THE SOUNDS OF THE DYSTOPIAN FUTURE: MUSIC FOR SCIENCE FICTION FILMS OF THE NEW HOLLYWOOD ERA, 1966-1976

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From 1966 to1976, science fiction films tended to depict civilizations of the future that had become intrinsically antagonistic to their inhabitants as a result of some internal or external cataclysm. This dystopian turn in science fiction films, following a similar move in science fiction literature, reflected concerns about social and ecological changes occurring during the late 1960s and early 1970s and their future implications.

In these films, "dystopian" conditions are indicated as such by music incorporating distinctly modernist sounds and techniques reminiscent of twentieth-century concert works that abandon the common practice. In contrast, music associated with the protagonists is generally more accessible, often using common practice harmonies and traditional instrumentation.

These films appeared during a period referred to as the "New Hollywood," which saw younger American filmmakers responding to developments in European cinema, notably the French New Wave. New Hollywood filmmakers treated their films as cinematic "statements" reflecting the filmmaker's artistic vision. Often, this encouraged an idiosyncratic use of music to enhance the perceived artistic nature of their films.

This study examines the scores of ten science fiction films produced between 1966 and 1976: *Fahrenheit 451*, *Planet of the Apes*, *2001: A Space Odyssey*, *THX-1138*, *A Clockwork Orange*, *Silent Running*, *Soylent Green*, *Zardoz*, *Rollerball*, and *Logan's*

Run. Each is set in a dystopian environment of the future and each reflects the New Hollywood's aspirations to artistic seriousness and social relevance.

The music accompanying these films connoted an image of technological and human progress at odds with the critical notions informing similar music for the concert hall. These film scores emphasized the extrapolated consequences of developments occurring during the 1950s and 1960s that social activists, science fiction writers, and even filmmakers regarded as worrisome trends. Filmmakers drew on the popular perceptions of these musical sounds to reinforce pessimistic visions of the future, thereby imbuing these sounds with new meanings for listeners of the contemporaneous present.

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TABLE OF CONTENTS

Page

LIST OF MUSICAL EXAMPLES ... iv

Chapters

1. THE NEW HOLLYWOOD, DYSTOPIAN SCIENCE FICTION, AND MODERNIST MUSIC ... 1

2. DEFICIENT FUTURES AND THEIR MUSICAL PORTRAYALS IN CONTEXT ... 23

3. CONVEYING DYSTOPIA: MUSICAL MODERNISM AS ONE TERM IN A SINGLE STYLISTIC OPPOSITION ... 59

4. CONVEYING DYSTOPIA: MUSICAL MODERNISM AND MULTIPLE STYLISTIC OPPOSITIONS ... 103

5. DYSTOPIAN FUTURES AND THE "VENEER OF ART" ... 162

6. MUSICAL MODERNISM AND "POST-DYSTOPIAN" SCIENCE FICTION ... 199

BIBLIOGRAPHY ... 212

LIST OF MUSICAL EXAMPLES

Page

3.1 *Fahrenheit 451*, "The Monorail" 63

3.2 *Fahrenheit 451*, "The Novel" 64

3.3 *Fahrenheit 451*, "The Bedroom" 65

3.4 *Fahrenheit 451*, "The Road" 66

3.5 *Fahrenheit 451*, "Fire Engine" 66

3.6 *Planet of the Apes*, Main Title Theme 72

3.7 *Silent Running*, "Tending to Huey" 99

4.1 *THX-1138*, "Main Title" 110

4.2 *Soylent Green*, "Home Lobby Source" 135

4.3 (a) *Zardoz*, Main Title (Paraphrased from Beethoven's Seventh Symphony)....139

(b) *Zardoz*, Paraphrase of Beethoven's Seventh Symphony 139

4.4 *Zardoz*, Melodic fragments associated with Avalow....140

4.5 *Rollerball*, "Executive Party" 150

CHAPTER 1

THE NEW HOLLYWOOD, DYSTOPIAN SCIENCE FICTION, AND MODERNIST MUSIC

Science fiction films have always relied on visual effects to tell their stories. Even before the success of *Star Wars* in 1977, outstanding visual effects were a critical factor in the experience of these films. Often, the better science fiction films also included distinct and memorable musical scores. The experiences of such films as *The Day the Earth Stood Still*, *Forbidden Planet*, *2001: A Space Odyssey*, *Star Wars*, and *Blade Runner* are shaped to a large extent by the distinctive music used to accompany each film.

Like the science fiction literature that inspires them, most science fiction films feature imaginary technology that has some basis, however tenuous, in real world science. By extrapolating from that science, literary authors and filmmakers can invent entirely new worlds or suppose new conditions within our own while still maintaining some measure of plausibility.[1] Such stories are often set in the future, adding to their plausibility by implying that the imagined technology is the result of scientific progress that has not yet taken place in the real world. In addition to providing entertainment and perhaps insight into the science at the heart of the story, such speculative futures can also be effective vehicles for social commentary.

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[1] See Robert Heinlein, "Science Fiction: Its Nature, Faults, and Virtues," and Isaac Asimov, "Social Science Fiction," both repr in *Turning Points: Essays on the Art of Science Fiction*, ed. Damon Knight (New York: Harper and Row, 1977), 3-61.

From 1966 to1976, a number of science fiction films took this socially critical role more seriously than before or after those years. Rather than focusing on Cold War anxieties like the films of the 1950s, or providing visual escapism like many of the films after *Star Wars*, science fiction films straddling the decades of the 1960s and 1970s explored ways in which society itself could become an obstacle. They tended to depict civilizations and environments of the future that had become intrinsically antagonistic to their inhabitants as a result of some internal or external cataclysm. This distinctly dystopian turn in science fiction films, following a similar move in science fiction literature, reflected concerns about social and ecological changes occurring during the late 1960s and early 1970s and their future implications.

These films appeared during a period sometimes referred to as the "New Hollywood."[2] Filmmakers of the New Hollywood provided an alternative to mainstream American cinema from the late 1960s through the middle 1970s. They were influenced by developments in European cinema, and in particular by the French New Wave.[3] These European developments were themselves a response to the dominant pattern and methods of filmmaking established in Hollywood during the 1930s and 1940s, which have since come to be known as "classical Hollywood practice."[4]

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[2] Some scholars use the terms "New Hollywood" and "Hollywood Renaissance" to denote a period of "auteur" cinema in America during the late 1960s and 1970s, although New Hollywood denotes this period more frequently. See David Cook, *Lost Illusions: American Cinema in the Shadow of Watergate and Vietnam, 1970-1979*, vol. 9 of *History of the American Cinema*, ed. Charles Harpole. (New York: Scribner's, 2000), 6-7; Murray Smith, "Theses on the Philosophy of Hollywood History," in *Contemporary Hollywood Cinema*, ed. Steve Neale and Murray Smith (New York: Routledge, 1998), 10-14; Peter Biskind, *Easy Riders, Raging Bulls: How the Sex-Drugs-and Rock'n'Roll Generation Saved Hollywood* (New York: Simon & Schuster, 1998), 15-22.

[3] Cook, *Lost Illusions*, 160-161.

[4] Classical Hollywood practice refers to the methods and techniques established during the Hollywood studio system of the 1930s and 1940s. It's standardization was largely the result of the "industrialization"

The new generation of American filmmakers self-consciously adopted some techniques of European cinema. Perhaps most important, they followed the example of the New Wave in treating their films as cinematic "statements" that reflected the artistic vision of the filmmaker or "author" of the film.[5] Finally, these directors shared with their European predecessors an interest in social commentary, something for which they found a ready vehicle in the genre of the science fiction film.[6]

Like many other aspects of these films, the musical scores could be highly idiosyncratic. Often, an idiosyncratic approach was a direct result of the director's close involvement with the music to enhance the perceived expressive and even artistic nature of the film. Furthermore, the music frequently played a role in each film's depiction of the dystopian nature of its speculative future.

This study examines the scores of ten science fiction films produced between 1966 and 1976: *Fahrenheit 451* (1966), d. Francois Truffaut; *Planet of the Apes* (1968), d. Franklin Schaffner; *2001: A Space Odyssey* (1968), d. Stanley Kubrick; *THX-1138* (1970), d. George Lucas; *A Clockwork Orange* (1971), d. Stanley Kubrick; *Silent Running* (1971), d. Douglas Trumbull; *Soylent Green* (1973), d. Richard Fleischer;

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of film production, enabling studios to produce a large number of films in an "assembly-line" fashion, with the various departments of each studio functioning as stations on the lin. Perhaps its most important characteristic is that it encourages identification with the film by directing spectator attention to the story and effacing as much as possible any traces of the actual technical discourse of presenting the film. See David Bordwell, Janet Staiger, Kristin Thompson, *The Classical Hollywood Cinema: Film Style and Mode of Production to 1966* (New York: Columbia, 1985), 1-84. See also Claudia Gorbman, *Unheard Melodies: Narrative Film Music* (Bloomington: Indiana University Press, 1987), 72.

[5] Francois Truffaut, "A Certain Tendency of the French Cinema," reprinted in *Movies and Methods*, ed. Bill Nichols (Berkeley: University of California Press, 1976); See also Andrew Sarris, "Notes on the Auteur Theory in 1962," and Peter Wollen, "The Auteur Theory, from *Signs and Meaning in Cinema*," in *Film Theory and Criticism*, 6th ed., ed. Leo Braudy and Marshal Cohen (New York: Oxford, 2004), 561-565, 566-580.

[6] Cook, *Lost Illustions*, xv-xvii, 67-69. See also Michael Ryan and Douglas Kellner, *Camera Politica: The Politics and Ideology of Contemporary Hollywood* (Bloomington: Indiana University Press, 1988), 17-37.

Zardoz (1974), d. John Boorman; *Rollerball* (1975), d. Norman Jewison; and *Logan's Run* (1976), d. Michael Anderson. Each of these films is set in a dystopian environment of the near or distant future. Moreover, most of these films reflect the influence of the New Hollywood in their aspirations to artistic seriousness and social relevance.[7]

The music for these films ranges from original scores composed according to established procedures that had governed most Hollywood film music to mixtures of original and pre-existing musical selections used in novel ways and sometimes reminiscent of musical approaches in films of the French New Wave. Despite this variety, the music in each film is marked by two or more distinct styles, each of which is clearly associated with characters or conditions in the film's story.

In these films, conditions portrayed as "dystopian" are indicated as such by music that sounds like examples of "modernist music"; that is, by music reminiscent of twentieth-century concert works that abandon the common practice. The accompanying music may feature non-functional harmony, atonality, a focus on timbre over pitch, strikingly unusual instrumentation, or other sonic traits encountered in music of the twentieth century that are often considered to render such music difficult or inaccessible to mainstream audiences.[8] In contrast, music associated with the protagonists or with more favorable conditions is generally more accessible and familiar, often using common practice harmonies and more traditional instrumentation.

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[7] M. Keith Booker, *Alternate Americas: Science Fiction Film and American Culture* (Westport, CT: Praeger, 2007), 12-13.

[8] Arved Ashby discusses some different perspectives of what constitutes "modernist music" in Arved Ashby, Introduction to *The Pleasure of Modernist Music*, ed. Arved Ashby (Rochester, NY: University of Rochester Press, 2004), 8-11. Aaron Copland enumerates some of these characteristics in his chapter on contemporary music in Aaron Copland, *What to Listen for in Music* (New York: McGraw-Hill, 1957), 242-251.

These associations generally hold true for all music in the films, whether the selections were originally composed or borrowed from the standard repertory. A few films include music derived from popular styles such as rock and jazz but with distorted harmony or unusual timbres that align it with the film's dystopian conditions. In all cases, distinct styles establish the musical polarities in each film.

These stylistic oppositions are important because they are the principal means through which the music informs the social critique of the film as a whole. The effectiveness of the score depends on the audience recognizing the distinctions in the music. The audience must thus associate the modernist sounds with the film's dystopian conditions by experiencing or recalling common responses to modernist music and allowing these to affect their response to the visuals at the same time that their response to the visuals further affects their response to the music.[9] The consequence of the consistent association between modernist sounds and images of diverse dystopian futures is not just an inadvertent critique of modernist music but also a critique of the notions of technological and social progress associated with that music.

Critical Study of Science Fiction Film Scores

To date, little research or criticism has been carried out on the film scores under study with the exception of those for Stanley Kubrick's films *2001: A Space Odyssey* and *A Clockwork Orange*.[10] Despite the amount of research and commentary on the music of

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[9] Kathryn Kalinak, *Settling the Score: Music and the Classical Hollywood Film* (Madison: University of Wisconsin Press, 1992), 29-30.

[10] A select overview of the literature on the music of these films includes David Patterson, "Music, Structure, and Metaphor in Stanley, Kubrick's *2001*," *American Music*, 22 3 (Autumn 2004), 444-474; Katherine McQuiston, "Recognizing Music in the Films of Stanley Kubrick," (PhD diss., Columbia University, 2005); Peter Rabinowitz, "A Bird of Like Rarest Spun Heavenmetal: Music in *A Clockwork*

these two films, none of these studies attempts to situate the music within the broader context of dystopian science fiction cinema of the period. Besides these two scores, a few others have been acknowledged as unique or outstanding, most notably Jerry Goldsmith's score for *Planet of the Apes*, recognized for its unusual percussion and avant-garde sound.[11] But again, there has been no critical study of this score specifically or as part of a larger repertory. The remaining scores have received essentially no attention apart from the notes accompanying CD releases of the original soundtrack music or of reconstructed performances of the original score.

This state of research reflects what had been until quite recently a comparative lack of general attention to scores for science fiction films. The essay collection *Off the Planet*, edited by Philip Hayward, is one of the only collections of scholarly essays devoted to scores for science fiction films.[12] Individual studies can be found in separate sources, such as David Patterson's aforementioned essay on *2001* or James Buhler's essay on the music for the *Star Wars* films in the collection *Music and Cinema*, but these are isolated examples within an otherwise growing body of research into film music.[13] Despite recognition by film scholars and critics of the dystopian theme shared by the

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Orange," in *Stanley Kubrick's" A Clockwork Orange"*, ed. Stuart McDougal (Cambridge: Cambridge University Press, 2003), 109-130; James Wierzbicki, "Banality Triumphant: Iconographic Use of Beethoven's Ninth Symphony in Recent Films," *Beethoven Forum* 10 2 (Fall 2003), 113-138.

[11] Royal S. Brown, *Overtones and Undertones: Reading Film Music* (Berkeley: University of California Press, 1994), 179; Paul Monaco, *The Sixties: 1969-1969*, vol. 8 of *History of the American Cinema*, ed. Charles Harpole. (New York: Scribner's, 2001), 117.

[12] *Off the Planet: Music, Sound, and Science Fiction Cinema*, ed. Philip Hayward (Bloomington: Indiana University Press, 2004).

[13] See James Buhler, "*Star Wars*, Music, and Myth," in *Music and Cinema*, ed. James Buhler, Caryl Flinn, and David Neumeyer (Hanover, NH: Wesleyan University Press, 2000), 33-57.

films under study, furthermore, no one has seriously examined the role that music plays in them.[14]

References to science fiction scores do appear in broader studies of film music, such as Kathryn Kalinak's *Settling the Score* and Royal Brown's *Overtones and Undertones*. These studies, however, do not always address how the music works within the specific genre of the science fiction film. Like many other discussions of music from the *Star Wars* films, Kalinak's chapter on John Williams's score for *The Empire Strikes Back* focuses primarily on the ways in which this music revives the scoring practice of classical Hollywood, with its foundation in nineteenth-century harmony, use of leitmotifs, and orchestral sweep.[15]

Studies of science fiction film, such as Vivian Sobchak's *Screening Space*, may devote some space to discussion of music, particularly in noteworthy examples such as *2001, Planet of the Apes*, *Star Wars*, and older classics such as *The Day the Earth Stood Still* and *Forbidden Planet.* These discussions are useful in that they note interesting features of the music, but they do not provide in-depth discussions of relationships between that music and the picture, nor do they attempt to draw meaningful musical correlations across science fiction films of a particular period.

Regarding musical style in science fiction films, Sobchack observed that the most distinctive attribute of music for science fiction films was its lack of distinction:

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[14] See M. Keith Booker, *Alternate Americas: Science Fiction Film in American Culture* (Westport, CT: Praeger, 2007); M. Keith Booker, *Dystopian Literature: A Guide to Research* (Westport, CT: Greenwood, 1994); Joan F. Dean, "Between *2001* and *Star Wars*," *Journal of Popular Television and Film* 7 1 (1978), 32-41; See also Cook, *Lost Illusions*, 239-245; Ryan and Kellner, *Camera Politica*, 254-258.
[15] Kalinak, *Settling the Score*, 184-202.

> [W]hat is notable about most SF film music is its lack of notability, its absence of unique characteristics which separate it from music in other films. . . . At least music in Westerns evokes the Western and derives from folk music and square dance music; and both jazz and the blues seem to maintain fairly close ties with the gangster film, often arising out of a documented temporal and spatial context. Even the horror film brings to some minds the sounds of an organ playing a Bach toccata and fugue. The SF film has had no such musical identity.[16]

Such an observation should not be particularly surprising since science fiction as a genre encompasses a broader range of films and stories than the more restrictive genres of the Western and the gangster film. Science fiction is so broad that it arguably makes more sense to discuss the genre as a number of "sub-genres" distinguished by subject or time period. Even so, those sub-genres exhibit a wide range of musical styles. The examples under study, all of which stem from a sub-genre that I shall call "dystopian films of the New Hollywood," feature multiple musical styles within each film. What does unify this group is the common approach to style; all of these films use modernist musical sounds to characterize dystopian environments and conditions.

Dystopia and Science Fiction

Because both dystopian fiction and science fiction make frequent use of imaginary and fantastic settings, they are not always easily distinguished and indeed often overlap. Andrew Ross, writing in *Strange Weather: Culture, Science, and Technology in the Age of Limits* describes dystopian fiction as drawing on "[perceived] deficiencies of the future," as opposed to utopian fiction, which draws on " perceived

[16] Vivian Sobchack, *Screening Space: The American Science Fiction Film* (New Brunswick: Rutgers Univeristy Press, 1987), 208.

deficiencies of the present."[17] M. Keith Booker stresses the role of dystopian fiction as a mode of social criticism, noting that although the setting for most dystopian fictions is often quite remote in time or space from the author's own, the real-world referents behind the dystopia are usually clearly discernable.[18] Like science fiction, dystopian fiction operates through defamiliarization; it camouflages its critique by using a remote setting to provide a fresh perspective on "problematic social and political practices that might otherwise be taken for granted or considered natural or inevitable."[19] While not all dystopian fiction is science fiction, dystopian themes are often found in science fiction literature. Emphasis on social criticism typically distinguishes dystopian science fiction within the broader field of science fiction.[20]

Science fiction literature had already been moving toward a position of greater social relevance since the late 1930s. Although it had been confined to pulp magazines such as *Amazing Stories* and *Astounding Stories* until World War II, science fiction began appearing in more mainstream publications such as *Collier's* and the *Saturday Evening Post* after the dropping of the first atomic bombs.[21] Ray Bradbury was one of the early authors who made the transition from pulps to mainstream publications. His short stories, set on a remarkably Earth-like Mars, had appeared regularly in the *Saturday*

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[17] Andrew Ross, *Strange Weather: Culture, Science, and Technology in the Age of Limit* (New York: Verso, 1991),143.
[18] M. Keith Booker, *The Dystopian Impulse in Modern Literature* (Westport, CT: Greenwood Press, 1994), 18.
[19] Ibid.
[20] Ibid.
[21] Paul Boyer, *By the Bomb's Early Light: American Thought and Culture at the Dawn of the Atomic Age* (New York: Pantheon, 19085), 257.

