document will examine a work for solo guitar that uses traditional Appalachian folk music as source material: John Duarte's *Appalachian Dreams*.

Appalachian folk music is a primarily oral tradition, and documentation of the music did not appear until the late nineteenth century. This project will trace the folk songs used in *Appalachian Dreams* back to early printed or recorded sources that influenced Duarte's arrangements. Additionally, I will examine specific compositional elements used to arrange the source material, often only a single line of melody, into a concert work for classical guitar. To contextualize this research, I will also include analyses of folk song arrangements for guitar from the nineteenth and early twentieth centuries and a brief overview of the tradition of Appalachian folk music.

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# CHAPTER 1

# INTRODUCTION

In John Duarte's 1996 work *Appalachian Dreams*, the composer uses themes from Appalachian folk songs, traditional Irish melodies, and a little-known American hymn from the mid-nineteenth century to create a five-movement suite for solo guitar. Arranging and transcribing music for the guitar (and its predecessors) is a longstanding tradition. Francesco Spinacino's *Intabulatura de Lauto* (1507), a book of lute tablature that was the first printed solo polyphonic music, features many intabulations (arrangements for lute) of vocal works. Throughout the Renaissance, there are countless examples of vocal works arranged for the lute. A substantial portion of repertoire for the classical guitar, especially from the Romantic period onward, also includes transcriptions of works for keyboard instruments, violin, or cello.

Furthermore, the folk music of various cultures plays a large role in the repertoire of the classical guitar. Almost every major guitar composer has engaged with folk music in some manner in their works through arrangements

of folk songs, quotations of folk melodies, or by incorporating distinctive melodic or rhythmic characteristics of folk music from differing cultures. Most commonly, works for guitar that include either overt or implied references to folk music use material heard in Spanish or Latin American cultures. *Appalachian Dreams* is unique in this sense; there are no other major works for solo guitar that engage with Appalachian musical material. Robert Beaser's *Mountain Songs* for flute and guitar also uses traditional Appalachian folk music as source material, but this project will focus on Duarte's arrangements for solo guitar.

The distinctive folk music of Appalachia developed throughout the late eighteenth and nineteenth centuries and was, for many years, little-known to outsiders. The mountainous region that stretches from Georgia to Maine remained relatively isolated until the twentieth century but, despite its isolation, had a diverse population of European immigrants, enslaved and free African Americans, and Native Americans who escaped from forced relocation. Each of these cultures contributed to the development of Appalachian folk music. Academic interest in the music of Appalachia rose in the early twentieth century when folklorists and prototypical ethnomusicologists sought to document the prominence of "Child ballads" in the region. Francis James Child, a Professor of English at Harvard University, published *The English and Scottish Popular Ballads* in ten parts between 1882 and 1898. Child sought to trace and document as many

manuscript sources of ballads dating from before the invention of the printing press as possible.[1] Most ballads in Child's collection were long forgotten in the British Isles by the late nineteenth century, and when it became known that many ballads in the collection were still actively practiced in the Appalachian Mountains, researchers began to travel there to document the songs.

In this document, I will locate early publications or recordings of the folk songs Duarte arranged throughout *Appalachian Dreams* and determine Duarte's most likely sources. Additionally, I will identify specific compositional techniques Duarte used to transform the source material, often only a single line of melody, into concert arrangements for the classical guitar. To provide context, I will undertake similar analyses of folk song arrangements by nineteenth century composers Fernando Sor and Mauro Giuliani, along with late nineteenth and early twentieth century composer Miguel Llobet. Furthermore, I will discuss specific musical and cultural elements of Appalachian folk music and identify early folk song collectors whose documentations are especially relevant to the material used in *Appalachian Dreams*.

While there is much research on the intersections of folk music and the classical guitar repertoire, there is little focusing specifically on use of

[1] Benjamin Peter Filene, "Romancing the Folk: Public Memory and American Vernacular Music in the Twentieth Century" (PhD diss., Yale University, 1995), 13, ProQuest (9522656).

Appalachian folk music. This research deficit can be explained by the few works for the instrument that engage with this material, but the rich tradition and cultural blending heard in Appalachian folk music warrants the study of its use in Duarte's arrangements.

The scope of the folk songs and melodies discussed in this document is limited to those used in *Appalachian Dreams* and their relevant variants. Duarte arranged music that can be traced back to England, Ireland, or Scotland, songs that originated in the Appalachian Mountains, and one hymn. Each of these categories has a massive amount of repertoire, and this document makes no attempt to provide a comprehensive survey of these folk traditions. Similarly, many people have contributed to the documentation of traditional Appalachian music. Many of these contributors will be discussed, but I have limited my scope to focus on those whose research is most relevant to *Appalachian Dreams*. Furthermore, this document does not provide a comprehensive study of folk music arrangements for the classical guitar. Three arrangements will be discussed in detail as representative examples of the practice in the nineteenth and early twentieth centuries. This document is not intended to serve as a performance guide for *Appalachian Dreams*, but rather as an examination of the musical traditions it draws its source materials from and how this material is arranged for the guitar.

In 1953, Maud Karpeles, a researcher whose work is especially relevant to this document, sought to define the distinction between folk music and popular music. She concluded that

> Folk music is the product of a musical tradition that has been evolved through the process of oral transmission. The factors that shape the tradition are: (i) continuity which links the present with the past; (ii) variation which springs from the creative impulse of the individual or the group; and (iii) selection by the community, which determines the form or forms in which the music survives.[2]

Throughout *Appalachian Dreams*, Duarte interacts with Karpeles' factors of folk music in different ways. This document will show how Duarte contributed to the tradition of folksong arranging for the guitar through the use of Appalachian folk music in *Appalachian Dreams* while acknowledging the diversity of musical influences in the region.

[2] Maud Karpeles, "The Distinction between Folk and Popular Music," *Journal of the International Folk Music Council* 20 (1968): pp. 9-12, https://doi.org/10.2307/836063, 9.

# CHAPTER 2

# FOLK MUSIC AND THE CLASSICAL GUITAR

The guitar has long been associated with folk music making, and the repertoire for the classical guitar has no shortage of works inspired by folk traditions. Furthermore, transcriptions of works for other instruments or voice form a significant portion of the instrument's literature. This chapter will focus on three folksong arrangements by Fernando Sor, Mauro Giuliani, and Miguel Llobet — composers whose works are a part of the canonical guitar literature. A discussion of the history of transcription and arranging for the instrument (and its predecessors) and the use of folksong in the repertoire will prove helpful in tracing the tradition of these practices.

Intabulations of vocal music were an important component of the literature for the Renaissance lute. Francesco Spinacino's *Intabulatura de Lauto*, printed by Ottaviano Petrucci in 1507, is the earliest printed source of solo polyphonic music for any instrument. In this collection, transcriptions of vocal

works by composers such as Josquin des Prez, Johannes Ockeghem, and Heinrich Isaac are paired with *ricercare* composed by Spinacino that were intended to be performed before certain transcriptions.[1] Francesco da Milano also included many intabulations of vocal works in his *Intabulaturas*, including chansons, madrigals, and motets.[2]

In the Renaissance, lutenists throughout Europe transcribed vocal music for their instrument. An example of a notable sixteenth century German lute book that includes transcriptions of vocal music is Hans Neusidler's 1536 work *Ein Newgeordent Kunstlich Lautenbuch*.[3] In France, Pierre Attaingnant's 1529 work *Tres breve et familiere introduction* includes transcriptions of works by Claudin de Sermisy and Clément Jannequin.[4] French lutenists typically favored transcribing *chansons*. In Elizabethan England, the practice of writing variations on ballad tunes was common. One example of this is John Dowland's variations on William Byrd's "My Lord Willoughby's Welcome Home." Repertoire for the Renaissance vihuela also includes many transcriptions of vocal works (often movements from masses), as does the literature for Renaissance guitar. Examples

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[1] Francesco Spinacino, *Intabulatura de Lauto, Libro Primo* (Venice: Petrucci, 1507).

[2] Victor Anand Coelho, Kenneth Gouwens, and Sheryl E. Reiss, "Papal Tastes and Musical Genres: Francesco Da Milano 'Il Divino' (1497-1543) and the Clementine Aesthetic," in *The Pontificate of Clement VII: History, Politics, Culture* (Aldershot, UK: Ashgate, 2005), 282.

[3] Hans Neusiedler, *Ein newgeordent künstlich Lautenbuch* (Nürnberg: Johann Petreius, 1536).

[4] Pierre Attaingnant, *Tres breve et familiere introduction* (Paris: Pierre Attaingnant, 1529).

can be found in works such as Miguel de Fuenllana's *Orphenica Lyra* (1554),[5] Guillaume Morlaye's *Livres de tabulature de leut* (1552),[6] and Adrien Le Roy's *Tabulature de guiterre* (1551).[7] Le Roy's transcriptions are of particular interest for their use of *plus diminueé*, or embellishments of the melody after its first presentation.

In the Baroque period arrangements of vocal music for the lute became less common, and dance forms further rose in prominence. The repertoire for the solo Baroque guitar also followed this trend. The guitar was also often used for chordal accompaniment of vocal music in this period. The late Classical and early Romantic periods saw changes to the construction of the guitar and a new revival of interest in the instrument led by figures such as Dionisio Aguado, Fernando Sor, and Mauro Giuliani. Folk song arrangements by Sor and Giuliani will be discussed in detail in this chapter.

In his article "Mauro Giuliani and Austrian Folk Music," Stefan Hackl discusses the influence of regional folk music on Giuliani and many of his contemporaries. One example of particular interest is the influence of Tyrolian folk music on nineteenth century composers. The Tyrolians, people from a region

[5] Miguel de Fuenllana, *Orphenica lyra* (Seville: Martin de Montesdoca, 1554).

[6] Guillaume Morlaye, *Livres de tabulature de leut* (Paris: M. Fezandat, 1552).

[7] Adrian Le Roy, *Tabulature de guiterre, Livre 1* (Paris: Adrian le Roy & Robert Ballard, 1551).

of the Alps that lies in Austria and Italy, had a distinct musical style that traveling merchants from the area spread throughout Europe.[8] Composers such as Ludwig van Beethoven, Gioachino Rossini, and Franz Liszt include "*alla Tyrolienne*" in some works[9] including Beethoven's *Ten National Airs with Variations*, Rossini's *Guillaume Tell*, and Liszt's *Grande fantaisie sur "La Tyrolienne" de l'opéra "La fiancée."* Hackl states that

> the best known song associated with the *Tyrolienne*, entitled "Wann I in der Früh aufsteh" (When I arise in the morning), became one of the most popular pieces of all in the classical guitar repertoire, appearing in works by Diabelli, de Call, Matiegka, Sandrini, Ferdinando Carulli, François de Fossa, August Harder, Joseph Küffner, Luigi Legnani, Antoine Marcel Lemoine, Carl Scholl, Joseph Triebensee, and Marc Aurelio Zani de Ferranti—all well-known nineteenth-century guitar composers.[10]

[8] Stefan Hackl, "Mauro Giuliani and Austrian Folk Music," *Soundboard Scholar* 5 (2019), 18.

[9] Ibid.

[10] Ibid.

Hackl also mentions that a review of a performance by Emilia Giuliani, Mauro's daughter and a gifted performer and composer, mentions a piece by Mauro Giuliani entitled *Variations on a Tyrolean Song* (this work is lost).[11]

The influence of folk music on classical guitar repertoire of the twentieth century is a vast topic that is beyond the scope of this project. However, Miguel Llobet's *Diez Canciones Populares Catalanas* are notable examples of folksong arrangements for the guitar from the early part of the century. These arrangements show Llobet's compositional mastery of harmony, texture, and timbre for the guitar and use traditional Catalan melodies as source material. "El Mestre," an arrangement of particular interest from this collection, will be discussed in detail in this chapter.

Ahmet Sönmezler's 2013 Doctor of Musical Arts document, *Turkish Musical Influences upon Carlo Domeniconi's Variations on an Anatolian Folk Song and Koyunbaba: Implications for Performance*, examines Domeniconi's treatment of Turkish folk music in works for the solo guitar. In *Variations on an Anatolian Folk Song*, Domeniconi uses the song "Uzun ince bir yoldayım" as source material.[12] *Koyunbaba* is an original composition that uses musical idioms from the Turkish

[11] Ibid.

[12] Ahmet Sönmezler, "Turkish Musical Influences upon Carlo Domeniconi's Variations on an Anatolian Folk Song and Koyunbaba: Implications for Performance," DMA diss., University of Arizona, 2013, ProQuest (3597836), 62.

folk tradition. Sönmezler states that Domeniconi uses "modes, melodic organizations, rhythmic organizations, chordal organizations, and instrumental techniques of Turkish string instruments" to include "Turkish folk music ideals" in his works.[13]

Another example of folk music arranging in twentieth-century classical guitar literature is Dušan Bogdanovic's *Six Balkan Miniatures*. Most of this work is original material that uses Balkan musical idioms, but also includes an arrangement of a traditional folk melody in the third movement.[14] Benjamin Britten arranged traditional English folk music for guitar and voice in his *Folksong Arrangements*. The influence of folk music can be seen in guitar compositions by Augustin Barrios, Heitor Villa-Lobos, Leo Brouwer, and many others.

The influence of folk music on the literature of the classical guitar is incalculable. When the scope is narrowed from "folk-inspired" works to guitar arrangements of traditional folk tunes, there is still a vast amount of material to be considered. The remainder of this chapter will focus on three arrangements of folksongs by Fernando Sor, Mauro Giuliani, and Miguel Llobet. These works can

[13] Ibid., 76.

[14] Jane Curry, "Balkan Ecumene and Synthesis in Selected Compositions for Classical Guitar by Dušan Bogdanović, Nikos Mamangakis and Ian Krouse," DMA diss., University of Arizona, 2010, ProQuest (3434345), 40.

serve as representative examples of the ways guitar composers have historically approached arranging folksong for the instrument in solo works.

**2.1 Fantaisie et Variations sur un Air Écossais, op. 40**

Fernando Sor's *Fantaisie et Variations sur un Air Écossais*, op. 40 (translated to *Fantasy and Variations on a Scottish Air*) is a work in theme and variations form that uses the tune now known as "Ye Banks and Braes" as source material for the theme. Sor (1778-1839) was one of the most important guitarists of the late eighteenth and early nineteenth centuries. While he is best known as a guitar composer and performer, he also wrote ballets (including *Cendrillon*, 1822), operas (including *Il Telemaco nell'isola di Calipso*, 1796), symphonies, chamber works, and vocal music.[15]

*Fantasy and Variations on a Scottish Air* was composed around 1829 and dedicated to Mary Jane Burdett, one of Sor's students.[16] In the preface to an edition of the score published by Tecla in 1982, Brian Jeffrey traces the origin of the melody for "Ye Banks and Braes" back to Scottish fiddler Niel Gow. Gow published this melody in 1794 in *A Second Collection of Strathspey Reels* under the title "The Caledonian Hunt's Delight."[17] Like most pieces of folk music, the first

[15] Brian Jeffery, "Sor [Sors], (Joseph) Fernando," *Grove Music Online*, accessed February 11, 2023, http://www.oxfordmusiconline.com.

[16] Brian Jeffery, "Sor: Variations on a Scottish Theme, Op. 40 for Solo Guitar," Tecla Editions, 1982, https://tecla.com/fernando-sor/sor-variations-on-a-scottish-theme-op-40-the-complete-preface/.

[17] Ibid.

publication of a tune does not necessarily reveal its true origin or composer. Jeffrey goes on to cite William Chapel's *Popular Music of the Olden Time* (1859), in which Chapel suggested that the melody has English origins.[18]

An article entitled "New Lights Upon Old Tunes," published in an 1896 issue of *The Musical Times*, dissects Chapel's attribution of the tune to an English source. The author credits both Gow's instrumental arrangement and Robert Burns' setting of the melody to text under the title "The Banks o' Doon" (1792) as the earliest publications of the tune.[19] Brian Jeffrey also discusses Burns' contribution to the development of the song. Notably, the article in *The Musical Times* posits that the melody for "The Caledonian Hunt's Delight" may have evolved from an early melody of a tune entitled "The Foggy Dew."[20] "The Foggy Dew" undoubtably has English origins. This tune and John Duarte's use of it in *Appalachian Dreams* will be discussed in detail in chapter four.

The scholarly consensus is that Niel Gow's "The Caledonian Hunt's Delight" represents the earliest known source of melody for the tune that developed into "Ye Banks and Braes." Burns' version, while published two years earlier, likely based its melody on Gow's. See Gow's melody in figure 2.1.

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[18] Ibid.

[19] "New Lights upon Old Tunes. No. VII. 'Ye Banks and Braes,'" *The Musical Times and Singing Class Circular* 37, no. 643 (1896), 593-595, https://doi.org/10.2307/3367313.

[20] Ibid.

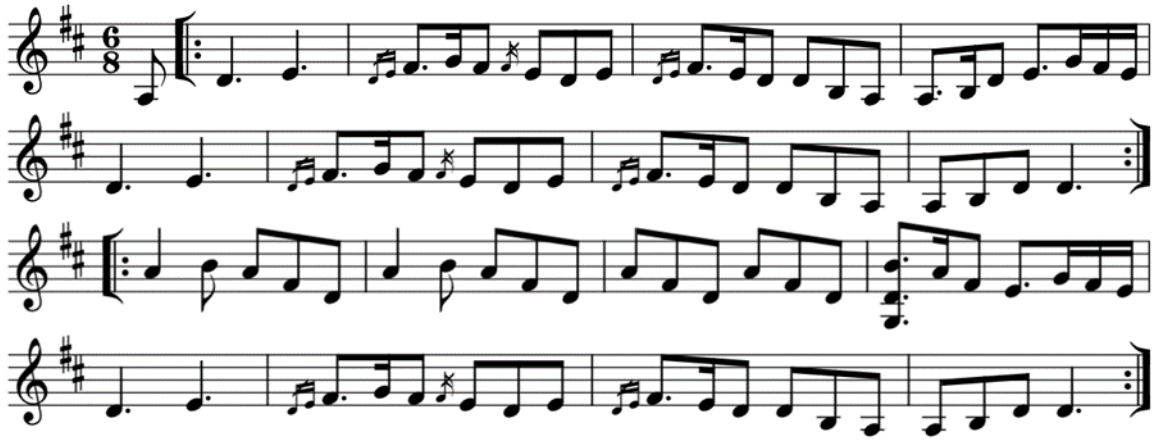

Figure 2.1: Niel Gow's melody for "The Caledonian Hunt's Delight"[21]

Burns' melody was published in volume four of *The Scots Musical Museum* (1792). For comparison, this melody is shown in figure 2.2.

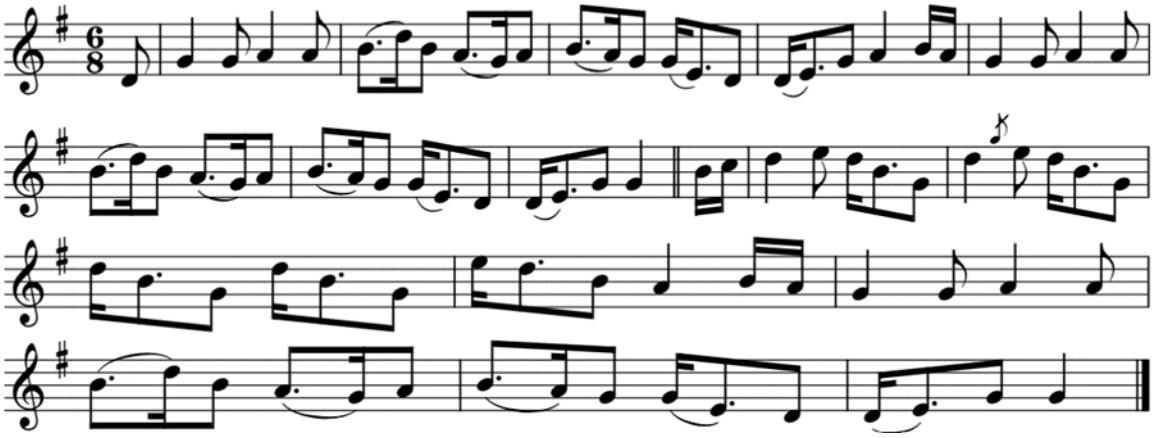

Figure 2.2: Robert Burns' melody for "The Banks o' Doon"[22]

After a twenty-five-measure introduction, Sor's arrangement of the tune is presented as the theme of *Fantasy and Variations on a Scottish Air*. Sor sets the

[21] Niel Gow, *A Second Collection of Strathspey Reels* (Edinburgh: Corri & Sutherland, ca. 1788), 1.

[22] James Johnson, *The Scots Musical Museum*, vol. 4 (Edinburgh: Johnson, 1792), 387.

melody in D major and harmonizes it mostly with thirds. His melody, isolated from the harmonization, is shown in figure 2.3.

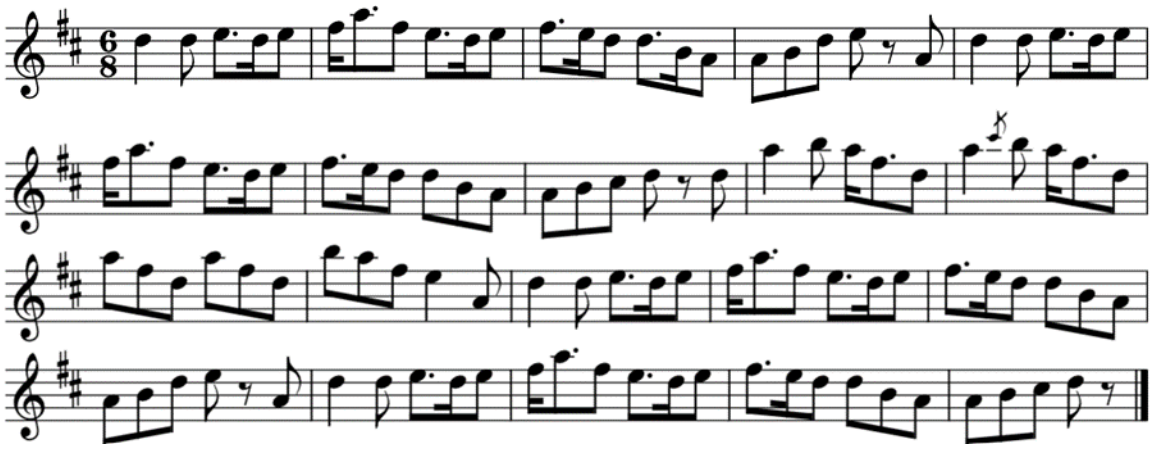

Figure 2.3: Fernando Sor's theme for *Fantasy and Variations on a Scottish Air*[23]

When comparing Sor's melody to those of Gow and Burns, Sor's shares characteristics of both. Sor sets the melody in the same key as Gow and the dotted descending arpeggios in measure eleven of figure 2.3 match those in measure eleven of figure 2.1. Sor skips up a third in measure two (and other occurrences of this melodic idea), which aligns with Burns' melody. The dotted rhythms persist throughout most of the theme, a characteristic more like Burns' melody than Gow's. Sor's arrangement is closest to Burns' "The Banks o' Doon," but was likely also influenced by the Gow publication.

Three variations follow the theme in Sor's work. The first variation alters the harmony and rhythm of the theme, but also makes slight changes to the

[23] Fernando Sor, *Fantasy and Variations on a Scottish Air* (Paris: Pacini, ca. 1830).

melody. Repeated sixty-fourth notes in the inner voice are a recurring ornamental idea in this first variation, and the dotted eighth note-sixteenth note-eighth note rhythm characteristic of the theme does not occur at all in the first variation, although dotted rhythms are still prominent. Some chromatic alterations occur in this variation, namely a G-sharp in measure four and an E-sharp and A-sharp in measure seven. The G sharp in measure four provides smooth voice leading in the lower voice to a root position A major chord, and the E-sharp and A-sharp are chromatic lower neighbors that highlight F-sharp and B. To demonstrate Sor's treatment of the material in the first variation, figure 2.4 shows the opening four-bar phrase.

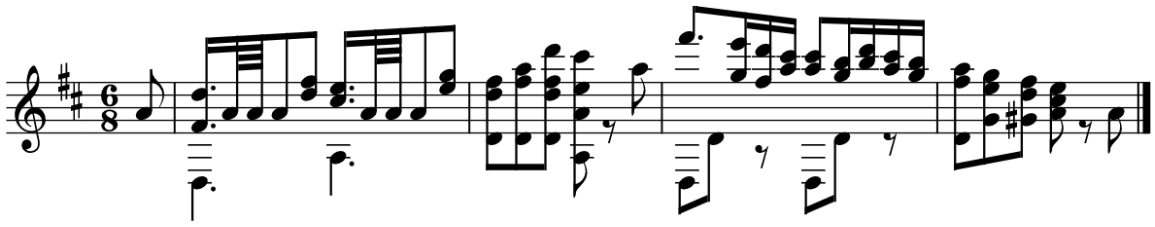

Figure 2.4: The opening phrase of Sor's first variation[24]

The melody is obscured by an incessant stream of sixteenth notes in variation two. It opens with the highest voice running down and back up the D major scale, harmonized in thirds. Fragments of the melody emerge out of the texture in the third and fourth measures. The scalar run returns, and two more measures of fragmented melody return. The compositional technique of

[24] Ibid., mm. 46-50.

alternating thematic material with new, different ideas is notable — Duarte used a similar technique in *Appalachian Dreams*. Figure 2.5 shows how Sor alternated between scalar runs and thematic material.

