Guitar Arrangements in Performance:
An investigative study of the interrelationship between arranging and performing the music of J.S. Bach

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Contents

Abstract

Despite a century-long tradition of arranging J.S. Bach's music for classical guitar, scholarly engagement with the interrelationship between the arrangement and performance process is limited. This practice-led project identifies and distils core principles for arranging Bach's music for solo guitar; namely, the first, second, and fifth *Suites for Unaccompanied Cello* (BWV 1007, 1008, 1011), *Lute Suite in G minor* (BWV 995) and *Violin Partita No. 2* (BWV 1004). With various notable existing arrangements as a point of departure, this study investigates the manner in which the processes of performance and arrangement are interrelated, and how competing technical and musical challenges that arise from concepts such as idiomaticism and authenticity can be negotiated to define what is hereby termed an effective arrangement. This performance-led project culminates in two 60-minute recitals and a 7500-word exegesis.

Declaration

I certify that this work contains no material which has been accepted for the award of any other degree or diploma in my name, in any university or other tertiary institution and, to the best of my knowledge and belief, contains no material previously published or written by another person, except where due reference has been made in the text. In addition, I certify that no part of this work will, in the future, be used in a submission in my name, for any other degree or diploma in any university or other tertiary institution without the prior approval of the University of Adelaide and where applicable, any partner institution responsible for the joint award of this degree.

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Signed:

Print: James Benjamin Rawley   Date 27/04/2022

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INTRODUCTION

Arrangements have been a cornerstone of the classical guitar repertoire throughout the instrument's history.[1] [2] The guitar's light yet polyphonic texture, capacity for colouristic variance, and unique idiom presents an alluring challenge to arrangers and performers looking to realise a work on the instrument. Among the colourful history of guitar arrangement, the music of J.S. Bach (1685–1750) stands out as an area of particular focus since the early 20th century, with many of the composer's works becoming standard repertoire.

Francisco Tárrega (1852–1909) was likely the first to popularise the arrangement and performance of Bach on the classical guitar.[3] It was Miguel Llobet (1878–1938), a student of Tárrega, who produced the earliest known guitar recording of Bach's music, the *Sarabande* from *Violin Partita No. 1* BWV 1002, in 1925.[4] [5] The earliest known transcriptions of Bach's so-called Lute Works that were (mostly) playable on the guitar are Dr Hans Dagobert Bruger's *Joh. Seb. Bach: Kompositionen für die Laute*, published in 1921.[6] These were later edited, performed and popularised by Andres Segovia (1893–1987), who would go on to arrange numerous Bach works.[7] Perhaps the most significant work by Bach that Segovia arranged was

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[1] Boyd, M. (2001). "Arrangement". *The New Grove Dictionary of Music and Musicians.* Vol 2. Edited by Stanley Sadie and J. Tyrell. p. 66
[2] Clark, W. (2010) *Francisco Tarrega and the Art of Guitar Transcription*. University of California, Riverside.
[3] A. Rius. (2006). *Francisco Tárrega, 1852-1909: Biography.* Piles, Editorial de Musica, Argentina.
[4] *Miguel Llobet – The Guitar Recordings 1925-1929.* (1993). [CD]. Chanterelle Historical Recordings.
[5] Detlev, B. (2010) "Die Gitarre in der Ära der Schellackplatte". *Die klassiche Gitarre im 20. Jahrhundert: Jahrhundert: Beiträge zu ihrer Entwicklung im deutschsprachigen Raum..*
[6] *Segovia at Los Olivas*. (1994). [Film]. Christopher Nupin. London. Allegro Films.
[7] Ibid.

the *Chaconne* from *Violin Partita No. 2* BWV 1004, published by Schott in 1934, in which he borrowed from the well-known piano arrangement of the same piece by Ferruccio Busoni (1866–1924). The prolonged popularity of Segovia's various classical guitar arrangements of Bach's music is evident through his continued influence on the works of more recent arrangers.

In the late 20th and early 21st centuries, significant guitar arrangements of Bach's music have been created with a stronger focus on authentic stylistic choices; in recent times, Frank Koonce, Stanley Yates, and Tillman Hoppstock especially stand out as guitarist-arrangers who take, to varying degrees, an historically informed approach to the arrangement process. As this paper demonstrates, the arrangement process is inherently an interpretative one, and as such, arrangements of Bach which share common goals nevertheless show great variance between them. This variance allows for critical comparison of each arrangement, thereby gaining an informed approach to the performance and arrangement of Bach's music on the guitar.

This project defines and investigate three primary concepts and devices that facilitate an effective arrangement: the authentic translation of the sound and spirit of contemporaneous historical performance style, idiomaticism and fingering, and navigation of technical and musical compromise. Furthermore, it demonstrates that the arrangement process is informed by, and interrelated with, performance and interpretation. The following Literature Review focuses on the justification and exploration of these concepts, as well as additional considerations including the distinction between arrangement and transcription, the implications of transposition, and key affects.

Literature Review

To begin with, a discussion of the meaning of the interrelated terms 'authenticity' and 'intention' is called for. Aesthetic philosopher Stephen Davies asserts:

> A performance which aims to realise the composer's
> score faithfully in sound may be judged for authenticity.
> A performance of *X* is more, rather than less, authentic the
> more faithful it is to the intentions publicly expressed in
> the score by the composer.[8]

Davies' notion of authenticity received significant criticism in the following years, notably by musicologist Richard Taruskin. The concept of authenticity is closely related to the so-called historical performance practice movement which gained popularity through the latter half of the 20th Century;[9] Haskell emphasizes the importance of authenticity to the movement in his book *The Early Music Revival: A History,* opening the chapter entitled *Playing Bach 'His Way'* by claiming:

> Authenticity is, of course, the nub, the central issue, the
> very *raison d'être* of the early music movement. In a sense,
> the history of the movement is the history of the search for
> authenticity.[10] [11]

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[8] Davies, 1987. "Authenticity in Musical Performance", p. 39

[9] Another name for the movement is historically informed performance practice, but historical performance practice is the term used in major works among the literature such as those by Haskell, Kerman, Dreyfus, and Kenyon.

[10] Haskell, H. 1996. p.175

[11] See also: Chapter 2: "Prospects for Authenticity", from Robert Donington's 1963 book entitled *The Interpretation of Early Music*.

More recent literature, however, criticizes the notion of authenticity. For example Matteo Ravasio rejects the characterisation of historically informed performance practice perpetuated by Davies and others as "compliance focused, impersonal, and work-centered"[12]. Instead, an emphasis on the performer's creative agency in interpreting a score, and rejection of notions such as *werktreue,*[13] have become more accepted; for example, Nicholas Cook's books *Beyond the Score: Music as Performance*, and *Music as Creative Practice* are particularly influential in this respect.[14] [15] The work of Daniel Leech-Wilkinson also opposes the idea of *werktreue*, emphasising the performer's role in interpretation and performance. [16]

The definition and implications of an artist's intention has itself been the subject of meaningful discussion. Wimsatt and Beardsley's influential article entitled *The Intentional Fallacy* will serve as a reference point for what is meant by 'intention', cognisant of the fact that subsequent debate and discussion is ongoing. In the article, Wimsatt and Beardsley argue that the intention of a piece of art is to be understood as wholly present and discoverable from within the art itself, rather than from the artist:

> The design or intention of the author is neither available
> nor desirable as a standard for judging the success of a work
> of … art.[17]

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[12] Ravasio, M. (2019) *Historically Uninformed Views of Historically Informed Performance*. p.193
[13] German for "true work"; the idea that there is an 'ideal' version of a work of art separate from a performer's interpretation.
[14] Cook, N. (2013) *Beyond the Score: Music as Performance*. Oxford University Press.
[15] Cook, N. (2018) *Music as Creative Practice*. Oxford University Press.
[16] Leech-Wilkinson, D. (2012). "Compositions, Scores, Performances, Meanings". Music Theory Online.
[17] Wimsatt and Beardsley (1948). "The Intentional Fallacy", p. 468

This view is in stark contrast to the traditional view of historically informed performance, placing emphasis on evidence from within the work, rather than evidence outside the work such as treatises. This view, as well as Cook and Leech-Wilkinson's ideas, is helpful when addressing the problem of interpreting Bach 'authentically' because one is free to let the music speak for itself, distanced from the epistemological problems of attempting to know the composer's mind.

While it is outside the scope of this paper to delve fully into the constantly shifting and often clashing landscape of historical performance practice, the following quote from musician Marie Leonhardt, will help to avoid delving into the various pitfalls present; she states the goal of an historically authentic performance ought to be arranging and performing a work such that its composer could listen 'at worst, without bewilderment, and at best, with pleasure.'[18] This idea, along with the ideas of Cook and Leech-Wilksinson, melds well with the excellent summary of the guitarist-arranger's goals for authentically translating Bach's music in the 'modern' context of historical performance practice, which is presented by Stanley Yates:

> Through an examination of historical style and informed
> performance practice, we may discover not only a powerful
> means of expressing the music, but also a stylistic means of
> arranging it. Ultimately, we create a *modern* baroque style
> for the transcription and performance of this music on the
> *modern* guitar.[19]

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[18] Leonhardt, M. *The Present State of Early Music in Northern Europe, in Particular the Netherlands*. EM 4. (1976) p.51
[19] Yates, S. 1998. *Bach's Unaccompanied String Music: A New (Historical) Approach to Stylistic and Idiomatic Transcription for the Guitar*. Mel Bay Pub. p.18

Where, then, can an arranger turn in order to take an informed approach to historical style? The most practical primary sources are Baroque performance treatises, and Bach's own arrangements.