Evening Post.[22] Although considered by some not to be "true" science fiction because they lacked scientific realism, Bradbury's stories used imaginary environments for the fables and moral lessons that he imparted. At the same time they incorporated familiar science fiction trappings such as rockets and space travel.[23] Bradbury himself considered his novel *Fahrenheit 451* to be his only true work of science fiction.[24]

John W. Campbell, editor of *Astounding Stories*, encouraged his writers to ground their stories as much as possible in hard science. Campbell also expressed a deep interest in stories that focused more on characters and the impact of technology on their lives than on technology itself.[25] *Astounding* launched the careers of several of science fiction's most important writers, including Robert Heinlein and Isaac Asimov, both of whom went on to produce seminal works in the genre.[26] Campbell is often credited with spurring science fiction to a new level of seriousness; indeed, his tenure as editor of *Astounding* between 1938 and 1968 has been called the "Golden Age" of science fiction.[27]

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[22] Jerry Weist, *Ray Bradbury: An Illustrated Life* (New York: HarperCollins, 2002), 40-48.

[23] Isaac Asimov, "Social Science Fiction," *Modern Science Fiction: Its Meaning and Its Future*, ed. Reginald Bretnor (New York: Coward-McCann, 1953), reprinted in *Turning Points: Essays on the Art of Science Fiction*, ed. Damon Knight (New York: Harper and Row, 1977), 43.

[24] Ray Bradbury, commentary in "The Novel: A Discussion with Author Ray Bradbury" documentary on *Fahrenheit 451*, dir. Francois Truffaut, Universal 21240, DVD.

[25] Asimov, "Social Science Fiction," 40-42; Brian Aldiss, *Billion Year Spree: The True History of Science Fiction* (New York: Doubleday, 1973), 215-243; See also, Alex Ross, *Strange Weather*, 103, 106, 109.

[26] Asimov's *Foundation* stories were set in a galaxy-spanning empire undergoing a decline that used the techniques of "psychohistory" – using statistics to predict the actions of large populations – to manipulate events in order to shorten the impending "dark age." Asimov's "Robot," stories, while set in many different locales and times, introduced his "Three Laws of Robotics" that largely reimagined robots as tools and even companions rather than menaces. Heinlein's novel *Starship Troopers* uses a story of interstellar war fought by the Mobile Infantry in specially armored spacesuits to explore questions about the relationships between civil and military service. *Stranger in a Strange Land*, is Heinlein's story about a human brought back to earth after being raised by Martians and his subsequent examination and experience of human culture that prompts him to found a utopian religion.

[27] Aldiss, *Billion Year Spree,* 228-229.

Writing about the particular value of science fiction for providing alternative perspectives on social issues, Heinlein used the term "speculative fiction," which he preferred because of its implied basis in knowledge of the real world:

> [R]ealistic speculation – science fiction – is usually laid in the future, because it extrapolates from 'what is' to 'what may be. . . .' By means of science fiction, one can (as one does in mathematics) examine the extremes of a social problem, search it for inflexures, feel out its changing slopes. . . . Through science fiction the human race can try experiments in imagination too critically dangerous to try in fact. Through such speculative experiments science fiction can warn against dangerous solutions, urge toward better solutions.[28]

Asimov, while expressing agreement with Heinlein's emphasis on the social element in science fiction, stressed change as a constant factor in the role of technology's impact on society:

> Science fiction is that branch of literature which deals with a fictitious society, differing from our own chiefly in the nature or extent of its technological development. . . . For the first time in history, mankind is faced with a rapidly changing society, due to the advent of modern technology. . . . The contribution science fiction can make to society is that of accustoming its readers to the thought of the inevitability of continuing change and the necessity of directing and shaping that change rather than opposing it blindly or blindly permitting it to overwhelm us.[29]

The 1960s brought to the surface questions about the nature of the social fabric that had an influence on science fiction literature. Constant awareness of the possibility of nuclear obliteration gradually replaced the optimistic projections of pre-war science fiction and its vision of technological progress with more sobering ones that reflected a

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[28] Robert A. Heinlein, "Science Fiction: Its Nature, Faults, and Virtues," in *The Science Fiction Novel* (Chicago: Advent, 1959), reprinted in *Turning Points: Essays on the Art of Science Fiction*, ed. Damon Knight (New York: Harper and Row, 1977), 10, 26.
[29] Asimov, "Social Science Fiction," 37, 61.

distinct distrust of centralized decision-making.[30] At the same time, growing ecological concerns at times supplanted the potential future course of instant annihilation with one of slow decay from environmental exhaustion.[31]

A new group of writers, who called themselves the "New Wave" after the French cinematic movement, aimed for a more consciously literary style of science fiction. Writers such as Harlan Ellison, Frank Herbert, Philip José Farmer, and Ursula K. LeGuin wrote stories in which their created environments allowed them to explore basic questions of human existence, human potential, and the role of mankind in any universe. In these stories, technology is often peripheral to these larger considerations, significant more for how it is used than for its actual features. These writers pondered whether humanity had the capacity to improve its world with or without technology.

The writer Brian Aldiss remarked on how the social changes of the decade reformulated the relationships between society and technology explored by science fiction:

> In the sixties, this ground swell moved toward environmental topics. To elaborate, the most important work done tended to direct itself towards new socio-scientific attitudes, towards the complex factors involved in the technological culture's slow debasement of man and his natural world.[32]

Science fiction films had already shown the potential for realizing speculative futures as far back as 1928, with Fritz Lang's vision of a socially stratified city of the future in *Metropolis* and later, in 1936, with William Cameron Menzies's *Things to Come*, an adaptation of H.G. Wells's novel extolling a vision of humankind emerging

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[30] Andrew Ross asserts that this distrust was essentially embodied in the characters and scenario of Stanley Kubrick's 1964 film *Dr. Strangelove*. See Ross, *Strange Weather*, 140-141.
[31] Ibid.
[32] Aldiss, *Billion Year Spree*, 287.

from a prolonged and devastating world war to pursue a destiny marked by technological advancement and expansion. Science fiction films had been rare before World War II, however, and although they proliferated more than any other film genre during the years thereafter, most were comparatively small, low budget efforts that often overlapped with horror films.[33]

Science fiction films of all budget levels tended to focus on four themes during the 1950s: space travel, extraterrestrial invasion, mutants and metamorphosis, and near annihilation or the potential end of the Earth.[34] These films are commonly interpreted as statements of American resilience that reflect Cold War anxieties.[35] Typically, the plots of these films involved some combination of scientists, military and government officials battling technologically superior aliens, whose advanced technology and strict social hierarchies reflected anxieties over Soviet technical supremacy and authoritarianism.[36]

Threat of dehumanization was another common theme in many of these films, one that persisted into the films of the 1960s. Such films as *Invasion of the Body Snatchers* and *Invaders from Mars* featured ordinary persons who were co-opted or possessed by alien entities and transformed into emotionless, will-less facsimiles of their former selves. These films are typically read as expressing anxiety about communist infiltration, McCarthyism, or even the social conformity increasingly demanded by American

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[33] Victoria O'Donnell, "Science Fiction Films and Cold War Anxiety," in Peter Lev, *Transforming the Screen, 1950-1959*, vol. 7 of *History of the American Cinema*, ed. Charles Harpole (New York: Scribner's, 2003), 170; Vivian Sobchack, *Screening Space*, 26-43.
[34] O'Donnell, "Science Fiction Films and Cold War Anxiety," 169, 170-171.
[35] Ibid., 169.
[36] Ibid., 170.

consumer society.[37] In any case, these films depicted the prospect of depersonalization as a threat equal to conquest or destruction from outside, as Carlos Clemens states:

> The ultimate horror in science fiction is neither death nor destruction but dehumanization, a state in which emotional life is suspended, in which the individual is deprived of individual feelings, free will, and moral judgment. . . this type of fiction hits the most exposed nerve of contemporary society: collective anxiety about the loss of individual identity, subliminal mindbending, or downright scientific/political brainwashing.[38]

Following Stanley Kubrick's *Dr. Strangelove*, which effectively satirized the decision-making of centralized technocrats, filmmakers began to regard the genre of science fiction more seriously as a medium for social commentary and artistic expression.[39] All of the films addressed in this study stem from this period, and a new artistic seriousness, a new attempt at relevance, and an increased pessimism in comparison with preceding science fiction films characterizes all of them.[40] The filmmakers were following the example of contemporary science fiction writers, and indeed many of these films were based on science fiction literature from this period. Noting their uniformly pessimistic visions, Vivian Sobchack described these films as "overtly despairing in their evocation of a future with no future."[41] Joan Dean was more specific in her summary of the concerns addressed in the films of this period:

> Just as the science fiction films of the fifties reflected the crises of that time – McCarthyism and the red scare, in *Invasion of the Body Snatchers* (1956), for instance – so too the science fiction films of the early seventies mirror a developing neo-isolationism (perhaps a result of a costly

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[37] Sobchack, 120-124.
[38] Carlos Clarens, *An Illustrated History of the Horror Film*, (New York: Capricorn, 1967), quoted in Sobchack, *Screening Space,* 123.
[39] Booker, *Alternate Americas*, 12.
[40] Ibid., 12-13.
[41] Sobchack, *Screening Space*, 226.

> involvement in Southeast Asia); a diminishing fear of nuclear apocalypse (partially a result of the thaw in the Cold War); and a growing concern with domestic, terrestrial issues – most of which are related to totalitarian government control of people's lives or over-population, food shortages, pollution, and ecology. Consequently space travel appeared only infrequently in the science fiction films of the early seventies. When it did occur, moreover, it was either a result of man's mismanagement of this planet (as in Trumbull's *Silent Running* in which Bruce Dern and crew ferry the last vestiges of vegetative life off to Jupiter) or a product of another species' technology.[42]

The speculative societies depicted in these films resulted from the filmmakers' shift in focus away from outside threats toward their own culture and environment. Their futuristic visions show how civilization, in confronting the communal and ecological predicaments that it has inadvertently created, can itself become a problem.

The "New Hollywood" and Science Fiction

That filmmakers had the opportunity to make such films stemmed from a new creative openness in American cinema during a time that roughly coincided with the new directions in science fiction literature. Film historians refer to this period alternately as the "New Hollywood" and the "Hollywood Renaissance," using both terms to designate "a European style *auteur* cinema" that seemed to aspire to social critique and political content.[43] Filmmakers of the New Hollywood were typically young directors who self-consciously styled themselves as *auteurs* in the manner advocated by Francois Truffaut, Jean-Luc Godard, and other members of the French New Wave.[44] Using their film reviews in *Cahiers du cinema* as a forum, the New Wave championed the validity of film as an artistic medium and recognized individual films as the works of an *auteur*, typically

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[42] Joan F. Dean, "Between '2001' and 'Star Wars'," *Journal of Popular Film & Television* 7:1 (1978), 36.
[43] Cook, *Lost Illusions*, xvii.
[44] Cook, *Lost Illusions*, 68; Andrew Sarris, "Notes on the *Auteur* Theory 1962," in *Film Theory and Criticism*, 561-564.

the director, who subtly or overtly infused these films with a recognizable personal style. [45] Their advocacy of "*la politique des auteurs*" had inspired the members of the New Wave to become filmmakers themselves, and they consciously used cinematic techniques and devices to explore filmic conventions and enhance the artistry of their films.[46]

European cinema was attracting a small but loyal following in the United States, a fact not lost on the major studios. Over the preceding decades from 1945 to 1965, the major studios had seen their audiences diminish due to the proliferation of television and to changing social demographics.[47] Following the poor reception of several major films in the mid 1960s, studios began to offer more opportunities to emerging directors who would later make up the New Hollywood. These directors were given unprecedented creative freedom by the studios in the hopes that their films would appeal to the increasingly younger and more cinematically literate film audience.[48] The directors responded with films that sought to be "visually arresting, thematically challenging, and stylistically individualized by their makers."[49]

The directors of the New Hollywood shared the New Wave's belief in the *auteur* theory and treated their own films as artistic statements. Like the New Wave directors, they often focused on genre films, both for audience appeal and to deconstruct genre conventions.[50] Their exercises in genre films often incorporated social criticism and

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[45] Francois Truffaut, "A Certain Tendency of French Cinema," in *Movies and Methods*, ed. Bill Nicholes, 225-237.
[46] See essays collected in *Cahiers du Cinéma, The 1950s: Neo-Realism, Hollywood, New Wave*, ed. Jim Hillier (Cambridge: Harvard University Press, 1985).
[47] Paul Monaco, *The Sixties*, 43-44.
[48] Cook,*Lost Illustions* 69, 71.
[49] Ibid., 69.
[50]Ibid., 159.

political content in a manner similar to European cinema. The seriousness that characterized the science fiction films at this time was a product of a new social awareness.

The New Hollywood directors also experimented with musical conventions, sometimes subverting the conventional musical practices that had largely governed film music since the 1930s. Scores of these New Hollywood films often used musical styles that diverged from the traditional sound of the Hollywood orchestral score, incorporating the sounds of jazz and, later, rock music. Furthermore, some films used pre-existing musical selections either to supplement originally composed music or to replace it completely: "Foggy Mountain Breakdown" by Lester Flatt and Earl Scruggs was used repeatedly throughout Arthur Penn's film *Bonnie and Clyde*; Mike Nichols's *The Graduate* was scored largely around a group of songs by Simon and Garfunkel; and *Easy Rider*, produced by Dennis Hopper and Peter Fonda, was scored entirely with pre-existing rock songs.[51] The eclectic methods used in adding music to films in the New Hollywood are reflected in the variety of musical treatments in the films under study.

In fact, the films under study share many characteristics with films of the New Hollywood. Each of them can be considered an "*auteur* film" to some degree; in several cases, the director is also a writer or producer of the film, implying a pre-existing vision realized during the course of production. Each film is an individual statement in what at the time was a new approach to the science fiction film that drew on contemporary science fiction literature. Although only some of these films were thoroughgoing

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[51] Laurence E. MacDonald, *The Invisible Art of Film Music: A Comprehensive History* (New York: Ardsley House, 1998), 211-212, 221.

products of the New Hollywood, all of them owe the better part of their existence to the conditions that made the New Hollywood possible.

Terminology and Methods

My study and analysis of the scores to these films is conducted largely against the background of classical Hollywood practice as outlined by Claudia Gorbman in her seminal study *Unheard Melodies: Narrative Film Music*.[52] In this practice, films encourage the spectator's or subject's "imaginary identification with the film" largely by giving an "impression of reality" and masking as much as possible all traces of the discourses of cinema – including both cinematic apparatus and techniques of film production such as editing – used in presenting the film.[53] Such discourses also include the musical underscore, which according to classical Hollywood practice is not meant to be conspicuous but rather is normally subordinated to the dialogue and visuals.[54] It should be noted that many of the films under discussion purposefully go against Hollywood practice at some point, deliberately calling attention to the music or other cinematic apparatus for particular effects. These instances will be discussed against the standard of classical Hollywood practice to better assess the effect of these deviations on a mainstream film audience. Classical Hollywood practice would be the most likely point of reference for the audience due to its longevity and the influence that it has exerted since the advent of the American sound film. Furthermore, classical Hollywood

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[52] Gorbman, *Unheard Melodies,* 4-7, 70-73
[53] Ibid., 73.
[54] Ibid., 74.

practice continues to be the most common point of reference for audiences and for film scholarship alike.

In discussing individual passages or "cues," I may take into account any musical elements that help establish a recognizable musical style, such as treatment of melody, harmony, rhythm, instrumentation and/or timbres, or other parameters. Moreover, I try to focus on those cues that are clearly audible in the soundtrack as a whole when attention is directed toward them, even if the music is not the dominant element in the soundtrack at that moment. In recognition of James Buhler's and David Neumeyer's caution to consider the music as one element of a soundscape that includes the film's dialogue and sound effects, I discuss musical passages that are sufficiently audible for them to be perceived by the spectator to perform their function.[55]

Classical Hollywood practice dictates that music exists to "support" a film. Because of this, music is typically subordinated to the primary storytelling elements of visuals and dialogue. The principal functions of music in classical Hollywood practice are to serve as a signifier of emotion, to give referential information such as point of view or make formal demarcations (changes of scene or the beginning and ending titles), to establish the setting and characters, and to "interpret" or "illustrate" events in the film.[56] The music achieves these functions through the spectator's associations with musical codes, identified by Gorbman as: *pure musical codes*, or elements of the musical

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[55] David Neumeyer and James Buhler, Analytical and Interpretive Approaches to Film Music (II): Analyzing Interactions of Music and Film," in *Film Music: Critical Approaches*, ed. K.J. Donnelly (New York: Continuum, 2001), 53-55, 58

[56] These functions are contained within the outline of Classical Film Music: Principles of Composition, Mixing, and Editing, derived by Claudia Gorbman, as No. IV – Narrative Cueing. See Gorbman, *Unheard Melodies*, 73.

structure per se; *cultural musical codes*, or cultural associations with the music's style or identity; and *cinematic musical codes*, or specific relationships between the music and concurrent elements of the film.[57]

The film scholar Noel Carroll writes of film music as "modifying the film," roughly analogous to the manner in which adjectives modify nouns within language.[58] According to Carroll, images and events within the film are "inflected" by the accompanying music, which sometimes radically alters their meanings. Kathryn Kalinak challenges the frequently automatic preference given to the visuals. She stresses the need for recognizing the mutual interdependence between the music and the visuals in film, noting that a change in music, rather than simply inflecting the meaning of an image, can sometimes completely transform the meaning of that image.[59] Kalinak's principle is important to this study, as there are instances where the meanings of otherwise ambiguous images and scenes in one of the dystopian scenarios are clarified through music.

A Word on Sources

The principal sources used here are commercially released recordings of the films and their accompanying music. All of the films discussed in this study have been commercially released in DVD format. Commercial DVDs are valuable not only for

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[57] Gorbman, *Unheard Melodies*, 13.
[58] Noël Carroll, *Mystifying Movies: Fads, Fallacies in Contemporary Film Theory* (New York: Columbia, 1988), 218-222
[59] Kathryn Kalinak, *Settling the Score*, 28-30.

providing opportunities to view the films but also for the critical commentary that they often include from the director, producer, principal actor(s), or other individuals involved in the creation of each film.

In some cases, the version of a film presented on DVD may differ slightly from the original theatrical release, usually through the addition of edited footage. Because no one to my knowledge has undertaken a study of this film genre together with its music, my conclusions provide an important first step to be refined by future studies that can give attention to more subtle questions. Consequently, any differences between a film's theatrically released version and a version released to DVD will be addressed only when these may significantly affect a viewer's perception of issues relevant to my topic.

Likewise, recordings of the music for almost all of the films have been commercially released on compact disc and, in rare cases, LP format. These recordings may include the actual music as heard in the film or later performances of the underscore reconstructed from original score sources. Such recordings reflect a trend in recent decades by such recording labels as Varèse Sarabande, Screen Archives Entertainment, and Tribute Film Classics to include all music recorded for a given score, as well as critical commentary on individual cues and a historical overview of the score as a whole. These recordings approach the level of critical editions in their attempt to represent the complete original score as closely as possible, making them invaluable resources for film music research.

In summary, this study examines the music of ten science fiction films produced during the era of the New Hollywood, a period marked by experimentation and artistic

aspirations among young filmmakers. These films are unified by their pessimistic, dystopian visions of the future. The music in these films centers on contrasts between opposing styles that characterize different aspects of each film. Modernist sounds appear as one element in the musical opposition and draw on general perceptions of the difficulty of modernist music to characterize the film's dystopian conditions as alienating or disaffecting. The dystopian scenarios and their musical characterizations reinforce each film's capacity for social critique, furthering the artistic aims of the New Hollywood filmmakers.

CHAPTER 2

DEFICIENT FUTURES AND THEIR MUSICAL PORTRAYALS IN CONTEXT

The films under study all include modernist music as one of several contrasting styles to characterize the dystopian aspects of each film. By "modernist music," I am referring to practices that begin to appear around the start of the twentieth century and that fall outside or undermine the common practice of late eighteenth- and nineteenth-century music, governed by functional harmony. Strictly speaking, I am referring to the *sounds* of modernist music, the aural phenomena resulting from performance or realization of music that follows these alternative practices. The *sounds* of modernist music heard within the films under study primarily involve unusual approaches to harmony, timbre and instrumentation, and rhythm.