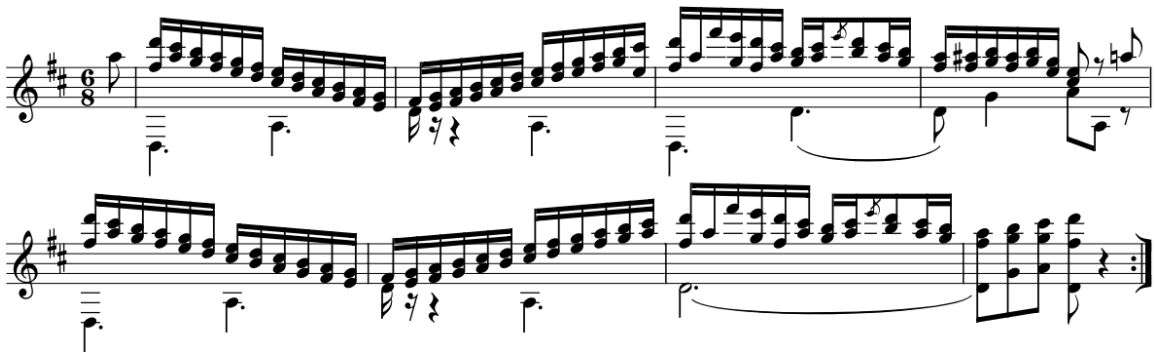

Figure 2.5: Excerpt from Sor's second variation, mm. 46-54[25]

After a repeat sign, the second half of the variation begins with a burst of thirty-second notes. Three-note groupings of descending thirds that return to the starting pitch occur often in this passage, primarily on the pitches A, F-sharp, and A. The material from the opening eight measures returns to conclude the variation.

The third variation is characterized by thirty-second note arpeggio passages alternating with lines of melody played in artificial harmonics. In this variation, Sor again uses the compositional idea of fragmenting the melody into smaller sections and surrounding the fragments with other ideas. The use of harmonics, as seen in this variation, is a common technique in several works

[25] Ibid., mm. 46-54.

analyzed in this document. The opening four measures of the third variation are shown in figure 2.6.

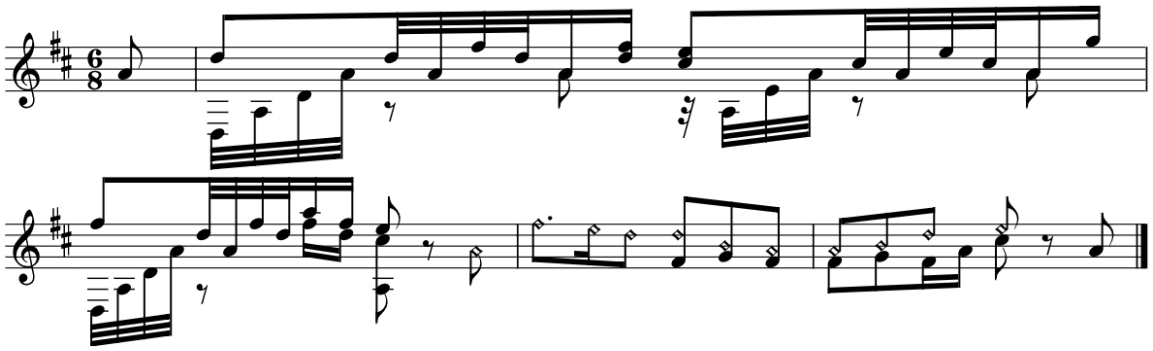

Figure 2.6: Opening of Sor's third variation[26]

After this opening, the melody is varied and embellished throughout the variation. The melody emerges more clearly in the second half of the variation while accompanied with pedal tones on the open D string.

Fernando Sor's *Fantasy and Variations on a Scottish Air* is a virtuosic showpiece that Brian Jeffery calls the equal of his more well-known *Variations on a Theme of Mozart*, op.9.[27] After presenting the theme based on Niel Gow's and Robert Burns' publications, Sor varies it almost beyond recognition throughout the work through alterations in rhythm, harmony, and the melody itself. Arrangement techniques especially relevant to this study include alternating fragments of thematic material with new compositional ideas and varying the timbre of the melody with harmonics.

[26] Ibid., mm. 68-72.

[27] Jeffery, "Sor: Variations on a Scottish Theme."

### 2.2 "The Last Rose of Summer" from *Sei Arie Nazionali Irlandesi*, op. 125

Mauro Giuliani's *Sei Arie Nazionali Irlandesi*, or *Six Irish National Airs*, was published circa 1825 and features substantial arrangements of "Eveleen's Bower," "The Last Rose of Summer," "Miss Bailly," "Robin Adair," "My Lodging is on the Cold Ground," and "Garry Owen." One of the leading guitarists of his time, Giuliani (1781-1829) was an important musical figure in Vienna. He was well-respected as both a performer and composer and was one of the first guitar composers to use a new system of guitar notation that clearly differentiates voices through stem direction and rest placement.[28] This style of notation became the dominant method of notating guitar music, and it is still in use. He composed prolifically for the guitar and, like numerous guitarists of his time, often used themes from operas as source material for theme and variations compositions such as his six *Rossiniane*, op. 119-124.

The second arrangement in Giuliani's *Six Irish National Airs* is "The Last Rose of Summer." This tune has been arranged many times by numerous composers of the Romantic era and the twentieth century. Beethoven included it in both his *Irish Songs* (1816) and *Six National Airs with Variations* (1819), Felix Mendelssohn wrote a piano work entitled *Fantasia on 'The Last Rose of Summer'* in

[28] Thomas F. Heck, preface to *Mauro Giuliani: Oeuvres Choisies pour guitare* (Paris: Heugel & Co., 1975), vi.

1827, and Mikhail Glinka used the melody as the basis of *Theme Ecossais Varie* (1847). Charles Gounod arranged the tune for choir in 1873. Twentieth-century arrangements include works by Max Reger (1903), Paul Hindemith (1944), and Britten (1958).

The earliest published appearance of the tune under the title "'Tis the Last Rose of Summer" was in the third volume of Thomas Moore's *A Selection of Irish Melodies*, published in 1813. Moore attributes the source of his melody to "The Groves of Blarney," but slightly altered the melody in his publication.[29] Moore's melody is shown in figure 2.7.

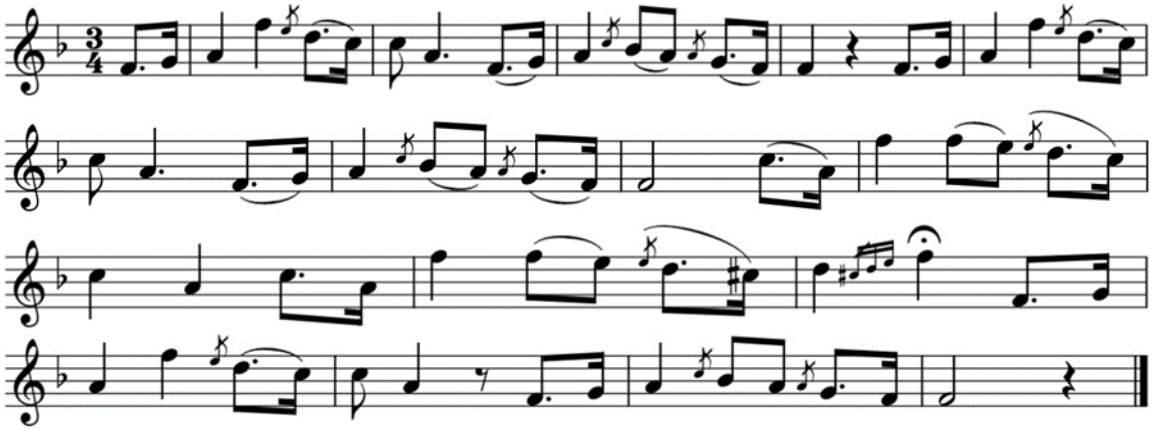

Figure 2.7: Thomas Moore's melody for "'Tis the Last Rose of Summer"[30]

Giuliani sets the tune in G major in his arrangement. Giuliani's melody can be seen in figure 2.8.

[29] James J. Fuld, *The Book of World-Famous Music: Classical, Popular and Folk* (New York: Crown, 1966), 582.

[30] Thomas Moore, *Moore's Melodies*, vol. 1 (New York: E. Ferrett & Co., 1845), 2-3.

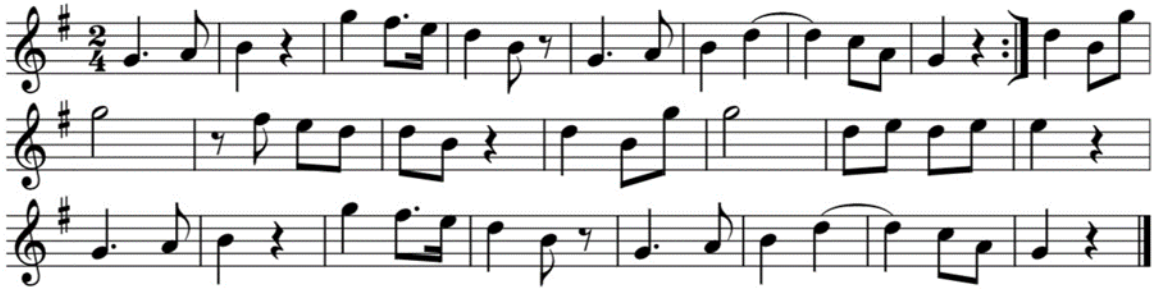

Figure 2.8: Mauro Giuliani's melody for "The Last Rose of Summer"[31]

The arrangement opens with the melody shown in figure 2.8 accompanied by a lower voice in an Alberti bass. The melody is harmonized in thirds in measures eleven, twelve, fifteen, and sixteen. After this material, Giuliani presents a variation in the parallel minor key. In this minor variation, the melody begins with the same ascending stepwise motion as the theme, but instead of an upward leap to G (as seen in measure three), the melody skips down to G. The melody is then repeated a fourth higher, starting from C. The first phrase of the minor variation is shown in figure 2.9.

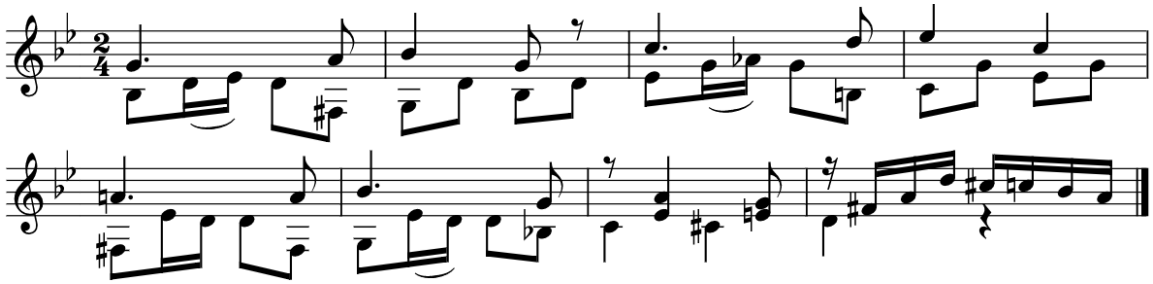

Figure 2.9: Opening phrase of Giuliani's minor variation[32]

[31] Mauro Giuliani, *Sei Arie Nazionale Irlandesi* (Leipzig: Hofmeister, ca. 1827).
[32] Ibid., mm. 25-32.

In the next four measures of this variation the melody is relatively stagnant and moves between scale degrees two, three, and one. Running sixteenth notes conclude the eight-measure phrase and the phrase is repeated, this time ending with a i-V-I cadence in G minor. The bass is more active in this parallel period, alternating between an eighth-sixteenth-sixteenth-eighth-eighth rhythm and the Alberti bass pattern in each measure. The harmony is tinged with frequent F-sharp diminished chords that serve a dominant function before resolving to G minor.

After this sixteen-measure period, new material emerges characterized by increased activity in the harmony and rhythm. The section encompassing measures forty-one through forty-eight can be seen in figure 2.10.

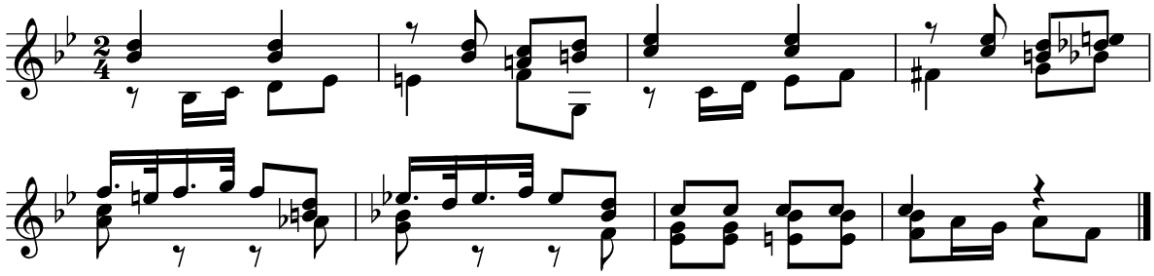

Figure 2.10: "The Last Rose of Summer," mm. 41-48[33]

This modulatory passage continues through measure fifty-two, when a D major arpeggio ends the phrase. The minor variation concludes with the same material from the second phrase of the parallel period that opened it.

[33] Ibid., mm. 41-48.

Giuliani returns to G major in measure sixty-one, this time with a texture dominated by sixteenth-note arpeggio figures. The melodic theme continues within the arpeggiated texture. A countermelody appears in the bass voice, where a G moves down to F-sharp before moving back up to G and outlining a G major triad. Another chromatic alteration occurs in measure sixty-four, where an A-sharp in the bass pushes up to B. The next four measures open with the same melodic and harmonic material, but with an altered arpeggio pattern in measure sixty-six. The eight-measure phrase ends with a V-I cadence in G major. Figure 2.11 shows measures sixty-one through sixty-nine of "The Last Rose of Summer."

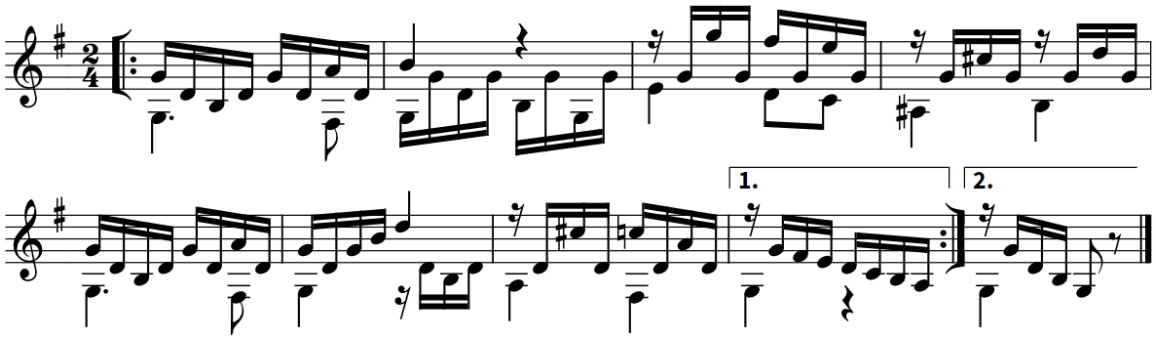


Figure 2.11: "The Last Rose of Summer," mm. 61-69[34]

After a repeat of this phrase, the texture of the next phrase is characterized by sixteenth-note scalar runs that alternate between the bass and treble voices. This continues until measure seventy-nine, when the material from the opening phrase of the major variation is restated. Following this, a coda begins with a

[34] Ibid., mm. 61-69.

sixteenth-note Alberti bass pattern and fragments of melody alluding to the theme. This transitions to a passage of parallel tenths in the outer voices with a pedal D in the inner voice before coming to close on G major chords.

Giuliani's arrangement of "The Last Rose of Summer" shows a free treatment of the source material. Even in the initial presentation of the theme, the melody is altered from its source to better accommodate the instrument. Giuliani uses the common variation technique of setting the melody in a parallel minor key and uses idiomatic writing for the instrument to create variety throughout the arrangement. Frequent chromatic alterations create smooth voice leading, and the work demands a virtuosic technique to navigate sixteenth note arpeggio and scale passages. After the initial presentation of the melody in the theme, it is almost unrecognizable throughout the variations. This arrangement is also notable for its compressed form — typically, Giuliani's works in theme and variations form features a first variation in eighth notes, a second variation in triplets, a third variation in sixteenth notes, a fourth variation in a parallel or relative minor key, one or two more variations, and a coda. In "The Last Rose of Summer," the minor variation appears first and is followed by only two other variations.

### 2.3 "El Mestre" from *Diez Canciones Populares Catalanas*

Miguel Llobet Soles (1878-1938) was a Spanish guitarist, composer, and arranger whose career included concert tours of Europe, South America, and the United States.[35] A pupil of Francisco Tárrega, Llobet was a pioneering figure. Manuel de Falla's 1920 work *Homenaje pour le tombeau de Claude Debussy*, written for Llobet, was the first piece composed for guitar by a major non-guitarist composer in the twentieth century. Llobet also made the first recordings of classical guitar music in 1925.[36]

Llobet's most well-known works are his arrangements of Catalan folk tunes, *Diez Canciones Populares Catalanas*, composed between 1899 and 1918. Of these arrangements, "El Mestre" (1910) stands out. The arrangement received high praise from leading classical guitarists of the twentieth century. Emilio Pujol said the arrangement was "harmonically one of the most advanced works of its time for the guitar."[37] In his autobiography Andrés Segovia called the work "the most beautiful of Catalan songs which Llobet harmonized and scored for the

[35] Ronald C. Purcell, "Llobet Soles, Miguel," *Grove Music Online*, accessed February 11, 2023, http://www.oxfordmusiconline.com.

[36] Ibid.

[37] Ronald Purcell, introduction to *Nueva Colección Llobet* by Miguel Llobet, (Heidelberg: Chanterelle, 1989), iii-iv.

guitar" and wrote that "the effective 'orchestration' of its tone color and its delicious dissonances play on the plaintive character of that folk theme."[38]

An example of this melody under the title "Lo Mestre" is shown in figure 2.12. This transcription comes from a pamphlet published in Spain around 1890.

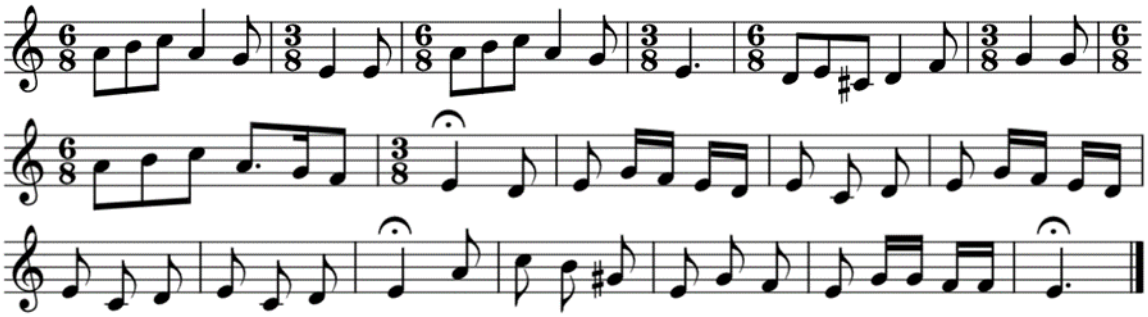

Figure 2.12: 1890 melody for "Lo Mestre"[39]

Catalan folklorist Joan Amades published the melody of "El Mestre" in *Folklore de Catalunya – Cançoner* (1951). Although this melody was published decades after Llobet's arrangement of "El Mestre," Amades' melody has been cited as source material for Llobet's by Ronald Purcell in the introduction to *Nueva Colección Llobet*[40] and by Robert Phillips in his 2002 dissertation "The Influence of Miguel Llobet on the Pedagogy, Repertoire, and Stature of the

[38] Andrés Segovia, *Andrés Segovia: An Autobiography of the Years 1893-1920*, ed. Tana de Gámez, trans. W. F. O'Brien (New York: Macmillan, 1976), 100.

[39] Roberto Martinez de Rio, "Cançó Popular: Lo Mestre," museodelestudiante.com (The International Museum of the Student, 2018), https://www.museodelestudiante.com/Pliegos_de_Cordel/LoMestreAA.htm.

[40] Purcell, introduction to *Nueva Colección Llobet*, iv.

Guitar in the Twentieth Century."[41] Despite its much later publication date, the Amades melody is identical to the 1890 version except for the meter. Amades' melody is shown in figure 2.13.

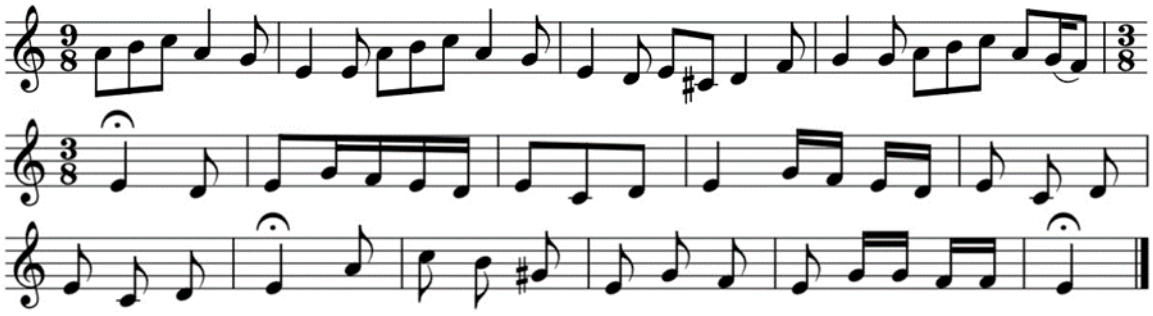

Figure 2.13: Joan Amades' melody for "El Mestre"[42]

The pitch contents of both Amades' 1951 melody and the 1890 melody are identical to Llobet's 1910 arrangement. The only differences between the three are in their meters. While the publication date of the Amades melody makes Purcell and Phillips' citation of it as source material for Llobet misleading, the melody as Amades published it was known in Llobet's time and earlier. Llobet's melody is shown in figure 2.14.

[41] Robert Phillips, "The Influence of Miguel Llobet on the Pedagogy, Repertoire, and Stature of the Guitar in the Twentieth Century," (DMA diss., University of Miami, 2002), ProQuest (3050736).

[42] Purcell, introduction to *Nueva Colección Llobet*, iv.

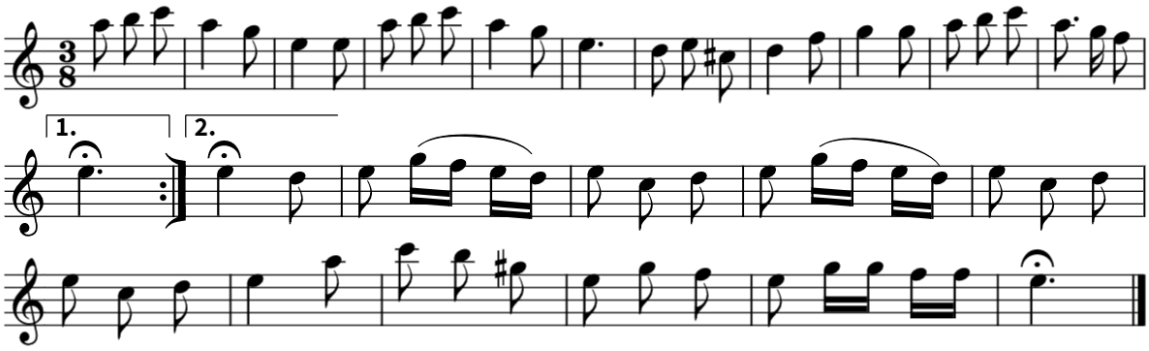


Figure 2.14: Llobet's melody for "El Mestre"[43]

In Llobet's arrangement, harmony is the primary interest. Throughout the arrangement, Llobet idiomatically uses the instrument to achieve various timbral effects. The arrangement begins with an A minor harmony in the first measure before moving to a B diminished seventh chord in measure two. Measure three starts with an E in both the melody and bass, and a D dominant seventh chord appears in the inner voice on beat two before moving to an E major chord in first inversion on beat three. These three measures constitute the first phrase, and the next three repeat the same melody but with a varied harmonization.

Measure four is identical to measure one, but in measure five a G is held in the bass. On beat two, a chord stacked in fourths containing the pitches F, B, and E from low to high appears. The E resolves down to a D-sharp to create a G augmented seventh chord. The melody in measure six is harmonized with C major seventh and C-sharp diminished seventh chords. These harmonies are

[43] Miguel Llobet, *El Mestre* (Heidelberg: Chanterelle, 1989), 10.

created by contrary motion between the inner voice (descending from B to B-flat) and the bass voice (ascending from C to C-sharp). In the opening six measures, Llobet has already used harmony to create contrast and forward motion in the arrangement.

The next three-bar phrase begins in measure seven. The harmony begins with a D minor triad in first inversion as the falling chromatic line in the inner voice continues its descent from B-flat to A. Later, in measure ten, Llobet places the melody and inner voice in retrograde with each other — the melody notes A, B, and C are paired with C, B, and A in the inner voice. The opening section ends on the dominant E major chord and is repeated. Measures one through twelve of "El Mestre" are shown in figure 2.15.

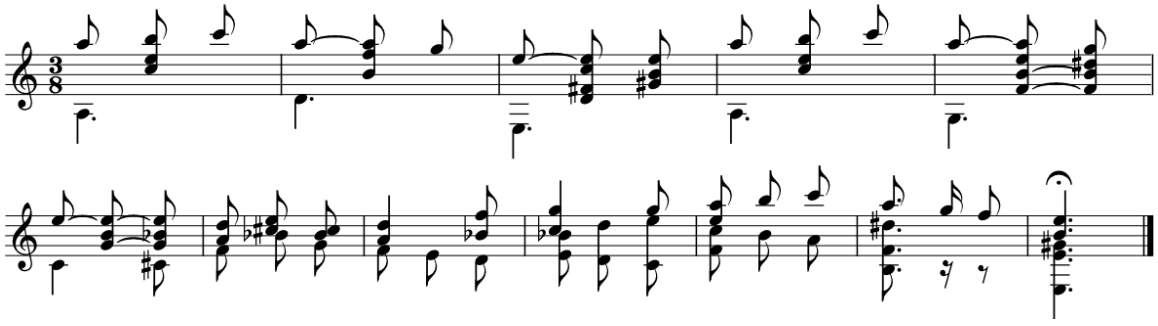

Figure 2.15: "El Mestre," mm. 1-12[44]

After this opening section, Llobet moves to the melody seen in measure fourteen of figure 2.14. The harmonic rhythm slows in the beginning of the

[44] Ibid., mm. 1-12.

section — the first three measures are harmonized with a C major chord, an F dominant seventh chord, and a C major chord, respectively. The harmony becomes more active in measures seventeen and eighteen where we see an example of the harmony functioning "horizontally," driven by contrary motion. In beats two and three of measure eighteen, the C moves up to D and the B moves down to A. This phrase concludes with an E major chord. To demonstrate this "horizontal" harmony, measures sixteen through nineteen are shown in figure 2.16.