Baroque treatises such as those by Henry Purcell,[20] J.S. Bach himself,[21] Jean Phillip Rameau,[22] Johann Joachim Quantz,[23] and C.P.E. Bach,[24] offer contextual insight into several performance practices during Bach's time, including the common performance practices and systems of notation. Additionally, they are useful as a reference for the implementation of stylistically appropriate ornamentation and articulation into a performance, although Roland Jackson does note:

> The French ornament tables of the late 17th and early 18th
> centuries provide a more trustworthy basis for the interpretation of
> Bach's ornaments than do [the treatises of] C.P.E Bach, Quantz, or
> Marpurg applied retrospectively.[25]

The purpose of these sources within this project is not to fully define a performance style for the project's recitals, but rather to provide relevant considerations for the arrangement process. Marchione's guitar arrangement of Bach's *Chaconne* from *Violin Partita No. 2* BWV 1004,

[20] Purcell, H. (1696) *Lessons for the Harpsichord or Spinet (Rules for Graces)*. London.
[21] Bach, J.S. (1720) *Klavierbüchlein für Wilhelm Friedemann Bach*. Köthen.
[22] Rameau, J.P. (1731) *Pièces de Clavecin Vol. 2*. Paris.
[23] Quantz, J.J. (1752) *Versuch einer Anweisung die Flöte traversiére zu spielen*. Berlin.
[24] Bach, C.P.E. (1753) *Versuch über die wahre Art das Clavier zu spielen*. Berlin.
[25] Jackson, R. (2005) *Performance Practice: a Dictionary Guide for Musicians*. New York. Routledge. p.27

for example, contains many references in the score to 'vintage treatises' to justify his added notes or altered rhythms.[26]

In a similar way to how Baroque treatises provide insight into the performance practice of the time, musicians can look to Bach's arrangements of his own works to serve as a model, and gain insight into the composer's understanding of harmony, counterpoint, and instrumental idiom. Furthermore, one can view Bach's approach to adding harmony and polyphony when performing music written for a monophonic instrument upon an instrument capable of polyphonic textures.[27] As a pupil of his, Johann Friedrich Agricola, wrote in 1774:

> [Bach] often played [his own works] on the clavichord, adding
> as much in the nature of harmony as he found necessary. In
> doing so, he recognised the necessity of a sounding harmony,
> such as in compositions of this sort he could not more fully
> achieve.[28]

Bach's arrangements for lute (or for keyboard with intention to emulate the texture of a lute) are especially useful to those looking to arrange Bach for guitar, due to the instrument's idiomatic similarities. Bach's *Lute Suite in G Minor* BWV 995, his arrangement of *Cello Suite No. 5* BWV 1011, is a particularly enlightening and applicable case; it is also the only so-called Lute Suite by Bach confirmed to actually be written for the instrument. Allen Krantz states in the preface of his guitar arrangements of the first three Cello Suites:

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[26] Marchione, C. (2020).
[27] Koonce and DeRome, 2020. p.5
[28] David, H. and Mendel, A. *The Bach Reader: A Life of Johann Sebastian Bach in Letters and Documents*. New York. W.W. Norton. 1966. p447.

> Bach's transformation of the fifth cello suite into what is known
> as the Third Lute Suite was certainly the role model for arranging
> the other suites for guitar.[29]

This sentiment is shared by other guitar arrangers like Fojas, Harb and Hoppstock.[30] [31] [32] Using the *Lute Suite in G Minor* BWV 995 as a model, Fojas completed a guitar arrangement of *Suite in D Major* BWV 1012, and Harb's work is similar in that he uses Bach's arrangements as a model for his own.

Moving outwards from the *Lute Suite in G Minor* BWV 995, Yates points to Bach's arrangement for the clavier of the *Fuga* from his *Violin Sonata in A Minor* BWV 1003 as an effective example that shows the extent to which Bach filled out harmonic elements, suggesting that his increased familiarity with the keyboard over the lute led to a more elaborate approach from the composer.[33] Here, according to Yates, the *Fuga* is transformed into a most convincing keyboard-textured work, such that:

> ... although the violin original is ever-present, buried within
> the texture, no hint is given to suggest that the movement was
> conceived as anything other than a *fuga a tre* for clavier.[34]

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[29] Krantz, A. n.d. *Cello Suites Nos. 1,2 and 3*. New York. International Music Company.

[30] Fojas, I. 2017. *J.S. Bach's Suite in G Minor, BWV 995: A comparison of manuscripts for violoncello, lute, and lute intabulation as a model for a guitar arrangement of the suite in D major BWV 1012.* PhD. University of Arizona.

[31] Hoppstock, T. 2009. *Bach's Lute Works from the Guitarists Perspective Vol. 1 – Suites BWV 995/996.* Musikverlag Darmstadt.

[32] Harb, T. (2014) *The Un-Limited Guitar: Arranging Bach and Britten for the Means of Repertoire Expansion* PhD. University of Toronto.

[33] Yates, S. "Bach's Unaccompanied Cello Music: The Nature of the Compound Line and an Approach to Stylistic and Idiomatic Transcription for the Guitar." Soundboard: Journal of the Guitar Foundation of America (1996). Vol. 22, No. 3. p. 16).

[34] Ibid.

It is just such an impression that an arrangement of Bach for the guitar should aim to achieve, according to Yates. As explored in Chapter 1 and Chapter 2, said impression is perhaps best achieved through navigating compromises between emulating the idiom of the original instrumentation or transforming the work to the idiom of the guitar.

Gertruida Oliver defines idiomaticism as 'the exploiting of the particular capabilities of the instrument or voice for which the music is intended, using the characteristic capabilities of each instrument.'[35] The author goes on to define 'pianism' (since the project concerns the piano idiom) as 'a specifically dedicated form of idiomaticism… [that] uses the instrument in a way that is uniquely characteristic of its mechanical and musical potential.'[36]

One commonality through the literature is that idiomaticism is a desirable quality for an arrangement to have. This raises the question: Is it best to emulate the original instrumentation's idiom, or transform the work to the guitar's idiom? The answer, this paper argues, lies in an informed compromise between the two.

In Stanley Yates' description of his own arranging process, he argues that selectively sacrificing some cello-idiomatic notes is necessary to clarify the voice-leading upon the guitar.[37] David Leisner, echoes this statement in his arrangement of the third Cello suite.[38] Further advocating for the idea of compromise, Sasaki argues in the preface to his book of Bach

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[35] Oliver, G. J. "Brahms's Sonata/Quintet Opus 34: Pianism as facilitating concept in establishing the link between technique and interpretation". (DMus thesis; University of Pretoria, 2012), p.13.
[36] Ibid.
[37] Yates, S. (1998). p.3-4
[38] Leisner, D. n.d. *Cello Suite No. 3 (BWV 1009)* Merion Music Inc. Theodore Presser Co. pp. 2-3

cello arrangements that considerations of not only the guitar idiom, but also the idiom of the

instrument(s) the music was originally written for, are essential for an arrangement.[39]

Closely related to the concepts of idiomaticism and compromise within the process of

arrangement is Kunda's assertion that guitar fingering is both a tool for, and a result of,

interpretation.[40] Kunda discusses the fingering-related issues and concepts that arise when

arranging or composing a given work, directly demonstrating fingering's relationship to the

performance outcome.

A practical example of where fingering considerations are intertwined closely with the

interpretation of Bach's music is in the implementation of what Frank Koonce terms 'melodic

fingering' and 'harmonic fingering.'[41] These contrasting methods of guitar fingering can be

applied selectively in order to realise and clarify the 'compound melodies', or implied

polyphony, present in Bach's music written for instruments limited in their polyphonic

capabilities, such as the violin or cello.[42] Harmonic fingering is similar to, yet distinct from,

the term '*style brisé*' (French for 'broken style'), defined as irregular arpeggiated textures in

Baroque music, most commonly for the lute, viol, and keyboard.[43] Applications of these

concepts are explored in Chapters 1 and 2.

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[39] Sasaki, T. (2000). *J.S. Bach: 6 Cello Suites arr. Guitar.* Zen-On. pp. 2-3
[40] Kunda, B. (2012). *A consideration of guitar fingering: implications for the preparation of a musical interpretation for performance and the process of writing music for the guitar*. PhD. ANU. p.142
[41] Koonce, F. 2002. *Johann Sebastian Bach The Solo Lute Works*. 2nd Edition. San Diego, California. Neil A. Kjos Music Company. p. xvii
[42] Ibid.
[43] Buch, David J. *Style brisé, Style luthé", and the "Choses luthées"*. The Musical Quarterly, Vol. 71, No. 1. (1985), pp. 52–67.