Although modernism more properly includes experiments and innovations in form and genre as well as in harmony, rhythm, and timbre, I refer only to the sonic phenomena appropriated by film music. In much the same way, the common practice is represented in film music only by harmonically functional gestures and instrumentation. There may be little to distinguish sounds described as "modernist" from those described as "avant-garde." In practice, the distinction between the two may be more of intent or presentation than of the resulting sound. Arved Ashby, paraphrasing Jochen Schulte-Sasse's differentiation between modernism and avant-gardism in a foreword to Peter Bürger's *Theory of the Avant-Garde*, describes the distinction as largely a social one:

modernists attack traditional ways of writing whereas the avant-garde opposes the very institutions and business of art.[1]

These dystopian films rarely use modernist sounds exclusively, but instead treat modernist passages as representing one style choice among many. Such treatment subverts the original purpose of these sounds within the context of modernism, which was to explore the extreme possibilities of a particular musical medium and to deconstruct conventional musical practices, all in the spirit of musical progress. The relegation of these sounds to a stylistic choice lacking their musically critical function can be considered as reflecting a postmodern perspective. It allows these sounds to be imbued with meaning from outside, and to the extent that these passages retains any connotations of progress, those connotations are treated negatively in the films.

This postmodern use of modernism is particularly apparent when the modernist sound is not the dominant musical style for a film, but rather competes for that status with a more accessible style. The more accessible style can include common practice style or a popular style (as in *Silent Running* and *Soylent Green*) against which the modernist style is experienced.

The Novelty of Modernist Music in Film

The use of overtly modernist sounds in Hollywood film scores had been comparatively rare before the 1960s. Some films included music by well-respected composers such as Aaron Copland that contained modernist passages within what was

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[1] Arved Ashby, "Introduction," in Arved Ashby, ed., *The Pleasures of Modernist Music* (Rochester: University of Rochester Press, 2004), 8. Ashby also notes in his introduction that many of his contributors are inconsistent on this distinction, suggesting that in the "postmodern" climate (itself a problematic term), such distinctions are perhaps less meaningful.

otherwise a quite accessible score. Expressionist passages were already present in Max Steiner's music for *King Kong* (1933) and Franz Waxman's *The Bride of Frankenstein* (1935), both of which relied on them to accentuate fantastic and thrilling aspects.[2] By the early 1940s, examples of *film noir* were incorporating the sounds of Expressionism into their scores, most likely to enhance their atmosphere and suspense. Hanns Eisler and Miklos Rosza supplied many of these; Rosza further enhanced his scores with unusual instrumentation, including an electric violin for Alfred Hitchcock's *Rebecca* (1940) and a theremin for Billy Wilder's *The Lost Weekend* (1945).[3]

Unusual instruments, typically electronic instruments, constituted another source of "modernist sounds" in film music before the 1960s. In addition to Rosza's aforementioned use of the theremin, Ferde Grofé included the instrument in his score to *Rocketship X-M* (1950?), and Bernard Herrmann included theremins as part of his extensive group of electronic instruments in his score for *The Day the Earth Stood Still* (1951). A theremin was also used in creating the highly unusual all-electronic score for *Forbidden Planet* (1957).[4]

These are just a few of what was no doubt a larger number of examples of modernist sounds in film. Still, within the overall repertory of film music, modernist sounds and techniques were used sparingly. Leonard Rosenman's scores for *The Cobweb* and *East of Eden* are credited as being among the first scores to include serial procedures,

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[2] Royal S. Brown, *Overtones and Undertones: Reading Film Music* (Berkeley: University of California Press, 1994), 118, 175-176.
[3] Ibid., 119.
[4] See George Burt, *The Art of Film Music* (Boston: Northeastern University Press, 1994), 185-186; Roy M. Prendergrast, *Film Music: A Neglected Art*, 2nd ed.(New York: Norton, 1992), 119.

but these films appeared some thirty years after the initial appearance of Schoenberg's twelve-tone method.

To understand why modernist sounds were adopted so slowly in Hollywood film music, it may be useful to reflect on just how well established the prevailing sound of the nineteenth century was. By the earliest appearance of sound films in the late 1920s, the nineteenth-century sound had been in use through over twenty years of silent film accompaniment by excerpts from the standard repertory and short excerpts of mood music designed to emulate them. Most of the composers creating film music had been trained in late nineteenth-century Central European traditions; many of the most esteemed composers came from Germany and Austria and had experienced these traditions first-hand.

Most important, the style became familiar to mainstream audiences both through past films and their experiences in other contexts. Over the course of the nineteenth century and into the twentieth, the common practice had acquired and perpetuated dramatic connotations and associations through its use in opera, the concert hall, and, later, to accompany film.[5] These well-established associations and the audience's ability to recognize and react to them quickly made the style very effective in its role of encouraging the audience to identify with the film.[6]

The materials of modernist music generally fell outside this collection of signifiers, leaving film audiences with no clear understanding of how they were expected

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[5] Claudia Gorbman, *Unheard Melodies: Narrative Film Music* (Bloomington: Indiana University Press, 1987), 4

[6] Gorbman, *Unheard Melodies*, 4, 13.

to react to hearing them in the context of a film. The few composers such as Rosenman who frequently used Expressionist passages in their scores managed to establish associations for film audiences between them and the tension and extreme emotions that they accompanied.[7] However, Expressionist sounds were usually restricted to similarly extreme psychological situations and largely avoided by most film composers, ostensibly because of concerns that such music might affect a film's commercial appeal. Unusual sounding electronic instruments certainly imparted a quality of "strange-ness" to the pictures that they accompanied, but probably nothing more specific than this.[8]

Hostility between the serious music community and film composers may also have slowed the adoption of modernist music into American film. Composers and critics who were advocates of modern music celebrated music's autonomy.[9] Serious critics disparaged film music for its very lack of autonomy; classical Hollywood practice, of course, dictated that music was subordinate to the visual aspects and dialogue, nominally rendering music less prominent than in other, perhaps slightly more acceptable dramatic uses such as opera.[10] Critics also believed that the nineteenth-century Romantic style dominant in most films kept film music out of touch with musical progress.[11] These critics took a dim view of the talent and skill of film composers, regarding them as selling their talents for commerce in producing music for the mass entertainment of movies, or

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[7] See George Burt, *The Art of Film Music*, 48-49; Roy Prendergrast, *Film Music: A Neglected Art*, 119.
[8] While the theremin was used frequently in science fiction films, there were several high-profile films that did not use it, and several non-science fiction films that did. It may be more proper to state that the theremin connotes "strangeness" that is then filled in by the accompanied image rather than alleging the theremin with "connoting" science fiction at this point.
[9] Dean Duncan, *Charms that Soothe: Classical Music and the Narrative Film* (New York: Fordham, University Press, 2003), 34-35.
[10] Ibid., 35
[11] Ibid., 39-40.

else as composers of limited talents who in any case were capable of producing music only for commercial purposes.[12]

Film composers responded in kind. Already worried that their artistic integrity might be compromised by their work in the studio system, which essentially treated them as technicians, these composers sought to style themselves as individual creative artists in the mold of the great composers whose legacy they saw themselves as inheriting.[13] They self-consciously spoke of their music in connection with Wagner, Brahms, and even the Viennese masters Mozart and Beethoven.[14] They may have had little interest in adopting a language that was both outside their sphere of expertise and appreciation and championed largely by a serious musical community that they believed did not respect them.[15]

Types of Modernist Sounds in Dystopian Films

While the specific music varies widely in character among the ten films, the modernist sounds fall into three general headings. Each of these may be used singly or in some combination:

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[12] Duncan, *Charms that Soothe*, 45-48, 53-54.
[13] Ibid., 36-37.
[14] Ibid.; Caryl Flinn relates Dmitri Tiomkin's acknowledgement of Brahms, Johann Strauss, Richard Strauss, and Wagner during his acceptance speech for his Academy Award for *The High and the Mighty* in Caryl Flinn, *Strains of Utopia: Gender, Nostalgia, and Hollywood Film Music* (Princeton: Princeton University Press, 1992), 3.
[15] Bernard Herrmann was a composer who straddled both sides of this conflict. His music for *Psycho*, particularly the shower scene, is regarded as a masterful use of modernist sounds in cinema. Still, the context dictated an extreme sound, something that could be provided by Expressionism, and although what Herrmann produced is extremely effective, it nonetheless falls within a stylistic norm. Although Herrmann was an advocate of modernist works, conducting performances broadcast over radio, his own concert music, particularly his opera *Wuthering Heights*, was considered rather conservative. See Steven Smith, *A Heart at Fire's Center: The Life and Music of Bernard Herrmann* (Berkeley: University of California Press, 1991), 111.

1. Unusual Harmonies and/or Atonality. Several films include passages that are highly dissonant or even atonal. Other passages may use otherwise tonal harmonies in non-functional ways. These contrast strongly with the sounds of functional harmony of nineteenth-century tradition that informed the film music of classical Hollywood practice. Even scores of the 1950s and 1960s that included elements of jazz and popular music still largely adhered to the nineteenth-century sound. Dissonant, Expressionistic passages did appear in films, but the sound of these passages was typically used for scenes of tension and suspense or for fantastic, frightening, or bizarre scenes.[16] Passages in the films under study that feature unusual and dissonant harmonies may further resemble Expressionist works (music of the "Second Viennese School") through the use of jarring dynamics and jagged rhythms. Other dissonant or atonal passages may feature very minute rhythmic activity or almost no rhythmic activity at all, behaving more like sound mass compositions of the early 1960s (this description applies directly to the selections by György Ligeti heard in *2001: A Space Odyssey*). These passages may rely on Expressionistic effects to evoke tension or suspense similar to traditional treatment of such passages, or the unusual harmonies may simply mark the accompanied visual elements as strange within the context of the rest of the score and film.

[16] Roy Prendergrast discusses Leonard Rosenman's use of Expressionism for scenes of emotional tension in *The Cobweb* in Prendergrast, *Film Music: A Neglected Art*, 119.; See also Burt, *The Art of Film Music*, 45, 48-49.

2. Unusual Textures or Acoustic Sounds. Beyond the novel sounds resulting from unusual harmonies, several of the films include passages in which timbre is favored over pitch. Some passages already described as suggestive of sound mass composition could also be included in this category. Other passages may feature a distinctive unpitched instrument or sound that is prominent within a more conventional texture; *Planet of the Apes*, for example, features some of these. Still other passages are marked by the use of either unpitched sounds or pitched sounds outside the traditional Western chromatic scale. Often these involve unusual percussion instruments performing ostinato rhythms, with a resulting sound reminiscent of gamelan or of some passages from Boulez's *Le Marteau sans maître*. These sounds are frequently opposed to more traditional orchestral sounds.

3. Electronic Sounds. Electronic sounds could conceivably be subsumed under "unusual textures and sounds," but the electronic sounds in the films under study are noticeably distinct from the unusual acoustic sounds and textures and are often treated differently within a given score. Electronically produced music and musical sounds have developed associations with machines, mechanization, and artificiality that have been alternately championed and disparaged.[17] Electronically produced music can simply involve electronic instruments adding their novel timbres to more traditional music, or it can refer to tape-based music

[17] See Jacques Barzun's address to the first Columbia/Princeton concerts. Jacques Barzun, "Introductory Remarks to a Program of Works Created at the Columbia Princeton Electronic Music Center," in *Audio Culture: Readings in Modern Music*, ed. Christopher Cox and Daniel Warner (New York: Continuum, 2004), 367-369.

that combines pre-recorded and electronically generated sounds into soundscapes that bear little resemblance to mainstream music. (Electronically generated music of this sort may come closest to "avant-garde" in terms of sound materials used in film.) The full range can be heard among the scores to the films under study, from manipulation of *concrète* sounds in the manner of Pierre Schaeffer and the early Columbia/Princeton composers, to realizations of classical music by Wendy Carlos similar to those on her popular album, *Switched on Bach*, to compositions for synthesizers reminiscent of Morton Subotnick's works such as *Silver Apples of the Moon*.

Oppositions Involving Modernist Sounds

Within each film, the oppositions between different musical styles or types usually correlate to oppositions between characters or circumstances in the story. These musical styles or elements become associated with characters or circumstances through juxtaposition in the film; musical stylistic oppositions will thus typically mirror the oppositions between characters or entities with which they are associated.[18] Modernist styles incorporating one or more of the characteristics listed above are typically juxtaposed with the film's dystopian elements and circumstances, creating associations between those elements and the alienating and disaffecting responses generally attributed to the sounds of modernist music. These are set in opposition to contrasting, often

[18] Noel Carroll and Kathryn Kalinak both describe music as reinforcing or "modifying" an image, but also note that this modification can be reciprocal, allowing music to modify the image and vice versa. See Noel Carroll, *Mystifying Movies: Fad and Fallacies in Contemporary Film Theory* (New York: Columbia, 1988), 218-222; Kathryn Kalinak, *Settling the Score: Music and the Classical Hollywood Film* (University of Wisconsin Press, 1992), 30.

accessible styles associated with a protagonist or situation opposed to the dystopian conditions.

Contrasts of harmony and dissonance are the most common oppositions in the films under study, although oppositions may also involve contrasts of timbre and instrumentation. Oppositions in some films may even involve contrasts between style categories such as pop, jazz, "classical," and specific style references such as Baroque or Classical. Most of the films feature more than one such opposition, although one is often so prominent as to overshadow or encompass the others. Music for the earlier films tends to feature one prominent opposition, primarily because the music usually contains a comparatively narrow range of styles altogether. Thus, Bernard Herrmann's music for *Fahrenheit 451* can be described as an opposition between chromatic, post-tonal music and ostinato-based music, which respectively characterize the emotionally repressed citizens of an authoritarian state and the militaristic firemen who enforce the state's ban on books.

Scores for most of the later films feature multiple oppositions to connect the music and dystopian elements in the film. This is true of the score for *Zardoz*, which centers on oppositions of tonal vs. non-tonal harmony and archaic vs. avant-garde (sound mass) styles. Similarly, the score for *Logan's Run* centers on oppositions of tonal vs. non-tonal harmony and orchestral vs. electronic textures, both of which figure in the relationship between the music and depictions of the sealed, authoritarian community at the heart of the story.

The following chapters discuss the scores for each film individually, noting modernist techniques in the score, their relationship to the dystopian elements of the film, and the types of styles to which they are opposed and the manner in which this is done. The scores discussed in Chapter 3 center on one opposition that operates throughout the music. Chapter 3 discusses *Fahrenheit 451*, *Planet of the Apes, 2001: A Space Odyssey*, and *Silent Running*. As I have suggested, either the music in these films features a comparatively narrow range of styles or only one of the possible oppositions has a bearing on the relationship between the music and the film's dystopian elements.[19] Chapter 4 discusses scores in which at least two musical oppositions inform the film's depiction of its dystopian future. Despite the variety of music and the number of possible oppositions in these scores, each film includes modernist styles and sounds in at least one of its musical oppositions to convey the deficiencies in that film's imagined future. It is this shared characteristic that connects the music, just as the shared pessimistic vision of humanity's future connects the films as a whole.

The Roots of Dystopia

The dystopian futures portrayed within the films under study reflect a number of social concerns that had emerged during the 1960s and early 1970s. Technological progress lay at the heart of many of these concerns. Despite much of the optimism in the decade following the Second World War, progress and the social change that accompanied it brought side effects that potentially threatened not only social stability

[19] Although the score for *2001* offers numerous possibilities for oppositions within its music, I argue that the oppositions discussed in Chapter 3 are the most relevant to the relationships between the music and implications of dystopia. The distinct styles represented by the few classical pieces within *2001* produce an opposition that can be reduced to nineteenth-century common practice music vs. avant-garde, sound-mass music; any other oppositions involving musical characteristics would arguably be encompassed by this one.

but also in many respects physical existence in the United States and throughout the rest of the world. The growth and encroachment of these problems through the 1960s and into the 1970s quelled the earlier optimism, replacing it with a malaise that the political scandals of the early 1970s exacerbated.[20] The dystopian films of the period took these conditions as points of departure and extrapolated from them to arrive at the deficient futures that they portray. Hence, these future societies are the results of progress gone awry or beset by unanticipated consequences of that progress.

As noted in the previous chapter, the effectiveness of dystopian fiction stems from the effect of defamiliarization occasioned by its remote setting.[21] In the case of each film under study, this remoteness comes, of course, from the future setting. The extent of the defamiliarization varies according to each picture's particular setting but is largely determined by the relative remoteness or immediacy of the projected "date" of the film, which in most cases is specified for just this purpose. The film *2001: A Space Odyssey* did this explicitly in its title, suggesting an imagined world separated from the audience by its setting while imparting a sense of immediacy through the realism of its space flight technology and the appearance of familiar trademarks as reminders of the closeness of the next millennium. The subsequent films *Silent Running*, *Soylent Green*, and *Rollerball* similarly established a minimal remoteness with their respective near future settings of 2008, 2018, and 2022, which they supplemented with familiar trademarks or place

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[20] David Cook, *Lost Illusions: American Cinema in the Shadow of Watergate and Vietnam, 1970-1979*, vol. 9 of *History of the American Cinema*, ed. Charles Harpole. (New York: Scribner's, 2000), xv-xvi; Michael Ryan and Douglas Kellner, *Camera Politica: The Politics and Ideology of Contemporary Hollywood* (Bloomington: Indiana University Press, 1988), 6-9; Andrew Ross, *Strange Weather: Culture, Science, and Technology in the Age of Limits* (New York: Verso, 1991), 138-144.
[21] M. Keith Booker, *The Dystopian Impulse in Modern Literature* (Westport, CT: Greenwood Press, 1994), 17.

settings, New York City and Houston in the case of the latter films. *A Clockwork Orange* and *Fahrenheit 451* rely exclusively on their mise-en-scène for this effect, incorporating costumes, props, or locations that although familiar to the film audience are often stylized as highly "modern" and thus suggestive of the future.

The remaining films are set farther into the future; the initial prologues of both *Zardoz* and *Logan's Run* situate what follows in the twenty-third century, resulting in a greater remoteness, which, as expected, yields dystopian societies that are less like the social circumstances of the film audience. *THX-1138* achieves its similar level of remoteness through the highly unfamiliar elements of its mise-en-scène, including costumes, locations, and properties. *Planet of the Apes*, set some 2000 years in the future, features the most remote setting, projected forward an interval of time that encompasses the destruction of human civilization and the decline of humanity as a species along with the simultaneous rise of the ape culture to a point equaling the sophistication of the humans that they displace.

As in most dystopian fiction and science fiction, the remote settings of these films contained real world referents that were discernable to the film audience. Joan Dean's overview of science fiction films produced during the decade separating *2001* and *Star Wars* noted their increasing use of themes derived from "terrestrial issues" such as "totalitarian government control . . . , overpopulation, food shortages, pollution, and ecology."[22] In their Marxist critique of Hollywood during the New Hollywood era, Ryan and Kellner identify "technophobia" or anxiety over technological development as

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[22] Joan F. Dean, "Between '2001' and 'Star Wars,' *Journal of Popular Film & Television* 7:1 (1978), 36.

another theme common to films of the era.[23] All of these problems increasingly drew public attention during the 1960s or were already within the public consciousness as a result of the Cold War. With respect to the films under study, the range of issues encompass technological anxiety, totalitarianism and authoritarianism, social inequality, human nature, ecological collapse, and finally youth culture and radicalism. Such issues and concerns provided the impetus for the dystopian scenarios and conditions portrayed in the science fiction films of the period.

Technological Anxiety

All of the films feature some sort of advanced technology, since this situates an imaginary environment in the future. In some films more than others, technology appears to be part of the problem at the heart of the film, either directly or in close combination with another concern.