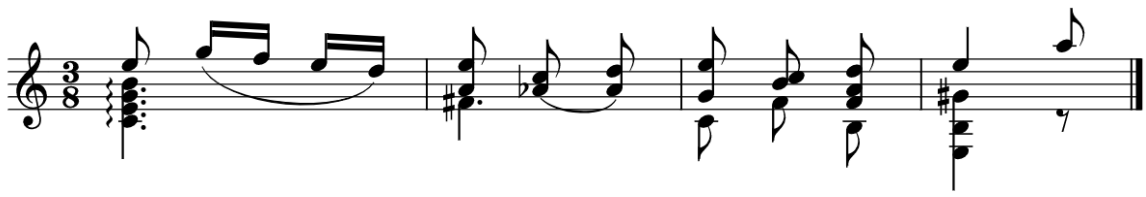

Figure 2.16: "El Mestre," mm. 16-19[45]

The next phrase starts in measure twenty with the melody harmonized by sixths below it. This phrase is harmonically dense and contains further instances of Llobet's use of voice-leading to inform his harmonic decisions. For example, on beat two of measure twenty-one a dissonant triad containing the pitches G-sharp, D, and G-natural (from low to high) moves to a D minor chord on beat three as the outer voices move in contrary motion while the inner voice stays stagnant. Measure twenty-two provides some rhythmic interest as a thirty-

[45] Ibid., mm. 16-19.

second note, sixteenth note, thirty-second note pattern in the bass weaves around the even sixteenth notes in the melody. This phrase concludes the first presentation of the entire melody of "El Mestre," and is shown in figure 2.17.

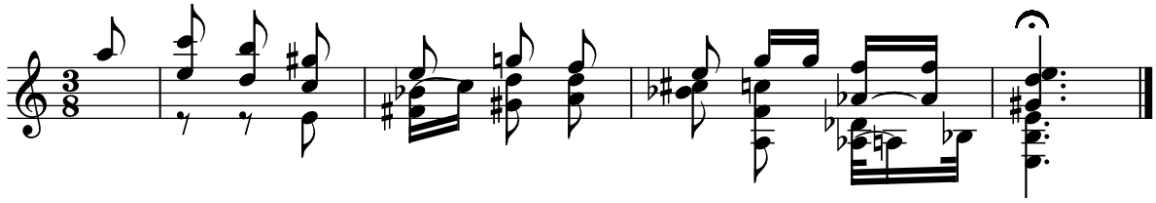

Figure 2.17: "El Mestre," mm. 19-23[46]

In measure twenty-four, the melody begins again but played on the fourth string. The melody in its new register is shown in figure 2.18.

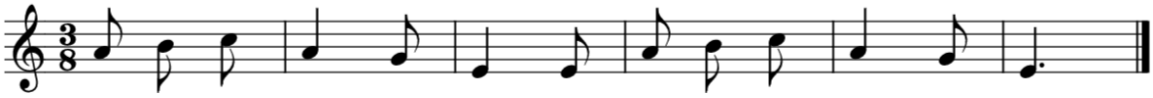

Figure 2.18: Melody for "El Mestre," mm. 24-29[47]

Llobet again adds harmonic, textural, and timbral variety in this new section. A quartal harmony appears on beat two on measure twenty-four, with the B in the melody paired with an E and A above it. The notes in the higher voice remain separated by a fourth throughout the three-bar phrase, and the phrase concludes with an E dominant seventh chord. Just as measures one and four were identical in the opening of the arrangement, measure twenty-seven is

[46] Ibid., mm. 19-23.

[47] Ibid., mm. 24-29.

identical to measure twenty-four in this passage. The harmonic accompaniment is again varied in measure twenty-eight.

Pizzicato chords enter at measure thirty and continue through measure thirty-three, and the melody is transferred back to the highest voice. Measure thirty-one contains another example of stepwise contrary motion driving the harmonic progression, this time between the lowest two voices. In measure thirty-two the bass continues ascending by step, while the inner voice recalls the sixteenth note rhythm seen in measure twenty-two but places it in a different part of the tune. The sixteenth-note pitches descend through F, E, D, and D-flat. The phrase concludes with octave Es in measure thirty-five. Measures thirty through thirty-five are shown in figure 2.19.

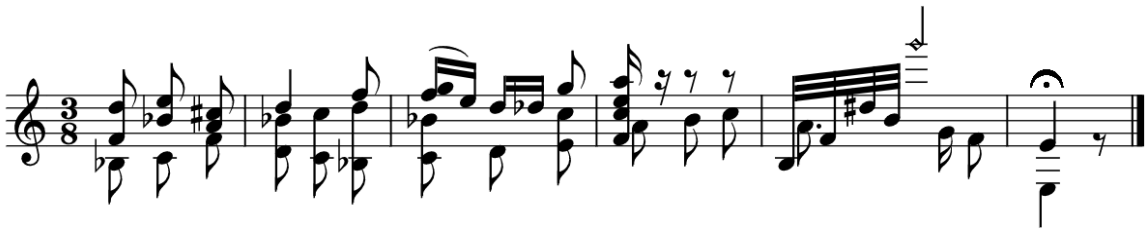

Figure 2.19: "El Mestre," mm. 30-35[48]

As the melody continues, Llobet employs harmonics to create yet another timbral effect. The melody in harmonics is lightly accompanied throughout the six-bar phrase, and this phrase ends with an E major harmony. The final phrase of this section (corresponding to the melody seen in the last four-and-a-half

[48] Ibid., mm. 30-35.

measures of figure 2.14) is also altered from the first presentation and concludes with an A major triad in measure forty-five. This section, beginning with the melody in harmonics, is shown in figure 2.20.

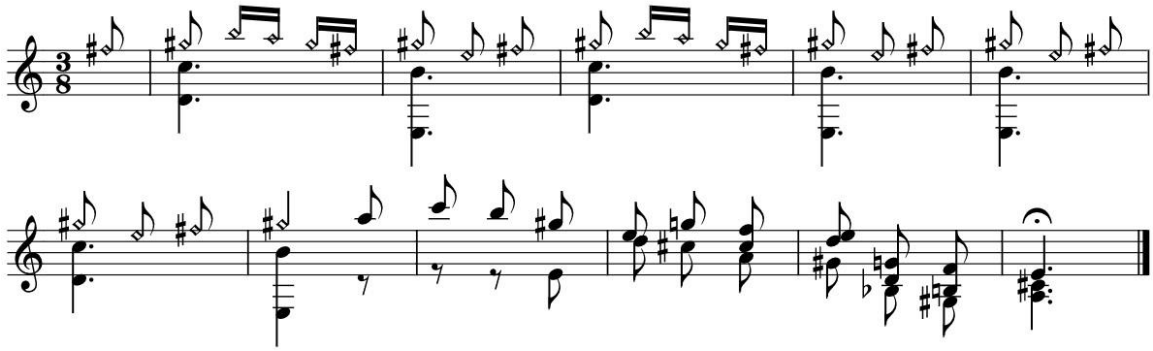

Figure 2.20: "El Mestre," mm. 35-45[49]

To bring the arrangement to a close, Llobet revisits fragments of earlier sections. Measures fifty-two through fifty-four are a restatement of the opening three measures, and the melody continues in the inner voice in the next three measures with a restatement of the material from measures twenty-seven through twenty-nine. The next phrase is a direct restatement of measures thirty through forty-three. In measure seventy-two, the melody in sixteenth notes first seen in measure twenty-two is again presented with a different accompaniment and resolves to E major. Measures seventy-two and seventy-three are shown in figure 2.21.

[49] Ibid., mm. 35-45.

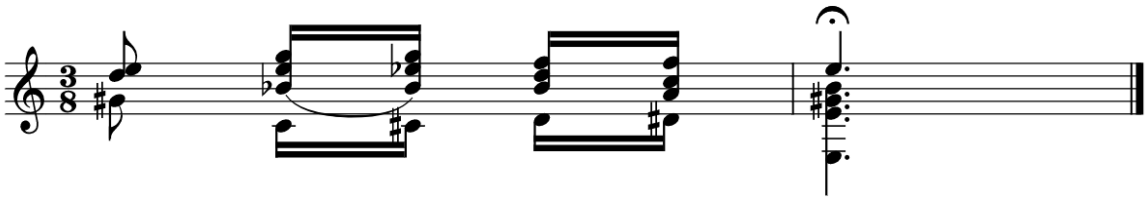

Figure 2.21: "El Mestre," mm. 72-73[50]

The arrangement concludes with a six-measure coda featuring chords in natural harmonics and ends on Es spread across three octaves.

Llobet's arrangement of "El Mestre" shows his mastery of the harmonic, textural, and timbral capabilities of the instrument. Harmony is often thought of "horizontally" as opposed to "vertically" — voice leading is given high priority. The melody is consistently harmonized in different ways throughout the arrangement, and effects such as *pizzicato* and artificial harmonics further add contrast and variety. Llobet also used changes of register to create timbral effects. Just as Llobet moved the melody to the fourth string in "El Mestre," John Duarte would later use the same compositional technique in *Appalachian Dreams*.

The three arrangements of folk tunes for classical guitar discussed in this chapter provide examples of how this process has been approached historically. Sor and Giuliani used a traditional theme and variations form in their arrangements. The melodic variations are developed to a point where they become almost unrecognizable from the original theme, much like the ballad

[50] Ibid., mm. 72-73.

variations and *plus diminueé* of the renaissance lute repertoire. Llobet retained the same melodic pitch-class content throughout his arrangement, and he used the harmonic accompaniment and timbre of the melody to create variation and contrast. All three composers expanded the harmonic accompaniment far beyond what would typically be heard in a folk-style performance of the tunes.

Both Sor and Llobet also fragmented the melodic themes in different ways. Sor alternated between measures of varied melodic material and measures of new material, while Llobet revisited fragments of material from earlier in the arrangement and reorganized them to conclude the piece. Both fragmentation techniques seen in the arrangements by Sor and Llobet will also be used by Duarte in *Appalachian Dreams*.

# CHAPTER 3

# APPALACHIAN FOLK MUSIC: A BRIEF OVERVIEW

The folk music of Appalachia is indicative of a blending of cultures. In *Appalachian Dreams*, John Duarte includes arrangements of traditional Irish music, folk songs from different regions of Appalachia (songs that developed from English, Irish, or Scottish ballads, as well as others that originated in the United States), and a religious hymn. In addition to the influence of music from the British Isles on the Appalachian folk repertoire, African and African American instruments and performance practices also played a significant role in the development of this musical tradition. This tradition developed in relative isolation throughout the nineteenth century and was passed along orally; efforts to document the music through transcription or recording were not widely undertaken until the early twentieth century. To contextualize the music used in *Appalachian Dreams*, this chapter will provide a brief overview of the history of the Appalachian people, some important characteristics of their traditional folk music, and the musicologists and folklorists who provided early documentation

of the music and culture.

### 3.1 The People of Appalachia

Cecil Sharp's *English Folk Songs from the Southern Appalachians* (1917) contains an interesting description of the people of Appalachia as he saw them on his travels in the early twentieth century. When writing about his experience in what he called "Laurel Country," North Carolina (the towns he mentioned lie in Madison County) he said that "the inhabitants. . . are the direct descendants of the original settlers who were emigrants of England and, I suspect, the lowlands of Scotland."[1] He also claimed that

> the region is from its inaccessibility a very secluded one. There are but few roads — most of them little better than mountain tracks — and practically no railroads. Indeed, so remote and shut off from outside influence were, until quite recently, these sequestered mountain valleys that the inhabitants have for a hundred years or more been completely isolated and cut off from all traffic with the rest of the world.[2]

[1] Cecil Sharp and Olive Campbell, *English Folk Songs from the Southern Appalachians* (New York: G.P. Putnam's Sons, 1917), iv.

[2] Ibid.

Sharp was visiting from England, and while his account is a valuable source of an outsider's perception of the region at that time, it has been criticized for its inaccurate and white-washed depiction of the Appalachian population.[3] In reality, immigrants and their descendants from many areas of Europe, enslaved African Americans, freedmen, and descendants of enslaved peoples, and Native Americans who remained in the region all contributed to Appalachian culture.

The original inhabitants of the Appalachian Mountains were Native Americans, primarily members of the Cherokee Nation. As was the case all over the Americas, the indigenous population began to decline after European contact and settlement.[4] The passage of the Indian Removal Act in 1830 led to the forced removal of the Cherokee people from the Appalachians in 1838, when nearly 20,000 people were forced to travel the "Trail of Tears" for resettlement in Oklahoma. Of these 20,000, around 5,000 died on the journey. However, several hundred members of the Cherokee Nation escaped and settled in the mountains of western North Carolina.[5] This area would become known as the Qualla Boundary, and the United States did not officially recognize the right of the

[3] Fred J. Hay, "Black Musicians in Appalachia: An Introduction to Affrilachian Music," *Black Music Research Journal* 23, no. 1/2 (2003): p. 5, https://doi.org/10.2307/3593206.

[4] Susan Emley Keefe and Thomas Plaut, "Susan Emley Keefe: Appalachia and Its People," in *People, Politics and Economic Life: Exploring Appalachia with Quantitative Methods* (Appalachian State University, 1996), 4. https://doi.org/10.2307/j.ctt1xp3m1b.5.

[5] Richard B. Drake, *A History of Appalachia* (Lexington, KY: The University Press of Kentucky, 2003).

Cherokee people to inhabit the land until 1866.[6] Members of the Cherokee Nation still live in this area today.

An African American population has been present in the mountains since the sixteenth century, when Spanish and French explorers brought enslaved peoples into the region. Prior to the Civil War, there were also communities of escaped slaves and free African Americans.[7] Slavery was practiced in the mountains and grew throughout the nineteenth century until emancipation.[8] After emancipation, work in the coal mines influenced an influx of African American migration to the mountains. In 1860, around 15,000 African Americans lived in Central Appalachia, but the population rose to around 90,000 by 1920.[9] Black Appalachian musicians made massive contributions to the development of Appalachian folk music, both in vocal performance styles and in the introduction of the banjo to the region.

Of the early European settlers in the Appalachians, the majority were Scotch-Irish. This group migrated from Northern Ireland and began settling in the mountains in the eighteenth century. German immigrants also made up a

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[6] Michael Hill, "Qualla Boundary," ed. Alyssa Putt, NCpedia (North Carolina Government & Heritage Library, July 2022), https://www.ncpedia.org/qualla-boundary.

[7] Keefe, *People, Politics, and Economic Life*, 4.

[8] Cecelia Conway, "Mountain Echoes of the African Banjo," *Appalachian Journal* 20, no. 2 (1993): 149. http://www.jstor.org/stable/40933510.

[9] Keefe, *People, Politics, and Economic Life*, 5.

substantial portion of the European population in the Appalachians — many first settled in Pennsylvania or Virginia before moving deeper into the mountains throughout the eighteenth and nineteenth centuries. Around one-third of the European population were English, and the English settlers were often in positions of power in their communities.[10] After the Civil War, coal mining also attracted further European immigration. More immigrants of English, Irish, and Scottish descent arrived in the area along with people from Italy, Hungary, Poland, Russia, and Czechoslovakia in the late nineteenth and early twentieth centuries.[11]

Clearly, Cecil Sharp's depiction of the Appalachian people in the early twentieth century is reductive. Sharp paints a picture of a region of descendants of English immigrants whose isolation preserved elements of an older culture long lost in England. Appalachia had a diverse culture of people with European, African, and Native American heritages. Whether Sharp excluded these other cultures because of lack of exposure to them during his travels or by conscious omission is impossible to say, but he was certainly unaware of how a blending of these cultures contributed to the music he was collecting.

[10] Drake, *A History of Appalachia*.
[11] Keefe, *People, Politics, and Economic Life*, 5

### 3.2 Characteristics of Appalachian Folk Music

A discussion of the repertoire, instrumentation, and performance practice of traditional Appalachian music will prove beneficial in developing a clearer understanding of the source material in *Appalachian Dreams*. While a large portion of the repertoire is indebted to the ballad traditions of England, Ireland, and Scotland, the typical instruments used are associated with a wider variety of cultures. In any discussion of Appalachian folk music, performance practice is of utmost importance. While transcriptions of performances are valuable in tracing the development of tunes, it is often difficult to accurately notate many characteristic elements of the performance, such as vocal pitch slides.

The repertoire of traditional Appalachian folk music can be divided into four categories: ballads, songs, instrumental dance tunes, and religious music. All four of these categories are represented in *Appalachian Dreams*, and all four are mentioned in the preface to Cecil Sharp and Olive Dame Campbell's 1917 book *English Folk Songs from the Southern Appalachians*. In the preface, Sharp distinguishes between the two types of secular vocal music:

> Broadly speaking, however, the ballad is a narrative song, romantic in character and, above all, impersonal, that is to say, the singer is merely the narrator of events with which he personally has no connection and for

which he has no responsibility. The song, on the other hand, is a far more emotional passionate utterance and is usually the record of a personal experience – very frequently of an amatory nature.[12]

Another important distinction between the ballads and songs is their background and history. The ballads can often be traced back to England, Ireland, or Scotland, while the songs are typically more recent and native to the region. Sharp writes: "the texts of the first thirty-seven ballads in this book are all recorded, most of them in various forms, in Professor Child's *English and Scottish Ballads*. The remaining eighteen ballads were either deliberately excluded by Child from his collection — no doubt for some very good reason — or were unknown to him."[13] He later writes: "Some of the song-texts are quite new to me and are not to be found, so far as I have been able to discover, in any of the standard English collections."[14]

Sharp stated that nearly all performances of vocal music that he witnessed were unaccompanied, writing "I came across but one singer who sang to an instrumental accompaniment, the guitar, and that was in Charlottesville, VA,"

[12] Sharp and Campbell, *English Folk Songs*, xii.
[13] Ibid., xiii.
[14] Ibid., xiii-xiv.

but also that "Mrs. Campbell, however, tells me that in Kentucky, where I have not yet collected, singers occasionally play an instrument called the dulcimer."[15] Instrumental music was a less common occurrence in Sharp's fieldwork. He wrote that "the only instrumental music I heard were jig tunes played on the fiddle."[16] While Sharp did not focus on religious music, he mentioned that upon asking people to perform for him, they "very often . . . misunderstood our requirements and would give us hymns instead of the secular songs and ballads which we wanted."[17]

While the line between ballad and song can often be blurry, Sharp's definition is generally agreed upon. In *Southern Mountain Folksongs: Traditional Songs from the Appalachians and the Ozarks*, W.K. McNeil says that "ballad is the term applied to traditional songs that tell a story, while folksong is reserved for those numbers that do not contain a narrative."[18]

Popular styles of instrumental music in the traditional Appalachian folk style include fiddle tunes and string band music. Many of the fiddle tunes can be traced to Irish dance forms, including the jig, reel, and hornpipe.[19] In her article

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[15] Ibid., x.

[16] Ibid.

[17] Ibid., ix.

[18] W.K. McNeil, *Southern Mountain Folksongs* (Little Rock, AR: August House Publishers, Inc., 1993), 15.

[19] Linda C. Burman-Hall, "Southern American Folk Fiddle Styles," *Ethnomusicology* 19, no. 1 (1975): 53. https://doi.org/10.2307/849746.

*Southern American Folk Fiddle Styles*, Linda Burman-Hall writes that these traditional fiddle tunes "are invariably in duple meter . . . variously indicated as 2/4, 4/4, or 6/8, with the widespread 9/8 class of the British Isles found only very rarely in our tradition."[20] Burman-Hall also writes that "besides the tradition of dance music, the fiddler usually knows one or more British-American airs of the same form and meter as the dance tunes" and that these airs are played "with a freer and more lyrical manner of rendition, and often with a special story, tradition and perhaps programmatic effects."[21]

String bands also provided instrumental music in the Appalachian folk tradition. In the mid-nineteenth century these bands typically featured fiddle and banjo players, but expanded to include instruments like the guitar and mandolin by the twentieth century.[22] The pairing of fiddle and banjo traces to the musical practices of enslaved people in the United States since at least the 1740s, and the contributions of Black musicians to this tradition are of utmost importance.[23] The availability of guitars in mail-order catalogs helped this instrument's incorporation into the string band in the early twentieth century.[24] The repertoire

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[20] Ibid.

[21] Ibid.

[22] Cecelia Conway, "Black Banjo Songsters in Appalachia," *Black Music Research Journal* 23, no. 1/2 (2003): 156. https://doi.org/10.2307/3593213.

[23] Ibid., 151.

[24] Amy Kotsonis, "Appalachian Folksongs in the Choral Setting: Regional History, Traditional Performance Practice, and Guidelines for Arranging and Performance" (PhD diss., Florida State University, 2014), 70, ProQuest (3625890).

of string bands in Appalachia consisted primarily of dance music, and there was much cross-over with the fiddle tune repertoire.

Religious music was common in the Appalachian folk tradition. In her article "Appalachian Traditional Music: A Short History," Debby McClatchy writes that "religious music, including white country gospel, was probably the most prevalent music heard in Appalachia."[25] Notable types of Appalachian religious music include revival spiritual songs and shape-note gospel hymnody. McClatchy states that revival spiritual songs "directly arose out of the call and response of the African song tradition" and that they "were popularized among the white inhabitants after the revival circuit started in Kentucky in 1800."[26] Southern gospel hymns, like those sung in the southern Appalachians, were distinct from northern hymns of the nineteenth century in that they typically use pentatonic scales, reminiscent of folk song.[27]

The typical Instrumentation of traditional Appalachian folk music, while touched on above, included the fiddle, banjo, and (less commonly) the dulcimer and later grew to include instruments such as the guitar and mandolin. While the

[25] Debby McClatchy, "Appalachian Traditional Music: A Short History," Musical Traditions (*Musical Traditions Internet Magazine*, June 27, 2000), https://www.mustrad.org.uk/articles/appalach.htm.

[26] Ibid.

[27] Harry Eskew, "Shape-note Hymnody," *Grove Music Online*, rev. James C. Downey, accessed February 11, 2023, http://www.oxfordmusiconline.com.

fiddle, or instruments like it, are common in the music of many cultures, the banjo and dulcimer are often closely associated with Appalachian music. The banjo is an African instrument, and typically had four strings in the late eighteenth and early nineteenth centuries until the five-string banjo appeared around 1840. The addition of the fifth string expanded the range of the instrument and aided in adapting fiddle tunes to it.[28]

The dulcimer was popularized by Jean Ritchie and John Jacob Niles, who often accompanied themselves with this instrument. Charles Seeger describes the Appalachian dulcimer as a fretted chordophone with "three or four metal strings, rarely five."[29] The instrument was typically held either across the player's lap or with one end resting on a table and plucked or strummed with a quill plectrum while the fingers or a piece of bone could be used to fret notes. Seeger also mentions that the instrument could be played with a bow, although this was rarely done.[30] The origins of the instrument are debated, although it is closely related to zithers built in Germany, Norway, Sweden, and Denmark.[31] The instrument may have been brought into the Appalachians by German immigrants moving from Pennsylvania.[32]

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[28] Conway, *Black Banjo Songsters*, 154.

[29] Charles Seeger, "The Appalachian Dulcimer," *The Journal of American Folklore* 71, no. 279 (1958), 41, https://doi.org/10.2307/537958.

[30] Ibid., 42.

[31] Ibid., 46.

[32] Kotsonis, "Appalachian Folksongs in the Choral Setting," 68-69.

The guitar first appeared in Appalachian music around the turn of the twentieth century, and originally provided harmonic accompaniment to instrumental music. As the century progressed, it rose in prominence and began to be featured as a melodic instrument.[33] Mandolins were often paired with guitars, especially in the early twentieth century. The popularity of the mandolin in Appalachian music waned until the instrument was revitalized in part due to the success and influence of Bill Monroe.[34] Other instruments sometimes seen in this tradition include the jaw harp, mouth bow (a Native American instrument similar to a jaw harp), autoharp, washboard, and washtub bass.

In Ruth Crawford Seeger's preface to John and Alan Lomax's collection *Our Singing Country*, Seeger lists sixteen suggestions for singing the songs contained in the work. These suggestions can provide insight into the traditional performance practices associated with this musical style. A few suggestions include "do not sing 'with expression' or make an effort to dramatize. . . maintain a level of more or less the same degree of loudness or softness from beginning to end of the song," "do not slow down at the end of phrases, stanzas, or songs," and "do not 'punch' or 'typewrite out' each tone. . . when two or more tones are to be sung to one syllable of text, bind them together rather than articulate each

[33] Ibid., 70.
[34] Ibid.

separately." Often, transcribers used grace notes to indicate slides in pitch rather than distinct notes. Seeger also writes "do not make too much difference between major and minor degrees, in songs containing both. . . many such tones are merely 'closer to minor than major,' or vice versa," "do not hesitate to sing without accompaniment," and "when singing without accompaniment, do not make noticeable pause between stanzas." When singing with accompaniment, Seeger says, "a guitar or banjo is to be preferred" and "the voice should rest occasionally between stanzas to allow for instrumental interludes which, often as not, will repeat the tune."[35]

Cecil Sharp also discusses performance practice in *English Folk Songs from the Southern Appalachians*. He writes that the Appalachian singers

> have one vocal peculiarity, however, which I have never noticed amongst English folk-singers, namely, the habit of dwelling arbitrarily upon certain notes of the melody, generally the weakest accents. This practice, which is almost universal, by disguising the rhythm and breaking up the monotonous regularity of the phrases, produces an effect of improvisation and freedom from rule which is very pleasing.[36]

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[35] John Lomax, Alan Lomax, and Ruth Crawford Seeger, *Our Singing Country* (Mineola, NY: Dover Publications, Inc., 2000), xxxi-xxxii.