Key transposition is often employed in service of idiomaticism. Sasaki transposes *Cello Suite*

No. 1 BWV 1007 (originally in G major) into A major on the guitar, opposing, Frank Koonce,

David Leisner, John Duarte, Allen Krantz, and Tilman Hoppstock, who all set their

arrangements of this piece in D major, and Stanley Yates, who sets his version in C major. In

some ways, Sasaki's emphasis on emulating the sonority of the original instrument is

contrasted by Leisner's approach to the third cello suite, where he encourages a purely

guitarristic performance, rather than attempting to emulate a cello. Leisner comments:

> When played on guitar, Bach's Cello Suite No. 3 sounds very different from the original version. The guitar brings out the work's lighter, airier, more fluid qualities. Rather than fight the distinction between the two instruments, the guitarist should capitalise on it and, instead of imitating the cello, should play it as a guitar piece.[44]

When approaching the issue of changing the original key of Bach's work, it is worth

considering the possible intentions of Bach setting music in a certain key. Although Sasaki

asserts that Bach chose the original keys in consideration of the cello idiom, it is true that in

the era of the suites' composition, different keys were intended to evoke different moods.[45]

Making a distinction between transcription and arrangement is important since both are

common terms and ostensibly separate practices when setting the work of Bach to guitar. This

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[44] Leisner, D. n.d. p.3
[45] Ishiguro, M. A. (2010) *The affective properties of keys in instrumental music from the late nineteenth and early twentieth centuries.* Masters Thesis p. 536

distinction is not often discussed explicitly in relevant literature. Frank Koonce, in the foreword

to his Bach cello suites arranged for guitar, does offer the following distinction:

> Transcriptions, strictly speaking, are more faithful
> to the original, while arrangements are more
> interpretative, with subjective reconstruction and
> sometimes even extreme changes made at the whim
> of an editor.[46]

Sometimes, the two terms are used interchangeably, such as in Matthias Lang's doctoral thesis,

Transcription of Baroque Works for Classical Guitar: J.S. Bach's Sonata in D Minor (BWV

964) as Model, where the author refers to a 'harpsichord arrangement' from which 'principles

of transcription' will be derived.[47] This seeming misnomer is present in Brendan Lake's

doctoral thesis, *Performing Heinrich Biber's Mystery Sonatas on Solo Guitar and Principles*

for Arranging Early Baroque Solo Sonatas, in which Lake refers to the 'arranging process' but

calls the final product a 'transcription'.[48] Vince Corozine defines an arrangement simply as an

'already written composition for presentation in other than its original form'.[49] Corozine asserts

that the term 'arrangement' allows for dramatic changes to the source material, so long as those

changes help to communicate faithfully the character of the original:

> An arrangement may include reharmonization, paraphrasing,
> and/or development of a composition, so that it fully represents
> the [original] melodic, harmonic, and rhythmic structure.[50]

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[46] Koonce, F. (2010) p. ix
[47] Lang, M. (2013) *Transcription of Baroque Works for Classical Guitar: J.S. Bach's Sonata in D Minor (BWV 964) as Model*. Phd. University of North Texas.
[48] Lake, B. (2014) *Performing Heinrich Biber's Mystery Sonatas on Solo Guitar and Principles for Arranging Early Baroque Solo Sonatas*. Phd. Arizona State University. p. 7
[49] Corozine, V. (2015) *Arranging Music for the Real World*. Mel Bay Publications. p.3
[50] Ibid.

Tariq Harb agrees with Koonce and Corozine on their definition of arrangement, but adds that transcribing is merely the act of writing down in music notation a piece of music that has previously not been written down, giving an improvised jazz solo as an example.[51]

Boyd, in his article in the New Grove Dictionary, states that the implied distinction between the terms 'arrangement' and 'transcription' are by no means universal. He does note that in most cases, some amount of re-composition is involved if the new work is to be deemed an arrangement.[52] Boyd further asserts:

> The word [arrangement] may be taken to mean either the
> transference of a composition from one medium to another,
> or the elaboration or simplification of the piece.[53]

This is relevant when considering works such as Bach's lute versions of *Cello Suite No. 5* BWV 1011 and *Fugue in G Minor* BWV 1001, which both feature added notes, the latter of which introducing new harmonic material unique to the lute version. The idea of performative fingering that Kunda speaks of can be applied, in that fingering decisions made by arrangers could be considered re-composition when the resulting musical effect is transformative. In the context of this thesis, 'arrangement' is the term used, in light of Boyd's definition as well as the work of Kunda, given that even note-for-note transcriptions for guitar are fingered extensively for publication, necessitating creative input from the arranger. Drawing on the sources discussed above, this study pursues the following aims and research questions.

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[51] Harb, T. (2014) *The Un-Limited Guitar: Arranging Bach and Britten for the Means of Repertoire Expansion* p.2 PhD. University of Toronto. p.2
[52] Boyd, M. (2001). "Arrangement". *The New Grove Dictionary of Music and Musicians.* Vol 2. Edited by Stanley Sadie and J. Tyrell. p.66
[53] Ibid. p.66

Project Aims

1. To demonstrate the interrelationship between arrangement decisions and their interpretative implications in performance

2. To distil core principles of arranging Bach's music for the classical guitar, defining the navigation of the compromise between preservation of Bach's intent, interpretative and technical considerations, and idiomaticism as an effective arrangement

3. To examine the classical guitar's suitability for translating Bach's music from different instrumentations

Research Questions

1. How can management of technical difficulty and the ideals of performance and interpretation be best negotiated?

2. What are the core principles of effectively arranging Bach's music for classical guitar?

3. How can the capabilities of the classical guitar (idiomatic, tonal, timbral, etc.) be best utilised to preserve Bach's musical intentions?

Conceptual Framework and Methodology

The theoretical framework for this project draws together the elements of consideration for arranging explored particularly in the work of Koonce, Yates and Hoppstock which contain primary and secondary sources, in order to produce a comprehensive set of justifiable guidelines for what defines an effective arrangement. Said guidelines and discussion of these sources occurs in Chapter 1 of this thesis.

The interrelationship between arrangement and performance is demonstrated using the framework for fingering as interpretation set up by Kunda and Koonce, as well as through practice-led research (and research-led practice) as framed in Smith and Dean[54] and Haseman.[55] The approaches of practice-led research and research-led practice cycle into one another.[56]

Arrangers' approaches to solving the technical and musical problems present within the arrangement process have been analysed and compared from both a theoretical and performance-based perspective and used as a basis for original solutions. Presented in performance and in exemplary case studies, these solutions illustrate the ongoing negotiation of relevant concepts such instrumental idiom, arrangement principles, Bach's own approach to

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[54] Smith, H. and Dean, R. (2009) Practice-led Research, Research-led Practice in the Creative Arts. Edinburgh University Press. p.1
[55] Haseman, B. (2006) *A Manifesto for Performative Research*. Media International Australia Incorporating Culture and Policy. 118 (February). pp. 98-106.
[56] Smith and Dean (2009) p.1

arranging and the pursuit of effectively translating Bach's intentions through arrangement and

performance.

PART A: AUDIO RECORDINGS

Please note: Recital I consists of two separate audio files, due to the interval.

For the repertoire performed as part of the recitals for this project, arrangements by Koonce,[57] [58] Hoppstock,[59] Korhonen,[60] Yates,[61] Sasaki,[62] Duarte,[63] Krantz,[64] Marchione,[65] and Segovia[66] have been principally used as reference arrangements.

Full Scores are contained in a separate volume made available for examination purposes only. Due to copyright regulations the scores used and newly created during this study cannot be included in this public domain publication format.

[57] Koonce, F. (2010). *Bach - Cello Suite No. 1. Saint-Romauld*. 2nd ed.

[58] Koonce, F. (2002). *Johann Sebastian Bach - The Solo Lute Works*. 2nd Edition. San Diego, California. Neil A. Kjos Music Company.

[59] Hoppstock, T. n.d. *Works for Lute Complete Scientific Urtext Edition in Guitar Notation*. Prim-Musikverlag.

[60] Korhonen, T. (2010). *Bach Partitas for Solo Violin. Arr. Korhonen.*

[61] Yates, S. (1998). *J.S. Bach: Six Unaccompanied Cello Suites arranged for Guitar.* Mel Bay Pub. Inc.

[62] Sasaki, T. (2000) *Bach Cello Suites for Guitar.* Schott.

[63] Duarte, J. (1985). *Cello Suite No. 1, BWV 1007. Guitar Solo.* Schott.

[64] Krantz, A. n.d. *Cello Suites Nos. 1,2 and 3*. New York. International Music Company.

[65] Marchione, C. (2020). *Ciaconna, from Partita for Violin Solo No. 2, J.S. Bach*. MarchioneMusic Publication.

[66] Segovia, A. (1934). *Chaconne, J.S. Bach.* Schott.