As Andrew Ross and Paul Boyer note, anxiety over technological development stemmed largely from the appearance of the atomic bomb and its threat of potential mass destruction.[24] Although the "thaw" with the Soviet Union somewhat mitigated this fear, growing mistrust of the authorities in charge of America's nuclear arsenal as a result of the Cuban missile crisis (and reflected in the satiric portrayal in *Dr. Strangelove*) changed the focus of anxiety over the potential for nuclear conflict.[25] *Planet of the Apes* is the only film under study in which nuclear conflict becomes central to the story. The destruction of human culture and civilization that allows the apes to develop their own

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[23] Ryan and Kellner, *Camera Politica*, 245-254.
[24] Andrew Ross, *Strange Weather*, 141; Paul Boyer, *By the Bomb's Early Light: American Thought and Culture at the Dawn of the Atomic Age* (New York: Pantheon, 1985), 266-270.
[25] Ross, *Strange* Weather, 141.

dominant culture results from nuclear catastrophe of the type envisioned during the 1950s and 1960s.

Other types of technological developments could become overwhelming due to their scope and the rapidity of their development. Computers, which had appeared during the 1940s, became more widespread during the 1960s in science and business.[26] Although the extensive and complex calculations of computers made many difficult tasks easier and enabled others (such as carrying out the mission to the moon), the idea that computers could replace people fueled anxieties about technology. Not only could technology replace humans in certain tasks, but technology might also somehow overpower humanity, a theme explored in Karel Čapek's play *R.U.R.*. which introduced the idea of the robot.[27] The life and death conflict between David Bowman and HAL in *2001* is the most overt expression of anxiety about technology, as it literally portrays technology defying and perhaps attempting to replace its maker. The Tabernacle in *Zardoz* and the central computer in *Logan's Run* are similar examples of artificial intelligences that in these cases are already in a position of dominance over their respective human populations, mandating and maintaining oppressive conditions.

The proliferation of mass media, particularly television, affected the culture of the period, not least in its effect on the motion picture industry.[28] The idea of mass culture

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[26] Maurice Isserman and Michael Kazsin*, America Divided: The Civil War of the 1960s* (New York: Oxford, 2004), 14, 307.
[27] The robots in Čapek's play are artificial beings created without emotions to increase the efficiency of their labor. The robots presage the end of humanity by removing its sense of purpose in taking on all labor. See M. Keith Booker, *Dystopian Literature: A Theory and Research Guide* (Westport, CT: Greenwood Press, 1994), 309-312.
[28] Paul Monaco, *The Sixties: 1969-1969*, vol. 8 of *History of the American Cinema*, ed. Charles Harpole. (New York: Scribner's, 2001), 43. At the same time that Hollywood was facing competition from

and the conformity that it could bring was already recognized during the 1950s and 1960s.[29] Marshal McLuhan's celebrated statement "The medium is the message" suggested how the means of transmission could have a stronger effect than the content transmitted.[30] The societies in *Fahrenheit 451* and *THX-1138* use television or similar media to bombard their populations with deliberately mind-numbing programming that also encourages conformity. The world of *THX-1138* uses similar technologies for purposes of surveillance, remotely observing the actions of its population and using mechanical police to enforce conformity with social restrictions and mandates.

On the surface, space travel may have seemed to be an occasion for optimism, as the achievement of manned space flight and of John F. Kennedy's goal to send a manned mission to the moon appeared to show the positive side of progress. At the same time, manned space flight was very much bound up with Cold War competition to dominate space and with anxiety about nuclear confrontation. Furthermore, the rapid onset of space flight and the accelerated development from orbital flights to a mission to the moon itself produced anxiety because of the rapidity of change and the proliferation of complex technology to accomplish these goals. Space travel represented many technological developments that had moved beyond the grasp of the average individual and could only be fully comprehended by specialists. Space flight suggested increased technical

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television, Hollywood studios forged a relationship with television by creating programming through television subsidiaries and licensing older feature films for television broadcast, providing a new market for Hollywood's products. See Janet Wasko, "Hollywood and Television in the 1950s: The Roots of Diversification," in Peter Lev, *Transforming the Screen, 1950-1959*, vol. 7 of *History of the American Cinema*, ed. Charles Harpole. (New York: Scribner's, 2003), 134-146.

[29] M. Keith Booker, *Monsters, Mushroom Clouds, and the Cold War: American Science Fiction and the Roots of Postmodernism, 1946-1964* (Westport, CT: Greenwood Press, 2001), 13-15.

[30] Marshall McLuhan, *Understanding Media: The Extensions of Man* (New York: McGraw Hill, 1964) ,7, 9

complexity and routinization in further human technical developments.[31] The film *2001* illustrated this in great detail, giving a glimpse of activity in space that, regardless of the wonder it inspired in the film audience, also appeared routine and mechanical and encompassed a level of complexity that required one to read special instructions before using a toilet. *Silent Running* portrays space travel as less rigorous but even more indicative of the encroachment of technology through the last preserved forests carried in domed enclosures by the spacecraft.

Finally, technology provides tools that allow the dehumanization of characters within the films. Technology makes possible the method of conditioning Alex to remove his violent tendencies in *A Clockwork Orange*, and technology renders the corpses of deceased persons into the synthetic food "Soylent Green" to compensate for the diminished food-producing capacity of the planet.

Totalitarianism and authoritarianism

Fear of subjugation under communist totalitarianism motivated much of the anxiety that fueled the Cold War. The United States and Western Europe had fought a bitter war to defeat the totalitarian National Socialist regime in Germany and now faced a similarly authoritarian ideology governing the Soviet Union and later the People's Republic of China. At the same time, anti-communist hysteria in the United States placed de facto restrictions on social and political discourse that often seemed as oppressive as those of their enemies.

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[31] M. Keith Booker uses the term "routinization" to describe the imposition of repetition and routine introduced into existence in conjunction with increases in technology. M. Keith Booker, *Monsters, Mushroom Clouds and the Cold War*, 17.

Both sides of the Cold War attempted to deflect perceptions of oppression within their own spheres by using media and the arts to manipulate public opinion. During the Cold War, the nations of the West made great efforts to promote themselves as bastions of freedom, particularly to newly independent nations whose emergence from colonialism often brought financial hardship and social strife.[32] They sponsored antagonistic modernist art as a demonstration of the openness and tolerance of Western society. [33]

The plots of several of the films center on an individual suffering from the oppression of a totalitarian society. These portrayals of totalitarian societies no doubt carry vestiges of anxiety about communist domination or perhaps even memories of fascism. But the anxiety in many dystopian films stems from distrust of progress and efficiency with its concomitant effacement of individuals in favor of profit or other benefits for those in power. *THX-1138* provides perhaps the most explicit example of this future vision of totalitarianism, in which the drive for efficiency has moved beyond production into the social sphere, mandating conformity in appearance, numbers instead of names, widespread surveillance, and regulation of moods to optimize job performance. Even the consumption patterns in this nominally capitalist society are standardized for the sake of efficiency.[34] Much like the oppressive society in George Orwell's novel *Nineteen*

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[32] Maurice Isserman and Michael Kazin, *America Divided: The Civil War of the 1960s*, 2nd ed. (New York: Oxford, 2004), 10, 73; Henri Grimal, *Decolonization: The British, French, Dutch, and Belgian Empires 1919-1963,* trans. Stephan de Vos (Boulder, CO: Westview Press, 1978), 3-5, 153-156; Sergei Guilbaut, *How New York Stole the Idea of Modern Art: Abstract Expressionism, Freedom, and the Cold War*, trans. Arthur Goldhammer (Chicago and London: University of Chicago Press, 1983), 204.
[33] Guilbaut, *How New York Stole the Idea of Modern Art*, 204-205.
[34] An official voice-over announcement alerts the population to this change.

Eighty-Four, all possible means are brought to bear on reducing the individual to a disposable component of the larger social order.

The community in *Logan's Run* is similarly oppressive, if to a lesser degree. People are identified with numbers, familial ties have been eliminated in favor of mass nurseries, and peoples' life spans are limited to thirty years, ostensibly to preserve the community's balance of resources. Ironically, life in the domed city of *Logan's Run* revolves heavily around hedonistic pleasure in the moment closely resembling Aldous Huxley's *Brave New World* in that respect. The population is kept from reflecting on their deprivations by the ready availability of fleeting sensual gratification.

Distracting the population to keep it subjugated and to discourage reflection on its condition is also characteristic of the repressive authorities in *Rollerball* and *Fahrenheit 451*. Television is the principal tool of the unnamed powers in *Fahrenheit 451* for reinforcing consumption and the existing social order. At the same time, these authorities ban books not simply for the potentially subversive ideas that they might contain, but also because the stories of other individuals in other circumstances might make readers unhappy with their own lives and cause them to reevaluate the society in which they live. The corporate oligarchy in *Rollerball* uses the violent sport as a focus for the aggressive tendencies of the population, defusing any potentially revolutionary discontent while at the same time promoting the importance of teamwork and subsuming oneself to the collective.

The threat of totalitarianism lurks behind the method and purpose of the conditioning used on Alex in *A Clockwork Orange*. Apart from the already

dehumanizing nature of the technique itself, its potential for abuse by the state is noted ironically by one of Alex's victims, who condemns the technique as a means to empty the prisons of petty criminals to make room for political dissidents.

Social Inequality

Aside from worries about overt oppression from above, conflicts within and between social groups became more prominent during the decade of the 1960s. The most visible of these in the United States was the racial conflict that prompted the Civil Rights Movement, which resulted in new legislation aimed at achieving racial equality for African Americans. As the decade wore on, the movement itself began to divide into factions that clashed over the degree and indeed the very question of integration within white society.[35] Racial conflicts of this sort often masked or accompanied even deeper class conflicts, a problem that Martin Luther King, Jr. began to address in 1968.[36]

Social inequality is a feature of many of the future societies in the films discussed. These inequalities may stem from other conditions in the dystopia, or they may result from the human nature that is portrayed as the heart of the dystopia. From its beginnings, *Planet of the Apes* seemed to embody many aspects of the racial conflicts raging during the 1960s.[37] The makers of the film were quick to recognize this, and the racial allegory became even more pronounced in the successive *Apes* films produced during the 1970s.[38]

In the remaining films, social conflicts appear to be rooted in more traditional notions of class or station. In these quasi-Marxist conflicts, one group, usually

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[35] Eric Greene, *Planet of the Apes as American Myth: Race and Politics in the Films and Television Series* (Jefferson, NC: McFarland, 1996), 80-81; *America Divided*, 23-47.
[36] *America Divided*, 233-234.
[37] Eric Greene, *Planet of the Apes as American Myth*, 1-4
[38] Ibid.

comparatively small, controls resources and/or power that it uses to oppress a larger group. Such conflict lies at the center of the dystopian societies in *Rollerball* and *Zardoz*. The elite oligarchy of corporate executives in *Rollerball* has taken power from bankrupted nation states and assumed control over all information, transportation, and distribution of resources. Although they claim to have eliminated poverty and to allow freedom in all things "that do not interfere in executive decisions," their lavish lifestyles and paternalistic treatment of the rollerballers indicates the levels of stratification even in the upper reaches of the society. [39] The Eternals in *Zardoz* keep themselves isolated within the Vortex from the outer world of Brutals, only venturing outside to extract slave labor from the Brutals when the members of the Vortex are unable to remain self-sufficient. Even in the chaotic social environment of *Soylent Green*, individuals such as the Soylent executive Simonson have resources and a station that insulate them from the effects of deprivation experienced by the vast majority of the planet's population.

Human Nature

Although problematic social structures figured prominently as a principal deficiency in several of the future societies depicted, a few focused on innate human nature and its potential to produce a dystopian future. Such a focus most likely reflected broader interest during the 1960s in the degree to which human characteristics were biologically determined. Desmond Morris's *The Naked Ape* attempted to explain much of contemporary human social behavior as having evolved from the nomadic, hunter-

[39] Mr. Bartholomew explains the benefits of the social structure in *Rollerball* (1975), produced and directed by Norman Jewison, MGM Home Entertainment, 1998, DVD. In Harrison's original story, Jonathan E, as the narrator, notes that "the executives have all the power and we all know they're crooked." See William Harrison, "Roller Ball Murder," *Esquire* 79 (September 1973), 95.

gatherer lifestyle of humanity's earlier ancestors.[40] Some ten to fifteen years later, Stephen Jay Gould's *The Mismeasure of Man* criticized several quasi-anthropological studies from as late as the 1960s that attempted to explain social differences among ethnic and racial groups as rooted in biology.[41] The Butler Act, a 1925 Tennessee law banning the teaching of human evolution that was at the center of the Scopes Trials, remained in effect until 1967, and in 1968, the Supreme Court declared a similar Arkansas law to be unconstitutional. The existence of these laws as late as the 1960s indicated the level of public disagreement about humanity's alleged animal past and its implications for the present and future.[42]

The few explorations of human nature among the films discussed are concerned primarily with the autonomy of individual humans and with the capacity of the species for both individual and collective improvement as well as with species preservation. *A Clockwork Orange* addresses both of these questions by focusing on an apparently sociopathic individual who loses his autonomy through outside conditioning; the film appears to affirm Alex's right to make moral choices as proof of his humanity, but his inherently violent nature undermines any faith in his capacity to truly make such a choice. *Zardoz* appears to acknowledge and celebrate humanity's natural capacity for development while subtly warning that this capacity can be affected and even retarded by social forces within the population.

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[40] For Morris's thesis, his general speculations on shifts in behavior in adapting to a hunting lifestyle, and his discussion of the motivations for aggression in all animals, see Desmond Morris, *The Naked Ape* (New York: Dell, 1984), 9-42, 120-152.
[41] Stephen Jay Gould, *The Mismeasure of Man*, rev. ed. (New York: Norton, 1996), 1-61, 367-390.
[42] Booker, *Alternate Americas*, 100.

Ironically, both *2001* and *Planet of the Apes* express pessimism about the prospects for human development over the long term. The film *2001* hypothesizes that plateaus in human development require the intervention of a god-like outside intelligence to save mankind from decline and eventual extinction.[43] *Planet of the Apes* focuses on the core aggressive tendencies of humans, brought into sharp perspective in the protagonist's conflict with the "animal" apes, and posits that humanity's aggression and arrogance are its strongest barriers to achieving true development or progress.[44]

Ecological Collapse

A new public concern over the increasing degradation of the environment was signaled by the popularity of *Silent Spring*, published by Rachel Carson in 1962. Carson's book, based on her own research, warned of the unintended ecological hazards of pesticides and chemicals that were becoming increasingly common in the agricultural industry.[45] *Silent Spring* became a focal point for politicians, industry experts, and the public at large for emerging questions about the environmental impact of technological progress.[46] Paul Ehrlich's 1968 book *The Population Bomb* predicted an impending famine during the 1970s due to the rapidly rising world population, which he projected would soon overwhelm the planet's capacity to produce enough food.[47] Ehrlich speculated that mass starvation and its repercussions would quickly spread beyond the "Third World" and lead to instability and confrontation among developed nations,

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[43] Booker, *Alternate Americas*, 87

[44] Eric Greene, Planet of the Apes *as American Myth*, 48-50.

[45] Robert Gottlieb, *Forcing the Spring: The Transformation of the American Environmental Movement* (Washington, DC: Island Press, 1993), 81-86.

[46] Ibid., 86.

[47] Paul Ehrlich, *The Population Bomb*, (New York: Ballantine, 1968), 12.

perhaps even spurring nuclear conflict.[48] The growing population was already putting an increasing strain on the environment, Ehrlich noted, leading to more pollution and degradation in the quality of air and water.[49] The concerns expressed in Carson's and Ehrlich's books were increasingly reflected in the growing environmental movement.

Soylent Green dealt most directly with concerns of overpopulation and environmental degradation. The film's scenario, which depicts a world so heavily populated and ecologically ruined that the remnants of civilization must resort to synthesizing food from the remains of deceased humans, seems as though it could have come right out of the pages of Ehrlich's book. Other films expressed environmental and population problems less directly, portraying their dystopian societies as emerging in response to catastrophes such as war, famine, or the dissolution of contemporary civilization. The old world of *Zardoz* was described as "dying" by one of the Eternals, prompting the formation of the Vortex as a repository of intellectual knowledge and culture.[50] The highly structured community of *THX-1138* is situated underground, believing, as the robot sentries warn THX, that the surface above ground is uninhabitable, most likely because of war or some other cataclysm.[51] The prologue for *Logan's Run* states that war and the effects of pollution have driven the population to seal themselves off from the outside world in great domed cities; life for the inhabitants within is

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[48] Ibid., 69-70.
[49] Ibid., 46, 60, 62, 67.
[50] Avalow relates the origins of the Vortex to Zed in *Zardoz* (1974), produced and directed by John Boorman, Fox Home Entertainment, 2000, DVD.
[51] George Lucas indicated that the society in *THX-1138* had insulated itself underground following a nuclear conflict. See notes accompanying Lalo, Schifrin, *THX-1138: Original Motion Picture Soundtrack*, FSM Vol 6 No. 4, Compact Disc, 14.

managed by the central computer, and the need for population equilibrium necessitates a maximum lifespan of thirty years.[52]

Silent Running postulated a future world in which rather spectacular efforts to preserve parts of the earth's ecosystem are abruptly abandoned. The audience learns that the world of 2008 referred to in the film has been developed and homogenized in ways that leave no room for forests, deserts, or other specialized ecosystems or unique natural spaces. Remnants of these have been collected into large agrarian domes that are held in orbit near Saturn by a fleet of large spaceships. The film's plot is set in motion by a decision back on earth to jettison the domes, presumably because their continued maintenance is no longer economically viable. Although the main character takes extraordinary action to preserve these domes, there is little in the film to suggest that an overwhelming majority of the earth's population might support his actions. The forests and natural spaces in *Silent Running* were not threatened by war or cataclysm so much as by human indifference.

Youth culture and radicalism

The postwar generation of "baby boomers" became a source for a youth culture that emerged as both a social and political force. Young people formed the center of the sexual revolution, rejecting many of the previous generation's mores concerning sexual relationships and behaviors in favor of pursuing personal pleasure and fulfillment. Rock music emerged as the musical medium of choice for youth, often accompanied (in public consciousness if not reality) by experimentation with drugs, particularly marijuana and

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[52] The novel on which the film was based originally set this limit at twenty-one years. See William F. Nolan and George Clayton-Johnson, *Logan's Run* (New York: Dial Press, 1967).

LSD.[53] Organizations such as Students for a Democratic Society (SDS) formed the basis of a New Left that played a role in the Civil Rights Movement through the mid 1960s and later vehemently opposed both the war in Vietnam and American industry, which they saw as spreading Western imperialism and contributing to environmental deterioration.[54] Many within the New Left viewed themselves as opponents of capitalism itself, much like the Third World revolutionaries with whom they identified, and advocated radical action in support of their causes.[55]

Few of the films under study take up themes of youth culture directly. Although the youthful Alex in *A Clockwork Orange* might seem to represent cultural trepidation about violent youth, there is little to connect Alex and his circumstances with the social climate of the late 1960s beyond the psychedelia-inspired motifs within the film's mise-en-scène. *Logan's Run*, with its pleasure-seeking society perpetually populated by those under 30, would appear to refer most overtly to the growing prevalence of alternative lifestyles in youth culture from the 1960s into the 1970s. Unlike many of the films produced during the New Hollywood that were critical of traditional values rejected by much of youth culture, *Logan's Run* comes down in support of traditional values by presenting its youth-culture-inspired society as the principal object of criticism.[56] At the same time, the extraordinary steps taken by Freeman Lowell to preserve the forests in *Silent Running* are consistent with the type of radical action espoused by the New Left.

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[53] *America Divided*, 151-168.
[54] *America Divided*, 17173-194; *Forcing the Spring*, 94-95.
[55] *America Divided*, 184-185, 189-190.
[56] Ryan and Kellner, *Camera Politica*, 249.

The film is clearly sympathetic to Lowell and portrays his desire to preserve the environment as justifying his actions.