[36] Sharp, *English Folk Songs*, x.

In his article "Black Musicians in Appalachia: An Introduction to Affrilachian Music," Fred J. Hay points out that "this 'peculiarity' is actually almost universal in the blues, jazz, and gospel of African Americans, and it is also well documented in the music of West Africa."[37] This common performance practice is yet another instance of the influence of Black musicians on traditional Appalachian folk music.

Sharp also briefly commented on instrumental performance practice, writing that fiddlers "used the open strings as drones, tuning the strings — which, by the way, were of metal — in a particular way for each air they were about to perform."[38] The vocal practice of varying phrases by prolonging note durations also occurs in instrumental performance, and is sometimes referred to as "crookedness."[39]

Variation is a common practice in traditional Appalachian instrumental music. Kalia Yeagle writes that "fiddlers have been demonstrated to be masters of variation and improvisation, some never playing a tune the same way twice as a point of pride."[40] Variation is also a common device used by composers

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[37] Hay, "Black Musicians in Appalachia," 8.

[38] Sharp, *English Folk Songs*, xi.

[39] Kalia Yeagle, "Devil in the Strawstack, Devil in the Details: A Comparative Study of Old-Time Fiddle Tune Transcriptions" (MA thesis, East Tennessee State University, 2020), 44, Electronic Theses and Dissertations, paper 3743, https://dc.etsu.edu/etd/3743.

[40] Ibid., 64.

arranging folk music for concert performance, and it is seen throughout *Appalachian Dreams*.

While a thorough documentation of performance practice in traditional Appalachian folk music is beyond the scope of this document, practices of special relevance include variation of the melody, sliding between pitches, pitch variability between minor and major, and the inclusion of instrumental interludes in accompanied vocal performances. All of these characteristic elements are seen in Duarte's work.

### 3.3 Documenting Appalachian Folk Music

Efforts to document Appalachian folk music began in the late nineteenth and early twentieth centuries, inspired in part by Francis James Child's work *The English and Scottish Popular Ballads*. Child (1825-1896) was a Professor of English at Harvard University who studied the English and Scottish ballad tradition and catalogued hundreds of ballads and variants, creating one of the most comprehensive collections in existence.[41] *The English and Scottish Popular Ballads* was first published in ten parts between 1882 and 1898 and later in five volumes,

[41] "Francis J. Child," *Encyclopedia Britannica*, January 28, 2023, https://www.britannica.com/biography/Francis-J-Child.

and contains only the text of most ballads. Melodies for fifty-five ballads appear in an appendix of the fifth volume.[42]

Child intended *The English and Scottish Popular Ballads* to be a complete collection of all known ballads and variants, building upon his earlier publication *English and Scottish Ballads* (1857).[43] While the 1857 work focused on published source material, his later work centered on tracing manuscript sources. In Benjamin Filene's 1995 dissertation *Romancing the Folk: Public Memory and American Vernacular Music in the Twentieth Century*, the author comments on both the thoroughness of Child's work and the narrowness of its scope, writing:

> Child cared solely for ballads and had no interest in other types of folk music, such as work songs, lullabies, play-party songs or spirituals. This meant that Child confined himself to narrative songs, preferably ones that told their stories linearly. Moreover, Child preferred his ballads to have no definite author and to have been transmitted orally through the folk tradition. In this value scheme, both commercial balladeers and printed music were enemies: they polluted the oral tradition by introducing

[42] Francis James Child, *The English and Scottish Popular Ballads* (New York: Dover Publications, Inc., 1965), 5:411-424.

[43] Benjamin Peter Filene, "Romancing the Folk: Public Memory and American Vernacular Music in the Twentieth Century" (PhD diss., Yale University, 1995), 13, ProQuest (9522656).

external influences into the folk-song process. Child's ideal song, then, derived from before the advent of the printing press.[44]

Filene also states that "the printing press had come to Britain in 1475, so Child preferred to ensure the purity of his collection by concentrating on songs that he could date to before this time."[45]

While the ballad tradition had declined in Britain by the nineteenth century, many of the ballads found in Child's collection were still commonplace in the Appalachian Mountains.[46] The earliest published folksongs collected from the Appalachians appeared in Lila Edmands' 1893 article "Songs from the Mountains of North Carolina," published in the *Journal of American Folklore*.[47] This article documents the tunes "'Liza Jane," "Barbro Allen," and "Daisy."[48] "Barbro Allen" is a variant of "Bonny Barbara Allan," a ballad documented in the fourth part of Child's collection.[49]

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[44] Ibid.

[45] Ibid.

[46] Kotsonis, "Appalachian Folksongs in the Choral Setting," 25.

[47] Henry D. Shapiro, *Appalachia on Our Mind* (Chapel Hill, NC: The University of North Carolina Press, 1978), 248.

[48] Lila W. Edmands, "Songs from the Mountains of North Carolina," *The Journal of American Folklore* 6, no. 21 (April 1893): pp. 131-134, https://doi.org/10.2307/533299.

[49] Child, *The English and Scottish Popular Ballads*, 276.

Olive Dame Campbell and Cecil Sharp are two of the most important collectors of Appalachian folksong in the early twentieth century, and they worked together closely. Campbell (1882-1954) began collecting songs in the mountains of Kentucky, Tennessee, North Carolina, Georgia, and West Virginia in 1908 as she travelled throughout the region with her husband, John Campbell, documenting the life and culture of the people living in the southern Appalachian Mountains.[50] Olive Campbell's work was one of the first large-scale efforts to document the musical practices of the region and her collection is unique for the time in that many entries include not only the text of the song, but also the melody.[51]

Campbell first met Cecil Sharp in 1915 after already amassing a considerable collection of folksongs.[52] Sharp (1859-1924) was an English musician and folklorist who published several collections of folk songs including *Folk Songs from Somerset* (1904-1909) and *English Folk Song: Some Conclusions* (1907).[53] After meeting with Campbell, Sharp made three trips to the southern Appalachians between 1917 and 1923 and collected hundreds of songs, many of which appear in his publications *English Folk-Songs from the Southern Appalachians*

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[50] Olive Dame Campbell and Elizabeth McCutchen Williams, *Appalachian Travels: The Diary of Olive Dame Campbell* (Lexington, KY: University Press of Kentucky, 2012), 2.

[51] Kotsonis, "Appalachian Folksongs in the Choral Setting," 31.

[52] Ibid.

[53] Frank Howes, "Sharp, Cecil (James)," *Grove Music Online*, accessed February 11, 2023, http://www.oxfordmusiconline.com.

(1917), *Folk-Songs of English Origin Collected in the Appalachian Mountains* (1919-21), and *Nursery Songs from the Appalachian Mountains* (1921-23).[54] Sharp was assisted in these efforts by Campbell and Maud Karpeles, a longtime collaborator who accompanied Sharp on his travels through the United States.[55]

The contributions of Eber Carle Perrow (1880-1968) are also relevant to the documentation of Appalachian folksong in the early twentieth century. His collection *Songs and Rhymes from the South* was published in the *Journal of American Folklore* in three parts between 1911 and 1915 and is considered "the first major collection of southern folksong from members of both black and white populations."[56] While Perrow's collection documents folk music from throughout the South, it includes many examples of songs collected in the Appalachian mountains. Most songs only include text, but some also feature a notated melody.

Another figure of note is John Jacob Niles (1892-1980). Niles pursued a multifaceted musical career as a performer and composer of both folk and classical music, a luthier, and a folk song collector. A native of Louisville, Kentucky, he began collecting folk songs around 1910 while travelling around

[54] Ibid.

[55] Ibid.

[56] Carole Pegg, Philip V. Bohlman, Helen Myers and Martin Stokes. "Ethnomusicology." *Grove Music Online*. Accessed February 11, 2023. http://www.oxfordmusiconline.com.

the state as a mechanical inspector.[57] While serving in the military during World War I, he seized any opportunity to perform and study music. Niles was stationed in France and in 1918 he was granted leave to study music at the Schola Cantorum in Paris, where he focused on piano and composition.[58] He continued taking piano lessons in Lyon in 1919 before returning to the United States.[59] Upon his return, he briefly continued his studies at the Cincinnati Conservatory of Music where he focused on opera before withdrawing in 1921 after finding little support from faculty for his folk song performances and folk-inspired compositions.[60]

After his splintered musical education, Niles toured the United States and Europe as a folk singer throughout the 1920s, when he also began building his own dulcimers and lutes.[61] His first musical publication, *Songs my Mother Never Taught Me*, dates from 1929. This was followed by *Songs of the Hill Folk* (1934), *The Shape Note Study Book* (1950), and *The Ballad Book of John Jacob Niles* (1961), among others.[62] Each of these works include numerous transcriptions and arrangements of Appalachian folk music. Niles' most famous work as a composer is his setting

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[57] Ronald Pen, *I Wonder as I Wander: The Life of John Jacob Niles* (Lexington, KY: University Press of Kentucky, 2010), 41.

[58] Ibid., 61.

[59] Ibid., 63.

[60] Ibid., 65-66.

[61] "John Jacob Niles," *Encyclopedia Britannica*, April 24, 2022, https://www.britannica.com/biography/John-Jacob-Niles.

[62] Ibid.

of "Black is the Color of my True Love's Hair," an older text that Niles set to his own melody.[63] The second movement of John Duarte's *Appalachian Dreams* is an arrangement of Niles' melody for this song. Aside from his published compositions and collections, Niles made several recordings that provide valuable insight into the performance practice associated with this music.

Field recordings made by John Lomax (1867-1948) and Alan Lomax (1915-2002) also provide documentation of Appalachian folk music beyond printed notation. The two co-directed the Library of Congress' Archive of American Folksong from 1933 to 1942, where they contributed thousands of field recordings and approximately a half-million manuscript pages to the collection.[64] The earliest recordings of Appalachian music in the Lomax collections date from 1933, when John and Alan recorded eleven songs in Harlan, Kentucky.[65] Alan Lomax and Mary Barnicle, a folklorist and Medieval English literature Professor at New York University, recorded Kentucky musician Aunt Molly Jackson in New York City in 1935.[66] This session features a performance of "Darling Corey,"

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[63] John Jacob Niles and Ron Pen, *The Ballad Book of John Jacob Niles* (Lexington, KY: The University Press of Kentucky, 2000), xiv.

[64] Nicole Saylor, "John A. Lomax and Alan Lomax Papers Now Online," Folklife Today (Library of Congress, December 21, 2020), https://blogs.loc.gov/folklife/2020/12/john-a-lomax-and-alan-lomax-papers-now-online/.

[65] "Harlan 8/33," Lomax Digital Archive (Association for Cultural Equity, 2020), https://archive.culturalequity.org/field-work/kentucky-1933/harlan-833.

[66] "Aunt Molly Jackson 1935," Lomax Digital Archive (Association for Cultural Equity, 2020), https://archive.culturalequity.org/field-work/aunt-molly-jackson-1935.

another one of the songs Duarte arranged in *Appalachian Dreams*. In 1937, Alan Lomax took an extended recording trip through Kentucky with his wife Elizabeth Lyttleton Harold and Mary Barnicle. The group collected over two-hundred discs of recorded music on this trip.[67] Lomax would also record in the Kentucky mountains in 1938 and 1942, and recorded Kentucky singer and folklorist Jean Ritchie in New York City in 1949 and 1950.[68]

Jean Ritchie (1922-2015) was born in Viper, Kentucky, the youngest of fourteen children. Her family was known for their musical activity, and Cecil Sharp notated songs performed by members of the Ritchie family in 1917. She graduated from the University of Kentucky in 1946 with a degree in social work and moved to New York City, where she was a notable performer. Ritchie received a Fulbright scholarship in 1952 to document folk music in the British Isles. Her 1955 book *Singing Family of the Cumberlands* described her upbringing, and she further documented Appalachian musical practices in *Folk Songs of the Southern Appalachians* (1965) and *The Dulcimer Book* (1974).[69] Her work both as a performer and a musicologist was important to Appalachian folk scholarship in the mid-twentieth century.

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[67] Kotsonis, "Appalachian Folksongs in the Choral Setting," 54.

[68] "Jean Ritchie 1949 and 1950," Lomax Digital Archive (Association for Cultural Equity, 2020), https://archive.culturalequity.org/field-work/jean-ritchie-1949-and-1950.

[69] Derek Schofield, "Jean Ritchie Obituary," *The Guardian* (Guardian News and Media, June 3, 2015), https://www.theguardian.com/music/2015/jun/03/jean-ritchie.

While many contributed to the collection and documentation of Appalachian folk music in the late nineteenth and twentieth centuries, the works of Campbell, Sharp, Perrow, Niles, John Lomax, Alan Lomax, and Jean Ritchie are especially relevant to this document. Early documentation of several songs used in Duarte's *Appalachian Dreams* can be traced back to their publications and recordings, and their contributions to the study of Appalachian folk music are invaluable.

# CHAPTER 4

# APPALACHIAN DREAMS

*Appalachian Dreams*, a five-movement suite by John Duarte exploring traditional Appalachian folk music and its roots in the British Isles, was composed in 1996 to fulfill a commission by guitarist Sharon Isbin. Duarte (1919-2004) had a multifaceted career as a chemist, guitarist, composer, teacher, and critic. While Duarte had no formal musical training, his compositional output reveals a talent for arranging folk music from various cultures for the guitar or creating new works inspired by it. Among his most well-known works are *English Suite No.1* (1967), dedicated to Andrés Segovia, and *Variations on a Catalan Folksong* (1968), which gained popularity after being recorded by John Williams in the year of its publication.

In *Appalachian Dreams*, Duarte draws his musical source material from nine different traditional tunes. The first and last movements are medleys of three tunes each, while the inner movements are larger-scale arrangements. In

this chapter, I will explore Duarte's source material and how he arranges it for solo guitar throughout the work.

**4.1 Movement 1: Fantasia**

The first movement is a medley of three traditional Appalachian folk songs: "Katy Cruel," "Shady Grove," and "The Foggy, Foggy Dew." After a four-measure introduction establishing the key of A minor, Duarte begins the medley with "Katy Cruel."

Early printed sources indicate that "Katy Cruel" was a familiar tune in the northern Appalachian Mountains and the northeastern United States. The song was notated in 1899 in a collection of folk tunes compiled by Rosa Allen of Medfield, Massachusetts[1] that featured songs sung at family gatherings.[2] The Allen version of the tune was reprinted in *Vermont Folk-Songs & Ballads* by Helen Flanders and George Brown (1931) and *Folk Songs of Old New England* by Eloise Linscott (1939).[3]

Linscott's work provides some clues about the provenance of the song. She writes: "Where this song came from is unknown. A second version, the only other known, is a marching song used by the American troops in the

[1] "Allen Family Papers," Historic Newton (City of Newton, Massachusetts), accessed January 27, 2023, https://www.newtonma.gov/government/historic-newton/research/collections/family-papers/allen-family-papers.

[2] "Katy Cruel," Roud Folksong Index (Vaughan Williams Memorial Library), accessed January 27, 2023, https://www.vwml.org/search?q=katy%20cruel&is=1#

[3] "Katy Cruel," Roud Folksong Index.

Revolutionary War."[4] Like most folk tunes, it is almost certain that "Katy Cruel" developed from a much older song that may be Linscott's "second version." The most likely candidate is "Licht Bob's Lassie," alternatively known as "The Leeboy's Lassie," a traditional Scottish song.[5] The opening stanzas of "Katy Cruel" as published by Linscott are as follows:

> When I first came to town, they called me the roving jewel.
>
> Now they've changed their tune, they call me Katy Cruel.[6]

For comparison, the opening stanza of "Licht Bob's Lassie" as recorded in 1962 by Jean Redpath reads:

> First when I came to the town, they called me young and bonnie.
>
> Now they've changed my name, call me the licht bob's honey.[7]

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[4] Eloise Hubbard Linscott, *Folk Songs of Old New England* (New York: The Macmillan Company, 1939), 226.

[5] Robert Waltz and David Engle, "Katie Cruel (The Leeboy's Lassie; I Know Where I'm Going)," The Ballad Index (Fresno State University, 2022), https://www.fresnostate.edu/folklore/ballads/SBoA050.html.

[6] Linscott, *Folk Songs of Old New England*, 226.

[7] "Licht Bob's Lassie," track 10 on Jean Redpath, Scottish Ballad Book, Elektra Records, 1962, vinyl recording.

While the similarities of the texts are clear, the melodies are quite different. It is evident that Duarte based his arrangement on the melody of "Katy Cruel" as notated in the American publications and writings from the late nineteenth and early twentieth century, as his melody is almost an exact reproduction of the refrain in Linscott's publication. See Linscott's refrain below:

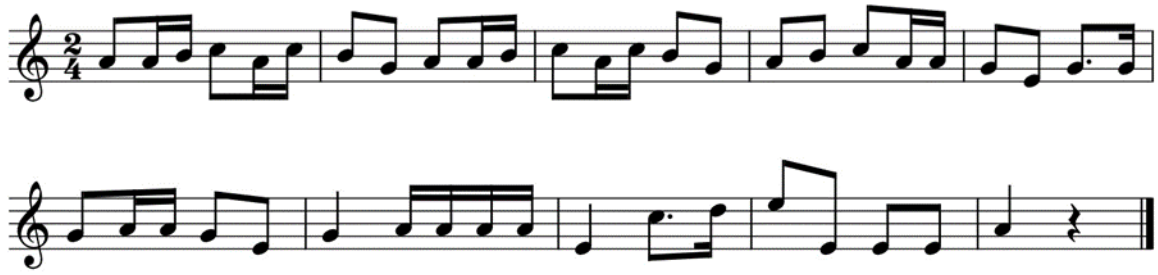

Figure 4.1: Linscott's "Katy Cruel" refrain (1939)[8]

Duarte presents the melody like this:

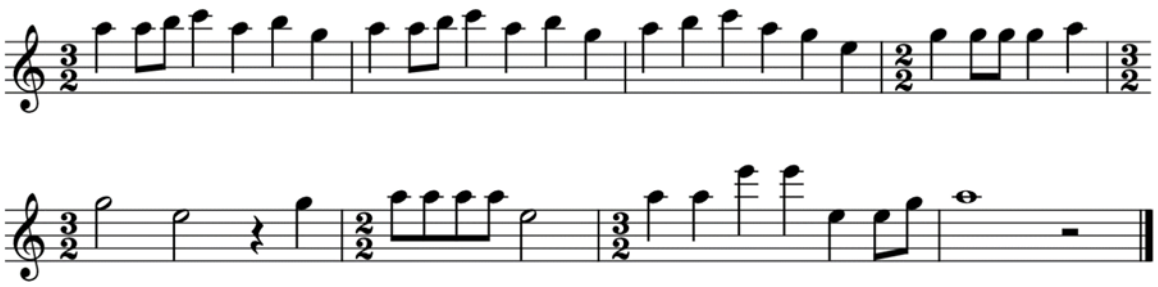

Figure 4.2: Duarte's melody for "Katy Cruel"[9]

The pitches of Duarte's and Linscott's melodies are nearly identical, except for the register. The most significant difference in the two realizations of this

[8] Linscott, *Folk Songs of Old New England*, 226.

[9] John Duarte, "Fantasia," in *Appalachian Dreams* (New York: G. Schirmer, 1999), 2, mm. 5-12.

melody is in Duarte's removal of appoggiaturas (measures one and three of figure 4.1) and slightly different endings of the phrase. Duarte exchanges the C and D seen in measure 8 of figure 4.1 with two As before leaping up a fifth to E. In his arrangement, Duarte sacrifices the stepwise motion to the dominant in favor of emphasizing the tonic-dominant relationship, but then reverses course at the end of the phrase by filling out Linscott's leap from E to A with a G, allowing for a smooth stepwise resolution to the tonic note. Duarte's version also represents an organization of the phrase that may be more comfortable for those accustomed to concert music — Linscott's ten-bar phrase is reduced to eight bars in Duarte's arrangement, although Duarte utilizes mixed meter. The minor differences in the two versions of this melody can likely be explained by the performing medium, especially when the accompaniment is taken into consideration. Duarte's version allows the alternating tonic-dominant accompaniment to continue more smoothly on the guitar than would be possible if Linscott's melody was quoted verbatim. Harmonically, the two versions are quite similar — both alternate between tonic A minor chords and dominant E minor chords throughout, which was foreshadowed by alternating between E and A in the introduction of the movement. To illustrate how Duarte approached this in his arrangement for solo guitar, figure 4.3 shows the first two measures of "Katy Cruel" with accompaniment.

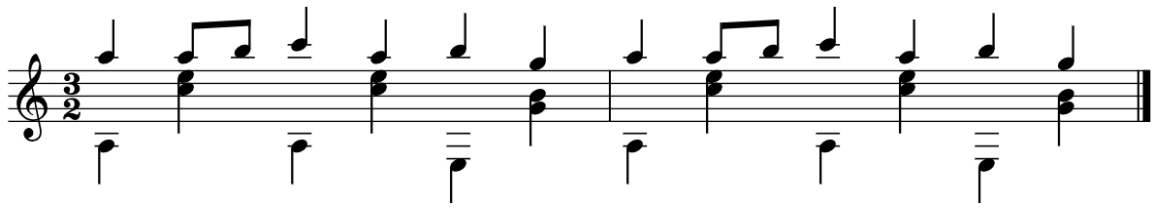

Figure 4.3: Duarte's opening of "Katy Cruel" with accompaniment[10]

After the first presentation of the melody, Duarte goes on to include a single-phrase variation of it. The accompaniment remains unchanged in harmonic function, but the melody is embellished with running eighth notes that include passing tones filling out skips in the original form of the melody and some pedaling on the dominant pitch of E. Including a variation of the melody follows a longstanding tradition practiced in many musical cultures, including the Appalachian folk tradition. This also demonstrates idiomatic writing for the guitar — it is relatively simple to execute the various descending skips to E by slurring to the open first string. Figure 4.4 shows the first two measures of this variation.

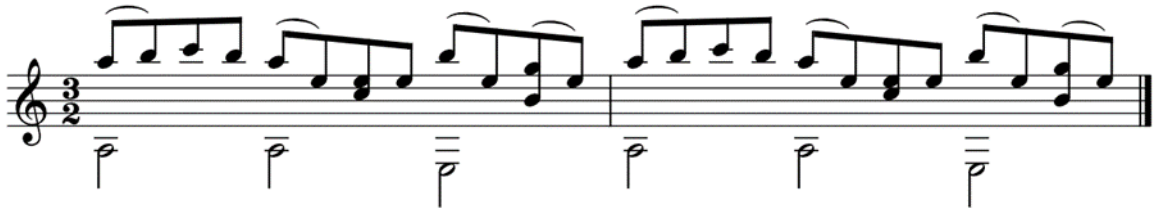

Figure 4.4: Duarte's opening of the "Katy Cruel" variation[11]

[10] Ibid., mm. 5-6.

[11] Ibid., mm. 13-14.

This variation concludes with an unexpected B major chord that serves as a pivot to the "Shady Grove," which has a tonal center of E.

Unlike "Katy Cruel," "Shady Grove" appears to have originated in Southern Appalachia. *The Journal of American Folklore* printed two versions of the song's text in 1915 – one collected in east Tennessee and the other in Kentucky.[12] While no musical notation is included, a footnote reads: "This is sung to the same tune as 'Old Joe Clark.' Whether the tune belongs to the one or the other, or neither, I am unable to say."[13] An earlier edition of *The Journal of American Folklore*, published in 1912, includes two forms of the text of "Old Joe Clark" along with the melody notated in E-flat major. I have notated the verse below:

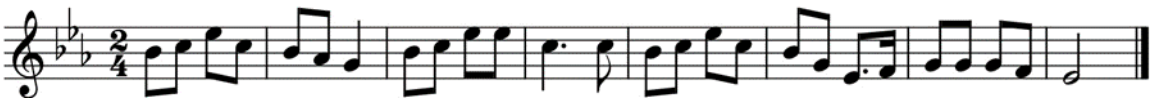

Figure 4.5: Verse of "Old Joe Clark," *The Journal of American Folklore*, 1912[14]

Another piece of early documentation of the melody for "Shady Grove" can be found in the collection of Cecil J. Sharp. This collection includes a handwritten transcription of the melody for "Shady Grove" as performed by Ben J. Finlay in Manchester, Kentucky on August 10, 1917 (figure 4.6).

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[12] E.C. Perrow, "Songs and Rhymes from the South," *The Journal of American Folklore* 28, no. 108 (1915): 182-83, https://doi.org/10.2307/534506.

[13] Ibid., 182.

[14] E.C. Perrow, "Songs and Rhymes from the South" *The Journal of American Folklore* 25, no. 96 (1912): 152, https://doi.org/10.2307/534806.

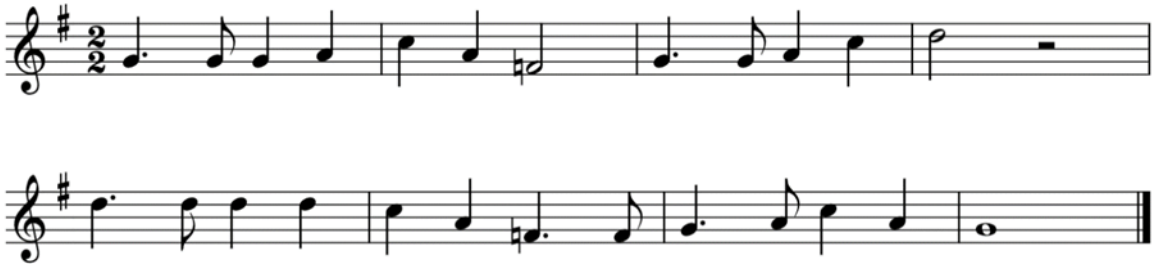

Figure 4.6: "Shady Grove" melody from Cecil Sharp collection[15]

The two melodies presented in figures 4.5 and 4.6 are quite different and provide an example of the variety of ways a song may have been performed. Variations of the text or melody can be seen in different regions or time periods and, as noted in the footnote in *The Journal of American Folklore* in 1915, it is common for different texts to be sung to a single tune in this musical tradition.