Recital I, 1st August 2022, at Elder Hall, Adelaide

Work	Movements	Start Time
Cello Suite No. 5 in C Minor BWV 1011 – J.S. Bach (performed in A minor)	Prelude	00:45
	Allemande	07:10
	Courante	14:09
	Sarabande	16:16
	Gavotte I + II	19:42
	Gigue	24:31
Cello Suite No. 2 in D minor BWV 1008 – J.S. Bach (performed in A minor)	Prelude	27:20
	Allemande	31:20
	Courante	35:43
	Sarabande	38:31
	Menuet I + II	43:32
	Gigue	46:11
	INTERVAL	**49:04**
Cello Suite No. 1 in G major BWV 1007 – J.S. Bach (performed in D major)	Prelude	00:15
	Allemande	02:55
	Courante	09:05
	Sarabande	12:03
	Menuet I + II	14:58
	Gigue	18:12
	END OF RECITAL	**20:33**
	Total:	**69:37**

Table 1

Recital II, 22nd August 2022, at Elder Hall, Adelaide

Work	Movements	Start Time
Lute Suite in G Minor BWV 995 – J.S. Bach (performed in A minor)	Prelude	00:22
	Allemande	07:01
	Courante	14:02
	Sarabande	16:14
	Gavotte I + II	19:35
	Gigue	24:27
Violin Partita No. 2 in D minor BWV 1004 – J.S. Bach (performed in original key)	Allemande	27:41
	Courante	34:15
	Sarabande	37:11
	Gigue	41:53
	Chaconne	47:19
	Total:	**62:57**

Table 2

PART B: EXEGESIS

Chapter 1: Principles of Creating an Effective Arrangement of J.S. Bach's Music for Classical Guitar

1.1 Effective Arranging

To create a guitar arrangement of Bach's music in a '*modern* Baroque style for the *modern* guitar' as Yates describes, the arranger must seek to preserve and communicate their full understanding of Bach's musical intentions as authentically as possible.[67] [68] As discussed in the Literature Review, authenticity refers to inferring and successfully preserving the composer's musical intentions, as well as maintaining stylistic authenticity. Stylistic authenticity can be summarised as a combination of appropriately placed and properly executed ornamentation, phrasing, dynamics, and tone production, ultimately realised through interpretative performance. These musical and technical factors also serve to realise and promote the characteristics of the various dance movements in Bach's suites.

Throughout the process of arrangement, the arranger must strike a compromise between authentically preserving the composer's perceived intentions, navigating the technical and aesthetic demands of the music, and accounting for the strengths, limitations, and physical characteristics which define the guitar's idiom.[69] The compromise necessary to strike a balance

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[67] Yates, S. (1998). p.18
[68] Koonce, F. and DeRome, H. 2019. *Johann Sebastian Bach Sonatas and Partitas: Six Violin Solos arranged for guitar*. Quebec. Les Productions d'Oz 2000 Inc. pp. 3-12
[69] See Oliver's definition of idiomaticism in the Literature Review.

between these elements is interpretative, and when successfully navigated, results in an effective arrangement. This chapter will examine the methods arrangers use to navigate this compromise to realise an authentic translation of Bach's music on the guitar, with a particular emphasis on how idiomatic fingering and performance considerations directly impact both the arrangement process and the final sonic product, producing guidelines for the arrangement process.

1.2 Authenticity to Bach's Style

Acknowledging the assertions by Davies and Wimsatt and Beardsley on artistic intention and authenticity discussed in the Literature Review, Bach's own arrangements provide insight into his approach to the arrangement process, and a valuable reference for arrangers endeavoring to emulate Bach.

For example, in performance of Bach's music, the addition of improvisatory ornamentation is appropriate.[70] [71] Bach often literally notated his ornamentation and embellishments. Consider the following example alluded to in Hoppstock's *Bach's Lute Works from the Guitarists Perspective,* comparing Bach's two versions of the *Gigue* from *Cello Suite No. 5* BWV 1011 and *Lute Suite in G Minor* BWV 995 [72] (transposed to A minor):

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[70] Yates, S. *Bach's Unaccompanied Cello Music: The Nature of the Compound Line and an Approach to Stylistic and Idiomatic Transcription for the Guitar.* Soundboard: Journal of the Guitar Foundation of America (Winter 1996, XXII, No. 3, p. 15).

[71] See: Neumann, F. *A New Look at Bach's Ornamentation.* Music and Letters. (Jan 1965, Vol. 46, No. 1, pp. 7-9)
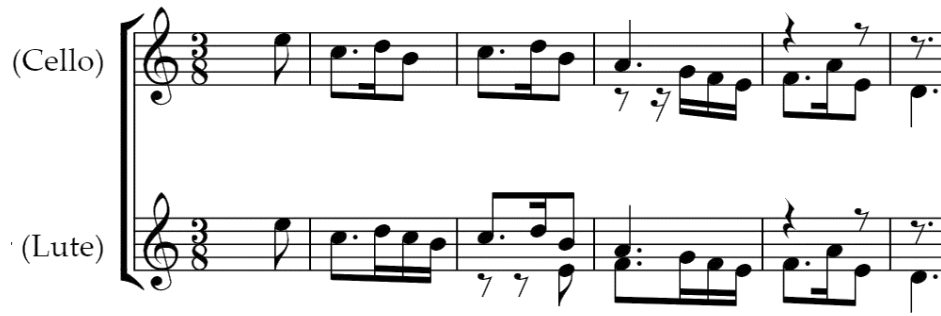
[72] Hoppstock, T. 2009. p.146

Figure 1, BWV 1011 and BWV 995, *Gigue,* bb.1−3

In his version for Lute, Bach clearly spells out the imitative polyphony that was previously only implied in the cello version. He does this by the addition of the D and Eb notes (transposed above to E and F) in the introduction of the lower voice. Bach alters the opening bar, implementing an ornamentation known as *tierce coulée*, or 'sliding thirds'.[73] This is an adjustment which appears in other movements of the suite as well, such as in the final bar of the *Allemande.*[74] Tilman Hoppstock notes:

> …in all Baroque textbooks, the possibility of filling the space between falling thirds or sequences of thirds with appoggiaturas is frequently mentioned. Passing notes can also be inserted between individual thirds for a more expressive character [75]

He points to numerous examples of this phenomenon in Bach's other works.[76] [77] The aesthetic effect of *tierce coulée* can be extrapolated to inform other improvisatory ornamentation, such as approaching this jump of a sixth in the *Prelude* of *Cello Suite No. 5* like so:[78]

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[73] Fojas, I. p.52
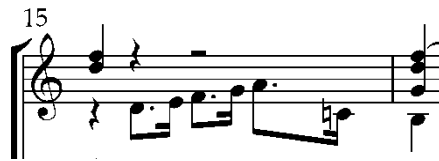[74] Ibid. p.53
[75] Hoppstock, 2009. p.34
[76] Ibid.
[77] See also: Badura-Skoda, P. 1995. *Interpreting Bach at the Keyboard*, *revised ed.* Clarendon Press.
[78] Guitarist Ricardo Gallen, for example, performs this passage as in the latter example on his album, *Bach: Complete Lute Suites* (2013, Sunnyside Communications).

Original cello (transposed to A minor):

Possible Lute-based arrangement (transposed to A minor):
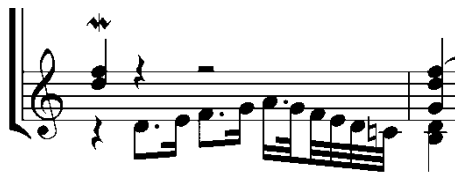
Figure 2, BWV 1011, *Prelude,* b. 15

1.3 Instrumental Characteristics

When attempting to emulate Bach's compositional voice in an arrangement, the strengths and

limitations of the original instrument and the target instrument must be considered. This then

informs the arranger's approach to texture, voicing, and emulation of the original

instrumentation.

1.3.1 Texture and Voicing

Bach certainly considered the texture of the lute when he arranged his *Cello Suite No. 5*. He

tended to add additional notes to the harmony of previously existing chords, or under notes

upon which he wished to place emphasis, like in Bar 25 of the *Allemande* (transposed here to

A minor, with the cello version above and lute version below):

Figure 3, BWV 1011, *Allemande*. b. 25

Arrangers look to such cases to see the composer's approach to adding notes when the new

instrument's idiom demands it. To then transfer chords from the lute to the guitar is relatively

straightforward; one need only revoice the stacked thirds which are possible for the lute due to

its unique tuning, but impossible (or highly impractical) upon the guitar.[79]

By extrapolating from Bach's approach to added chords in the *Lute Suite in G Minor* BWV

995, one can produce effective arrangements of other pieces partly through the selective

addition of guitar-idiomatic chords, for example:[80]

Figure 4a, BWV 1007, *Allemande*, b.1

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[79] Hoppstock, T. (2009) *Bach's Lute Works from the Guitarist's Perspective*, Vol. 1. Darmstadt. Prim-Musikverlag. p.48

[80] Goluses, N. (1989) *JS Bach and the Transcription Process*. Guitar Review.
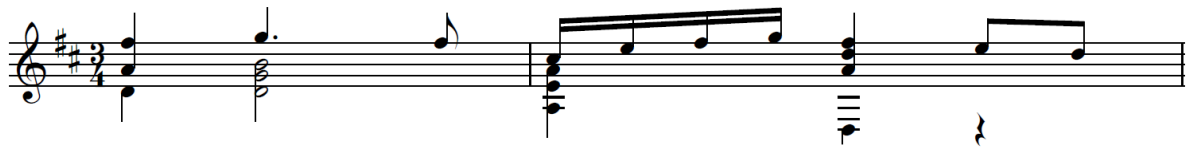
Figure 4b, BWV 1007, *Sarabande*, b.1

Figure 4c, BWV 1008, *Prelude*, bb. 1–4

Notice that while chords do occur in the original cello versions of these works, the chordal additions for guitar don't have to be limited to just these moments. Consideration must certainly be given to both the harmonic rhythm of the work as well as the intended texture and mood (affect) of an individual movement or passage.