Progress and the Vision of the Future

The positive vision of progress that proved so inspirational in the decades before the appearance of these films had its roots in an earlier period, before the Second World War. Progress stemming from developments in science and technology was taken for granted during the first three decades of the twentieth century. Independent inventors such as Thomas Edison had already demonstrated the wonders and potential of technology and were implementing this technology on a wide scale. F.W. Taylor's principles of "scientific management" and efficient organization and operation were coupled with Henry Ford's similar developments in the use of the assembly line to streamline industrial operations, establishing the principles of "Taylorism" and "Fordism" that shaped mass production.[57] The benefits of efficiency through scientific management were considered to be so successful that these principles were applied outside of industry to questions ranging from social change to the operation of the home.[58] Progressive thinkers bestowed special status on engineers, seen as working for the advancement of society through their technological endeavors.[59] Herbert Hoover, a businessman and engineer, was elected in 1928 on a platform of "national efficiency."[60]

Although such efficiency was ostensibly pursued in the name of the public good during the 1920s, technological development was largely for the benefit of industrial

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[57] Michael Parrish, *Anxious Decades: America in Prosperity and Depression, 1920-1941* (New York: Norton, 1992), 38-39, 89.
[58] Ross, *Strange Weather*, 122.
[59] Ibid., 122, 105.
[60] Ibid., 122.

capital. Business and industry adopted principles of efficiency on a large scale, producing a vast quantity of consumer items while co-opting most of the previously independent engineers into the larger industrial framework. In this system, progress was made apparent to mainstream society through the obsolescence of consumer goods, usually indicated by changes of style.[61] The Streamline Moderne style of the 1930s was one of the first to herald successive stylistic obsolescence in consumer items that promised a world "moving to technical perfection."[62]

The New York World's Fair of 1939 embodied many of the popular motifs of progress while at the same time bringing a new social consciousness, presenting a series of exhibits that collectively pointed to an improved quality of life through the application of science and technology.[63] The principal philosophic points behind the fair included the "creat[ion of] a postscarcity culture using machine rather than human labor; the necessity for democratic institutions in the face of fascism; and the capacity of social and urban planning to resolve the alienation of people from a communitarian life."[64] Although machines remained the central agent of progress, the fair also emphasized the importance of art, education, science, "consumer abundance," and a healthy environment for improving quality of life. The buildings and pavilions of the fair served as visual representations of progress with their Streamline Moderne stylings by top designers including Raymond Loewy, Norman Bel Geddes, and Henry Dreyfus.[65] These were further reinforced by displays within the pavilions hosted by industry (primarily the Big

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[61] Ross, *Strange Weather*, 113.
[62] Ibid.
[63] Ibid. 128.
[64] Ibid., 128.
[65] Ibid., 129.

Three automakers) that included visions of the future, replete with sleek cars, rockets, and other attractive objects.[66] In sum, the 1939 World's Fair presented a utopian view of the future in which industrial technology played a key role.

The budding science fiction literature of the era reflected the spirit of the times. Stories appearing in *Amazing Stories*, edited by Hugo Gernsback, focused on hardware and appealed to amateur science enthusiasts, who were inspired by the magazine to participate in the progress movement.[67] In addition to the technical details supplied by the stories, the covers of the pulp magazines abounded with images of Streamlined machines that stylistically resembled those buildings of the fair that collectively gave the future its "look" to the pre-war audience.[68]

Although some of these futuristic motifs persisted in the decade following the Second World War, the extent and nature of technological change in the meantime began to color those images with a certain naivety. Andrew Ross draws parallels between the New York World's Fairs of 1939 and 1964 to show how public perceptions of the future had changed during the tumult of the intervening years:

> Although the United States in 1964 was at the height of its postwar boom, in love with the Space Age, and fully subscribed to President Kennedy's New Frontier of science and technology, the World Fair's generic language of progress did not hold the decisive rhetorical sway it had enjoyed in the post-Depression years of the late thirties. The resurgence of the cult of science and invention in the post-Sputnik years did not establish the same deep roots in popular consciousness as it had done in the decade before Hiroshima. . . . [T]he social pathology of Bomb culture had too pervasively defined people's horizon of expectations about the world of tomorrow for the rhetoric of unbounded progress to enjoy

[66] Ross, *Strange Weather*, 130-132.
[67] Ibid., 106-114.
[68] Ibid., 113-114.

> another round of popular acclaim in the old form of macro-industrial engineering.[69]

During ensuing years, industrial capital continued to grow in influence and scope and to promote its expansion as progress. At the same time, the environmental by-products of that progress and their implications for ecological decay became apparent. As the public's faith in the decisions of their leaders gave way to a general pessimism about the future, people began to feel ambivalent about the progress that was being achieved thanks to the continuing spread of technology[70]

Fredric Jameson identifies this period as the onset of "late capitalism," a social and cultural state brought about by the expansion and globalization of industrial capital.[71] Jameson regards the appearance of late capitalism as contributing to the growth of the postmodern consciousness. Following Ernest Mandel, Jameson describes late capitalism as a social and cultural state marked by an increasing commodification of various aspects of existence:

> [O]ne is tempted to speak in this connection of a new and historically original penetration and colonization of Nature and the Unconscious: that is, the destruction of precapitalist third world agriculture by the Green Revolution, and the rise of the media and the advertising industry.[72]

Late capitalism is characterized by the encouragement and adoption of new modes of consumption, facilitated largely by planned obsolescence, rapid changes in style and fashion, the influx of advertising and media, and a growing homogenization of

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[69] Ross, *Strange Weather*, 138.
[70] Ibid., 138, 140-141.
[71] Jameson, "Postmodernism, or the Cultural Logic of Late Capitalism," *New Left Review* 146 (July-August 1984), 78.
[72] Ibid., 78.

existence.[73] Jameson regards the postmodern consciousness as a "cultural dominant" resulting from the conditions of late capitalism that is somehow both an extension of and in opposition to modernism. The principal difference between the two appears to lie in the acceptance and "institutionalization" of cultural representations of both modernism and postmodernism within the general postmodern perspective of Western culture.[74]

Modernist Music and Progress

In the years after World War II, arts communities and organizations actively promoted modernism. Most artists wanted to break with pre-war artistic modes that could potentially be associated with fascism or extreme leftism.[75] Significantly, the United States government took an interest in modernist art and music, using them as ideological foils and symbols of free expression in the West in contrast to the enforced socialist realism of the Soviet Union or the People's Republic of China.[76] The political, ideological, and social significance of modernist music and art was considered so great that the CIA actually promulgated them, sponsoring art exhibitions, concerts, and journals that promoted "radical" and "polemical" works for purposes of pro-Western propaganda.[77] Aaron Copland noted the political significance behind modernist music, writing about twelve-tone and serial music specifically: "The twelve-tone composer . . .

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[73] Fredric Jameson, "Postmodernism and Consumer Society," *The Anti-Aesthetic: Essays on Postmodern Culture,* (Portsmouth WA: Bay Press, 1983), 124.
[74] Jameson, "Postmodernism, or the Cultural Logic of Late Capitalism," 55-57.
[75] Guilbaut, *How New York Stole the Idea of Modern Art*, 195-197.
[76] Martin Scherzinger, "Autonomy and Formalism in Modernist Musical Aesthetics," in *The Pleasures of Modernist Music*, ed. Arved Ashby (Rochester: University of Rochester Press, 2004), 88-89.
[77] Guilbaut, *How New York Stole the Idea of Modern Art,* 204; Alex Ross, *The Rest is Noise*, 356.

is no longer writing music to satisfy himself; whether he likes it or not, he is writing it against a vocal and militant [communist] opposition."[78]

By about 1960, modernism had been canonized by the academy, no doubt precipitated by its support from institutions such as the Museum of Modern Art. Modernist art was supported and funded by the United States government and the forces of industrial capital as part of Cold War propaganda.[79] This financial support signaled an acceptance of modernism that was potentially at odds with its ostensibly critical stance. Whereas modernism had been a radical artistic movement, its canonization marked its appropriation by the cultural forces that it had opposed. Modernism had been commodified as the High Art of the West.[80]

Modernism in visual arts seemed to gain some measure of acceptance. And indeed, many of its principles were adopted by industrial design into a plethora of consumer goods for purchase. The latter may have allowed the public to feel connected to the sense of aesthetic progress as well as to perceived technological and economic progress.[81]

Like their counterparts in the visual arts, advocates for modernist music pursued abstraction and complexity in the name of progress. Pierre Boulez, one of the more polemical figures at the forefront of modernist music, called for complex and systematic approaches to composition that went beyond the seemingly advanced twelve-tone method

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[78] Jennifer DeLapp, "Copland in the Fifties: Music and Ideology in the McCarthy Era," (PhD diss., University of Michigan, 1997), quoted in Howard Pollack, *Aaron Copland: The Life and Work of an Uncommon Man* (New York: Henry Holt, 1999), 444

[79] Booker, *Monsters, Mushroom Clouds, and the Cold War*, 21;

[80] Ibid.

[81] Thomas Hine, *Populuxe* (New York: Knopf, 1986), 59-60.

of Arnold Schoenberg. Boulez criticized Schoenberg as not having followed through on the implications of his rethinking of principles of pitch organization and disparaged as "useless" any musicians who did not see the "necessity" for such developments.[82]

Other critics considered the substance of the music in light of past and current social and national conflicts. Roger Sessions had given up composing in an accessible style for a more abstract idiom, claiming that the "physical and intellectual violence" of the world could no longer be adequately addressed by an accessible, neo-classical style.[83] Rene Leibowitz lent support to ideological claims for modernist music, stating that "atonality is uncompromising moral strength."[84]

The sociologist and cultural critic Theodor Adorno stressed the importance of modernist music as a foil against the commodified music distributed by a Culture Industry that also promoted such mass entertainment as sports and film.[85] For Adorno, modernist music remained outside commodified experiences of music and thereby retained its critical function. Milton Babbitt stressed the importance of encouraging the progressive development of complex music even as he acknowledged its difficulty for the lay listener and called for its financial support from foundations and academic institutions.[86]

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[82] See Pierre Boulez, "Eventually," in *Notes of an Apprenticeship*, transl. Herbert Weinstock (New York, Alfred A Knopf, 1968), 148; Boulez, "Schoenberg is Dead," in *Notes of an Apprenticeship*, 268-276.
[83] Alex Ross, *The Rest is Noise: Listening to the Twentieth Century* (New York: Farrar, Straus and Giroux, 2007), 355-356
[84] Rene Leibowitz, in *Schoenberg and his School*, quoted in Ross, *The Rest is Noise*, 357.
[85] Theodor W. Adorno, "On the Fetish Character in Music and the Regression of Listening," in Theodor W. Adorno, *Essays on Music,* ed. Richard Leppert, trans. Susan H. Gillespie (Berkeley: University of California Press, 2002), 291, 304.
[86] Milton Babbitt, "Who Cares if You Listen," in *Contemporary Composers on Contemporary Music*, ed. Elliott Schwartz and Barney Childs (New York: Da Capo Press, 1998), 250.

Mainstream audiences did not embrace modernist concert music as easily as modernism in the visual arts. Audiences continued to find much of this music alienating, incomprehensible, and unpalatable (although isolated similar passages in films did not provoke such a strong reaction).[87] Concert music remained complex, dissonant, dense, and difficult despite numerous changes in methods and materials during the years following World War II.[88] Elaborate formal processes such as total serialism often produced works that sounded chaotic to the average listener, who typically could not hear the underlying logic in the music. Electronic music carried connotations of artificiality and the machine, something against which some mainstream listeners had an inherent bias.[89] Even some erstwhile composers found the music too remote; recalling his experience of the Domaine Musicale concerts under Pierre Boulez, composer Philip Glass described it as "a wasteland, dominated by these maniacs, these creeps, who were trying to make everyone write this crazy creepy music."[90]

Some critics, notably Henry Pleasants, author of *The Agony of Modern Music*, saw modern music as experimentation and novelty largely for its own sake, justified in the name of "progress."[91] Pleasants accused modern composers of abandoning a still-viable musical language because they had nothing to say and of dismissing popular

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[87] Arved Ashby, "Modernism Goes to the Movies," in *The Pleasure of Modernist Music*, ed. Arved Ashby (Rochester, NY: University of Rochester Press, 2004), 346

[88] Alex Ross, *The Rest is Noise*, 355-356.

[89] Jacques Barzun addresses this issue in Jacques Barzun, "Introductory Remarks to a Program of Works Created at the Columbia Princeton Electronic Music Center," in *Audio Culture: Readings in Modern Music*, ed. Christopher Cox and Daniel Warner (New York: Continuum, 2004), 367-369. Robert Moog also remarked on the tendency for listeners to regard synthesizers and electronic instruments as artificial in Dominic Milano, "Robert Moog," in *The Art of Electronic Music*, ed. Tom Darter and Greg Armbruster (New York: Quill, 1984), 73.

[90] Philip Glass, quoted in John Rockwell, *All American Music: Composition in the Late Twentieth Century* (New York: Knopf, 1983), 111.

[91] Henry Pleasants, *The Agony of Modern Music* (New York: Simon and Schuster, 1955), 3, 9-10.

criticism of their work by insisting that art was rarely appreciated in its own time.[92] Unlike music of the past, the works of modern composers no longer served any social function or purpose, and for this reason, composers felt no need to create music that appealed to a larger audience.[93] Copland, for his part, continued to support the avant-garde despite personal misgivings that he felt about the increasing inaccessibility of the music. "I am a great believer in the salutary effects of error. . . . By making mistakes, we find the right way."[94]

In the social and cultural upheaval of the early to middle 1960s, performers, audiences, and critics began to question the dogmatic reverence for complexity and abstraction that had held sway throughout the 1950s.[95] These early stirrings of postmodernism were carrying out the critical role of modernism itself, focusing on the modernist myth of progress that supported modernist aesthetics.[96] By this time, modernism had been co-opted by the academy, which many saw as being in league with the forces of industrial capital. Modernism was the art of the "Establishment," and its own myth of progress had become intertwined with that of the bourgeois culture it had once opposed.[97]

The future implied by progress, with its social and environmental costs brought on by technology and industrial capital, was looking less and less desirable, something that the science fiction literature of the period reflected. It is not difficult to imagine that

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[92] Pleasants, *Agaony*, 9, 166.
[93] Pleasants, *Agony*, 166-167.
[94] Aaron Copland, quoted in Pollack, *Aaron Copland: The Life and Work of an Uncommon Man*, 466.
[95] Scherzinger, "Autonomy and Formalism in Modernist Musical Aesthetics," 89
[96] Ibid.
[97] Booker, *Monsters, Mushroom Clouds, and the Cold War*, 23.

the general public's ambivalence toward their tarnished images of progress might have paralleled their reaction to the alienating music associated with that same vision of progress.

For filmmakers who wished to portray cinematic impressions of these undesirable futures, the sound of modernist music, which had been bound up with the earlier notions of improvement, no doubt seemed an appropriate choice. Modernist music, at once connoting artistic progress and industrial "progress," was now invoked to support some aspect of each of these futures gone wrong. Filmmakers used the difficult and alienating sounds of this music to characterize the dystopian events and situations within their films. The often highly technical nature of the music, whether in its complex arrangement of musical materials or its use of electronics in performance or realization and post production, betrayed its ultra-rational conception, which stemmed from earlier beliefs in progress through science, technology, and efficiency.

In one sense, the undermining of progress that resulted from the social and aesthetic questioning of the 1960s had freed modernist sounds of some of their immediate ideological connotations and allowed them to become one of several stylistic options in creating film scores. In its heyday, modernist music had been proclaimed the music of the future by its composers and advocates. Filmmakers, exploring the potential deficiencies of progress as the basis of their cinematic dystopian futures, found it useful to take those advocates at their word.

CHAPTER 3

CONVEYING DYSTOPIA: MODERNIST MUSICAL STYLES WITHIN ONE STYLISTIC OPPOSITION

The scores discussed in Chapter 3 generally center on a single binary pair that opposes modernist styles and a contrasting style. The oppositions within each film can be summarized as follows:

1. *Fahrenheit 451* – chromatic music vs. neotonal, ostinato-based music
2. *Planet of the Apes* – twelve-tone melody vs. percussive music with special unpitched timbres
3. *2001: A Space Odyssey* – Nineteenth-century common-practice music vs. modernist, sound-mass music
4. *Silent Running* – folk-rock music vs. neotonal, orchestral music

The single binary pairs for the films in this first group apply to virtually all of the cues within each score. The oppositions themselves are fairly broad and can potentially include a number of subsidiary oppositions. All of the films feature a binary pair that centers on harmonic contrasts as part of the main opposition. Additional pairs that center on more detailed elements such as rhythms are specific to each film.

The following sections discuss the music for each film in more detail, identifying the opposing styles, correlating those with the scenes and characters that they accompany, and rationalizing the relationships between these correlations and each film's depiction of dystopian conditions. In each case, modernist musical styles in the score accompany and

characterize those dystopian conditions, conferring on them the alienating and unpalatable affects that had come to be associated with that music.

Fahrenheit 451 – Chromaticism as Emotional Oppression, Motoric Rhythms as Authoritarianism

The music for *Fahrenheit 451* uses differing approaches to harmony to characterize the opposed sides of a near-future society in which books are banned and the task of firemen is not to put out fires, but instead to seek out, confiscate, and burn all books. Bernard Herrmann's score uses militaristic, ostinato-based music to accompany the firemen, who are the most visible perpetrators of oppression under the authoritarian state, and sets their music against more restrained, chromatic music that suggests the isolation and repressed emotions of the rest of the population. The ban on books coupled with the deliberately facile programming on the pervasive and omnipresent television impedes the population's capacity for intellectual and emotional depth, leaving many of them cut off emotionally and unable to interact meaningfully with their fellows.[1]

The film's protagonist, Montag, is a fireman who enthusiastically pursues his duties and accepts the prevailing wisdom that books only make their readers unhappy, undermining contentment with their lives. His interactions with his wife, Linda, are largely superficial; she often barely acknowledges him and is wrapped up instead in television programs that feature a "family" of personalities who simulate interaction with viewers while indoctrinating them with attitudes acceptable to the authorities.

[1] This is particularly evident in the proclivity of characters to absently caress and touch themselves, something that the monorail passengers are seen doing in several instances and which Montag's wife, Linda, (and even Montag himself) does.

Fahrenheit 451 was one of four films strongly shaped by Truffaut's reverence for Alfred Hitchcock, a director whose distinctly personal style of filmmaking provided an exemplar of *auteur* cinema for the New Wave.[2] The film includes a number of Hitchcock motifs and quotations, including a dissolve cut from Linda to Montag that recalls *The Wrong Man* (1957) and a dream sequence that seems borrowed from *Vertigo*.[3] Perhaps Truffaut's most subtle borrowing from Hitchcock is the atmosphere of unspoken fear and paranoia cultivated by the firemen, as illustrated in the random personal searches that they conduct on patrons in the park and in a television news broadcast showing firemen forcibly cutting the long hair of a youth to enforce conformity.[4]

Truffaut's choice of Bernard Herrmann to compose the score for the film provided yet another Hitchcock connection. Herrmann had collaborated with Alfred Hitchcock on a number of films, including *Psycho*, *Vertigo*, *North by Northwest*, and *The Wrong Man* among others. Herrmann had also composed for science fiction and fantasy films, contributing scores to *The Day the Earth Stood Still*, *Journey to the Center of the Earth*, *The Mysterious Island*, and *Jason and the Argonauts*.[5]

Although modernist sounds figure significantly in the music, Herrmann and Truffaut shared a lack of interest in allowing them to predominate in the score. Truffaut allegedly chose Herrmann over contemporary concert composers such as Pierre Boulez, Karlheinz Stockhausen, or Olivier Messiaen, claiming that these composers would give

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[2] Annette Insdorf discusses Truffaut's debt to Hitchcock in Annette Insdorf, *Francois Truffaut* (Boston: Twayne Publishing, 1978), 39, 44
[3] See the documentary on the making of *Fahrenheit 451* that accompanies *Fahrenheit 451* (1966), directed by Francois Truffaut, Universal Home Video, 2003, DVD.
[4] The atmosphere of paranoia in the film is markedly increased from that of the novel.
[5] See filmography in Steven Smith, *A Heart at Fire's Center: The Life and Music of Bernard Herrmann* (Berkeley: University of California Press, 1991), 366-368.

him "the sound of the twentieth century," whereas Herrmann would give him "the sound of the twenty-first."[6] The music that Herrmann provided consists largely of chromatic yet tonal cues that his biographer Steven Smith has called "deeply heartfelt and rich in impressionistic nuance."[7] That said, the music is restrained in its suggestion of emotional states; Herrmann strove for a music of "elegance and simplicity" to allude to the unspoken feelings of the characters, ranging from Montag's growing self-awareness to the absent self absorption of the figures he sees on the monorail that he rides to and from the fire station.