Duarte's melody shares many similarities with the Cecil Sharp manuscript, but it is not an exact match. The contours of each melody are the same, and agogic accents highlight important notes in the same parts of each phrase. However, discrepancies in the intervallic and rhythmic content of the melody are enough to question whether Duarte used the transcription from the Sharp collection as source material. Duarte's "Shady Grove" melody is given in figure 4.7:

[15] Cecil Sharp, "Shady Grove," Clare College, Cambridge, accessed December 17, 2022, https://www.vwml.org/search?q=shady%20grove&hasmedia=1&is=1.

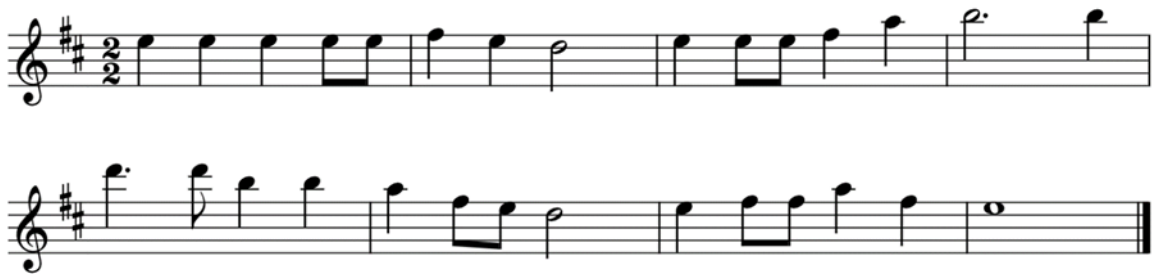

Figure 4.7: Duarte's melody for "Shady Grove"[16]

The melody for "Shady Grove" used in *Appalachian Dreams* is, however, similar to a later publication of the melody. In the book *Folk Songs of the Southern Appalachians as Sung by Jean Ritchie*, first published in 1965, the melody appears like this:

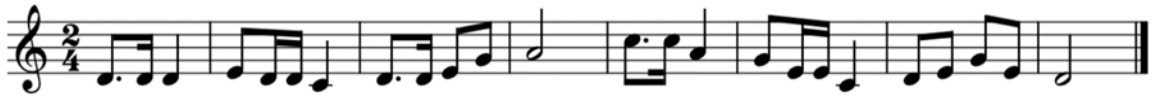

Figure 4.8: "Shady Grove" melody by Jean Ritchie[17]

Duarte's melodic content is an exact replication of the Ritchie melody transposed up a whole step and separated by an octave. After the first statement of the eight-measure phrase, Duarte varies it through slight alterations in the rhythm of the melody and in its harmonization. Focusing on the variation of the melody, one can see an even closer resemblance to Jean Ritchie's version:

[16] Duarte, "Fantasia," in *Appalachian Dreams*, 2, mm. 22-29.

[17] Jean Ritchie, Alan Lomax, and Ron Pen, *Folk Songs of the Southern Appalachians as Sung by Jean Ritchie*, 2nd ed. (Lexington, KY: University Press of Kentucky, 1997), 37.

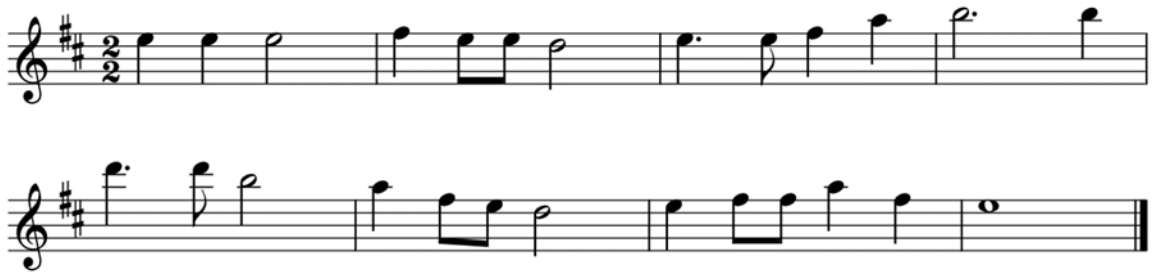

Figure 4.9: "Shady Grove" variation melody from *Appalachian Dreams*[18]

Duarte's variation, while in a different meter, even mirrors Ritchie's rhythms in measures two, three, five, and six of figures 4.8 and 4.9.

It appears that Duarte was influenced by the version of the tune that was published in *Folk Songs of the Southern Appalachians as Sung by Jean Ritchie*, if not by this exact publication. Ritchie's work is well known among musicologists studying American folk music, and likely would have been familiar to Duarte.

Duarte's most original contribution to "Shady Grove" is his harmonization of the melody. While Jean Ritchie's version mostly alternates between D minor and C major chords with an F major chord in measure five of the phrase, Duarte expands the harmonic possibilities of the tune by using the Dorian mode. The tonal center is clearly E, but after opening "Shady Grove" with an E minor chord the phrase does not return to its tonic harmony until the final cadence. The first four measures of the phrase begin with E minor before moving to B minor, A major, D major, and G major, respectively. The harmonic rhythm

[18] Duarte, "Fantasia," in *Appalachian Dreams*, 2, mm. 30-37.

picks up in the second half of the phrase, beginning with a B minor chord and moving through G major, F-sharp minor, B minor, and C-sharp minor before cadencing on F-sharp minor, a B minor seventh chord, and resolving back to E minor. In the variation, Duarte uses chromaticism to get new harmonies and create shape and direction in the bass voice. The variation again begins on E minor but moves to A major and D major before an A-sharp in the bass creates an unexpected A-sharp diminished seventh chord on beat two of the second measure of the variation. This functions as a diminished seventh of the dominant chord and moves to the dominant harmony (B minor). Following this, in measure three of the variation, Duarte moves back to E minor and F-sharp minor before arriving at G major to finish the first half of the phrase. The second half of the phrase begins with B minor, G major, F-sharp minor, and B minor as before, but then takes another unexpected turn. The sixth scale degree is lowered to create a C major harmony, and this also creates a chromatic upper-neighbor tone in the bass to highlight the dominant note. After setting up the final cadence of "Shady Grove," Duarte completes it with a B minor seventh chord followed by A minor (still retaining the C natural), B minor, and resolving back to E minor.

Duarte also uses imitation in his arrangement of "Shady Grove." Both the melody of the initial phrase and the variation end with a quarter note E followed by eighth note F-sharps, and quarter note A, a quarter note F-sharp, and a whole

note E. While the final E is ringing, Duarte imitates the A, F-sharp, F-sharp, A, F-sharp melody an octave lower. Figure 4.10 shows the "Shady Grove" theme and its first variation, complete with accompaniment.

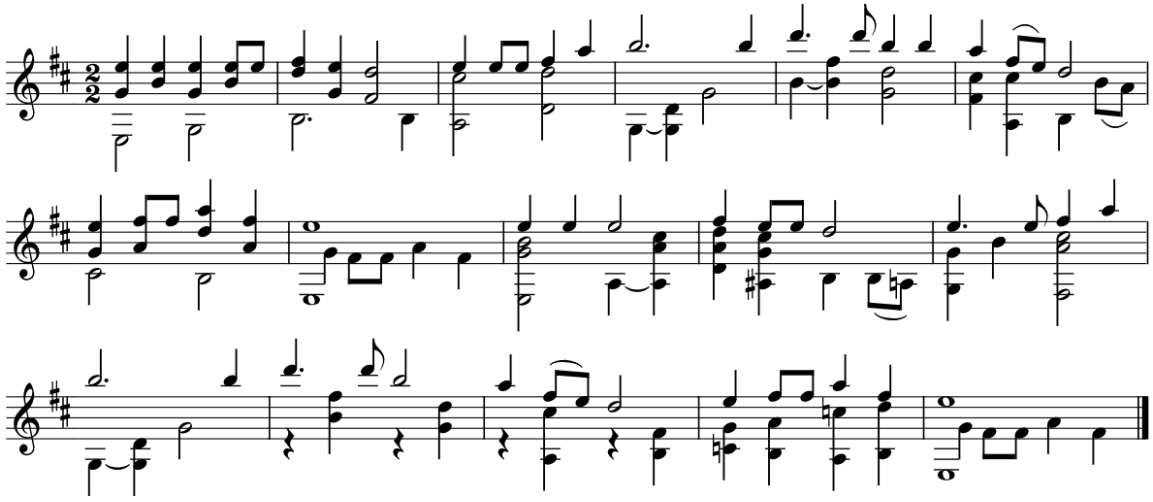

Figure 4.10: "Shady Grove" theme and variation with accompaniment[19]

A third variation serves as transitional material to set up the next tune in the medley. This transitional section sets the melody in a two-voice canon at the fourth, with the upper line centering on E and the lower line centering on B. The canon continues throughout the first four measures of this variation, but the free canon starts to break down as the music modulates to D major, although the rhythmic imitation is maintained. This transitional variation can be seen in figure 4.11.

[19] Ibid., mm. 22-37.

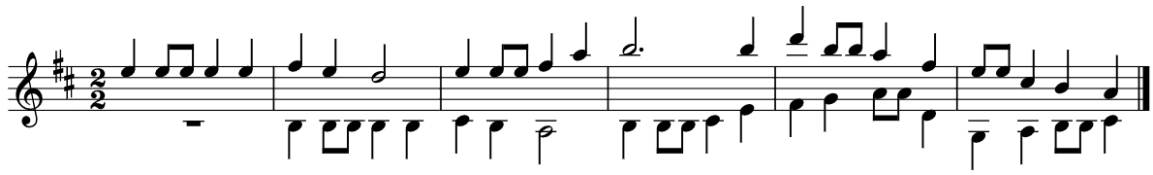

Figure 4.11: Transitional variation from "Fantasia," mm. 38-43[20]

While Duarte borrowed his melody almost exactly from the version of "Shady Grove" published in *Folk Songs of the Southern Appalachians as Sung by Jean Ritchie*, he expanded the harmony and included imitation in his arrangement for solo guitar.

The next arrangement in the medley is "The Foggy, Foggy, Dew." This evolution of this tune from its origins as a seventeenth century English ballad to its popularity in American folk music culture is well documented. In his article "The Frightful Foggy Dew," published in the *Folk Music Journal* in 1980, Robert S. Thompson traces the development of the song from "The Frightened Yorkshire Damsel" to "The Foggy Dew." One of the earliest sources of "The Frightened Yorkshire Damsel" was printed by John Millet in London in 1689 and was to be sung "to the tune of 'I Met With a Country Lass.'"[21] Thompson argues that the ballad likely originated in Scotland due to the use of the regional dialectic term "bogulmaroo" in early printed texts. By the eighteenth century the ballad had

[20] Ibid., mm. 38-43.

[21] Robert S Thomson, "The Frightful Foggy Dew," *Folk Music Journal* 4, no. 1 (1980): 36-37. http://www.jstor.org/stable/4522064.

morphed to "The Batchelor Brave." There are several changes in the text of this ballad, notably the replacement of the word "bogulmaroo" with "the foggy dew." Later, Thompson states that "during the early part of the nineteenth century a third broadside form was established by the London printers and this form was maintained throughout the century by both the London trade and provincial printers in England and lowland Scotland."[22] It is in this third form of the ballad that we see the emergence of what we know today as "The Foggy, Foggy, Dew."

In *Appalachian Dreams*, Duarte begins his arrangement of "The Foggy, Foggy Dew" with natural harmonics. The opening statement of the melody is shown in figure 4.12.

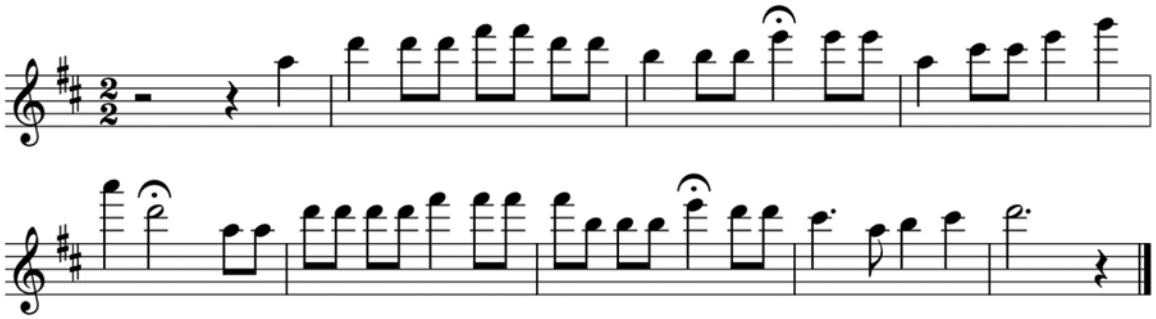

Figure 4.12: Duarte's melody for "The Foggy, Foggy Dew"[23]

Several instances of notated melody for a tune titled "The Foggy Dew" dating from the late nineteenth and early twentieth century appear in the Cecil J.

[22] Ibid., 40.

[23] Duarte, "Fantasia," in *Appalachian Dreams*, 3, mm. 45-53.

Sharp collection and *Traditional Tunes* by Frank Kidson (1891). Vastly different texts and melodies were all published under the title of "The Foggy Dew" during this period. Both the melody and the text prove important in tracing the provenance of the version of the tune used by Duarte in *Appalachian Dreams*. The text of the "third broadside form" mentioned by Thompson begins with:

> When I was a bachelor early and young,
> I followed the weaving trade
> And all the harm ever I done,
> Was courting a servant maid.[24]

For comparison, I will discuss two different texts and melodies with the title "The Foggy Dew" from the late nineteenth and early twentieth centuries.

In 1891, Frank Kidson published a collection of folk music titled *Traditional Tunes* in Yorkshire. The text published under the title "The Foggy Dew" begins like this:

> What shepherd was like me so blest,
> To tend his fleecy care.

[24] Thomson, "The Frightful Foggy Dew," 41.

For welcome unto yonder hills,

I freely did repair.[25]

The first phrase of Kidson's melody is shown below:

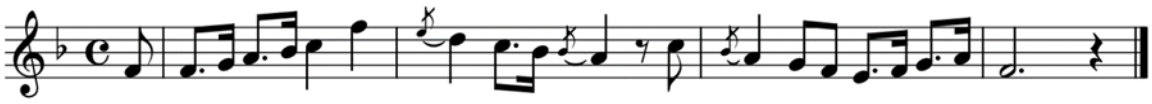

Figure 4.13: "The Foggy Dew" melody from Kidson (1891)[26]

Kidson writes that this melody was "taken from a book of manuscript airs for the violin, noted down about 1825 by a Yorkshire performer. In the [manuscript] no words are appended, but these are here supplied from a broadside."[27]

A handwritten manuscript documenting a performance of "The Foggy Dew" by Eliza Small in Somerset, England in 1905 can be found in the collection of Cecil Sharp. This manuscript contains both text and melody. The text documented by Sharp begins with:

O once I was a young bachelor,

I [illegible] it was my trade.

[25] Frank Kidson, *Traditional Tunes* (Oxford: Chas. Taphouse & Son, 1891), 167.
[26] Ibid.
[27] Ibid.

And all the harm that ever I did,

Was to court some pretty maid.[28]

The similarities between Sharp's text and the text of Thompson's third broadside form are clear. Sharp's melody for this text is shown below:

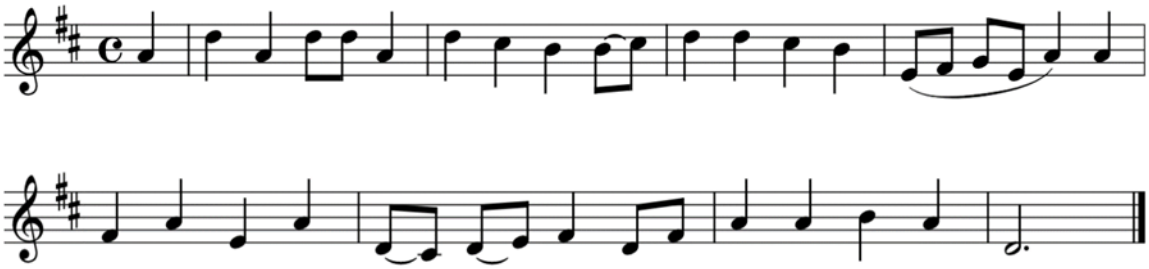

Figure 4.14: "The Foggy Dew" melody from Sharp collection (1905)[29]

Another noteworthy version of "The Foggy Dew" is found in the collection of Francis James Montgomery Collinson (1898-1984). Collinson directed the BBC's *Country Magazine* radio program beginning in 1941, and through this engagement he collected hundreds of folk songs from the British Isles and published them in six volumes beginning in 1946 with his partner Francis Dillon.[30] Dillon notated a version of "The Foggy Dew" in this collection, the text of which begins:

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[28] Cecil Sharp, "The Foggy Dew," Clare College, Cambridge, accessed December 17, 2022, https://www.vwml.org/search?q=foggy,%20foggy%20dew&hasmedia=1&is=1.

[29] Ibid.

[30] "Francis James Montgomery Collinson Collection," Roud Folksong Index, Vaughan Williams Memorial Library, accessed December 17, 2022, https://www.vwml.org/archives-catalogue/COL.

I am a bachelor, I live all alone,

I work at the weaver's trade;

And the only only thing I did that was wrong,

Was to woo a fair young maid.[31]

Again, there are obvious textual similarities to the broadside version of the ballad published in the early nineteenth century. With Dillon's version, though, a quite different melody is supplied:

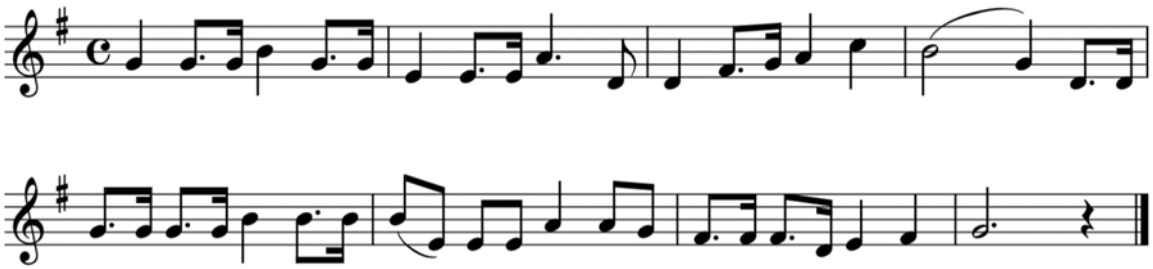

Figure 4.15: "The Foggy Dew" melody notated by Francis Dillon[32]

The Francis Dillon text is virtually identical to that used in Benjamin Britten's 1947 arrangement of "The Foggy, Foggy Dew" for piano and voice. Britten's text opens:

When I was a bachelor I lived all alone,

[31] Francis Dillon, "The Foggy Dew," Vaughan Williams Memorial Library, London, accessed December 17, 2022, https://www.vwml.org/record/COL/5/25C.

[32] Ibid.

and worked at the weaver's trade.

And the only, only thing that I ever did wrong,

was to woo a fair young maid.[33]

Britten set the text to this melody, which is also remarkably similar to Dillon's:

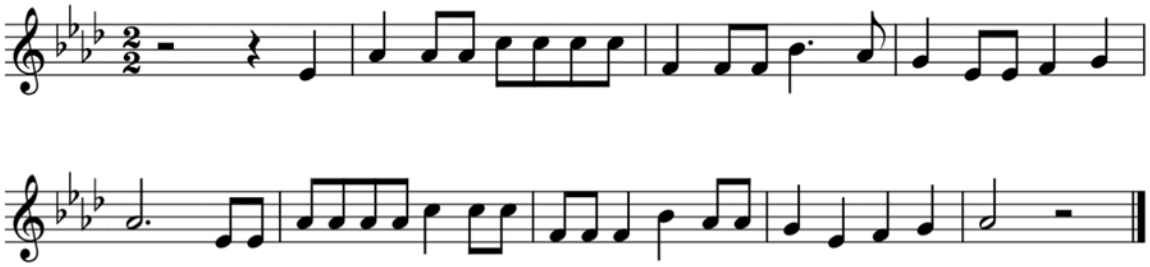

Figure 4.16: "The Foggy, Foggy Dew" as set by Benjamin Britten[34]

While the Britten melody appears close to matching Duarte's, there are some important differences. For example, the downbeat of measure three is a perfect fifth lower than the preceding pitch in Britten's melody, while Duarte uses a descending minor third in the same location. In measure four of the excerpts, Britten ascends by step while Duarte ascends by skipping in thirds. In the next measure Britten arrives at the dotted half note A-flat, while Duarte continues his ascending motion to an A before skipping down to a half note D with a fermata.

[33] Benjamin Britten, *The Foggy, Foggy Dew*, London: Boosey & Co., 1947.
[34] Ibid., mm. 4-12.

An even closer match can be found in the *Burl Ives Songbook*, first published in 1953. Ives' text is a mixture of the Dillon and Britten texts:

When I was a bach'lor, I lived all alone,
I worked at the weaver's trade;
And the only, only thing that I did that was wrong,
was to woo a fair young maid.[35]

Here is Ives' melody:

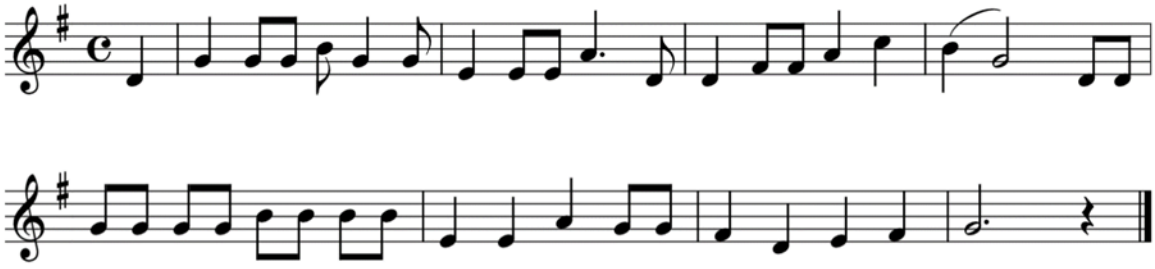

Figure 4.17: "The Foggy, Foggy Dew" melody from the *Burl Ives Songbook*[36]

Duarte's melody, while in a different key and with a slightly altered rhythm, is virtually identical to the melody published in the *Burl Ives Songbook*. The only difference occurs in measure five of the excerpts. In Ives' version scale degree three resolves to the tonic pitch, while in Duarte's version scale degree

[35] Burl Ives, *The Burl Ives Songbook: American Song in Historical Perspective,* 10th ed. (New York: Ballantine, 1964), 60.

[36] Ibid., mm. 1-9.

five resolves to the tonic. This discrepancy can be explained by the limitations of the guitar when playing the melody in natural harmonics.

After the initial presentation of the melody in harmonics with intermittent supporting notes below the melody (mostly in thirds, with one seventh and one octave), Duarte continues the arrangement by ending the use of harmonics and transferring the melody to the bass register. As further evidence of the ties between Burl Ives' melody and Duarte's, the melody of the next phrases of each version are presented below.

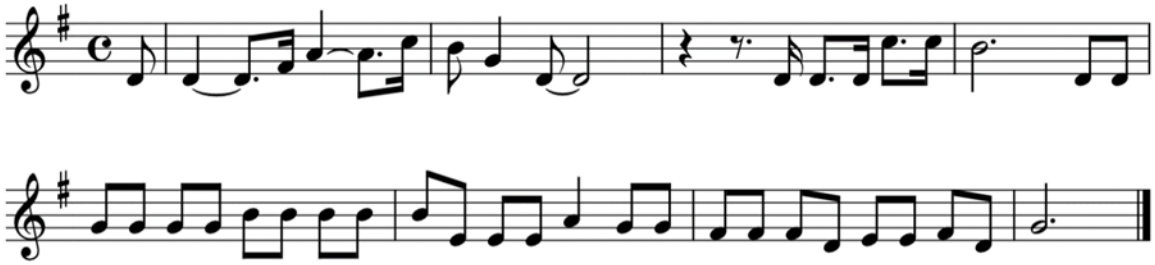

Figure 4.18: "The Foggy, Foggy Dew" from the *Burl Ives Songbook*, mm. 9-17[37]

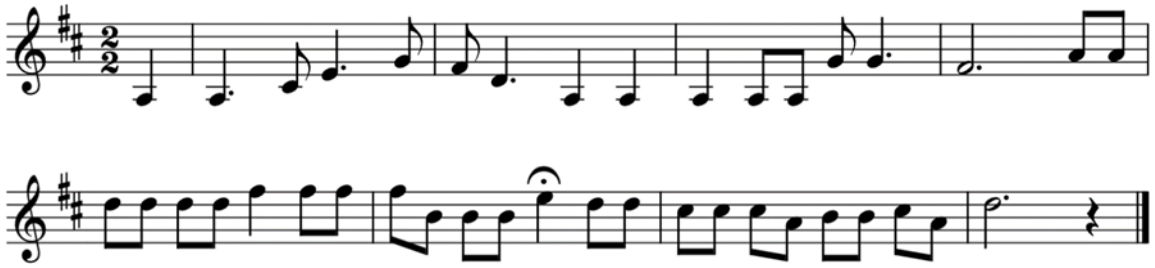

Figure 4.19: "The Foggy, Foggy Dew" from *Appalachian Dreams*, mm. 53-61[38]

[37] Ibid., mm. 9-17.

[38] Duarte, "Fantasia," in *Appalachian Dreams*, 3, mm. 53-61.

While Ives' version is more rhythmically intricate in the first four bars of figures 4.18 and 4.19, the melodic content is again identical.