The other reason that notes are added to Bach's monophonically textured works are to realise implied counterpoint, usually in the lower register. This can range from bass notes which serve to emphasise the harmonic rhythm, to a fully functioning contrapuntal voice. Once again, Bach's lute arrangement of his fifth cello suite serves as a model for both approaches. In the *Gavotte I*, Bach adds the bass to clarify and strengthen the root notes of the harmonic progression, moving in fourths:

Figure 5, BWV 995, *Gavotte I*, bb. 5–8

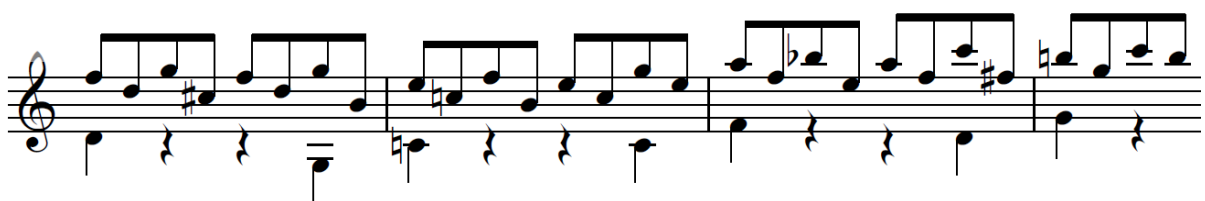In contrast to this, the *Gavotte II* features an entirely new contrapuntal line of equal interest to the upper triplets, in an arguable re-composition of the piece (transposed here to A minor with the Cello version above, and the Lute version below):
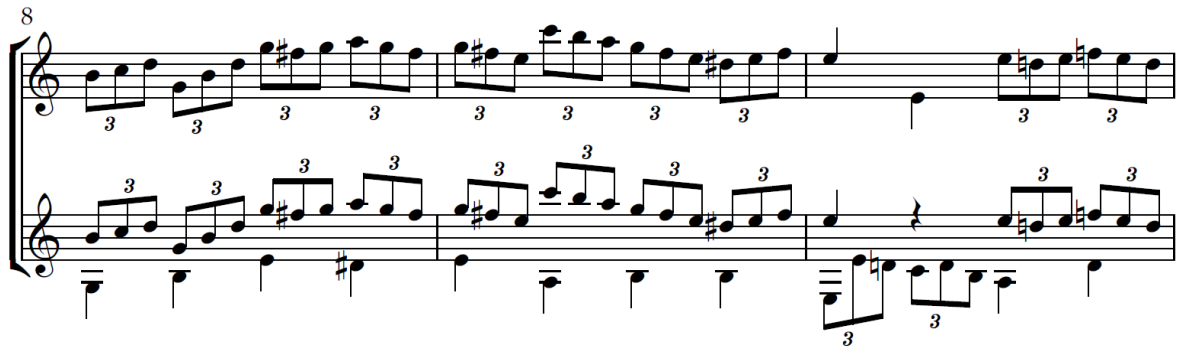
Figure 6, BWV 1011 and BWV 995, *Gavotte II*, bb. 8–11

When adding notes in this fashion care must be taken to obey the contrapuntal and harmonic conventions of Bach's period, at the risk of producing an overly anachronistic arrangement.

1.3.2 Emulating the Original Instrumentation

There are situations where the guitarist-arranger may instead choose to emulate the characteristics of Bach's original instrumentation, in spite of what is idiomatic on guitar. Consider once again Bach's *Cello Suite No. 5 in C Minor* BWV 1011. The arranger that wishes to present specifically the *Cello* Suite rather than the *Lute* Suite upon the guitar can utilise the following principles to emulate the original instrument's idiom.

Firstly, the addition of notes ought to be kept to a minimum since the arranger is emulating a mostly monophonic instrument's texture; therefore, the filling-in of chords is discouraged.

If bass notes are to be added, they should be limited to the harmonic rhythm of the piece, so as not to unnecessarily affect the thinner texture of the arrangement. To strike a balance against the textural sparsity resulting from this approach, bass notes could be added to clarify the harmony, especially on the strong beats of each bar.

Chords are to be mostly unchanged from the original cello version, but the guitarist can choose to execute them like so:
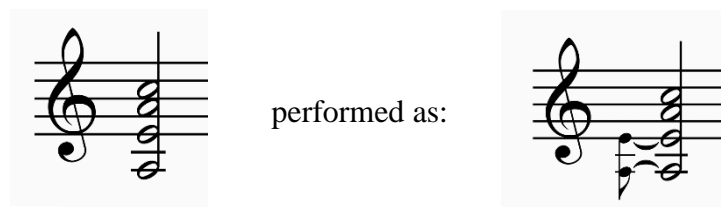
 performed as:

Figure 7

While the above figure is not authentic to Bach's period, it is an emulation of a more modern (post-19th Century) cellist's approach to large chords. If historical authenticity is paramount to the performer, the chords may be performed as normal. When presented with the choice of a *campanella* approach or choosing a closed fingering, the latter is to be preferred, considering the idiom of the cello.[81]

By following these principles, an arranger can produce an arrangement that alludes strongly to the idiom and character of the cello. This approach is possible for other instruments, and different instruments will have a differing set of principles and compromises associated with

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[81] Applications and variations on this technique are explored more thoroughly in the following sections, where Koonce's idea of melodic and harmonic fingering is considered.

their emulation upon the guitar. However, the most effective arrangement, in the sense this paper ascribes, will come as the result of prioritising the guitar idiom over that of the original instrument, as Bach did in his lute arrangement.[82]

In some cases, a effective guitar arrangement should emulate the original instrument to communicate the intention more effectively. Applications of this concept are explored further in the Case Studies.

1.4 Fingering

Informed utilisation of suitable fingering solutions is vital to the effectiveness of a guitar arrangement of Bach's music.[83] The possibilities for fingering a certain passage of music are extremely broad, and the fingering an arranger chooses has a direct impact on most elements of the music, including phrasing, colour, timbre, articulation, accentuation, and other technical and expressive devices.[84] [85]

1.4.1 Idiomaticism through Melodic and Harmonic Fingering

Music that is more, rather than less, idiomatic to a given instrument means that the characteristics of that instrument will tend to facilitate, rather than obfuscate, the goals of the arranger, and subsequently the intention of the composer. Music that is idiomatically fingered

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[82] For a practical demonstration of both a cello-based guitar arrangement of *Cello Suite No. 5,* and fully guitarristic arrangement of *Lute Suite in G Minor*, see this thesis' accompanying recordings and scores.

[83] 'Fingering' refers to the written fingering on the score, including left-hand finger numbers, right-hand finger letters (p, i, m, a), string numbers, left-hand position markings, and implied fingerings (usually for purposes of articulation) which are not traditionally written down, including the planting of right-hand fingers and left-hand damping.

[84] Kunda, B. (2012). p.19

[85] Yampolsky, I. M. (1976). *The Principles of Violin Fingering,* trans. Alan Lumsden. Oxford University Press. p.5

for the guitar is also technically easier to execute. Therefore, the way in which an arranger chooses to finger a musical passage has a direct impact on the performance of the work. In these ways, performative and interpretative considerations inherently guide the arrangement process, necessitating compromise between achieving idiomaticism and realising Bach's musical intentions.

For example, the arranger can selectively implement Koonce's idea of 'melodic fingering' or 'harmonic fingering', utilising the idiom of the guitar to facilitate appropriate phrasing and texture.[86] Melodic fingering ensures a musical line does not overlap with itself, placing emphasis on its horizontal nature, and separating it aurally from any accompanying textures. Melodic fingering is achieved by fingering a particular voice mostly upon the same string or using selective right-hand planting to mute any overlapping sound when this isn't possible. Harmonic fingering conversely results in an overlapping texture, bringing out the harmonic and chordal elements of the line, as well as facilitating any implied polyphony. It is primarily achieved by setting the musical material across multiple strings and using free-stroke (*tirando*) in the right hand. The two approaches to fingering can be combined to effectively realise a musical passage. Consider, for example, the opening bars of the *Prelude* from Bach's *Cello Suite No. 2*:

Figure 8a, BWV 1008, *Prelude*, bb. 1–4

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[86] Koonce, F. 2002. p.xvii

A guitar-idiomatic interpretation applies harmonic and melodic fingering in the following

manner (transposed here to A minor):

Figure 8b

Note that in the example above, harmonic fingering is used when the melody spells out an

arpeggiated triad, but this is not always the case. Consider, for instance, *Prelude* BWV 999

(transposed here to D minor), whereby the bass voice could be articulated with no overlap to

emulate the keyboard, while the triadic material remains as harmonic fingering:

Figure 9, BWV 999, *Prelude*, bb. 1–4

Specific written fingering is vital to the communication of the arranger's conception of phrasing and texture within Bach's music. The ways in which fingering is used to communicate these ideas are explored in the Case Studies.