Most of the cues are built from short motifs, typically consisting of two to four notes, that are developed through sequential treatment, usually by half step, into longer passages that may themselves be repeated within a cue. Sequential repetition of motifs at the half-step combined with closely spaced intervals within the motifs themselves and their accompanying chords all contribute to subtle tonal shifts in the cues that Christopher Young, in his commentary accompanying a re-performance of the score, describes as "yearning" or "romantic."[8]

It is easy to hear this "yearning" or "romantic" quality as suggesting suppressed or unacknowledged emotions experienced by the characters. During the cue titled "The Monorail," Montag notices that his fellow riders are all gazing distantly

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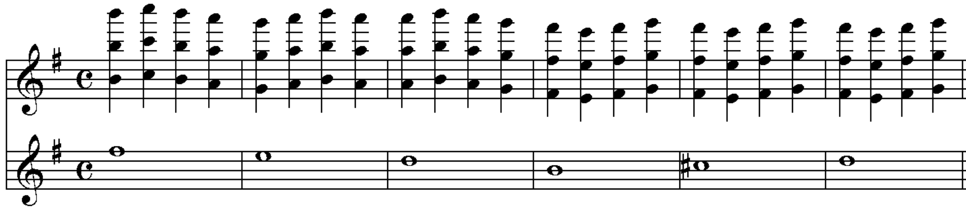
[6] Smith, *A Heart at Fire's Center*, 276; See also portions of Francois Truffaut, "Truffaut on 'Fahrenheit 451,'" trans. Kay Mander and R.K. Nelson, *Cahiers du Cinéma in English*, No. 5, reprinted in Jerry Weist, *Ray Bradbury: An Illustrated Life* (New York: HarperCollins, 2002), 135.
[7] Smith, *A Heart at Fire's Center,* 276.
[8] Christopher Young, notes accompanying Bernard Herrmann, *Fahrenheit 451: The Complete Motion Picture Score*, performed by the Moscow Symphony Orchestra cond. William Stromberg, Tribute Film Classics TFC-1002, 2007, Compact Disc.



Ex. 3.1. *Fahrenheit 451*, "The Monorail"

into space and absently caressing themselves, perhaps unconsciously providing themselves with a sensation of physical closeness that they are unable to receive from other individuals.[9] The chromaticism of the cue seems to attribute their actions to unacknowledged desire (See Example 3.1).

In addition to suggesting unspoken emotions, chromatically inflected cues also imply the responses of characters, primarily those of Montag, to books. In fact, there is little difference between the nature of the cues used in each of these situations, indicating through music that books can provide an emotionally rich interaction comparable to that with another person. Truffaut assigned special status to the books as such, creating what Annette Insdorf called an "homage to literature as an artifact of human experience."[10] Many critics agree that this special status brings the books themselves to the level of characters; the multiple interspersed shots of titles succumbing to the flames as the books are burned are meant to invoke the same sense of urgency as the loss of a person.[11]

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[9] *Fahrenheit 451: The Complete Motion Picture Score*, Track 13, "The Monorail"
[10] Insdorf, *Francois Truffaut*, 51. For some critics, Truffaut's focus on the books was so strong that it bordered on "fetishization" of the books as objects over concern for their contents. See Dennis Allen, *Finally Truffaut* (New York: Beaufort, 1985), 116.
[11] Insdorf, *Francois Truffaut*, 49; Allen, *Finally Truffaut*, 117.

Ex. 3.2. *Fahrenheit 451*, “The Novel”

Such emotional interaction is implied by the meandering melody and rich harmony of the cue “The Novel,” as Montag secretly begins reading *David Copperfield* at night in his living room (Example 3.2). The music in the cue “The Reading” similarly suggests the emotional power of books as Montag, finding himself disgusted by the shallowness of his wife’s guests, defiantly reads a passage from the novel to them, causing one of the guests to begin weeping.[12]

“The Novel” is significant not just because it accompanies Montag’s first true attempt to sit down and read a book, but also because its principal motif is very similar to the motifs used at key moments in other parts of the film. The cue consists of a four-note motif sounded twice, repeated a step lower, and followed by a short meandering figure that closes the phrase before reprising the whole. The initial four-note motif shares its rhythm and harmony with a similar motif in “The Bedroom,” which accompanies Linda’s playful seduction of Montag following her resuscitation and blood transfusion after

[12] *Fahrenheit 451: The Complete Motion Picture Score*, CD, Tracks 14 and 27.

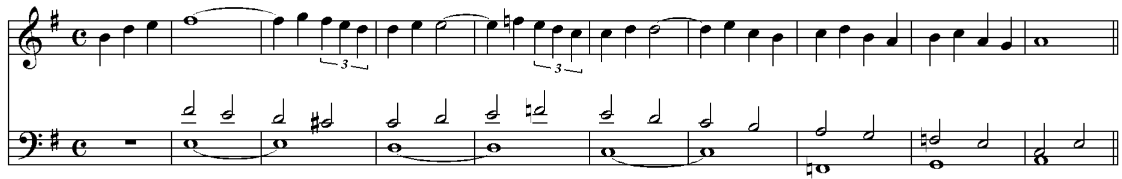
Ex. 3.3. *Fahrenheit 451*, “The Bedroom”

accidentally overdosing on sleeping pills (Example 3.3).[13] This is the only time that the audience sees Montag and Linda engaged in any sort of intimate behavior as husband and wife; during all of their other scenes together, Linda barely acknowledges Montag because she is absorbed by the television or has taken a mood-altering sedative or both. When she is free of these distractions, she and Montag are capable of meaningful interaction, like that possible with books.

A brief reference to the four-note “Bedroom” motif is also heard as Montag meets briefly with Clarisse in her house, where she is hiding from the police after they arrested her uncle. Montag is attracted to Clarisse because she is an outsider and has sparked his interest in books. The reference to the “Bedroom” motif accompanies their conversation as she makes plans to go into hiding among the “book people,” renegades who live far outside the city, each of whom has committed a book to memory.

The two cues that accompany Montag’s own arrival into the camp of the book people, “The Road” and “Finale,” are both built on a slowly descending theme, which hearkens back to the meandering passage from “The Novel” that accompanied Montag’s

[13] *Fahrenheit 451: The Complete Motion Picture Score*, CD, Track 12



Ex. 3.4. *Fahrenheit 451*, “The Road”

first reading of *David Copperfield* (Example 3.4). The shared theme connects these two scenes that show where Montag’s passion for books has taken him.[14]

In contrast to the subtle and yearning music provided as underscoring for most of the characters, Herrmann gives distinctly modernist music to accompany the firemen. Collectively, the music for the firemen is made up of gestures and themes that are longer and more self-contained than any of the short motifs used in other cues. These gestures and themes are all characterized by deliberately brusque and mechanical rhythms reminiscent of ostinato passages in the music of Stravinsky. As in Stravinsky, these gestures are often arranged in a fashion that suggests mechanistic juxtaposition rather than the smooth flow of the more chromatic cues achieved through voice leading. This construction can be seen in the reprises of the Fire Station motif in “Fire Station,” “Fire Engine,” and “Fire Alarm,” all of which accompany scenes of the fire engine in motion (Example 3.5).[15]

Ex. 3.5. *Fahrenheit 451*, “Fire Engine”

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[14] *Fahrenheit 451: The Complete Motion Picture Score*, CD, Tracks 45 and 47.
[15] *Fahrenheit 451: The Complete Motion Picture Score*, CD, Tracks 2, 22, 38.

Each gestural block in the music for the firemen at times gives the impression of having its own tonal center, causing shifts in the tonality of cues for each successive block. Although the music for the firemen is thus not atonal, the planing of successive blocks creates a jarring effect, especially in comparison to the smooth voice leading in the more chromatic cues and undermines the sense of an overarching tonic. The brusque rhythms and march-like patterns reinforce the firemen's resemblance to storm-troopers as they stand resolutely on the speeding fire engine or vigorously ransack suspicious homes (including, eventually, Montag's own), searching out books and dumping them in a great pile to be incinerated by the flame thrower. The lack of any implied affect, in contrast to that suggested by the more chromatic cues, also sets the firemen apart from the rest of the population, emphasizing their single-minded and ruthless enforcement of the ban on books.

Herrmann's decision to create such music is noteworthy not just for its appropriateness for the activities, but also for the self-consciousness of his use of the modernist sounds that he chose. He and Truffaut had already agreed that they did not wish to use electronics, *musique concrète*, or other "commonplace and futuristic clichés" that Truffaut believed had already been overused on European and American television.[16] Still, Herrmann himself characterized his music for the firemen as modernist, even if disparagingly so, calling it "a parody of all kinds of avant-garde music."[17] It is ironic that Herrmann, himself an advocate for modernist concert music, would choose to parody avant-garde music in this context.

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[16] Truffaut's journal, in Weist, *Ray Bradbury*, 135.
[17] Smith, *A Heart at Fire's Center*, 277.

Truffaut's acceptance of this modernist music to accompany the firemen is equally curious in light of his own discounting of "music of the twentieth century" by Boulez, Stockhausen, and Messiaen, figures with reputations that had placed them on the cutting edge of music. By the time Truffaut began making the film, the aesthetics underlying the earlier works from the 1950s that had established the reputations of these composers were already coming under serious question by composers and critics with more "postmodern" sensibilities. Interestingly, by the mid-1960s, Stockhausen and Boulez had both embraced aleatoric approaches to performance and composition over the more rigid serial systems that they had employed in the 1950s. Their earlier vociferous advocacy of such systematic approaches to music for a brief period may well explain Truffaut's apparent dismissal of their works as "music of the twentieth century."

One would not expect such music to convey the level of Hitchcock-inspired emotional subtlety on which much of the film depends (and which Herrmann's more traditional chromatic music conveys nicely). Furthermore, the music that Herrmann created for the firemen works recalls Stravinsky rather than Boulez or Stockhausen, and it brings to mind Adorno's polemical argument that Stravinsky's neo-classical music betrays a fascist worldview.[18] Herrmann's comment indicates that he intended to suggest modernist sounds with the firemen's music. One can only speculate as to whether Truffaut shared this association. Perhaps he equated the music's association with the

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[18] Quoted in Alex Ross, *The Rest is Noise: Listening to the Twentieth Century* (New York: Farrar, Straus and Giroux, 2007), 356.

oppressive firemen with the almost dogmatic dominance that modernism seemed to exert over culture by the end of the 1950s.[19]

Still, of the original music composed for the films under study, much of Herrmann's music for *Fahrenheit 451* sounds most like traditional film music, something true of many of his film scores and noteworthy in light of his advocacy of modernist concert music.[20] This contrasts starkly with Jerry Goldsmith's use of modernist music throughout *Planet of the Apes*, in which he went so far as to use a twelve-tone melody as the principal theme for the film's protagonist.

Herrmann's indication that the music for the firemen is a conscious reference to avant-garde sounds suggests his own willingness to associate this music with either mechanization or oppression or both. By restricting such modernist sounds to the oppressive firemen, Herrmann also arrives at a better fit for a film that consciously evokes earlier suspense thrillers by one of Truffaut's most admired *auteurs*.

Planet of the Apes **– Primitivist Sounds, Twelve-Tone Melodies, and Two Sides to Human Nature**

Unlike Herrmann's score for *Fahrenheit 451*, Jerry Goldsmith's score for *Planet of the Apes* consists of modernist sounds throughout. It soon becomes clear that the stylistic distinction is between atonal yet essentially traditional orchestral passages used to reinforce the film's protagonist and percussive timbres that support the apes. The

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[19] Boulez's strong advocacy of complexity and highly organized systemization in modernist music drew on his highly respected reputation as a composer. For an example of Boulez's position, see Pierre Boulez, "Directions in Recent Music," in *Notes of an Apprenticeship*, trans. Herbert Weinstock (New York: Alfred A. Knopf, 1968), 224-232.
[20] Steven Smith notes this in connection with Herrmann's original opera *Wuthering Heights* in *A Heart at Fire's Center*, 111.

score's opposition between two distinctly modernist and thereby potentially alienating styles mirrors the film's ambivalent characterization of the protagonist as well as its primitivist portrayal of the sentient apes.

The protagonist, George Taylor, crash-lands his spacecraft on what he believes is another planet and finds that apes are the dominant species and, moreover, that humans behave and are treated as animals. The apes, whose deep loathing of humans has even been adopted into their religion, consider Taylor a special threat because of his ability to speak, which undermines their belief in the uniqueness of ape intelligence. Taylor escapes captivity among the apes and soon discovers that he has actually returned to earth. The mute humans are the remains of his own culture, which destroyed itself in a nuclear holocaust some 2000 years before, thereby allowing great apes to assume the position of dominance previously held by humans.

The film is unusual because of its high level of pointed social commentary despite its status and reputation as an "action film."[21] At the time, many considered the film to be an allegorical statement on race relations.[22] Furthermore, the film seemed to raise questions about the role of compassion in human scientific progress through its depictions of experimental brain surgery and its projected scenario of nuclear destruction.[23] Indeed, Taylor's cynical prologue at the beginning of the film, in which he wonders if "man still makes war on his brother," and the scriptural quotation that

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[21] M. Keith Booker, *Alternate Americas: Science Fiction Film and American Culture* (Westport, CT: Praeger, 2007), 105; the disparaging review of *Planet of the Apes* in *Film Quqrterly* in comparison to *2001: A Space Odyssey* would seem to bear this out. See Judith Shatnoff, "A Gorilla to Remember," *Film Quarterly* 22 1 (Autumn 1968), 56-62.
[22] Eric Greene, *Planet of the Apes as American Myth: Race and Politics in the Films and Television Series* (Jefferson, NC: McFarland, 1996), 1-5, 14-20.
[23] Booker, *Alternate Americas*, 99-100; Eric Greene, *Planet of the Apes as American Myth*, 27-28.

Cornelius reads at the end of the film denouncing man as one who "kills for sport, lust, and greed" and who "will make a desert of his home and of yours" sum up the film's portrayal of humans as self-destructive creatures, unable to control their own animal passions and instincts.

The implied deficiency in the future portrayed in *Planet of the Apes* appears to be inherent in humanity. Unlike *2001*, in which life was so permeated by technology that humans behaved almost like machines, *Planet of the Apes* implies that humanity is influenced by its hidden animal nature and suggests that this influence is strong enough to overcome surface civility and drive humanity to self-destruction. Stanley Kubrick later explored this theme of humanity's core brutishness in *A Clockwork Orange*.

The music in *Planet of the Apes* is remarkable for its unique instrumentation, which augments a traditional orchestra with novel instruments that include various drums, a bass slide whistle, ram's horn, Brazilian cuíka, and struck aluminum mixing bowls.[24] The score also calls for a gong scraped with a triangle stick, and several of the cues were treated with echo effects in postproduction.[25] The striking combination of sounds in the music earned it a reputation as one of Goldsmith's most groundbreaking scores and as something of a milestone in film music in general.[26]

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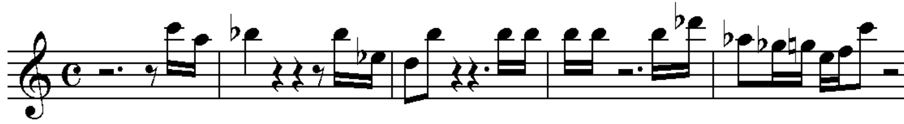
[24] Royal S. Brown, *Overtones and Undertones: Reading Film Music* (Berkeley: University of California Press, 1994), 178.

[25] The used of the scraped gong is revealed by the brief transcription from the cue "Searchers" included in Fred Karlin and Rayburn Wright, *On the Track: A Guide to Contemporary Film Scoring*, 2nd ed. (New York: Routledge, 2004), 213.

[26] Brown, *Overtones and Undertones*, 178; Booker, *Alternate Americas*, 98. Both Paul Monaco and Eric Greene note that the score received an Oscar nomination in 1968. See Paul Monaco, *The Sixties: 1969-1969*, vol. 8 of *History of the American Cinema*, ed. Charles Harpole. (New York: Scribner's, 2001), 117; Eric Green, *Planet of the Apes as American Myth*, 164.



Ex. 3.6. *Planet of the Apes,* Main Title Theme.

The film's music includes a variety of sounds and techniques reminiscent of those in the Primitivist music of Stravinsky and Bartók.[27] Traditional functional harmony is absent, some passages include irregular and shifting meters, and many of the cues are built of simultaneous and successive ostinati; in short, there are several passages in the score that appear consistent with what Pieter van den Toorn referred to as Stravinsky's "general methods of procedure."[28] The polarity around which the score revolves is essentially one of pitched material against percussive sounds, both of which may indeed be heard in a single cue. The pitched material is derived primarily from a twelve-tone melody that appears throughout the film in a number of guises (See Example 3.6).[29] Fragments of the melody are also used as ostinati or as isolated gestures in a texture. Bond, in his commentary on the CD recording of the score, refers to this melody as the film's "main theme," although it occurs principally in conjunction with Taylor and could easily be considered Taylor's theme.[30]

The character of this main theme varies widely, depending on the contexts for its appearance. In the film's Main Titles, the main theme is sounded successively by high

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[27] Jeff Bond compares the primitivist characteristics of Goldsmith's music to those found in the music of Stravinsky and Bartók; see Jeff Bond, notes accompanying Jerry Goldsmith, *Planet of the Apes: Original Motion Picture Soundtrack* Varése Sarabande VSD 5848, 1997, Compact Disc, 3, 4, 7.

[28] Pieter van den Toorn, *The Music of Igor Stravinsky* (New Haven: Yale University Press, 1983), xvii, xviii, xx.

[29] Goldsmith noted the score's use of "traditional twelve-tone techniques," stating that such techniques were no longer truly "new," but were still relatively new in the realm of film music. Earle Hagen, *Scoring for Films: A Complete Text* (New York: Criterion, 1971), 165.

[30] Bond, notes accompanying *Planet of the Apes: Original Motion Picture Soundtrack*, 7, 8.

woodwinds over a low percussion ostinato, with the statements separated by an angular piano figure and some incidental percussion.[31] The main theme is similarly sounded over expansive chords as Taylor and his companions from the spaceship explore the wasteland known as the Forbidden Zone (this music is largely reprised as Taylor escapes into the Forbidden Zone at the end of the film).[32] The main theme also provides the rapid melody in triplets that accompanies Taylor's first escape into the interior of the ape city.[33]

Some cues feature a subsidiary eight-note theme that is derived from the main theme; this is heard most prominently toward the end of "The Search Continues" as Taylor and his companions find an oasis just outside the Forbidden Zone. This melody consists of notes 1-4 and 5-7 of the theme, arranged into a line. This subsidiary theme is also the basis of the accompaniment for the fragmented main theme heard during the scenes in the Forbidden Zone.[34]

In contrast to these more traditional cues are those featuring exotic percussion, which add a primitive sound to the texture. The primitivism of these sounds resonates with similar visual elements connected to the apes, notably their cave-like architecture and comparatively simple technology. Some of these unusual timbres convey the strangeness of the landscape to the explorers. The odd metallic ringing of the aluminum mixing bowls accompanies their bewildered responses to what they find in the Forbidden Zone, whereas the scraped tam-tam, sounding like wind gusts or distant thunder, increases the sense of space in the desolate landscape.