Ives' presentation of "The Foggy, Foggy Dew" is remarkably similar to a version of the tune published in 1927 in *The American Songbag* by Carl Sandburg.[39] The text of the song printed in Sandburg's work is nearly identical to the Dillon and Ives texts. The Sandburg melody features even more frequent use of dotted rhythms and has a distinctive "swung" feel. This melody is presented in totality below:

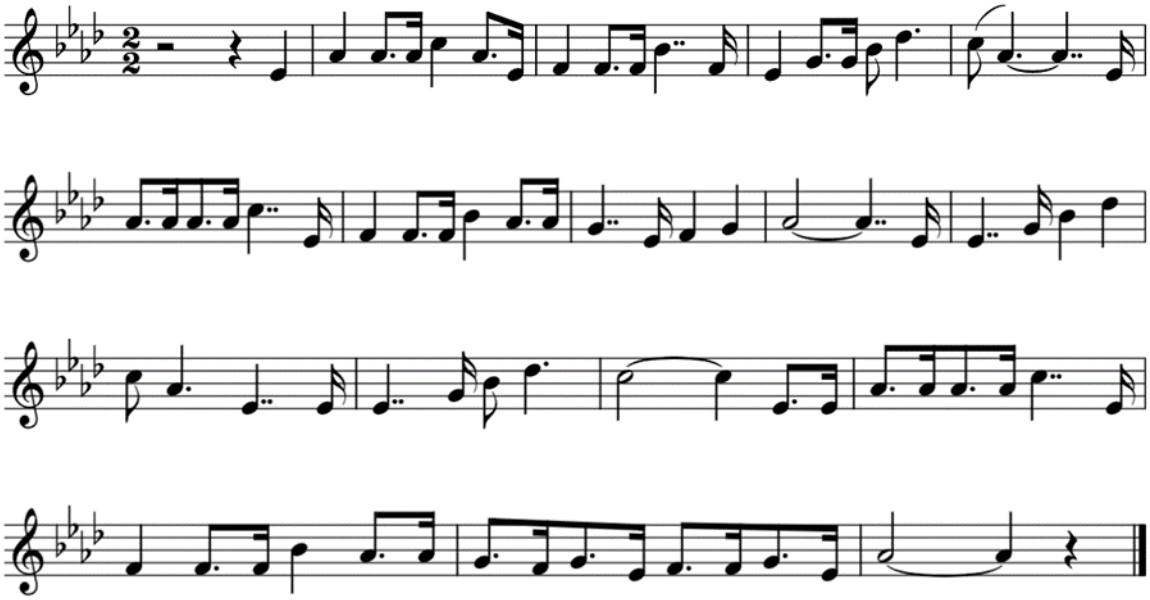

Figure 4.20: "The Foggy, Foggy Dew" melody from *The American Songbag* (1927)[40]

"The Foggy, Foggy Dew" has a long history and has appeared with many different texts and melodies. The melody that Duarte uses in *Appalachian Dreams*

[39] Carl Sandburg, *The American Songbag* (New York: Harcourt, Brace, & Co., 1927), 14-15.
[40] Ibid.

seems to be a more modern iteration, with a prototype form appearing in the 1920s in *The American Songbag* and similar forms continuing in the 1940s in Francis Dillon's transcription and Benjamin Britten's arrangement. Duarte's melody matches more closely with Burl Ives' interpretation than any other printed source.

There are some differences in Ives' and Duarte's harmonization. While Duarte begins his arrangement with two four-bar phrases in natural harmonics with sparse accompaniment, the texture begins to thicken after the second four-bar phrase. A descending three-beat scalar motif begins to appear as the melody is moved to the bass register, along with some other light accompaniment in the upper voice. While the accompaniment does not provide a clear harmonic function, there is an effect of standing on the dominant A seventh chord. In the last four-bar phrase of Duarte's arrangement the melody is transferred back to the upper voice and a more functional harmonic structure emerges. A D major chord in first inversion harmonizes the repeated D eighth notes in measure six of figure 4.19. This moves to a D augmented triad in root position on beat three of the measure before progressing to a G major chord on the downbeat of the next measure and arriving at an E major chord in first inversion to harmonize the E with a fermata in the melody. The next measure begins with an A major chord on the downbeat before cadencing on an A-seven chord and resolving to D major.

Chromatic alterations create a descending inner voice at the cadential point. This section is shown with all voices in figure 4.21.

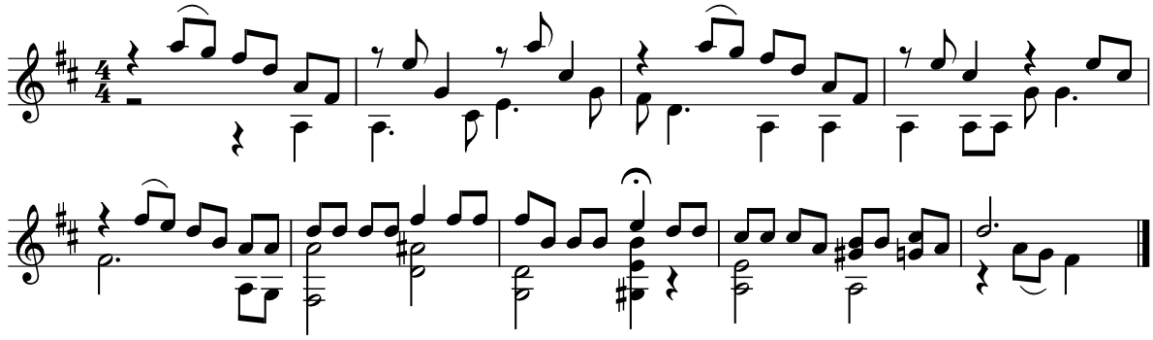

Figure 4.21: Measures 53-61 of "Fantasia" by John Duarte[41]

In the same passage, Ives' first four-bar phrase alternates between D-seven and G major chords in every measure. The next phrase begins with G major before moving to C major, A major, D-seven, and resolving back to G major. Both arrangements use chromaticism to employ secondary chords during the final cadence, and Duarte adds an augmented chord earlier in the passage to add color and create smooth voice leading in an inner voice.

Overall, it is clear that Duarte had the version of "The Foggy, Foggy Dew" that Burl Ives recorded and published in mind when crafting his arrangement. The melodies are almost identical, and even the harmonic progressions are quite similar, albeit in a different key. To arrange the tune for solo guitar, Duarte used

[41] Duarte, "Fantasia," in *Appalachian Dreams*, 3, mm. 53-61.

harmonics to initially present the melody, moved the melody to different registers, and added some new harmonic ideas to his arrangement.

The first movement concludes by briefly revisiting each previous section in a manner similar to Llobet's ending of "El Mestre." After a two-measure transition, the piece returns to "Shady Grove." Duarte treats this similarly to the first appearance of the tune. Next, a *dal segno* takes the music back to "Katy Cruel." Finally, we arrive at a coda that revisits the opening harmonic progression in A minor before ending the movement with a final i-v-I cadence in A minor.

**4.2 Movement 2: Black is the Color of my True Love's Hair**

The second movement of *Appalachian Dreams* is an arrangement of "Black is the Color of My True Love's Hair." This tune has a much shorter traceable history — the earliest known notated source dates from 1916 and appears in the Cecil Sharp collection. While folklorist Vance Randolph "notes connections with English pieces," it is likely that this song developed in the southern Appalachian Mountains.[42] Unlike other folk tunes used in *Appalachian Dreams*, there is scant surviving evidence to tie "Black is the Color" to older English, Irish, or Scottish ballads although a reference to the river Clyde in the text suggests Scottish

[42] Robert Waltz and David Engle, "Black is the Color," The Ballad Index, Fresno State University, 2022, https://www.fresnostate.edu/folklore/ballads/LxU016.html.

influence. The text and melody as sung by Lizzie Roberts in Hot Springs, North Carolina in 1916 was published in Sharp's 1917 book *English Folk Songs from the Southern Appalachians*. Sharp's melody is in figure 4.22:

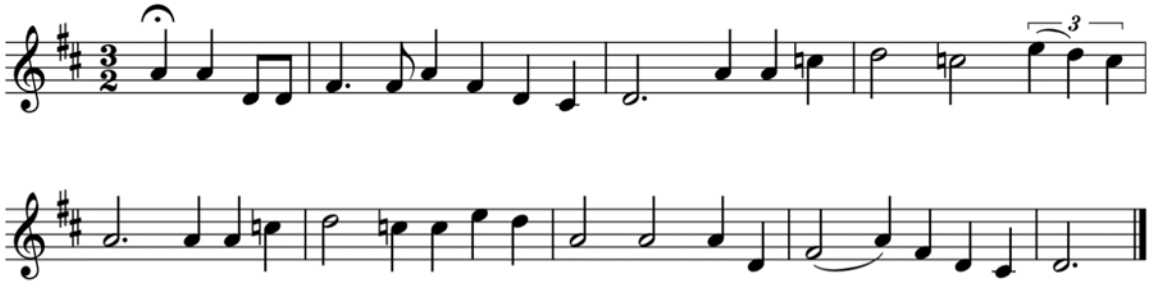

Figure 4.22: Cecil Sharp's melody for "Black is the Color," 1916[43]

The melody for "Black is the Color of My True Love's Hair" that is best known today (and used by Duarte) has been recorded, published, and arranged many times. This melody, quite different from the one notated by Cecil Sharp, was written by composer and folk song collector John Jacob Niles. It first appeared in his 1936 book *More Songs of the Hill Folk*. In the introduction to the 2000 edition of *The Ballad Book of John Jacob Niles* (originally published in 1960), Ron Pen, a Professor of Musicology at the University of Kentucky, provides details about the composition of the tune. Pen states that

[43] Olive Campbell and Cecil Sharp, *English Folk Songs from the Southern Appalachians* (New York: Putnam, 1917), 293.

'Black Is the Color' was simply credited as 'Ary, on Troublesome Creek, Perry County, Kentucky' in *More Songs of the Hill Folk* (Schirmer 1936). While Niles did use a folk text collected from a member of the Combs family in Ary, Kentucky, the tune and harmonization were his own and completely unrelated to any variant of the traditional tune. Niles's disingenuous attribution facilitated the song's acceptance as folk music but made proving his ownership of the music difficult.[44]

The original publication in *More Songs of the Hill Folk* is scored for voice and piano. While the melody is varied is slightly varied throughout the piece, the first stanza is set to this melody:

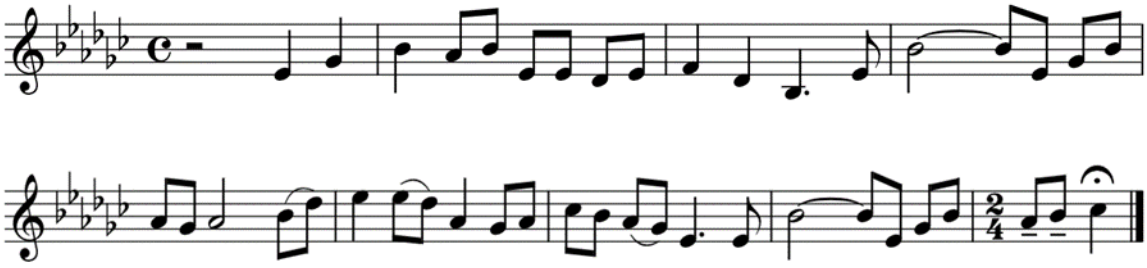

Figure 4.23: J.J. Niles' melody for the first stanza of "Black is the Color"[45]

"Black is the Color of My True Love's Hair" has also been arranged for concert performance by significant twentieth-century composers such as George

[44] John Jacob Niles and Ron Pen, *The Ballad Book of John Jacob Niles* (Lexington, KY: The University Press of Kentucky, 2000), xiv.

[45] John Jacob Niles, *More Songs of the Hill-Folk: Ten Ballads and Tragic Legends from Kentucky, Virginia, Tennessee, North Carolina, and Georgia* (New York: G. Schirmer, 1936).

Crumb, Luciano Berio, and Roy Harris. Like Duarte, each composer uses the Niles melody as source material and leaves it essentially unchanged other than the key. Major differences between these arrangements occur in the instrumentation, harmonization, and texture.

Crumb's arrangement, titled "Black, Black, Black is the Color," appears in the song cycle "Unto the Hills" (2002), a part of his four-volume work *American Songbooks*. Crumb writes:

> In confronting these songs head-on, so to speak, I determined to leave the beautiful melodies intact (only occasionally 'spreading' the metrics for a more spacious effect or compressing the bar for greater momentum) since one could not hope to 'improve' on their pristine perfection. In the matter of the folk song texts, I found a huge variety of alternate versions and my daughter and I simply chose our favorites. I have attempted to heighten the expressiveness of this music by scoring the work for a rather unusual 'orchestra' consisting of a quartet of percussionists (who play a number of rather unconventional instruments in addition to the more common ones) and amplified piano. By means of a wide range of timbres and textures together with the use of an extended chromaticism and occasionally unusual rhythmic patterns, l have attempted to bring out the

psychological depth and mysticism and also the humor (both whimsical and ironic) inherent in Appalachian folklore.[46]

In "Black, Black, Black is the Color," Crumb uses the unusual instrumentation more for textural effect than harmonic function. Only the melody resembles the original Niles publication.

Luciano Berio composed the song cycle *Folk Songs* in 1964. The cycle includes eleven arrangements of folk songs from the United States, Europe, and the Middle East and opens with "Black is the Colour." Berio's setting is in D minor and scored for voice, viola, and harp. The violist is instructed to play "like a wistful 'country dance fiddler,'"[47] while the harp generally plays single-note lines in harmonics. The viola uses a fuller texture, playing double stops almost exclusively throughout. The vocal melody is taken from the Niles edition in pitch content, but Berio often alters the rhythm from the original.

Roy Harris included an arrangement of "Black is the Color of My True Love's Hair" for solo piano in set one of his 1947 work *American Ballads for Piano*. Harris' arrangement is considerably shorter than those mentioned above — he

[46] Steven Bruns, "Notes," liner notes for George Crumb, *Unto the Hills*, Ann Crumb, soprano, Orchestra 2001, James Freeman, conductor, recorded 2007, Bridge Records, Inc., 2007, CD.

[47] Luciano Berio, *Folk Songs*, London: Universal Edition Ltd., 1968, 1-4.

only includes the melody of the first stanza and the piece is only eleven measures long. The melody has a tonal center of G and is presented in fragments punctuated by the accompaniment. Perhaps the most interesting aspect of Harris' arrangement is the harmony. It is highly chromatic, frequently incorporates dissonances, and seamlessly weaves between passages that combine the melody and accompaniment and those where the melody stands alone.

Duarte arranges the tune for solo guitar in the key of E minor. In an approach similar to Llobet's in "El Mestre," the Niles melody shown in figure 4.23 is presented almost verbatim throughout the movement three times with the accompaniment varying each time. The movement begins with a brief chordal introduction, but Duarte obscures the tonal center. After opening with an A minor chord in second inversion the harmonic progression moves to a root position E minor chord. The next chord is more ambiguous, but functions as a dominant chord. An E harmonic pedal tone is ringing through the chord, which contains the notes F-sharp, B, D, and E from lowest to highest. The previous two chords each have an E as the highest sounding pitch, and the high E in the third chord can be explained as an additional pedal tone in the upper register. This makes the third chord a B minor triad in second inversion surrounded by two E pedal tones and creates the dissonance of two major seconds, all while setting up

the initial presentation of the melody that begins on E. The chord progression that opens the second movement is shown in figure 4.24.

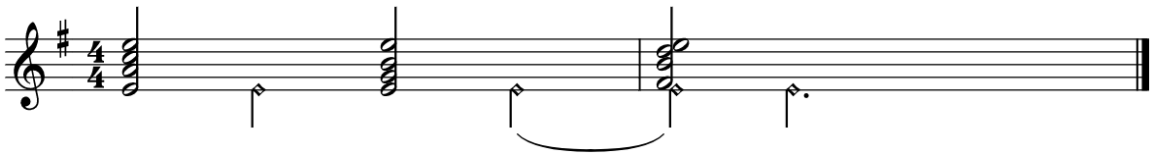

Figure 4.24: Opening chord progression of "Black is the Color . . ."[48]

After this introduction, the melody is presented for the first time. A three-voice texture emerges, with the melody in the highest voice, a fluid inner voice in eighth notes, and a bass voice. The harmonization reaffirms the key of E minor with a i-v-i progression taking up the first two full measures of the melody. The inner voice moves between chord tones, while the half note bass line holds the chords in root position. The initial four-bar phrase of melody ends with an A minor chord harmonizing the A-G-A in the melody.

The bass line becomes more active in the next four-bar phrase, which opens with a C in the bass and a G in the inner voice harmonizing the higher E in the melody. After this C major harmony, the next beat uses an E minor seventh chord in third inversion. The next beat returns to an A minor chord before moving back to E-seven on beat four of the measure. The phrase continues through A minor, stays on E minor harmonies for a measure and a half, and ends

[48] Duarte, "Black is the Color . . .," in *Appalachian Dreams*, 4, mm. 1-2.

the phrase on an A minor chord. A short two-measure transition moving through E minor, A major, D major seven, and B minor chords sets up the next iteration of the melody.

The second statement of the melody begins on beat three of measure twelve. It starts with unison E notes before moving in contrary motion. As the melody rises, the lower voice descends chromatically. When the melody first rises to B, the descending chromatic lower voice continues with a major third added above it. The melody continues with descending chromatic thirds below it for two complete measures before concluding the descending line at an E and G-sharp on beat four of measure fourteen. After the melody skips from E to B going into measure fifteen, the major thirds reenter with a D and F-sharp in the inner voice. While the melody continues to be harmonized with chromatic major thirds, the motion becomes more fluid. It firsts descends to a B-flat and D before ascending back to arrive at D-flat and F on the downbeat of measure sixteen. The major thirds continue throughout measure sixteen before the inner voice changes briefly in measure seventeen to provide accompaniment similar to the initial statement of the melody but in a closer voicing. The chromaticism returns to push towards the end of the phrase, which again concludes with an A minor harmony. Figure 4.25 shows measures twelve through fourteen of Duarte's

arrangement of "Black is the Color of My True Love's Hair," demonstrating the chromatic thirds accompanying the melody.

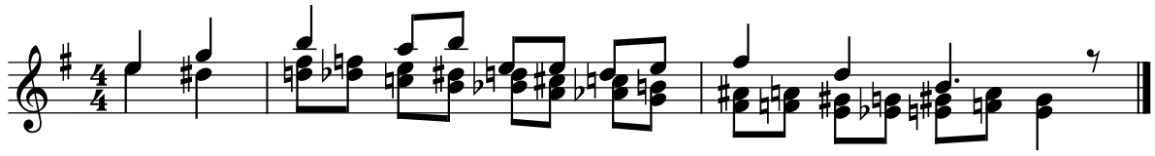

Figure 4.25: Measures 12-14 of "Black is the Color . . ."[49]

After another two-measure transition that uses nearly the same harmonic progression as earlier with the D major seven chord replaced by an F-sharp minor chord and some minor differences in voicing, the melody returns in an inner voice. The melody stays on the fourth and fifth strings throughout the first four bar phrase with chordal accompaniment above and some supporting bass notes below. The melody in its new register (measures twenty-two through twenty-six) is shown in figure 4.26.

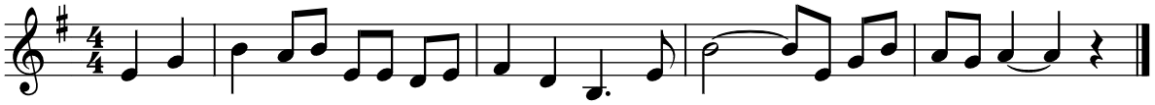

Figure 4.26: Melody for measures 22-26 of "Black is the Color . . ."[50]

At the end of measure twenty-six, fragments of melody similar to the main tune occur in harmonics in the upper voice before they are answered by the inner voice. After the first four-bar phrase of melody (figure 4.26) concludes, the

[49] Duarte, "Black is the Color . . .," in *Appalachian Dreams*, 4, mm. 12-14.
[50] Ibid., mm. 22-26.

voicing of the melody moves back to the highest voice. A mostly three-voice texture reemerges at measure twenty-six, moving through C major, E major, F major, A seven, D minor seven, and G major chords before landing on a C major seven chord. This brief tonicization of the key of C is colored by chromatic inflections that highlight movement in inner voices. The phrase ends with the same material that ended the first statement of the melody. The phrase is extended after a pause by repeating the last three and a half beats of melody with a new harmonization of A major, D minor, and A minor. The first three notes of the transition melody lead the music back to a chord progression similar to the introduction. The E harmonic pedals return, and the progression moves through A minor, E minor, and B minor before moving to an F dominant seventh chord. The upper voice moves to G on the last eighth note of the penultimate measure before pushing up to an A that serves as the highest voice of a harmonically ambiguous chord that contains the notes A, G, B, and C.

Duarte's arrangement of "Black is the Color of My True Love's Hair" follows the tradition set by other composers who arranged the tune for concert performance by retaining the Niles melody and altering the tune through the harmony and accompaniment. Duarte also follows in the tradition of Sor, Giuliani, and Llobet by altering the harmony and employing chromaticism. In

addition, like Llobet before him, Duarte varied the timbre of the melody by voicing it on the fourth (and fifth) string.

### 4.3 Movement Three: Darling Cora

The third movement of *Appalachian Dreams* is an arrangement of "Darling Cora." Publications and recording of this song often appear under different variants of the title, commonly as "Darling Corey," "Little Cora/Corey" or "Dig a Hole in the Meadow." The earliest known printed source of the text comes from Cecil Sharp's *English Folk Songs of the Southern Appalachians* under the title "The Gambling Man."[51] Two versions of the song are printed in Sharp's collection, but the "B" version bears the closest resemblance to the tune now known as "Darling Cora."

This version of "The Gambling Man" was notated from a performance by Clercey Deeton on September 19, 1918 in Burnsville, North Carolina. Sharp notates the melody like this:

[51] Robert Waltz and David Engle, "Darling Corey," The Ballad Index, Fresno State University, 2022, https://www.fresnostate.edu/folklore/ballads/LxU087.html.

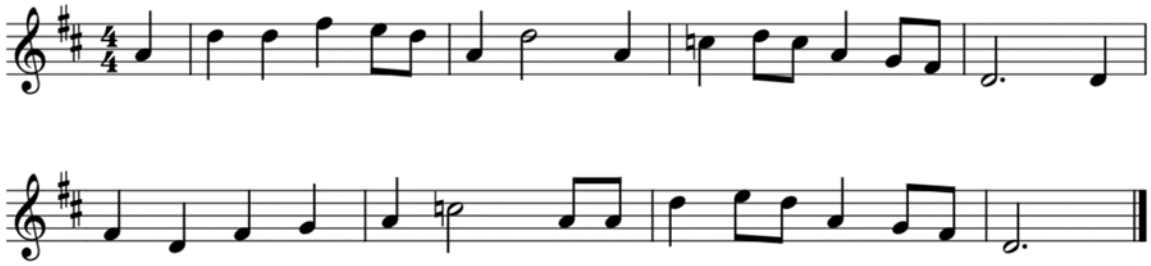

Figure 4.27: Cecil Sharp melody for "The Gambling Man"[52]

Another version of the tune appears in *Our Singing Country*, a book of American folk tunes collected by John and Alan Lomax that was published in 1941. This published version is a transcription of a recording by Aunt Molly Jackson and is titled "Darling Corey." See Lomax's transcription below:

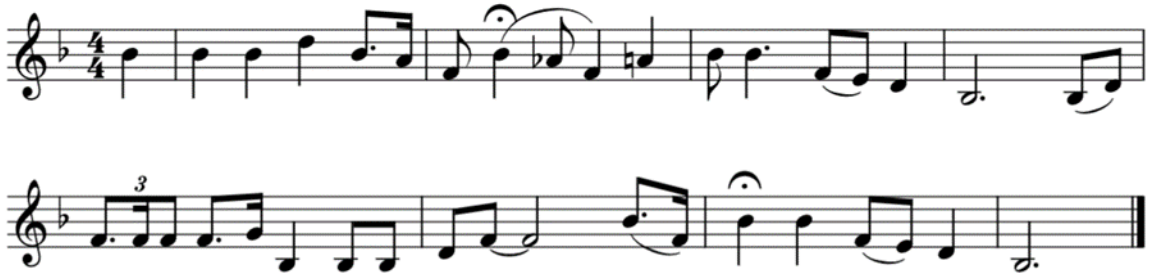

Figure 4.28: Lomax's 1941 melody for "Darling Corey"[53]

Another relevant published version of the tune is found in Alan Lomax's *The Folk Songs of North America* under the title "Dig a Hole in the Meadow." This arrangement, published in 1960, references the two versions notated above and includes a note identifying the arrangement as "a modernized hillbilly version of 'Darlin' Corey.'" This newer melody is shown below:

[52] Campbell and Sharp, *English Folk Songs from the Southern Appalachians*, 204.
[53] John Lomax and Alan Lomax, *Our Singing Country* (Mineola, NY: Dover, 2000), 302.

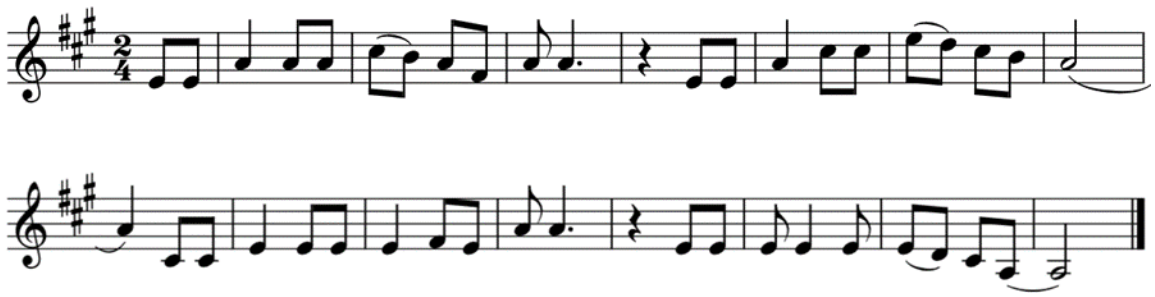

Figure 4.29: Lomax's 1960 melody for "Dig a Hole in the Meadow"[54]

Duarte's melody for "Darling Cora" has some substantial differences from earlier printed sources. Here is Duarte's melody:

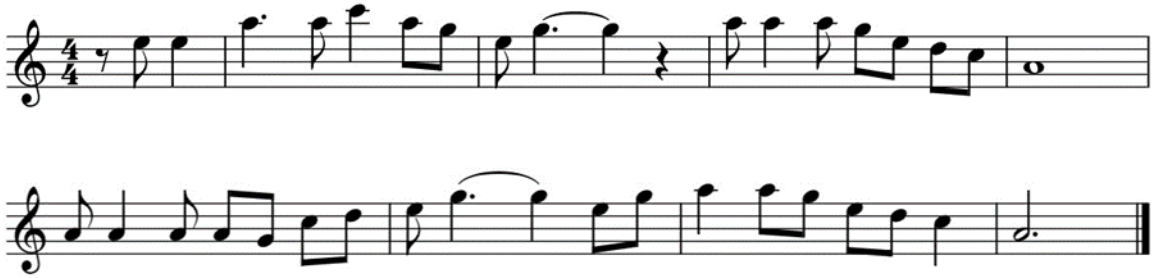

Figure 4.30: Duarte's melody for "Darling Cora"[55]

While Duarte's presentation bears some resemblance to the sources shown above (particularly to the Cecil Sharp transcription, figure 4.27), none are close enough to identify a single version as a definitive source of Duarte's melody. Early recordings of "Darling Cora" could have also played a role in Duarte's arrangement.