1.5 Facilitating Compound Melodies Idiomatically

Idiomatic fingering can also be used to signify notes which should be held longer than their written value to facilitate and connect compound melodies. In this manner, the guitar can realise melodies which can only be implied upon mostly monophonic instruments such as the violin and cello. Consider the following passage in the *Courante* from *Cello Suite No. 2* BWV 1008:

Figure 10a, BWV 1008, *Courante*, bb. 23–25

Through appropriate fingering, the compound melodies present in this passage can be realised fully. Notated literally, the effect is thus (transposed to A minor):

Figure 10b, intended guitar voicing

Instead of notating the music like this, it is common practice to simply imply the preceding interpretation through written left-hand finger numbers, as explored further in the Case Studies.[87]

When the previous two concepts (melodic/harmonic fingering and held fingering) are implemented together, idiomatic solutions can help to preserve the intent behind the passage. Consider the following excerpt from the *Allemande* from *Violin Partita No. 2* BWV 1004:

Figure 11a, BWV 1004, *Allemande*, bb. 23–27

Taking into consideration the compound melodies present in the passage aboughtve, phrases which belong to the same voice can be connected through held notes; notated literally like so:
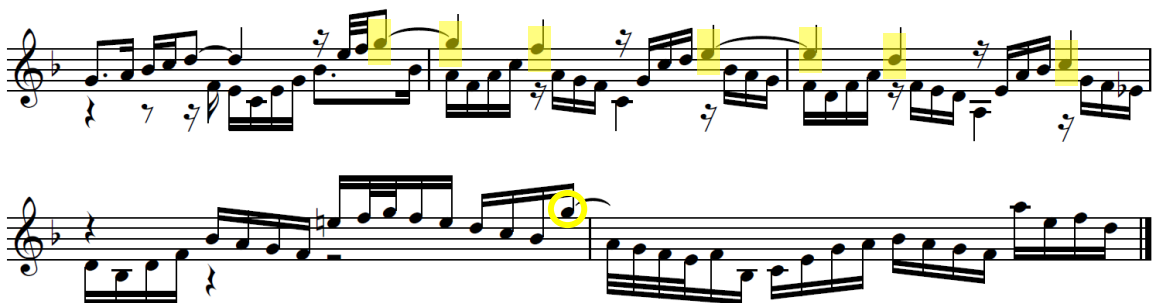

Figure 11b, intended guitar voicing

The held notes more clearly highlight the 9-8 suspensions and resolutions present in the passage (highlighted in yellow), and they also help to aurally separate the distinct voices. Note that the G natural (circled) should be held as long as possible to connect to the new phrase beginning in the fourth beat of the proceeding bar. In addition to implementing held notes, the arranger-performer has the opportunity to employ harmonic and melodic fingering, depending on if the material is scalic or triadic, resulting in an arguably more idiomatic arrangement.o

1.6 Utilising the Guitar's Idiom for Tonal Variance

Finally, fingering can achieve a certain desired tonal or timbral effect, especially through selective left-hand positioning. In consideration of the *affect* (or intended mood) of, for instance, the Sarabande from *Cello Suite No. 5*, the arranger may choose a left-hand position that utilises the warmer, richer colours of the guitar's lower strings, avoiding the naturally brighter open E string.[88] One way of doing this is to begin the piece in 5th, rather than 1st, position (transposed here to A minor):
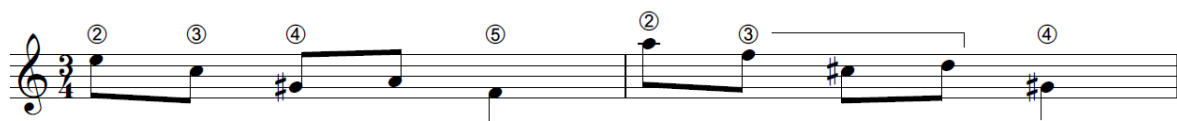

Figure 12, BWV 1004, *Sarabande*, bb.1–2

By setting musical passages in different left-hand positions, certain fingering solutions become available that serve to distinguish between contrapuntal voices, or more easily facilitate

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[88] This is not to imply a given movement projects only one affect throughout, which is a common misconception.

harmonic/melodic fingering. Implementation of such solutions is explored in the following Case Studies.

By using appropriate fingering solutions conscious of the guitar's idiom, the arranger can realise Bach's musical intentions in guitar-idiomatic ways. The arranger can also choose to emulate the idiom of other instruments upon the guitar, such as the cello. Guided by Bach's own arrangements as a model, arrangers can add or displace notes, notate ornamentation and embellishment, and add or expand chords in Bach's works to achieve a guitaristically idiomatic effect. As fingering is inherently interpretative, the arrangement will in effect be a notated interpretation to be realised through performance. The compromises inherent to each chosen fingering solution ensure a certain individuality to each arrangement, and the resulting effect on the music must be carefully considered before implementation.

Chapter 2: Case Studies

The following two case studies present examples for the principles referred to in Chapter 1, and go into detail on how and why certain interpretative fingerings work towards an effective arrangement. Rather than definitive solutions, these case studies serve as evidence for the scope of variance in interpretation, and necessity of compromise, that guitar arranging represents, and practically demonstrate the inherently interpretative and performative interrelationship of arrangement on the guitar.

2.1 Case Study: Performance-based approaches to arranging J.S. Bach's Chaconne from Violin Partita No. 2 in D Minor for guitar

In each of the following five excerpts from the *Chaconne*, principles are applied to arrive at a musically and technically effective solution for the performance of the passage on the guitar. The solutions are inspired and informed by multiple well-known guitar arrangements of Bach's *Chaconne*, especially those by Andrés Segovia (published 1934), Abel Carlevaro (published 1989), and Carlo Marchione (published 2015, revised in 2020).

The approach Segovia, Carlevaro, and Marchione take in setting Bach's Chaconne to the guitar reveal insights into their respective philosophies regarding performance and style. Carlevaro tends towards idiomatically straightforward solutions. The performer's sense of articulation is

vital to properly realising this version. Segovia, on the other hand, reflects a strikingly Romantic perspective on the *Chaconne*, grounding his arrangement firmly in the 20th Century through his heavy use of additional (and occasionally altered) harmony, as well as encouraging high contrast in tonal colours. Marchione's approach is historically informed by various Baroque treatises (although he does not specify which ones), modernised by the arranger's willingness to completely embrace the guitar idiom. The following cases borrow ideas from each.

This passage serves as an example of how compound melodies (implied polyphony) can be realised by using harmonic and melodic fingerings:

Figure 13a, BWV 1004, *Chaconne,* bb. 52–55

Typical to Bach's compositional style, the music here, though written as a single line, contains multiple distinct voices. Due to the nature of the notation, it is left to the arranger to interpret where each voice starts and ends. In this passage, it is rather straightforward to decipher this by looking at where large intervallic leaps occur in the melody. In this sense, one can say that the last three semiquavers of each bar and the first semiquaver of the subsequent bar are part of an upper voice, and the rest of the music forms the lower voice.

It is desirable for the upper voice to remain, as much as possible, on the same string, and for the first semiquaver of each bar, from bar 2 of the phrase onwards, to be sustained. Similarly, the second, sixth, and ninth semiquavers in the lower voice should ideally be sustained. The resulting interpretation can be notated in the following way:

Figure 13b, intended guitar voicing

To achieve this effect on the guitar, the following solution can be employed:

Figure 13c, detailed guitar realisation
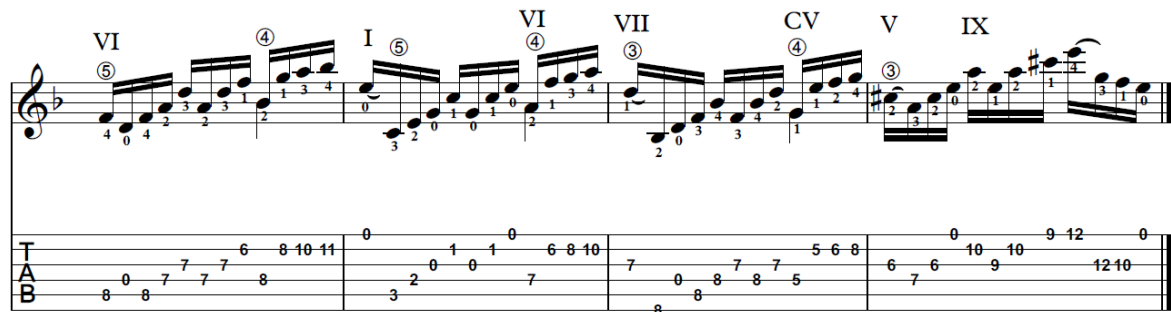
This solution uses harmonic fingering so that the lower voice is never on the same string successively. The upper voice is fingered with melodic fingering; it is set consistently on the second string, changing to the third or first string for the last semiquaver of each phrase so that it may be held over the subsequent phrase in the lower voice. The shift from 6th position to 1st

position and back to 6th position is facilitated by the open E string. The only compromise is in

the final bar, where the player must be wary of the tonal difference between the closed third

and open first strings when playing the final phrase of the upper voice.

The following passage begins the parallel major section of the piece. Applications for

effective separation of contrapuntal voices through the utilisation of the timbral qualities of

the guitar is exemplified here.

Figure 14a, BWV 1004, *Chaconne*, bb. 132–140

It is desirable to preserve the clarity of the two distinct contrapuntal voices by ensuring each is

consistent in tone and timbre. This can be achieved for the upper voice by setting it on the

fourth string as much as possible. As a result, the bass voice will necessarily be set upon the

fifth and sixth strings, which have similar tonal qualities to one another. This solution helps to

prevent unintended chordal textures that could arise if the melody is arranged over multiple

strings.