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[31] *Planet of the Apes: Original Motion Picture Soundtrack*, Track 2
[32] *Planet of the Apes: Original Motion Picture Soundtrack*, Track 4, 5, and 17
[33] *Planet of the Apes: Original Motion Picture Soundtrack*, Track 10
[34] *Planet of the Apes: Original Motion Picture Soundtrack*, Tracks 5 and 17.

The most striking sounds are produced with a ram's horn, bass slide whistle, and in particularly a Brazilian cuíka, all of which accompany the apes. The cuíka produces a sound strongly reminiscent of the agitated vocalizations of apes, a sound that is almost always heard during scenes of the apes pursuing humans, especially Taylor. The sound of the slide whistle is also reminiscent of an ape's soft hooting, and like the cuíka, the slide whistle is generally heard during scenes featuring apes. These sounds are not meant to be diegetic, but rather are included for their timbral associations with ape characters. Finally, the sound of the ram's horn is heard primarily in connection with the gorilla soldiers; like the exotic drums, the ram's horn seems intended to add a "primitive" sound to the music accompanying the sentries, as well as to create an impression of militarism. Unlike the drums, the calls on the ram's horn could possibly be interpreted as diegetic. Still, no characters are shown blowing a horn.

There are few instances of recurring musical passages, although the main theme is heard throughout the score and the sound of the cuíka appears regularly within the passages that accompany the apes. The one clear recurrence acts as a musical reminiscence, analogous to similar effects in *Fahrenheit 451* and reprised excerpts in *2001*.

The film's final cue, accompanying Taylor's final escape into the Forbidden Zone and his discovery of the ruined Statue of Liberty, reprises material from early in the film when Taylor and his companions first explored the Forbidden Zone ("The Searchers" and "Revelation, Part 2").[35] These cues all share fragmented statements of the main theme

[35] *Planet of the Apes: Original Motion Picture Soundtrack*, Track 5 and 17.

over sustained chords punctuated by bursts of sound from the scraped tam-tam. The sense of space created by this texture is enhanced with added echo and reverberation effects. The reprise acts as a musical reminiscence, recalling the view of the landscape from earlier in the film just as Taylor discovers the truth about the apes' planet. Such recurrences are similar to those in *Fahrenheit 451*, in particular the cues "Flames" and "Flowers of Fire" that accompany the burning of the book lady's home and, later, Montag's burning of his own home. The musical excerpts used in Kubrick's *2001* similarly act as reminiscences to connect successive scenes involving the monolith or sequences that imply evolutionary steps.

Since the score consists of modernist sounds throughout, even if they are different in conception, is it possible that both the atonal, twelve-tone melody and the timbre-based music indicate deficiencies in the film's depicted future? More specifically, can the music be interpreted as signaling that both the apes and Taylor are somehow "deficient"? That this is possible is born out by the type of character that Taylor represents and by the apes' general fear and loathing of him.

Taylor is presented during the film's prologue as a misanthrope and an outsider. His last log entry before setting the spacecraft on automatic and entering hibernation is an extended rumination on humanity's self-interest and lack of compassion, ending with a hope that he will encounter something nobler at his destination. Upon landing, he makes fun of his colleagues for their continuing to revere a culture that they have left far behind in time and space. Taylor could be said to embody personal alienation from his own culture.

Taylor's hostile reactions to the apes, while certainly fueled by their humiliating treatment of him based on their hatred and suspicion of his species, is also fed by his own cultural arrogance and prejudices. These prevent him from regarding the apes as equals any more than they can consider him as such.[36] His sense of superiority extends even to Cornelius and Zira, the only apes that treat him with dignity. Although they help him to escape to the Forbidden Zone at great personal cost, Taylor refuses to show any deference to Cornelius and insists on carrying a weapon. His belligerent stance allows for virtually no self-reflection. His aggressive arrogance not only confirms the image of humans described within ape scripture but also agrees with Taylor's own misgivings about human nature.

Taylor is not just a character in the film; he is also a representative of Western culture and values.[37] His malaise and arrogance are therefore equally applicable to the society that he hails from, including a sizable portion of the film audience. It is possible to read musical characterizations of Taylor as "alienating" as transferable to contemporary Western culture in general, a sentiment shared by many within that culture.[38] On the surface, the twelve-tone melody that accompanies the astronauts as they walk across the strange landscape may appear to reflect the alien landscape. This music could also reflect the alienation of the astronauts themselves: as Taylor points out, each of them had their own personal reasons for undertaking an exploration that would quite

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[36] In the cave within the Forbidden Zone, Taylor badgers Dr. Zaius with his conclusion that the artifacts point to a human resident, noting that "he was here before you, and he was better than you." *Planet of the Apes* (1968), directed by Franklin J. Schaeffner, Fox Home Video, 2000. DVD

[37] Eric Greene notes that the casting of Charleton Heston in this role made this aspect of Taylor particularly effective. Greene, *Planet of the Apes as American Myth*, 39-45.

[38] Arthur Schlesinger, Jr., *The Vital Center: The Politics of Freedom* (New Brunswick: Transaction Publishers, 1998), 51-53.

possibly separate them from the rest of humanity for the remainder of their lives. The film does not portray them as heroic astronauts engaged in a noble quest. Rather, it portrays them as flawed men, capable, yet bickering among them as they face the challenge of survival in their new environment.

If Taylor's characterization seems less than sympathetic, he is still the focus of identification for the audience, who may come to recognize the twelve-tone main theme as connected to Taylor. Against this music, the "ape sounds" provide a marked contrast. "Ape sounds" are introduced into the score with the sound of the slide whistle heard during the Main Titles, but their effective use becomes apparent during Taylor's first sight of the gorilla soldiers during the hunt.[39] Here, interspersed within an incessant and frantic piano ostinato are passages featuring short exclamations from the cuíka that resemble the bellowing and grunting of gorillas. This sound is also used during Taylor's first attempted escape from his cage and flight through the ape city, most prominently during a brief shot in which one of the gorillas captures Taylor with a snare around his neck.[40] The sound is also used as the gorillas quell Taylor's outburst in front of the high tribunal when he discovers that one of his companions has been lobotomized. It is heard finally when the soldiers accost Taylor, Zira, and Cornelius as they explore a site in the Forbidden Zone.

The slide whistle is also heard during Taylor's escape to the Forbidden Zone with Zira and Cornelius. In fact, one can discern a faint correlation between sounds of the

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[39] *Planet of the Apes: Original Motion Picture Soundtrack*, Track 7
[40] *Planet of the Apes: Original Motion Picture Soundtrack*, Track 10

cuíka and slide whistle and their use to accompany gorillas and chimpanzees such as Zira and Cornelius, respectively.

The absence of pitch content in the ape sounds takes on added significance when considered along with the film's twelve-tone main theme. The sounds associated with the apes are, of course, reminiscent of ape sounds, which from the perspective of Taylor and the audience are animal sounds and thus incoherent. Taylor and the apes regard the power of speech as an indicator of intelligence and thus something that distinguishes an individual from an animal, whether human or ape.[41] The connection between the apes and the sound of the cuíka rather than another atonal melody or figure reveals something about how the nominally sympathetic protagonist, and the audience, may be expected to react to the apes. The music does not confer on them the same level of coherence that it confers on the human protagonists.

Taylor's capture during his first escape highlights the significance of speech in a different way. As the gorillas hoist Taylor up into a suspended net, Zira appears, begging the gorilla soldiers not to hurt him. Taylor, who had suffered a throat injury that made him unable to speak, suddenly comes into view and shouts, "Get your stinking paws off me, you damn dirty ape!" shocking all the apes within earshot with the spectacle of a human who can speak.[42] The music emphasizes this moment by providing a lull in the frantic musical activity to allow for Taylor's line. A brief crescendo through a stacked tone cluster follows; as stunned onlookers react, the scene finishes with a forte F sharp

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[41] This is seen in the tribunal scene and in the general reaction to Taylor and his ability to speak.
[42] *Planet of the Apes*, DVD.

sounding in octaves, the most consonant sound in the entire score.[43] This moment of tonal clarity in the underscore highlights Taylor's regained power of speech and with it his renewed power in confronting his ape captors.

As one might expect, the ostinati within *Planet of the Apes* differ from those used in *Fahrenheit 451*, primarily by emphasizing a basic pulse rather than an odd meter like that which accompanied the firemen in the earlier film. Whereas the music for the firemen has a rigid, militaristic quality that is defamiliarized through its alternating 4/4 and 3 /4 measures, ostinati in *Planet of the Apes* are simple structures to which additional motifs can be attached, resembling procedures in "Augurs of Spring" from *The Rite of Spring*. This is true of the rapid and frantic ostinati that accompany the hunt but also of the more evenly paced ostinati that accompany Taylor's escape with his chimpanzee benefactors, Cornelius and Zira.

Instances of irregular or shifting meters (such as in "The Revelation") are reminiscent of the "Sacrificial Dance," with its irregular syncopation over a regular pulse. Stravinsky's work most likely provided conceptual inspiration for much of the score to *Planet of the Apes.* Even though many of the actual sounds of the score are quite differ substantially from anything in Stravinsky's work, its Primitivism seems to have inspired some of the drum figures; the score's use of ostinati to reinforce a basic pulse likewise appears to stem from Stravinsky's ballet.

One could construe the alienation expressed by the twelve-tone melody, despite its ostensible superiority over the unpitched musical materials, as also somehow related

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[43] *Planet of the Apes: Original Motion Picture Soundtrack*, Track 10

to the cultural breakdown that led to the nuclear catastrophe. The notion of progress basic to modernism and embodied in the twelve-tone melody and its derivatives in the score failed in the case of this human civilization. Progress was interrupted as humanity fell victim to its core aggressiveness and destroyed itself; the potential for cultural progress was transferred to a new set of species, musically characterized as more primitive than the first. Could they achieve the level of progress that Taylor represents and, if so, would they similarly become victims to their base instincts?

For that matter, do Taylor and his kind really represent progress if his culture will annihilate itself? The opposing modernist styles in the music for *Planet of the Apes* seem to comment much more on Taylor and his culture and their implications for the future than on the promise held by the ape civilization.

***2001: A Space Odyssey* – Sound Mass and a Future of Uncertainty**

For his highly imaginative and visual film *2001: A Space Odyssey*, Stanley Kubrick likewise took a unique approach to using only pre-existing classical music. Although common during the era of silent films, such pervasive use of pre-existing music had disappeared with the advent of classical Hollywood practice. Kubrick's approach thus provoked some controversy after the film's release.[44] He included nineteenth-century, common-practice pieces and contemporary modernist works to accompany human activity and to suggest the influence of an alien consciousness. This consciousness appears at various evolutionary points when humanity seems to be in

[44] Jerry Goldsmith regarded Kubrick's use of pre-existing music over Alex North's score to be "an abominable misure of music" that ruined the film. Jerry Goldsmith, originally quoted in Tony Thomas, *Film Score: The View from the Podium* (South Brunswick, NJ: A.S. Barned, 1979), 227-228, quoted in Dean Duncan, *Charms that Soothe: Classical Music and the Narrative Film* (New York: Fordham University Press, 2003), 19.

danger of becoming extinct and provides an unseen and unclear impetus that pushes humanity past a boundary and allows it to develop into a new form of intelligence.

Many have remarked on the film's comparative lack of dialogue, noting that the existing dialogue is largely mundane and that it communicates little information. Technological development has made such achievements as space travel so routine that they no longer elicit wonder, and the dearth of meaningful dialogue renders the characters almost as mechanical as the technology.[45] Indeed, the HAL 9000 computer aboard the spaceship *Discovery* is often described as having as much or more depth of character than its human companions.[46] The society that has produced these technological marvels appears to lack human dynamism.[47] This would seem to present a disquieting picture for the film audience, who recognized the society of 2001 as their own, projected thirty-three years into a realistically imagined future yet with familiar logos and trappings to make it appear that much more realistic, believable, and immediate. In the face of such advanced technology, the need for outside intervention to prevent the decline of the human species suggests disbelief in human autonomy and in the species' ability to ensure a positive future for itself.[48]

Even apart from the film's use of pre-existing music, its unhurried pacing and extended visual tableaux call for music of a different character than that heard in *Planet of the Apes* or even *Fahrenheit 451*. Musical cues are presented with no dialogue or diegetic sound over them, which means that they become an integral part of an audio-

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[45] Booker, *Alternate Americas*, 84-86.
[46] Booker, *Alternate Americas*, 86; Michel Ciment, *Kubrick: The Definitive Edition*, trans. Gilbert Adair and Robert Bononno (New York: Faber and Faber, 2001), 134.
[47] Booker, *Alternate Americas*, 87; Ciment, *Kubrick: The Definitive Edition*, 127.
[48] Booker, *Alternate Americas*, 87.

visual sensory experience. What is more, the audience is expected to pay conscious attention to this music, easy enough to do since the music is featured so prominently during extended passages of the film, with no other sounds to compete with it. The music does not merely "modify" the visual aspect according to the prescriptions of classical Hollywood. Rather, these musical selections explain the otherwise ambiguous scenes through a combination of musical rhetorical gesture, recurrence in the film, and connotative associations of the specific excerpts chosen.[49]

Kubrick's choices are all highly individual, and they can be related according to their musical characteristics and their respective roles in the film. Tonal, familiar music accompanies activities of humans at various stages of their development, from hominids early in the film to the more "modern" humans of the very near future. The accessible pieces include the opening prologue from Richard Strauss's *Also Sprach Zarathustra*, the *Blue Danube* waltz by Johann Strauss, Jr., and the Adagio from *Gayanne* by Aram Khachaturian.

Dissonant, atonal, sound-mass music typically indicates either the alien consciousness represented by the black monolith or activities outside the scope of human ability such as David Bowman's journey through the Star Gate. In fact, György Ligeti's *Atmosphères*, one of the pieces used, is a premiere example of sound-mass composition.

[49] Brown alludes to this when he describes the musical excerpts as "expressing in a different medium what the film expresses in visual and narrative terms. . . ." See Brown, *Overtones and Undertones*, 239.

The other sound-mass compositions include the Kyrie from Ligeti's Requiem, his *Lux Aeterna* for mixed chorus, and his *Aventures* for mixed voices.[50]

The unfamiliar, unsettling sounds of the Kyrie accompany almost all appearances of the black monolith, which represents the alien consciousness in the film. Ligeti achieved the unique sound of the Kyrie through a technique that he called "micropolyphony," which involved setting the voice parts in closely spaced canons that change over the course of the movement. The result is an undulating vocal texture that sounds almost like mass wailing and could be construed as disturbing or conveying anxiety according to traditional Hollywood associations.[51] The music that accompanies the Star Gate sequence, *Atmosphères*, is also based on micropolyphonic techniques. *Atmosphères* is made up of timbres resulting from dissonant, static chords spaced throughout the orchestra, which shift gradually or abruptly to new combinations and sounds as the piece progresses, very much mirroring the shifting alien vistas and landscapes Bowman encounters. Although not as overtly threatening as those in the Kyrie, the harmonies and textures of *Atmosphères* are far removed from more familiar Hollywood music, and they resonate with the spectacular visuals and convey Bowman's disorientation as the Star Gate distorts his experience of space and time.

The selections chosen to accompany human actions are also distinct in their moods. The prologue to *Zarathustra* is a short, triumphant fanfare, whereas the waltz

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[50] *Aventures* was treated with echo effects for its use in the film; it appears in both its original and processed form on *2001: A Space Odyssey – Original Motion Picture Soundtrack*, Rhino Movie Music R2 72562, 1996, Compact Disc.

[51] Philip Hayward interprets the music in this way in Philip Hayward, Introduction to *Off the Planet: Music, Sound, and Science Fiction Cinema*, ed. Philip Hayward (Bloomington: Indiana University Press, 2004), 15.

and ballet excerpts are more leisurely and subdued examples of dance music. Kubrick's selection of a piece as familiar as the *Blue Danube* waltz has attracted perhaps the most attention to his score.[52] Characteristically reticent to discuss the motives behind his choices, Kubrick described the waltz as particularly effective for depicting "grace and beauty in turning."[53] The elegant and sensual sounds of the waltz accompany Dr. Heywood Floyd's journey to the moon base where he examines a recently discovered monolith. Floyd's trip includes some of the longest and most detailed scenes of space travel in the film, often focusing on subtle details of the experience or luxuriating in the highly realistic scenes of a journey to the moon. The slow and spare excerpt from the *Gayanne* suite similarly accompanies the solitary routines of the astronauts aboard the deep space probe *Discovery* as they engage in solitary recreation between performing their duties aboard the spacecraft.

Of the different excerpts, only the Kyrie and the prologue truly recur; the *Blue Danube* is split into different parts within what could be considered one long sequence. And although the opening portion of *Atmosphères* appears as the film's overture and during its intermission, its only appearance within the film is in the Star Gate sequence. The Kyrie recurs in conjunction with the first three of the four appearances of the black monolith, acting as a reminiscence of previous appearances and even signifying the alien

[52] David Patterson lists several possible interpretations of the use of this piece in David W. Patterson, "Music, Structure and Metaphor in Stanley Kubrick's *2001: A Space Odyssey*," *American Music* 22 3 (Autumn 2004), 473; this piece is discussed further in Chapter 5.
[53] Stanley Kubrick, originally from Adel, *The Making of 2001*, quoted in David Patterson, "Music, Structure, and Metaphor in Kubrick's *2001*," 454.

consciousness.[54] Recurrences of the prologue to *Also Sprach Zarathustra* also act as musical reminiscences, but without a specific visual reference like that for the Kyrie.

The prologue to *Zarathustra* first accompanies the opening titles, seen over a conjunction of the earth, moon, and sun. The prologue next accompanies the gradual discovery by one of the hominids that a bone casually tossed among a pile of similar bones can be used as a weapon for hunting and for warding off rivals. Finally, the prologue accompanies the appearance of Bowman/the Star Child as he returns to contemplate the earth in space. David Patterson described the role of this music as "underscor[ing] dramatic turning points of 'becoming,'" as it accompanies the evolutionary steps taken by humanity at different points in its development. This excerpt provides the most effective reminiscence by linking and equating the scenes of the hominid discovering the bone tool and of the return of the Star Child.[55] Several cinematic devices call attention to these events as significant. The hominid is depicted in slow motion, his image inter-cut with shots of felled prey animals and a planetary conjunction involving the monolith, whereas the ambiguously depicted size of the Star Child in space as it looks down on the earth inspires awe. The fanfare gestures of the Strauss prologue, itself imbued with the cosmic significance of the planetary conjunctions during the film's opening titles, paints these scenes as victorious and triumphant, even for those many audience members who do not know the original source of the excerpts.[56]

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[54] Michel Ciment, *Kubrick: The Definitive Edition*, 128.
[55] Patterson, "Music, Structure and Metaphor in Kubrick's *2001*," 451.
[56] John Williamson notes some audience's and performers' tendency to regard this music as originating with the film. See John Williamson, *Strauss:* Also Sprach Zarathustra (Cambridge: Cambridge University Press, 1993), 8.