[54] Alan Lomax, *The Folk Songs of North America in the English Language* (Garden City, NY: Doubleday, 1960), 258.

[55] Duarte, "Darling Cora," in *Appalachian Dreams*, 5, mm. 2-10.

The 1927 Bristol Sessions were described by music historian Nolan Porterfield as "the big bang of country music."[56] The project, which was funded by Victor Records, captured folk music from across the Southern United States in 1927. The recordings made in Bristol, Tennessee as a part of this project feature performers from several states in the southern Appalachian region and are considered to be among the most relevant and all-encompassing documentations of this musical practice during the 1920s.[57]

A performance of "Darling Cora" by B.F. Shelton was recorded in Bristol as a part of the project. I have transcribed the vocal melody below:

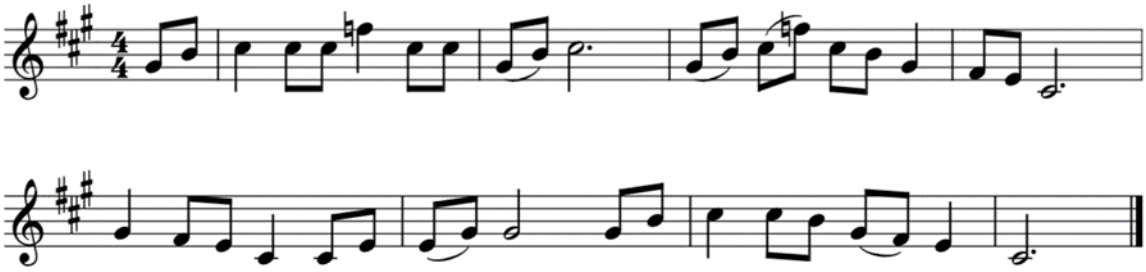

Figure 4.31: B.F. Shelton's melody for "Darling Cora"[58]

It is clear that the traditional song "Darling Cora" was performed in a myriad of ways. Duarte appears to have taken material for his arrangement of "Darling Cora" in *Appalachian Dreams* primarily from Cecil Sharp's melody for

[56] Travis D. Stimeling, "The Bristol Sessions, 1927–1928: The Big Bang of Country Music," Bear Family Records BCD 16094 EK, 2011, 5 CDs, *Journal of the Society for American Music* 7, no. 2 (2013): 219-22, doi:10.1017/S1752196313000138.

[57] Ibid.

[58] *Darling Cora*, B.F. Shelton, Victor 35838, 1927, shellac record.

"The Gambling Man" and B.F. Shelton's recording of "Darling Cora." Duarte's melody presents the tune as it was known in Appalachia in the early twentieth century — a way that is distinct from later published versions.

The accompaniment parts in Duarte's "Darling Cora" also reveal indebtedness to Shelton's 1927 recording. Throughout Duarte's arrangement, the inner voice often fills space allowed by longer notes in the melody with eighth note runs reminiscent of those heard in the banjo part of Shelton's recording. Duarte also alludes to the banjo with frequent off-beat dyads in a higher register alternating with fills in the lower register, perhaps imitating the characteristic pedal tone high G heard in much banjo music that idiomatically fits the instrument due to the re-entrant tuning. This element of the arrangement occurs several times throughout — one example is shown in figure 4.32.

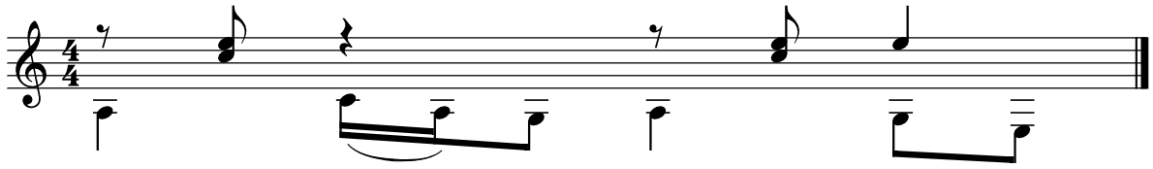

Figure 4.32: Measure 2 of "Darling Cora[59]

Duarte begins his arrangement with a two-measure introduction. After a fast, descending line in eighth and sixteenth notes in measure one, the off-beat dyads alternating with fills set up the first statement of the melody. As the

[59] Duarte, "Darling Cora," in *Appalachian Dreams*, 5, mm. 2.

melody progresses, fills on slurred sixteenth notes leading to a quarter or eighth note are prominent. After the initial presentation of the melody, Duarte again uses variation techniques to extend the piece. When the melody is restated beginning on the last beat of measure ten, it is voiced using mostly the fourth string of the guitar. The rhythm changes to straight eighth notes, smoothing out the rhythmic idiosyncrasies of the initial melody. This variation in the melody is accompanied by minor second eighth note dyads in the upper voice that alternate between occurring on beats two and four of the measure and occurring on the off-beat of each beat in the measure. To illustrate this technique, figure 4.33 shows measures eleven and twelve with pickup notes.

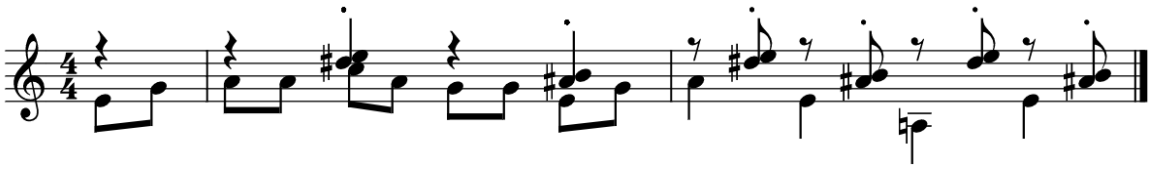

Figure 4.33: Measures 11 and 12 of "Darling Cora"[60]

A transition mirroring the introduction moves the piece to the third presentation of the melody. This third presentation shares many features of the initial presentation, but with more frequent fills and chromatic inflections in both the melody and accompaniment. There are also some slight variations in rhythm. This third variation is repeated before the movement concludes with a G-sharp

[60] Ibid., mm. 11-12.

played on the second string that is bent up to an A and a final Bartok pizzicato on the open fifth string. The string bend is an extended technique that may be intended to reflect the bending of pitch heard in B.F. Shelton's vocal melody.

In "Darling Cora," Duarte again uses variation techniques in conjunction with imitations of the banjo and pitch bending reminiscent of vocal performance. The melody comes from early printed sources and recordings of the tune, and the accompaniment alludes to the banjo accompaniment heard in B.F. Shelton's recording.

**4.4 Movement Four: Putney Hymn**

The fourth movement of *Appalachian Dreams*, entitled "Putney Hymn," is unique in the suite. It is not based on a traditional folk song, and there are few records of music with this exact title ever being published or recorded. In this movement, Duarte departs from the pattern of arranging well-known traditional folk music from the British Isles and American Appalachian region in favor of creating a more nuanced arrangement of a little-known American hymn.

A vocal piece in four parts simply marked "Putney" is seen in the second edition of *The American Vocalist*, a hymnal published in Boston in 1849. The work was compiled and edited by Reverend Daniel Hale Mansfield, a Methodist

minister whose family were early settlers of the area around Camden, Maine.[61] In addition to his duties as a member of the clergy, Mansfield travelled throughout the Northeast collecting and studying church music of the region.[62]

In *The American Vocalist*, Mansfield sought to compile music suited for "the church, the vestry, or the parlor," and claimed that his collection contained "a greater variety of music for congregations, societies, singing schools, and choirs, than any other collection extant."[63] Music from "eminent American authors now living, as well as from distinguished European composers"[64] is included. *The American Vocalist* begins with a preface and several pages dedicated to the fundamentals of reading musical notation. The pieces are divided into three parts: "the First, contains Church Music; the Second, the more important Vestry Music; and the Third, the lighter kind of Vestry Music, or that which is more appropriate to particular occasions."[65]

The hymn titled "Putney" is found in the first part of the collection. The composer is listed simply as "Williams," with no further information provided.[66] The title may be a reference to the place where Mansfield collected the hymn —

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[61] David Deacon, "D. H. Mansfield and The American Vocalist," MA thesis (University of North Carolina at Chapel Hill, 1991), 26.

[62] Ibid., 30.

[63] D. H. Mansfield, *The American Vocalist* (Boston: Thomson, Bigelow, & Brown, 1849), i.

[64] Ibid.

[65] Ibid., ii.

[66] Ibid., 42.

many works in *The American Vocalist* are titled with names of towns or cities. Putney, Vermont, just North of the Massachusetts border, was chartered in 1753, and it is plausible that Mansfield would have visited this area during his travels.

The text of "Putney" is that of the much older hymn "Now Let Our Mournful Songs Record." This text appears in over two hundred hymnals and is most commonly set to the music titled "Angelus," composed by Georg Joseph in 1657.[67] The setting that appears in Mansfield's work is unique — this text was not published with this music in any other publication.[68]

Mansfield's score layout in *The American Vocalist* is also of interest. The music is notated in four parts, using separate lines for each. Instead of the more familiar Soprano, Alto, Tenor, Bass arrangement of parts from high to low, Mansfield's book orders the parts "Tenor," "Alto," "Air," and "Base" from the highest line to the lowest. The "Air" part of "Putney" is the most important when discussing Duarte's arrangement of the tune.

I have notated the "Air" from Mansfield's "Putney" below. Double bar lines reflect thicker bar lines in the manuscript that show phrase endings.

[67] "Angelus (Joseph)," Hymnary.org, accessed January 3, 2023, https://hymnary.org/tune/angelus_joseph.

[68] "Putney (51232)," Hymnary.org, accessed January 3, 2023, https://hymnary.org/tune/putney_51232.

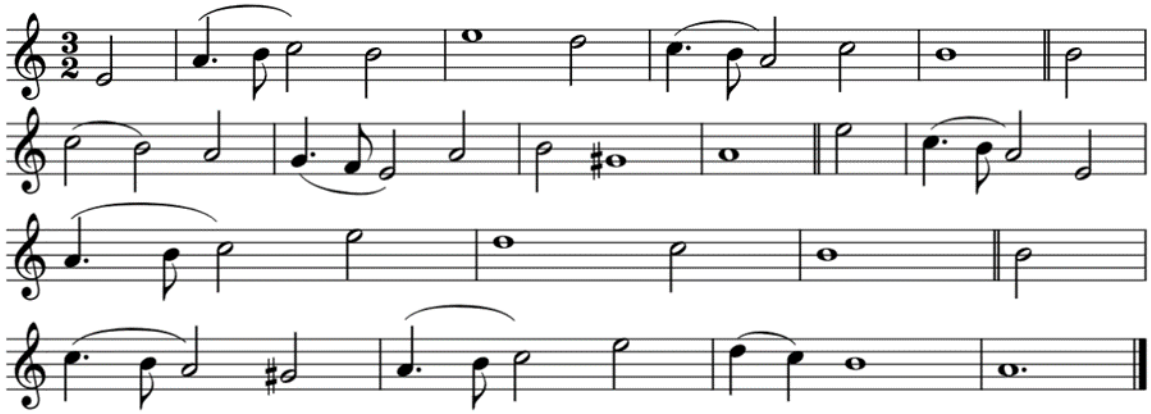

Figure 4.34: "Air" for "Putney" as published in *The American Vocalist*, 1849[69]

Throughout Duarte's "Putney Hymn," phrases of original material in a two or three voice contrapuntal style alternate with harmonized phrases of the "Putney" melody. The opening four measures feature a melody consistently in eighth notes over a bass line that begins with the open low E string before skipping up to a D-sharp and descending chromatically to a B. The bass voice then skips down to a G before ascending by step back to B. Measures one through four of "Putney Hymn" are shown below.

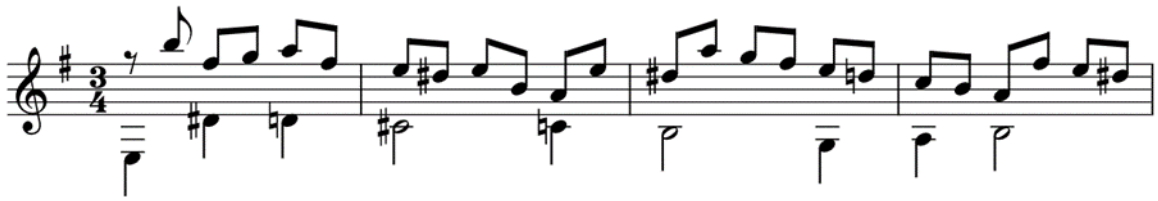

Figure 4.35: "Putney Hymn" by John Duarte, mm. 1-4[70]

[69] Mansfield, *The American Vocalist*, 42.

[70] Duarte, "Putney Hymn," in *Appalachian Dreams*, 6, mm. 1-4.

The first statement of melody taken from "Putney" appears in measure five. Duarte uses small brackets in the score around phrases taken from "Putney," and directs the performer to "play bracketed passaged sul tasto, *legato*."[71] Duarte sets the melody in E minor in ¾ time but retains all intervallic and rhythmic elements of the Mansfield melody. It omits Mansfield's first pickup note and begins with the ascending melody featuring a dotted rhythm. Duarte continues this melody until the end of the phrase, marked with a double bar line in figure 4.34. A bass line in quarter and half notes runs underneath throughout the phrase, beginning on E before skipping up an octave and descending chromatically to C. The line then skips down a diminished third to A-sharp before moving up by step to conclude on B. This chromatic bass line closely resembles the bass line in the opening four measures. Inner voices fill out the harmony and provide points of imitation. The phrase opens with an E minor chord and moves to a D-sharp diminished seven chord on beat three of the measure. The harmony then moves to a B minor chord, with an inner voice that rises from B to C-sharp to D in a dotted eighth note, sixteenth note, and quarter note rhythmic pattern that imitates the first three notes of the melody. A B minor seven chord is used over C-sharp in the bass before moving to a C major harmony in the next measure. The A-sharp in the bass on beat three of the

[71] Ibid., 6.

measure provides smooth stepwise voice leading up to the B that ends the phrase with F-sharp in the melody. This phrase is shown in figure 4.36.

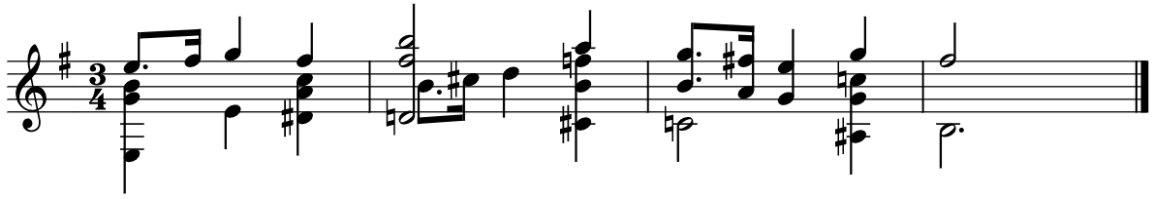

Figure 4.36: "Putney Hymn," mm. 5-8[72]

After the first phrase taken from "Putney" the contrapuntal material returns, this time varied from the first presentation. The phrase is significantly shortened from seven measures to three in total, including two and a half beats of transitional material. In measure nine, the bass voice begins in the same manner as before (E up to D-sharp then descending chromatically) but this time continues its descent to an A-sharp. When the upper voice reenters with the original material in measure nine, the G natural is replaced with a G-sharp in beat three on the measure. The truncated revisiting of the opening material ends with the upper voice moving from E to D-sharp, C-sharp, and back to D-sharp. This leads the music to the second phrase of "Putney."

Duarte quotes the melody of "Putney" almost exactly in this phrase, with one half-step alteration. In measure thirteen, Duarte uses a D-sharp while the Mansfield version uses a G natural. Duarte keeps the melody firmly in E

[72] Ibid., mm. 5-8.

harmonic minor, while Mansfield's version employed the variable seventh scale degree. The bass voice is more rhythmically active, with passing eighth notes trading off with eighth notes in the middle voice and the dotted rhythm in the melody. In regard to harmony, the phrase opens with a B minor chord before progressing to E minor, B major, E minor, F-sharp minor, B minor seven, and resolving back at E minor.

Another two and a half beats of transition lead to the third recurrence of the contrapuntal section. On this occasion, measure two through beat two of measure four repeats almost verbatim in both voices. The bass line is the same, and the only difference in the upper voice is the omission of the first E on the downbeat.

The third occurrence of the "Putney" melody begins on beat three of measure eighteen. This melody in section is an exact transposition of the Mansfield version, and the harmony stays functional and ends with a half cadence. After beginning with an E minor chord on the downbeat of measure nineteen the harmony progresses through a B dominant seventh, E minor, D-sharp diminished, E minor, and resolves on a B chord with no third.

The next contrapuntal section takes its material from the second contrapuntal section. Measures twenty-two and twenty-three are the same as measures eight and nine. The only difference between measures twenty-four and

ten is that the C natural in the bass of measure twenty-four is held out for a half note, while in measure ten a quarter note C natural descended to a B. The upper voice in measure twenty-five is the same as measure eleven except that the first D-sharp in measure eleven is replaced with a B in measure twenty-five. The bass voice is different though — in measure twenty-six the bass line moves through a B and A natural and both notes are accompanied by sixths above them.

In the fourth and final statement of the "Air" from "Putney," Duarte repeats the melody with changes to the harmony and one change to the rhythm. The harmony begins with a B major chord, then moves through E minor, B major, C dominant seventh, E minor, A minor, B major, and resolves at E minor. A brief rising line in the bass with the characteristic dotted eighth note and sixteenth note rhythm sets up the repeat. This time, the harmony moves through B major, A dominant seventh, A-sharp diminished, B major, C major, A dominant seventh, E minor, A major, B major, and finally resolves to open Es in the upper and lower voice. Duarte replaces the quarter note rhythm seen in the penultimate measure of figure 4.34 with the characteristic dotted rhythm in measure thirty-two of "Putney Hymn."

The movement concludes with a restatement of the contrapuntal material seen in measures fifteen through eighteen before arriving at two E minor chords connected by another rising bass line with the dotted rhythm. "Putney Hymn" is

a strong arrangement of the tune "Putney" from *The American Vocalist*. Rather than using variation techniques, Duarte spaces out the presentation of material by including originally composed material in mostly two-voice counterpoint. Another compositional technique of note is the use of elision. Each contrapuntal section ends with the first note or chord of the arrangement sections. Like in other movements, Duarte adds more complex harmonic material than seen in original versions. Duarte's fragmentation of the thematic material is reminiscent of Sor's second variation in *Fantasy and Variations on a Scottish Air*, although Duarte expands the idea to encompass the entire movement.

**4.5 Movement 5: Finale**

The final movement of *Appalachian Dreams*, like the opening movement, is a medley of three tunes. This time, Duarte chooses three pieces associated with the traditional Irish folk repertoire: "O'Brien's Jig," "Red-Haired Boy," and "Planxty George Brabazon." The practice of playing two or three tunes together as a "set" is a common element of Irish folk music performance,[73] and Duarte acknowledges this tradition in this movement.

Tracing traditional Irish music can be an even more daunting task than tracing Appalachian music — like Appalachian music, it is primarily an oral

[73] Matt Cranitch, *The Irish Fiddle Book: The Art of Traditional Fiddle-Playing* (Cork, Ireland: Ossian, 2001), 65.

tradition and many different melodies may be known by the same title. However, the Irish tradition is hundreds of years older and the volume of repertoire is considerably larger. Some of the earliest attempts to record this musical tradition include John and William Neal's *A Collection of the Most Celebrated Irish Tunes* (1724)[74], *The Hibernian Muse* (c. 1786), and the collections of Edward Bunting (published in 1796, 1809, and 1840).[75] Other important collections include *Moore's Irish Melodies* (several volumes published between 1808 and 1834) and two collections by Francis O'Neill: *Music of Ireland* (1903) and *The Dance Music of Ireland* (1907). O'Neill also wrote an in-depth musicological study of the style entitled *Irish Folk Music*, published in 1910.

Francis O'Neill was an important early figure in the documentation of Irish folk music in the United States. Aside from his work as a writer, musicologist, and folk-song collector he had a career as a police officer in Chicago during the late nineteenth and early twentieth centuries, rising to the position of General Superintendent of Police.[76] Of his collections mentioned above, *Music of Ireland* contains 1,850 melodies and *The Dance Music of Ireland* contains 1,001.

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[74] John Neal and William Neal, *A Collection of the Most Celebrated Irish Tunes: Proper for the Violin, German Flute or Hautboy* (Dublin: John & William Neal, 1724).

[75] J. G. O'Keeffe and Art O'Brien, *A Handbook of Irish Dances* (Dublin: M H. Gill & Son, 1914).

[76] Francis O'Neill, *Irish Folk Music* (Chicago: The Regan Printing House, 1910), 48.

*Music of Ireland* includes all three tunes used in the final movement of *Appalachian Dreams*. While none of the three melodies are an exact match with Duarte's, it is possible that Duarte used this collection as source material and contributed his own variations of the melodies, a longstanding tradition in the style.[77] Of the multiple collections I studied for this document, *Music of Ireland* is the only one that includes all three Irish tunes that Duarte arranged. Furthermore, its year of publication (1903) places it in the same period as other important source materials Duarte used, including the Cecil Sharp collection.

The final movement of *Appalachian Dreams*, "Finale," begins with a four-bar introduction in a quick 6/8 time signature. An arpeggiated figure in measure one outlines an E minor chord, while measure two moves to A major. The dominant-tonic relationship recurs in measures three and four, establishing the piece in the A Mixolydian mode. The introduction leads to "O'Brien's Jig." The jig is in AABB form, and the two sections are shown below without repeats.

[77] Ibid., 63.

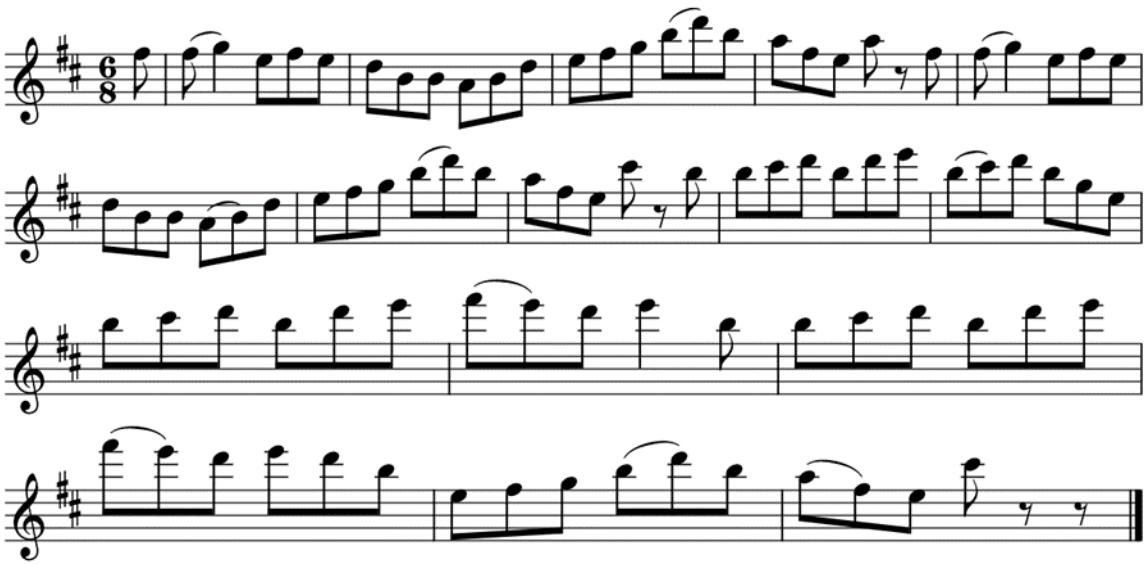

Figure 4.37: "O'Brien's Jig" melody by John Duarte[78]

During extensive searches of Irish music collections and catalogs, I did not come across any tunes simply titled "O'Brien's Jig." However, there are many jigs associated with the name O'Brien, including titles such as "Michael O'Brien's Jig," "Dinny O'Brien's Jig," "Jimmy O'Brien's Jig," and more. A tune titled "Jimmy O'Brien's Jig" is featured in O'Neill's *Music of Ireland*, and the A and C sections of this version more closely matches Duarte's than any other that I have come across. See O'Neill's version below:

[78] Duarte, "Finale," in *Appalachian Dreams*, 8, mm. 4-20.