In the fifth bar of the excerpt below (b. 136), the nature of the highlighted chord means a fourth

string setting of the melody is not possible without omitting the F#, which plays a vital role in

the resolution of the first melodic phrase. The desired effect can still be preserved by closing

the B natural upon the third string. The resulting solution is:

Figure 14b, detailed guitar realisation

This solution is a technical compromise in that it requires a large left-hand stretch to reach the

A in bar 135 while sustaining the C# in the bass. It also requires multiple left-hand shifts which,

if not carefully controlled by the performer by way of left-hand technique and right-hand

articulation, will result in noticeable unwanted noise produced by the fingers moving over the

strings.

The following excerpt demonstrates a situation where the arranger can emulate the original instrumentation on the guitar.

Figure 15a, BWV 1004, *Chaconne*, bb. 200–207

This passage is marked by Bach to be arpeggiated, an instruction that relies on the performer's understanding of the violin idiom to establish the exact nature of performance. It is the arranger's responsibility to notate and finger these arpeggios in a manner that is idiomatic to the guitar and preserves the intended musical effect.

The nature of the violin's tuning and idiom means that the four-note arpeggiated chords can be split into two sets of double stops, performed in the following manner:
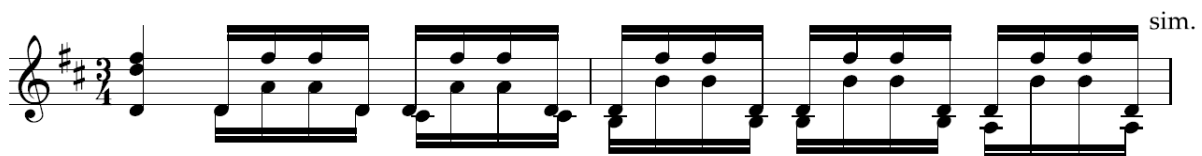

Figure 15b

It should be noted that this is an 18th Century technique, and violinists in Bach's period would have used a range of approaches to arpeggiating this passage. Nevertheless, many significant modern arrangements of the *Chaconne* utilise the approach above.

Brahms did so in his piano arrangement of the *Chaconne* for left-hand only, as did Busoni's

piano arrangement. It is an approach which can be comfortably performed on the guitar as well,

such as in Segovia's arrangement. The solution is thus:

Figure 15c, detailed guitar realisation

In this passage, the guitarist emulates violinistic double-stopping through the use of a strong

thumb stroke, striking the two bass strings in one motion. In parts where the bass voice is

separated across two non-adjacent strings, a combination of *p* and *i* is employed. The *m* and *a*

fingers are reserved for the top voices. Although the guitar is not limited in the same way as

the violin in regard to these arpeggios, by deliberately emulating the violin's idiom, the original

character of the music is more faithfully conveyed.

In the following excerpt, the guitar's ability to sustain multiple notes can be used to highlight

chordal textures.

Figure 16a, BWV 1004, *Chaconne*, bb. 220–223

In much of Bach's music for instruments with limited polyphonic capabilities, harmony is not

conveyed with chords but rather implied in the melodic material. Therefore, when there is

melodic material which outlines a triad, it is desirable to sustain the notes on the guitar,

emulating the compositional texture known as *style brisé*. Doing so can highlight compound

melodies and help to distinguish individual voices in much the same way as in Example 1 from

this case study.

In the above excerpt, the musical material clearly spells out triadic harmony, which is

embellished with passing notes to maintain a sense of melody (rather than just an arpeggiated

texture). Bringing out this quality on the guitar does not require much special consideration for

the left hand, apart from ensuring the appropriate notes are held for the appropriate length of time, because the passage is already naturally idiomatic on the guitar. The following is a simple yet effective approach:

Figure 16b, detailed guitar realisation

Note that in bar 3 of the excerpt, a compromise must be made when playing the Bb major chord; the open D cannot be sustained as in the other phrases due to the proceeding F being on the same string. Moving the D to the fifth (or sixth) string is not a viable option because the Bb would be out of reach. Apart from this necessary compromise, consistency between phrases is kept in this solution.

The following excerpt presents a challenge to the arranger, as one must find effective ways to arrange passages which are idiomatic to the violin but not to the guitar:

Figure 17a, BWV 1004, *Chaconne*, bb. 238–229

The problem in this passage stems from the fact that the musical material is idiomatic to the violin but not the guitar, due to the differing tunings and physical characteristics of the two instruments, meaning a carefully considered approach to arrangement is required.

Segovia, Carlevaro and Marchione approach this problem in different ways; Segovia and Carlevaro simply restrike the 3rd string A but use exclusive right-hand fingers for each respective voice to maintain a sense of separation and clarity. Marchione raises the pedal A note by an octave, which successfully separates the two voices, but arguably loses Bach's intended musical effect of the unison.

An idiomatic solution is possible, but one must allow for some compromises:

Figure 17b, detailed guitar realisation

This solution is set high on the fretboard, so that the stretch of five frets necessary to play

overlapping A's is facilitated. When the lower voice rises above the pedal to Bb, the stretch is

too far for the left hand to comfortably reach, so a slur is used instead to differentiate the two

voices aurally. Additionally, the D notes in the bass are lowered an octave to the open 6th string. In the second half of the excerpt, where another voice is added, it is no longer possible to maintain this solution, so a shift down to first position is necessary, using articulation and distinct right-hand fingering to differentiate the repeating A's, as in Segovia and Carlevaro's solutions.

Through these performance-based solutions, an effective compromise between preserving Bach's intentions, navigating technical difficulty, and idiomaticism is found, ready to be practically applied for the arrangement and performance of Bach's *Chaconne*.

2.2 Case Study: Performance-based approaches to arranging J.S. Bach's Cello Suite No. 1 in G Major for guitar

Many quality guitar arrangements of this work exist, and they share commonalities. They are usually transposed into D major (Yates and Sasaki's versions being notable exceptions arranged in A and C major respectively), and most are in a *scordatura* tuning where the sixth string is tuned to a D to further accommodate this transposition. All of them add notes and fill out chords to some degree; and all of them are extensively and specifically fingered in order to communicate and highlight certain textures to the performer.

Since the *Prelude* consists of material of an arpeggiated texture alternating with material of a scalic texture, it serves as a perfect example of how an arranger-guitarist can implement left-hand and right-hand solutions to realise those contrasting textures in performance. Consider the following passage:

Figure 18a, BWV 1007, *Prelude,* bb. 13–22

Frank Koonce, in his 2020 publication of the first three *Cello Suites* for guitar, presents the following approach. In Bars 13 and 14, there is contrasting implementation of fingering:

Figure 18b, BWV 1007, *Prelude*, bb. 13–14

In bar 13, the F#7 chord (V^7/vi in D major) is fingered such that each note in the triad is on a separate string, utilising the open E to ensure all notes ring. In the subsequent bar, the texture is scalic, so Koonce closes the E onto the second string to ensure it does not ring over the rest of the scale. Comparatively, bar 19 features a scale whereby Koonce's solution is not entirely closed:
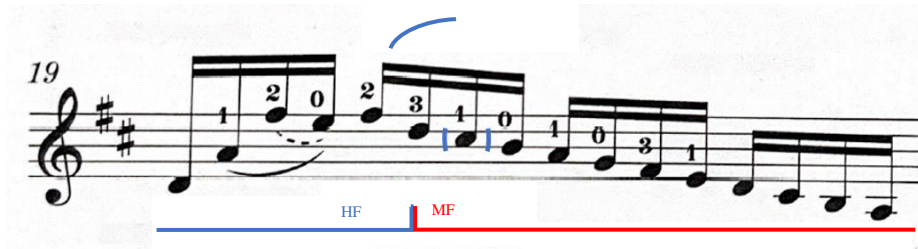
Figure 18c, BWV 1007, *Prelude,* b. 19

The reason for this is directly related to Koonce's concept of melodic and harmonic fingering which 'allows for selective overlapping of notes'.[89] In the above passage, there is a selective overlapping of the first F# on the second beat of the bar, using the first finger for the following C# rather than shifting the second finger over, an instance of harmonic fingering. Koonce has recognised that the scalic passage begins on the sixth semiquaver of the bar, the D natural,

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[89] Koonce, F. (2002) p.xvii

because of the larger interval between the F# and D than the subsequent notes. The open strings

present in the scale are a compromise so that the second finger is not required for the execution

of the passage, holding down the F# for as long as possible. The scalic texture therefore must

be partially achieved through the use of right-hand planting, facilitated by Koonce's melodic

fingering.

Bach's music is frequently constructed from sequences, and as such the arranger should strive

to ensure that the fingering for a series of sequences is consistent. Consider the following

passage from the *Allemande*, whereby a descending sequence is established in bars 11 and 12:

Figure 19a, BWV 1007, *Allemande,* bb. 11–13

Although written for the predominantly monophonic cello, there is readily apparent compound

melodic material within the music. One interpretation of the passage with the compound

melody notated literally is:

Figure 19b, intended guitar voicing

Realising compound melodic material of this nature on the guitar is fairly straightforward:

separate the two distinct voices onto different strings, so that each is allowed to ring over and

under one another. Care must be taken, however, when that musical material is part of a sequence. One must find an appropriate solution whereby those voices are separated each time the phrase occurs, ensuring consistency and clarity in performance. The effective solution to the sequence in question is:

Figure 19c, detailed guitar realisation

This solution has multiple benefits; the sequences are consistently in a single left-hand position, the implied separate voices in both sequences are consistently on separate strings ensuring tonal contrast, and the shift up to 7th position in the third bar's rising scale is facilitated by the open E string. The compromise to this solution is that it requires careful right-hand tonal control from the performer in the first bar especially, due to the multiple changes between the first, second, and third strings.