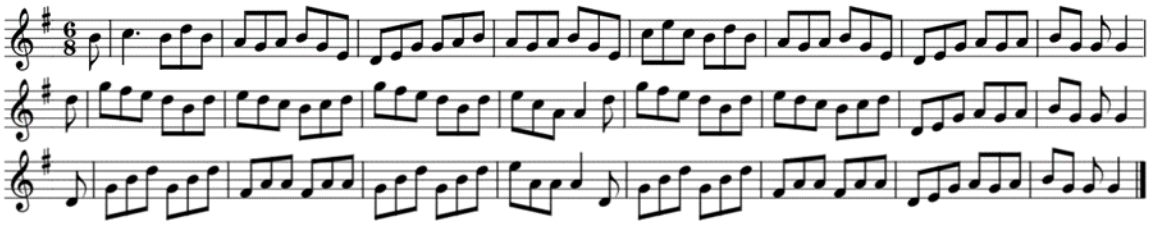

Figure 4.38: "Jimmy O'Brien's Jig" from Francis O'Neill's *Music of Ireland*[79]

O'Neill published a slightly different form of the tune in *Waifs and Strays of Gaelic Melody* (1922). This later version is arranged for piano and adds an additional section of melody. In this publication, O'Neill states that "the first, third, and fourth parts, of this fine Double Jig were memorized by the editor from the playing of James O'Brien, a very capable Irish piper hailing from Mayo, who sojourned in Chicago in 1876. It was printed for the first time on this side of the Atlantic in *O'Neill's Music of Ireland, Chicago, 1903*."[80] The "first, third, and fourth parts" referenced above correspond with figure 4.38.

In Duarte's arrangement, the quick eighth note melody is lightly accompanied. In the A section (measures one through eight of figure 4.37) the harmony moves between E minor, B minor, E minor, and A major chords. This progression repeats in both four-bar phrases of the A section. An inner voice features a recurring quarter note, eighth note, quarter note/dotted quarter note rhythmic motive. The B section stays primarily on B minor chords, with the first

[79] Francis O'Neill, *Music of Ireland: 1850 Melodies* (Chicago: Lyon & Healy, 1903), 184.
[80] Francis O'Neill, *Waifs and Strays of Irish Melody* (Chicago: Lyon & Healy, 1922), 108.

four bar phrase ending on an E minor chord and the second phrase cadencing on E minor and A minor.

A four-bar transition that alternates between A major and G major chords and includes a time signature change to 2/2 carries the piece to the next tune, "Red-Haired Boy." This song can be traced back to a Gaelic tune known as "Giolla Rua," which translates to "Red-Haired Boy." The Anglicized title of "Guiolla Rua" was often spelled "Gilderoy."[81] The 1719 book *Songs Compleat, Pleasant and Divertive set to Musick* by Thomas D'Urfey includes a melody for a tune titled "Gilderoy's Last Farewel." The melody for "Gilderoy's Last Farewel" is shown below:

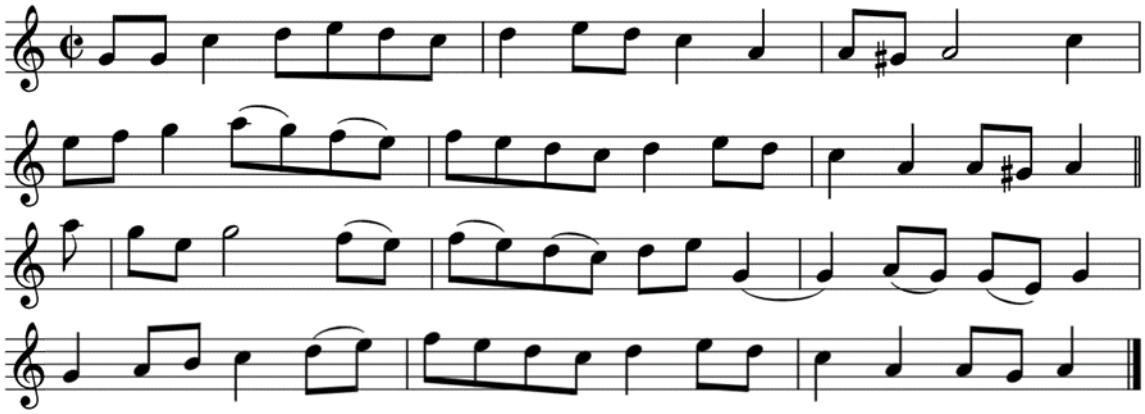

Figure 4.39: "Gilderoy's Last Farewel" from *Songs Compleat* (1719)[82]

[81] Andrew Kuntz and Valerio Pelliccioni, "Red Haired Boy," Traditional Tune Archive, May 6, 2019, https://tunearch.org/wiki/Annotation:Red_Haired_Boy.

[82] Thomas D'Urfey, *Songs Compleat, Pleasant and Divertive, Set to Musick* (London: W. Pearson, 1719), 39.

Francis O'Neill's *Music of Ireland* also includes a tune titled "The Redhaired Boy," quite different from "Gilderoy's Last Farewel." See O'Neill's version below:

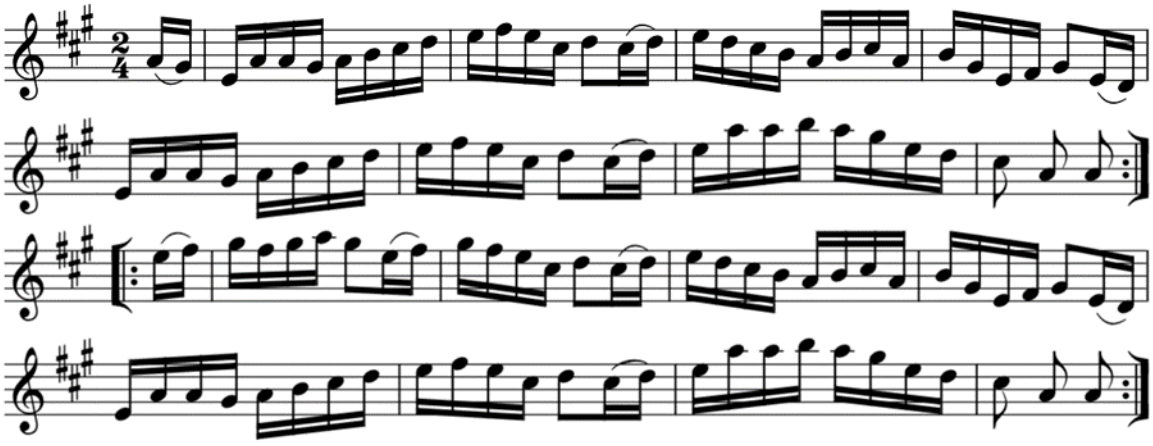

Figure 4.40: "The Redhaired Boy" from O'Neill's *Music of Ireland* (1903)[83]

For comparison, see Duarte's melody for "Red-Haired Boy" in measures twenty-seven through thirty-five below.

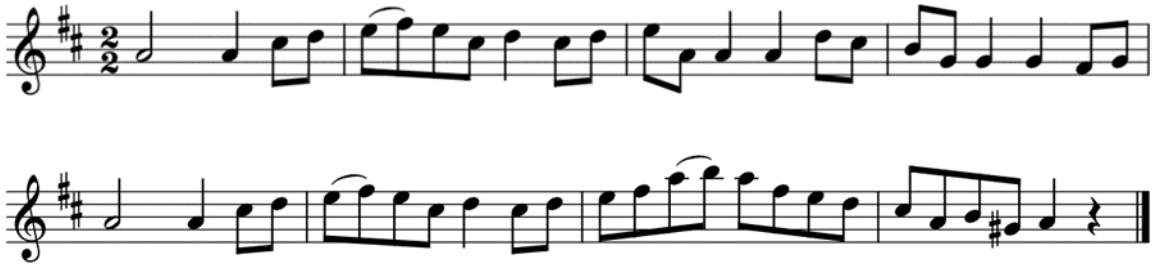

Figure 4.41: Melody for "Red-Haired Boy" from *Appalachian Dreams*[84]

After a variation of this eight-bar phrase, Duarte presents the next phrase in measures forty-three through fifty. See figure 4.42:

[83] O'Neill, *Music of Ireland*, 325.

[84] Duarte, "Finale," in *Appalachian Dreams*, 8, mm. 27-34.

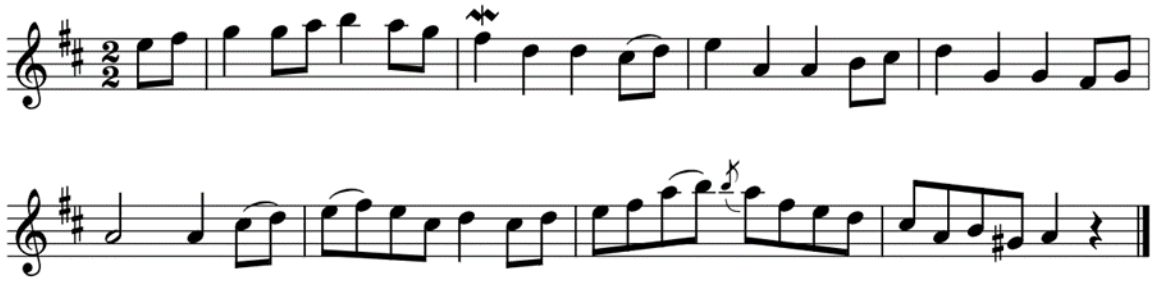

Figure 4.42: Melody for "Red-Haired Boy" from *Appalachian Dreams*, mm 43-50[85]

Duarte's initial presentation of the melody retains many characteristics of the O'Neill melody but is a more simplified version. Both eight-bar sections of melody shown above are presented in variation one time after the initial presentation. After the first phrase (figure 4.41), Duarte varies the phrase by employing a rhythmic structure more similar to O'Neill's. Running eighth notes fill out leaps in the melody, and inverted mordents are frequently indicated. In the penultimate measure of the variation, the melody is harmonized with fourths and thirds. The accompaniment is virtually identical in both the original phrase and its variation – the bass voice moves between tonic and dominant pitches of A major and G major chords.

The second section of melody follows a similar structure. After the initial presentation (figure 4.42), the melody is varied. The melody is embellished by filling out leaps with eighth notes and adding ornamentation. Again, the accompaniment remains virtually unchanged in the variation. The harmonic

[85] Ibid., mm. 43-50.

outline of this phrase begins with G major and moves to D major, A major, G major, A major, G major, A major, D major, E major, and A major.

Another four-bar transition modulates to G major and takes the movement to its final new tune, "Planxty George Brabazon." The term "Planxty" is often used to designate a tune composed by (or thought to have been composed by) the Irish harper Turlough O'Carolan (1670-1738).[86] O'Neill's *Music of Ireland* includes the earliest known publication of "Planxty George Brabazon," making it difficult to prove any association with O'Carolan. It is possible that O'Neill composed the melody himself or notated it from a performer who claimed attribution to O'Carolan. O'Neill makes no claims to one-hundred-percent authenticity, and even tells a story of accidentally misattributing a different tune to O'Carolan in his book *Irish Folk Music*.[87] Regardless of the true origins of this melody, O'Neill presents "Planxty Geroge Brabazon" in *Music of Ireland* as follows:

[86] O'Neill, *Irish Folk Music*, 82.
[87] Ibid.

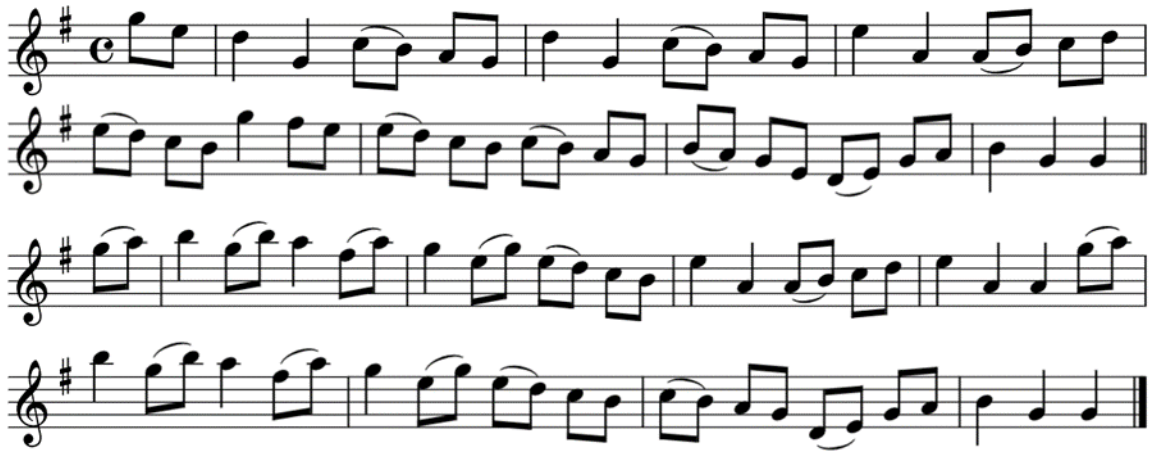

Figure 4.43: "Planxty George Brabazon" from O'Neill's *Music of Ireland* (1903)[88]

In Duarte's arrangement, he repeats both phrases with different endings. The entire melody is shown below:

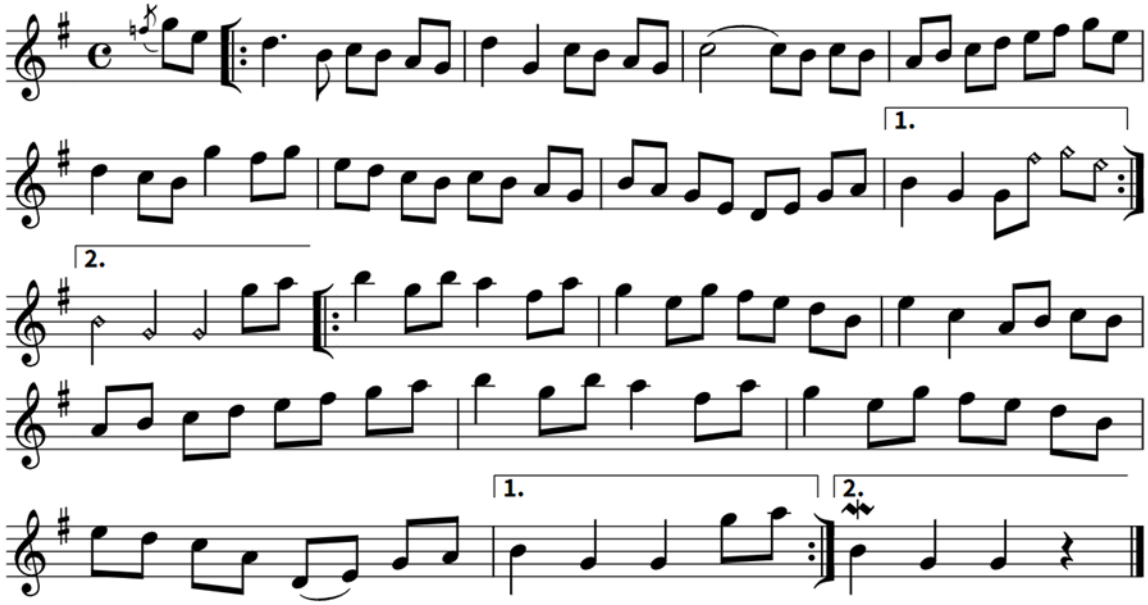


Figure 4.44: John Duarte's melody for "Planxty George Brabazon"[89]

[88] O'Neill, *Music of Ireland*, 118.

[89] Duarte, "Finale," in *Appalachian Dreams*, 9, mm. 62-80.

Variation in articulation is intended in repeats, and Duarte meticulously marks slurs, inverted mordents, and grace notes that are intended to be played only on either the first or second repeat. Duarte's arrangement for "Planxty George Brabazon" also features light accompaniment. Bass notes typically ring throughout each measure, and an inner voice assists in filling out harmonies. The harmony throughout the arrangement stays firmly in G major, with G major, A minor, and D major chords throughout.

Another four-bar transition features a time signature change back to 6/8 and a modulation back to A mixolydian. "O'Brien's Jig" makes a reappearance, this time with the melody of the first four bars of the B section moved to the bass voice. The last seven measures of the piece offer brief flashbacks to tunes from throughout the work and feature several metric modulations. Two measures in 3/2 time return to the chord progression heard in the introduction of the first movement, followed by two measures in 6/8 time that allude to "O'Brien's Jig" again. Finally, the meter changes back to 3/2, and the melody from the variation of "Katy Cruel," last seen in the first movement, returns. The piece ends with an A major chord.

# CHAPTER 5

# CONCLUSION

In *Appalachian Dreams*, John Duarte contributes to the long tradition of arranging folk music for the classical guitar. Like Sor, Giuliani, Llobet, and others before him, Duarte transforms single lines of melody into concert works. By engaging with Appalachian folk music, he explores a rich folk tradition relatively untouched by guitar composers. Furthermore, Duarte engaged with multiple musical styles heard in the Appalachian mountains by arranging traditional English, Irish, and Scottish tunes, secular songs that originated in the Appalachian mountains, and a religious hymn.

Duarte was influenced by early transcriptions and recordings of Appalachian folk music. These transcriptions and recordings made the tradition accessible to people coming from outside of it and allowed for wider participation in the musical culture. The musicological field work of Cecil Sharp, Olive Dame Campbell, Francis Dillon, Maud Karpeles, Eloise Linscott, and John and Alan Lomax, among others, provided Duarte with source material for his

arrangements. Additionally, composer John Jacob Niles and performers B.F. Shelton, Burl Ives, and Jean Ritchie also made important contributions.

In the first movement of *Appalachian Dreams*, Duarte used the compositional techniques of variation, imitation, canon, and modal harmony to arrange "Katy Cruel," "Shady Grove," and "The Foggy, Foggy Dew." Eloise Linscott's *Folk Songs of Old New England* provided source material for "Katy Cruel." Performances and transcriptions of performances by Jean Ritchie and Burl Ives in Folk Songs of the *Southern Appalachians as Sung by Jean Ritchie* and the *Burl Ives Songbook* were inspirations for Duarte's arrangements of "Shady Grove" and "The Foggy, Foggy Dew."

In the second movement, Duarte used John Jacob Niles' melody for "Black is the Color of My True Love's Hair" from his 1936 collection *More Songs of the Hill Folk* as source material. Niles used a traditional text but composed the melody himself, although it was labeled as a folk melody in his collection.[1] "Black is the Color" has been performed and recorded by folk musicians numerous times, and composers George Crumb, Luciano Berio, and Roy Harris have arranged it for concert performance. Crumb, Berio, and Harris all left Niles' melody essentially unchanged and used instrumentation, texture, and harmony

[1] John Jacob Niles and Ron Pen, *The Ballad Book of John Jacob Niles* (Lexington, KY: The University Press of Kentucky, 2000), xiv.

to craft their arrangements. Similarly, Duarte quotes Niles' melody almost verbatim throughout his arrangement. Duarte used chromaticism, imitation, and moved the melody to different registers in his arrangement.

The third movement of *Appalachian Dreams* is an arrangement of "Darling Cora." This tune was traditionally performed in many ways under several different titles. Duarte's melody bears the most resemblance to a 1927 recording of the tune by B.F. Shelton, and may have also been influenced by Cecil Sharp's 1918 transcription of "The Gambling Man." The most interesting aspect of Duarte's arrangement is his recreation of traditional Appalachian instrumentation and performance practice. Duarte's writing imitates the banjo in this movement and includes a string bend reminiscent of the vocal pitch slides that are common in the traditional performance practice of this music.

The fourth movement, "Putney Hymn," is an arrangement of a little-known American hymn. Duarte took the melodic material from D.H. Mansfield's 1849 collection of religious music titled *The American Vocalist*. He intersperses phrases of melody from the "Air" part of Mansfield's hymn "Putney" with originally composed material in a two or three-voice contrapuntal style.

The fifth and final movement, "Finale," is another medley of three tunes. The source material in this movement is traditional Irish music. This musical tradition had a large influence on Appalachian folk music, particularly in fiddle

tunes. Duarte's use of a three-tune medley in this movement (and the first movement) is relevant. By including these medleys, Duarte alludes to the performance practice shared by both the Irish and Appalachian folk music traditions of playing "sets" of two or three tunes together. In his arrangements of "O'Brien's Jig," "Red-Haired Boy," and "Planxty George Brabazon," Duarte contributes to the long tradition of these tunes by adding his own variations. Irish American folksong collector Francis O'Neill's collection *Music of Ireland* (1903) contains melodies for all three tunes in this movement and was likely a source of inspiration for Duarte.

The compositional technique of variation is an essential element of folk music performance, and this technique is seen in the arrangements of Duarte, Sor, Guiliani, Llobet, and countless other arrangers. Another element seen in Duarte's arrangements and those of Sor, Giuliani, and Llobet is the transference of the melody between registers. This is a common compositional technique in many guitar works, and often highlights the varied timbral palette of the instrument. All of these arrangers expanded the harmonic accompaniment of the tunes in comparison to a typical folk-style performance of them. In addition, Duarte varied the timbre of the melody by presenting it in harmonics in the first movement of *Appalachian Dreams* just as Sor and Llobet did in *Fantasy and Variations on a Scottish Air* and "El Mestre."

While *Appalachian Dreams* is a concert work made up of folksong arrangements, there are parallels between the piece and Maud Karpeles' factors of folk music. Those factors were: "(i) continuity which links the present with the past; (ii) variation which springs from the creative impulse of the individual or the group; and (iii) selection by the community, which determines the form or forms in which the music survives."[2] Duarte primarily selected tunes with a rich and long history of oral transmission in the Appalachian Mountains, linking the present with the past. He contributed new variations and approaches to the melodies, continuing the tradition of change and growth over time. He also helped "determine the form or forms in which the music survives" through his choices of source material and through his arrangement of "Putney." Duarte's arrangement of "Putney" revitalized a little-known and largely forgotten American hymn.

There is a wealth of musical material to be explored in the Appalachian folk music tradition. *Appalachian Dreams* by John Duarte uses nine traditional melodies, and the possibilities for future inclusion of this folk tradition in the repertoire of arrangements or folk-inspired works for the classical guitar are virtually endless.

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[2] Maud Karpeles, "The Distinction between Folk and Popular Music," *Journal of the International Folk Music Council* 20 (1968): pp. 9-12, https://doi.org/10.2307/836063, 9.

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# APPENDIX

# RECITAL PROGRAMS

UNIVERSITY OF
SOUTH CAROLINA
School of Music

*presents*

**JACKSON ROBERSON, *guitar***

**in**

**DOCTORAL RECITAL**

**Monday, April 12, 2021**
**6:30 PM • Recital Hall**

| | |
|---|---|
| Arroyos de la Alhambra<br>I. Evocación<br>II. Tonadilla | Angel Barrios<br>(1882-1964) |
| Appalachian Dreams<br>I. Fantasia<br>II. Black is the Color of my True Love's Hair<br>III. Darling Cora<br>IV. Putney Hymn<br>V. Finale | John Duarte<br>(1919-2004) |
| Suite Colombiana No. 2<br>I. El Margariteño (Pasillo)<br>II. Guabina Viajera<br>III. Bambuco<br>IV. Porro | Gentil Montaña<br>(1942-2011) |
| Gran Sonata Eroica, Opus 150 | Mauro Giuliani<br>(1781-1829) |

*Mr. Roberson is a student of Christopher Berg. This recital is presented in partial fulfillment of the requirements for the Doctor of Musical Arts degree in Performance.*

UNIVERSITY OF
SOUTH CAROLINA
School of Music

*presents*

**JACKSON ROBERSON, guitar**
**with**
**ZIQING GUAN, flute**
**in**
**GRADUATE CHAMBER RECITAL**

**Friday, November 19, 2021**
**4:30PM • Recital Hall**

Mountain Songs — Robert Beaser (b. 1954)
- I. Barbara Ann
- II. The House Carpenter
- III. He's Gone Away
- IV. Hush You Bye
- V. Cindy
- VI. The Cuckoo
- VII. Fair and Tender Ladies
- VIII. Quicksilver

From Histoire du Tango — Astor Piazzolla (1921-1992)
- I. Bordel 1900
- II. Café 1930
- III. Nightclub 1960

*Mr. Roberson is a student of Christopher Berg. This recital is presented in partial fulfillment of the requirements for the Doctor of Musical Arts degree in Performance.*

UNIVERSITY OF
SOUTH CAROLINA
School of Music

*presents*

**JACKSON ROBERSON, *guitar***
**in**
**GRADUATE RECITAL**

**Wednesday, September 28, 2022**
**4:30PM • Recital Hall**

A Fantasia, P. 71 — John Dowland (1563-1626)

Cello Suite No. 3, BWV 1009 — J. S. Bach (1685-1750)
I. Prelude
II. Allemande
III. Courante
IV. Sarabande
V. Bourrée I & II
VI. Gigue

From *24 Caprichos de Goya*, Op. 195 — Mario Castelnuovo-Tedesco (1895-1968)
I. Francisco Goya y Lucientes, Pintor
XII. No Hubo Remedio
XI. Y Se le Quema la Casa

*Jackson Roberson is a student of Christopher Berg. This recital is presented in partial fulfillment of the requirements for the Doctor of Musical Arts degree in Performance.*

UNIVERSITY OF
SOUTH CAROLINA
School of Music

***presents***

**JACKSON ROBERSON, guitar**
**in**
**GRADUATE RECITAL**

**Tuesday, April 18, 2023**
**4:30 PM • Recital Hall**

| | |
|---|---|
| Schnee in Istanbul | Carlo Domeniconi (b. 1947) |
| Estudio sin Luz | Andrés Segovia (1893-1987) |
| Les Barricades Mystérieuses | François Couperin (1668-1733) |
| Danza del Altiplano | Leo Brouwer (b. 1939) |
| El Sueño de la Razon Produce Monstruos (from *24 Caprichos de Goya*, Opus 195) | Mario Castelnuovo-Tedesco (1895-1968) |
| Grand Solo, op. 14 | Fernando Sor (1778-1839) |
| El Mestre (from *Diez Canciones Populares Catalanas*) | Miguel Llobet (1878-1938) |
| Sevilla (Sevillanas) (from *Suite Española No. 1*) | Isaac Albéniz (1860-1909) (transc. Llobet) |
| Córdoba (from *Cantos de España*) | Albéniz (transc. Llobet) |
| El Noi de la Mare (from *Diez Canciones Populares Catalanas*) | Llobet |

*Mr. Roberson is a student of Christopher Berg.. This recital is given in partial fulfillment of the requirements for the Doctor of Musical Arts Degree in Performance.*