The *Courante* demonstrates the importance of key choice in relation to the tuning of both the original instrument and the guitar. G major is a particularly idiomatic key on the cello, partly

because of its tuning; the tonic, subdominant and dominant notes in the key of G major (G, C and D respectively) are open strings. The movements tend to modulate to the dominant key, in this case D major, which is also resonant on the cello; once again the tonic, subdominant, and dominant (D, G, and A) are open strings.

To emulate this on the guitar, transposing the suite into D major is appropriate, given that with a *scordatura* tuning of a 6th string D, the tonic, subdominant, and dominant notes are open. When the music modulates to the dominant key, A major, the tonic, subdominant and dominant are still open strings (A, D, and E). Not only does this transposition lend itself to technical ease (open notes allow the left hand more freedom), but it results in a warm and resonant tone appropriate to the character of the suite.

Consider the opening bars of the *Courante*, where an energetic melody is supported by a resonant bass part moving in perfect fifths and octaves, as the music moves through a I-IV-V progression:

Figure 20a, BWV 1007, *Courante,* bb. 1–4

In D major, the bass notes are similarly resonant on a guitar:

Figure 20b

The *Gigue* offers an example of how to utilise fingering to facilitate proper phrasing:

Figure 21a, BWV 1007, *Gigue,* bb. 16–20

In the above excerpt, a compound melody is once again implied by the presence of intervallic

jumps in the musical line. The following is a possible translation of this passage to the guitar:

Figure 21b

In the above interpretation, not only are the bass notes held to ring underneath the top voice,

but the notes highlighted could be held as well, so that they function as contrapuntal

suspensions. To allow this, the following fingering is employed:
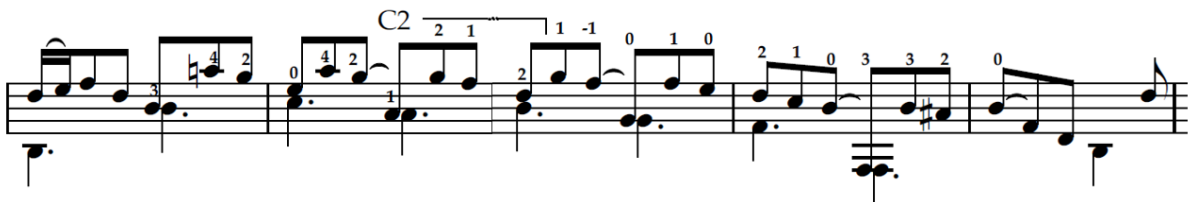
Figure 21c, detailed guitar realisation

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The impact that the arranger's understanding of desirable phrasing has on the available fingering solutions to a given passage is high. Note, for example, that in the fourth bar of the above example, the third quaver B is left open in order to ring over the F# in the bass, but the second B is closed upon the third string so that it does not ring over the proceeding A#, to avoid blurring the melodic line. As such, an arranger and performer must be constantly aware of both the desired interpretative result in performance, and the way in which fingering facilitates or obfuscates the realisation of said interpretation. It is in this way, as well as through consideration of the other examples in these case studies, that Kunda's conception of fingering as interpretation proves accurate, further connecting an arranger's fingering decisions with interpretation and performance.

Conclusion

The interrelationship between the arrangement and performance of J.S. Bach's music is demonstrated by the necessity for compromise during the arranging process, arising from the competing ideals of idiomaticism, technical facilitation, preservation of Bach's intentions, and stylistic authenticity.

Through the successful navigation of these considerations and utilising the principles discussed in Chapter 1, the arranger produces an effective arrangement, interpretatively fingered such that the idiom of the guitar facilitates the demands of the music in performance. The effective arrangement includes selective use of harmonic and melodic fingering to clarify texture, emulation of Bach's arranging style and approach to added or altered notes, and an historically informed approach to ornamentation and improvisation.

The arrangement is ultimately realised through performance, as the guitarist interprets the arrangement in a stylistically authentic manner, and implements tonal, timbral, and textural nuances, facilitated by the arranger's fingering, choice of key, and altered notes.

The summation of the physical characteristics and capabilities of the guitar and the guitarist equating to the instrument's idiom are exploited to varying degrees, including the emulation of the original instrument (see Case Study 1), or the clarification and emphasis of the guitar's texture. In this way, effective arrangements of the same work can be produced which either emulate the original instrumentation (see Recital I: *Cello Suite No. 5* BWV 1011), endeavour to be more idiomatic to the guitar (see Recital II: *Lute Suite in G Minor* BWV 995), or occupy a middle ground (see Recital II: *Chaconne* from *Violin Partita No. 2* BWV 1004).

While the scope of this project limits further exploration into the intricacies of historically informed performance practice, further study could be conducted into how Baroque performance practice can inform contemporary arrangement approaches to Bach on guitar.

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Appendices

Appendix 1: Program Notes (Recital I)

James Rawley

Masters Recital No. 1

Elder Hall

1st August 2022

About the Music:

Johann Sebastian Bach's (1685-1750) set of six Suites for unaccompanied cello are now considered to be the pinnacle of the instrument's repertoire, but if not for the efforts of cellist Pablo Casal at the beginning of the 20th Century, they may have remained in obscurity.

Today, the Suites are among the most well-known classical works in the world; it's no wonder, then, that non-cellists are eager to translate and perform the beloved works upon their own instruments. This evening, we hear a selection of three of them (Nos. 5, 2, and 1) arranged for classical guitar.

All six suites were written between 1717 and 1723, while Bach served as Prince Leopold's Kapellmeister, and they share obvious commonalities in their structure, which follow the standard of a traditional Baroque suite: an introductory *Prelude* to set the key (and warm up the musician's fingers) before a set of binary dances: the moderate German *Allemande*; the slightly more upbeat French *Courante* (which in English means 'running'); the grave and stately Spanish *Sarabande*; and the final energetic *Gigue*. Pairs of optional dances known as *gallantries* were often added; the spirited *Gavotte*, courtly *Menuet*, or quick *Bourée*.

Bach used these Baroque dance forms as a vehicle to express a wide breadth of emotion and compositional mastery. From the serious No. 5, with its minimalistic *Sarabande* at the heart of the suite, to the dark and prayer-like No. 2, and finally the exuberant No. 1: Bach's cello suites continue to capture modern audiences for good reason.

Recital:

Cello Suite No. 5 BWV 1011 (originally in C Minor):

Prelude

Allemande

Courante

Sarabande

Gavotte I & II

Gigue

Cello Suite No. 2 BWV 1008 (originally in D minor):

Prelude

Allemande

Courante

Sarabande

Menuet I & II

Gigue

Cello Suite No. 1 BWV 1007 (originally in G major):

Prelude

Allemande

Courante

Sarabande

Menuet I & II

Gigue   All works composed by J.S. Bach.

James Rawley is currently completing his performance-based Master of Philosophy under the supervision of Dr. Oliver Fartach-Naini. His thesis is entitled *Guitar Arrangements in Performance: an investigative study of the interrelationship between arranging and performing the music of J.S. Bach.* In 2018, he earned his Bachelor of Music with First Class Honours.

Performing solo, as a duo, and as part of the Opal Guitar Quartet, James has played music around Australia, in New Zealand, and South Korea. His compositions for guitar have been performed interstate and internationally.

James plays a guitar built by Domenic Roscioli.

James Rawley

Masters Recital No. 2

Elder Hall

22nd August 2022

About the Music:

Johann Sebastian Bach (1685-1750) arranged his fifth Cello Suite for lute between 1727 and 1731. It may indeed be the only Suite that the composer really wrote for the lute; his other so-called Lute Suites were probably for a keyboard instrument called the lute-harpsichord.

Instead of a note-for-note transcription, Bach made numerous alterations and additions, arranging the Suite to fully utilise the polyphonic texture of the new instrument. Bach transposed the music from C minor to G minor, filled out chords, and realised contrapuntal lines which were only implied in the cello version. Perhaps the most noticeable change is to the second *Gavotte*, where a whole new bassline transforms the piece quite strikingly compared to the original.

Through his arrangement, Bach demonstrates a firm mastery of the idiom of the new instrument, offering partial insight into his conception of the beloved Cello Suites.

Bach completed his set of Sonatas and Partitas for solo violin by 1720. Like much of his work, they were largely ignored until after his death; they were only published in 1802, and if not for violinist Joseph Joachim's (1831-1907) performances, may have remained unknown. Now, they are celebrated as the pinnacle of solo violin repertoire, influencing countless major composers.

The second Partita is particularly renowned for its final movement; almost the length of the rest of the suite combined, the monumental *Chaconne* stands as a pillar of compositional mastery and expressivity among the history of Western classical music. The movement consists of variations over a repeated bassline, and has three distinct parts: two sections in a minor tonality symmetrically frame the central major section.

Recital:

Lute Suite BWV 995 (originally in G Minor):

Prelude – Trés Vite

Allemande

Courante

Sarabande

Gavotte I & II

Gigue

Violin Partita No. 2 in D minor:

Allemande

Courante

Sarabande

Gigue

Chaconne

All works composed by J.S. Bach.

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