There are two attributes of humans as portrayed in the film that could be construed as "deficiencies." One is humanity's inadvertent need for outside agency to stimulate its evolutionary development.[57] A second is the extent to which the technology of the society has infiltrated the lives of its population, so that the people of 2001 begin to look like machines to the film audience.[58]

Many critics, perhaps following the lead of Arthur C. Clarke in his novelization of the film, regard *2001* as showing humanity in stages of decline, both during the depiction of the early hominids four million years before and in the technologically advanced near future of 2001.[59] Clarke relates that competition with other species for food and other resources in the past would have led to the hominids' extinction had the alien consciousness not intervened and stimulated the hominids to use tools. Those tools eventually led to the capability for space flight (represented visually by the familiar shot cutting quickly from the image of the hurtling bone to the image of an orbiting satellite) and the problematic relationships with technology.[60] Clarke further relates that humanity in 2001 is at a similar impasse, despite its technological sophistication. Humanity's weapons have become so pervasively deadly that the species is "living on borrowed time," facing the possibility of extinction as surely as it had four million years in the past.[61] Intervention by the alien consciousness again points to a way past this impasse,

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[57] Booker, *Alternate Americas*, 86-87.
[58] Booker, *Alternate Americas*, 84-85.
[59] Michel Ciment, *Kubrick: The Definitive Edition*, 127.
[60] Arthur C. Clarke, *2001: A Space Odyssey*, (New York: New American Library, 1968), 35-37.
[61] Ibid., 37.

and that intervention comes in David Bowman's transformation into the Star Child, presumably representing a next step in human evolution.[62]

The transformation of Bowman is musically coded as triumphant by the prologue to *Zarathustra*, but the previous time that this music was heard, the audience saw the newly developed hominid using his power to control and subdue the environment, including those members of his own kind. The audience can only wonder what Bowman/the Star Child may do with the earth that he contemplates from space.[63]

If the Star Child truly represents a next step in human evolution (and an abrupt one), that can only mean the end of the somewhat familiar society of 2001 with which the audience identifies and to which they have in some measure aspired. Whether Bowman somehow brings about the end of the society of 2001 or it is allowed to decline on its own, the film leaves the audience with the sense that the society of 2001 does not have much of a future.

Kubrick's choice of the *Blue Danube* to accompany the society of 2001 highlights the complacency and routine brought on by the prevalence of technology. Although the *Blue Danube* does perhaps illustrate the beauty of the motion of spacecraft, the character and tempo of the music is comfortable and relaxed; it has nothing of the striving or triumph implied by the Strauss prologue. This seems to contradict popular notions from

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[62] Clarke explored this same idea very similarly in his novel *Childhood's End*, in which humanity makes a sudden evolutionary change to a non-corporeal form with the aid of an alien species.

[63] Clarke, in his original novel, emphasizes this power ambiguity with the parallelism that Bowman and the bone wielding hominid (Moon Watcher in the novel) was each briefly the "master of the world, and not quite sure what to do next. But he would think of something." Clarke, *2001: A Space Odyssey*, 34, 221. Clarke's original story, "The Sentinel," on which the film was partially based, expressed similar trepidation at the thought of the return of some ancient and advanced alien consciousness. The Star Child's ambiguity of purpose coupled with the bone-wielding hominid's aggressive tendencies following his mastery of his tools give a pessimistic picture of the future of humanity.

the 1950s and 1960s equating space travel with progress, expansion, and even adventure. Space was the "final frontier," and the goal of reaching the moon was one that captivated the imagination of the country if not the world. Within the film, that goal had been fulfilled by the permanent moon base to which Dr. Floyd travels, but somewhere along the way, the journey became so familiar, so habitual, for Floyd even so *boring*, that it seemed to need a gently distracting musical accompaniment, perhaps even something like Strauss's *Blue Danube* waltz, to ease the monotony.

The film offers little information about the mysterious alien consciousness ultimately responsible for humanity's fate. The featureless black monolith is the only visual reference to its presence; there is nothing to indicate its motives, thoughts or plans for humanity. The effect of its accompanying music, the Kyrie, is equally ambiguous. Philip Hayward described the music as following in the tradition of using dissonant music to support tense and apprehensive situations, but Arved Ashby notes that such an assumption with respect to the music and the aliens is somewhat hasty.[64] He notes that the alien consciousness and the monolith never perform any overtly sinister actions. In fact, the most catastrophic event in the film, the death of the astronaut Frank Poole, Bowman's partner aboard the *Discovery*, occurs with no musical accompaniment at all.[65] Furthermore, the actions of the HAL 9000 computer, which was responsible for Poole's death, also have no musical accompaniment.

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[64] Hayward, Introduction to *Off the Planet*, 15.
[65] Arved Ashby, "Modernism Goes to the Movies," in *The Pleasure of Modernist Music*, ed. Arved Ashby (Rochester, NY: University of Rochester Press, 2004), 365-367.

The alien consciousness appears to be beneficent to humanity, so why should it be coded with dystopian music? Despite its apparent beneficence, it is unknowable, as are its motives in aiding humanity, and its power over human destiny gives one pause. Although Kubrick posited the consciousness as approaching a "scientific definition of God," the idea that humanity needs an outside agency for evolutionary assistance at key moments contradicts rationalist perspectives from the 1950s that celebrated human progress, represented by technological advancement and space travel of the kind depicted in the film.[66] The possession and exercise of such power over human destiny by an alien consciousness, leading perhaps to the end of the society that embodies the 1950s vision of progress, highlights the possible deficiency in humanity's capacity to realize this future on its own. The ambiguous music of the Kyrie makes an effective musical accompaniment. Although it may possess slight associations of fearfulness or tension, its gestures ultimately have no real equivalence or meaning in the musical language typical of classical Hollywood practice. Like the alien consciousness itself, it is unknowable; therefore, much of the disquiet and unease results from the opacity and unfamiliarity of the music, which specifically do not give the audience any clear indication of how they should regard the alien consciousness and its visual symbol.

The alien consciousness may in the end save humanity from extinction, but each time that it does so, the vast portion of humanity that does not change dies off. The hominids became carnivores and eventually dominated the planet; other animals and hominids that did not have the benefit of the alien intervention were swept aside.

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[66] Kubrick's characterization of the consciousness is quoted in Vincent LoBrutto, *Stanley Kubrick: A Biography* (New York: Penguin, 1997), 313.

Bowman has undergone a radical transformation to a new kind of human, and the parallelism of the reminiscence suggests that his new manifestation will sweep aside what is on the earth, namely the society of 2001 that is an extrapolation of the society of 1968.

Unlike *Fahrenheit 451*, *2001* has no music that suggests the emotions of individual characters, mainly because the characters appear largely devoid of emotion. The triumph implied in the Strauss prologue is the triumph of a species, expressed in epic terms, rather than a personal triumph. The pleasant character of the *Blue Danube* almost lacks emotion; the detachment and languid pacing of the scenes it accompanies limit any nuance and dynamic contrast in the performance.

Planet of the Apes and *2001* are the only films under study that feature aliens or essentially alien characters or entities in the form of the ape species and the alien consciousness. The type of modernist music that accompanies the alien consciousness contrasts with that for the apes in its lack of discreet rhythms. The pacing of the scenes with the monoliths is comparatively static; the monolith itself presents no direct physical threat, but instead exists in the scene as an object of wonder for the characters. Its presence in these scenes seems as much formal as narrative, further detaching it from the world of the characters and emphasizing its strangeness for the audience. The complete unfamiliarity of the harmony and rhythm in the Kyrie reinforces these qualities.

In contrast, rhythm is one of the most distinctive parameters characterizing much of the music for the apes. These percussive and animalistic sounds, although bizarre, convey more familiar connotations that imply direct and immediate threats, realized

visually by Taylor's perils on the screen. The apes are a physical rather than a cerebral presence, and their highly rhythmic and physical music conveys this.

The score for *2001* includes some of the most overtly dissonant and atonal music of the films discussed, and although *2001* exerts influence on later films, the particular type of dissonant modernist music that it employs is comparatively rare. Perhaps the closest comparison can be made to the music for *Zardoz,* which also includes arhythmic choral passages that suggest a sound-mass.

***Silent Running* – Spaceships Carrying Forests and Folk-rock with an Orchestral Enclosure**

Peter Schickele's score for *Silent Running* uses a mixture of folk-rock styles and modernist orchestral music to reinforce the environmental message in Douglas Trumbull's comparatively small-scale film. The primacy of the folk-rock style is established throughout the score by songs with lyrics that allude to the beauty and preciousness of forests and nature. Much of the contrasting orchestral music uses harmonic planing and block construction, largely eschewing traditional tonality in a manner reminiscent of Stravinsky and of the music for the firemen in *Fahrenheit 451*. Folk-rock stands for awareness and appreciation of the natural world in contrast to the modernist orchestral music that characterizes the technological and artificial environments of the spaceship and the earth itself as it is described in the film.

Silent Running takes place aboard one of several large spaceships traveling near Saturn that are carrying the remains of earth's forests and other natural ecosystems. Freeman Lowell, the film's protagonist and the naturalist supervising the forests aboard

the space transport *Valley Forge*, is disgusted with the extent of human technological expansion across the earth, which has forced the removal of forests to artificial enclosures out in space. He eagerly looks forward to an opportunity to restore the forests back on earth. Lowell is unable to accept the new orders for the ships to jettison their domes and return to commercial service. His resistance to preparations to destroy the domes escalates until he accidentally kills one of his crewmates. Convinced that the forest's preservation trumps all other considerations, Lowell eliminates the other two crewmen. He then embarks on a plan to take the ship and its remaining dome out of the solar system under the pretext of a shipboard accident, evading the remaining fleet by "running silent," without communications or navigational beacons.

Lowell's plan appears to succeed for the remainder of the film, until a search party intercepts him on the far side of Saturn. Faced with the certain destruction of the last domed forest and the consequences of his own mutiny, Lowell sets the last forest adrift under the care of a mechanical drone and destroys his own ship. Lowell's determination to save the forest from his fellow humans ironically compels him to turn to the technology of the spacecraft and its maintenance drones. Ultimately, he entrusts the care of the forest to the mechanical drone because he knows that the forest will be better cared for than if it is returned to the humans.

Because all of the action in *Silent Running* takes place on a ship far out in space, the dystopian nature of Lowell's society must be inferred from the descriptions of earth that come up during his exchanges with his shipmates. Accordingly, the earth is described as having a constant temperature of 75 degrees and a landscape that is uniform

across its surface, not least because it lacks any trees or extensive surface vegetation. When his colleagues argue that societal progress has brought a virtual end to poverty, disease, and unemployment, Lowell rebukes them for their inability both to think of life in other than economic terms and to recognize the beauty of nature. The deficiency in the future world of *Silent Running* is the loss of nature because of a lack of concern to preserve it in the face of technological development, and it is left to the film audience to imagine from these few details how artificial life on earth has become. Indeed, the descriptions of the earth suggest an environment that differs little from that of the spaceship, and the viewer is almost constantly reminded by the visual images of the contrast between the environments of the spaceship and the forest.

Silent Running is the only film under study that includes songs within its score. These songs are important not just for setting the film's primary musical style, but also because their lyrics are the most prominent indicators of the film's ecological stance. They resonate with Lowell's own actions and attitudes, reinforcing his personal commitment to the preservation of nature. They also reinforce the audience's sympathy with Lowell in light of the extreme actions that he takes to preserve the forest.

Lowell's passion for the environment and his willingness to take radical steps to preserve it recall the positions of Students for a Democratic Society and other organizations of the New Left active during the late 1960s. These groups used highly visible public protests to focus attention on the degradation of the environment due to the activities of both industry and consumer society, culminating in the first Earth Day in April 1970. At the same time, they advocated new ways of living to eliminate

consumption habits that contributed to pollution and waste.[67] The attitudes of the New Left toward environmental preservation were reflected in much of the rock music of the period.[68] These attitudes also come through in the lyrics of the songs "Rejoice in the Sun" and "Silent Running" from the score of *Silent Running*.[69] Furthermore, these songs were sung on the film's soundtrack by Joan Baez, well known for her political activism and sympathies with the positions of the New Left.

The folk songs are heard at key moments in the picture, thereby setting up the primacy of their style. "Rejoice in the Sun," heard in an instrumental version during the opening titles, later accompanies Lowell's absorption of the orders to destroy the domes and finally underscores views of Dewey, one of the maintenance drones, caring for the forest as the end titles roll. The song "Silent Running" accompanies a montage showing scenes of Lowell caring for the forest following his evasion of the space fleet; the song's title and use of the phrase "silent running" play indirectly on the film's title and on Lowell's actions. During the scenes accompanied by these songs, the forest is very much the focus of attention, and during "Silent Running," in particular, Lowell appears more engaged and happier than at any other time. In addition to reinforcing sympathy for Lowell and his own concern for the forest, the songs maintain the emphasis and attention on the importance of nature amid the highly visible presence of the artificial environment of the spaceship and the forest's domed enclosure.

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[67] Robert Gottlieb, *Forcing the Spring: The Transformation of the American Environmental Movement* (Washington, DC: Island Press, 1993), 93-112.
[68] Ibid., 95.
[69] Peter Schickele, *Silent Running: The Original Soundtrack Album*, Varése Sarabande STV 81072, 1978, LP, Side 1Track 1; Side 2, Track 1.

Whereas the folk-rock songs strongly accentuate the role of the forest, most of the orchestral music accompanies scenes that focus on technology, either directly or on its inadvertent effects on the forest. The orchestral music falls largely into three divisions: fanfares that accompany scenes of the spacecraft, "tense" music that accompanies Lowell's decisions and actions to hijack the ship, and "uneasy" music that accompanies Lowell's anxious bewilderment at the forest's decline from lack of sunlight. There are also three cues that tread a "middle ground" within the opposition between folk-rock and modernist orchestral sounds, incorporating pop elements in an orchestral setting that indicate Lowell's new relationship with technology on the ship, in particular with the maintenance drones, in maintaining the forest.[70]

The opening shots of the film feature impressive views of the space transports, and the accompanying cue, "The Space Fleet," matches the imposing majesty and scale of the spacecraft with a slow processional, whose march-like character is belied by the metric shifts within each of its successive phrases.[71] Unlike much of the later orchestral music that characterizes the spaceship, this cue is essentially tonal, enhancing the splendor of the spacecraft. It is only after the brief dialogue between Lowell and the rest of the crew following these shots that the audience learns the original purpose of the ships and of their orders to dispose of their cargo.

More discordant music based on the drum figure from the opening sequence accompanies shots of the *Valley Forge* as Lowell steers it away from the rest of the fleet

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[70] *Silent Running: The Original Soundtrack Album*, Side 1, Track 6, Side 2, Track 3.

[71] Each phrase within the fanfare includes successive motifs with measures of alternately three, four, and five beats. These can be heard in "The Space Fleet,", Track 2 of *Silent Running: The Original Soundtrack Album*.

and makes his escape. This music (Part one of the cue "Saturn") incorporates metric shifts similar to those in the opening fanfare, but consists of reiterated quartal motifs sounded alternately by woodwinds and brass.[72] The woodwind motif is based on a mixolydian melody sounded over open fifth sonorities centered on C and B flat, while the brass motif consists of planed quartal chords syncopated against an underlying pulse; the brass motifs disrupt the sense of harmonic center implied by the woodwind motif. The non-tonal harmony adds to the level of tension in this scene as Lowell makes his escape, but it also reinforces the mechanical characteristics of the spaceship, in particular as the sounding of the brass motif often coincides with shots of the ship in space. These cues accompanying shots of the spaceship, both the opening fanfare and the music for Lowell's escape, contrast with the folk-rock music that characterizes views of the forest. In these sequences, the orchestral music emphasizes the contrast between the technical spacecraft and the organic forest.

Additional non-tonal music accompanies Lowell's fateful decisions to subdue his crew and hijack and later destroy the ship once the search parties have discovered him. The music in both of these sequences shares many of the same motifs, primarily a steadily reiterated pulse played on bass guitar and drums, which supports a pensive melody for cello and marimba (in the cues "No Turning Back," and "Getting Ready.")[73] These passages underscore the tension in their respective scenes that stems from impending threats to the forest, whether from the initial orders for its destruction or from the certainty of its destruction once Lowell is found. These two passages also

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[72] *Silent Running: The Original Soundtrack Album*, Side 1, Track 4
[73] *Silent Running: The Original Soundtrack Album*, Side 1, Track 3, Side 2 Track 5.

demonstrate the way in which recurring music connects earlier and later sequences within the film, much as in *Fahrenheit 451* and even *2001*. In this case, Lowell's decision to self-destruct after setting the forest adrift recalls his earlier decision to take over the ship and attempt to escape from the fleet. In a similar recurrence, several prominent rhythms and ostinati heard during the scene of the ship's escape are heard again briefly as Lowell, after being discovered by the search party, realizes that the lack of sunlight in the shadow of Saturn is killing the forest ("Saturn" part 2). These ostinati are overshadowed in the reprise by a triumphant and tonal flourish as Lowell sets up a series of lamps to provide artificial light for the forest, indicating his success in finding a way to continue preservation of the forest even if it involved the technology of artificial lighting.[74]

The last prominent division of atonal music underscores Lowell's discovery of the decline of the forest and his bafflement over its cause ("The Dying Forest"). This music, largely confined to one cue, is marked by closely spaced clusters sounded by flutes, followed by planed triads sounded by strings. The non-functional harmonic movement of the triads coupled with the dissonance of the flute clusters emphasize Lowell's surprise and puzzlement at the fate of the forest. Although the unsettling harmony of these elements reinforces Lowell's agitation, it is also indirectly related to the cause of the forest's malady. This is insufficient sunlight, primarily because of the extreme distance of the ship from the sun, but perhaps also because the ship has been traveling in the shadow of Saturn to hide from the rest of the fleet. In either case, the forest's artificial enclosure is not allowing it to grow and prosper naturally. The disturbing non-tonal harmony

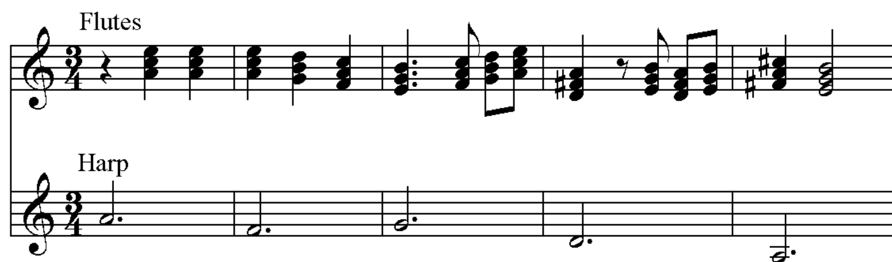
[74] *Silent Running: The Original Soundtrack Album*, Side 2, Track 4

within the accompanying music suggests something of this artificiality even as it underscores Lowell's distress.

Despite Lowell's inner aversion to technology, he finds himself in an ambiguous relationship with technology in the form of the maintenance drones that perform repairs and small tasks throughout the ship. Although the drones look completely mechanical, with virtually no anthropomorphic characteristics, Lowell begins to treat them as characters, giving each a name (Huey, Dewey, and Louie), enlisting their aid in the care of the forest, and developing emotional bonds with them. The music connected with the drones, sounded by a small number of orchestral instruments, nonetheless includes more pop-based rhythms and harmonies, giving these cues something of an "intermediary" role between the modernist orchestral music that characterizes the spacecraft's technical workings and the folk-rock that characterizes the forest's "natural" environment. This musical treatment, when combined with subtle behaviors of the drones and Lowell's interactions with them, encourages the audience to regard the drones also as characters.

Two scenes that feature the drones in particular help to reinforce this perception, largely because of the music that accompanies them. Following the ship's escape from the rest of the fleet, Lowell calls on the drones to perform surgery on his leg, which was seriously injured during his confrontation with one of the crewmen. The accompanying cue is based on a reiterated tonal melody set to diatonically parallel triads, which are played by muted brass and give the melody a jazz-inflected character that almost suggests the pop harmony in the folk-rock songs that appear elsewhere in the score.

This music is reprised later in the film as Lowell attempts to repair damage suffered by Huey during an accident. The music, sounded by flutes in the reprise, connects the image of Lowell tending to Huey with the earlier sequence in which the drones perform surgery on Lowell (Example 3.7).[75] The effect of this parallel is not just to reinforce the perception of Huey and the other drones as characters but also to show that Lowell's relationship with the drones is stronger than the relationship that he had with his human crewmates. Although he feels remorse for his actions and misses the company of humans, the drones appear to share his devotion to the forest and to nature in general, something that is not true of any of the other human characters in the film.



Ex. 3.7. *Silent Running*, "Tending to Huey"

These cues may encourage the audience to experience greater sympathy for the drones than for Lowell's lost crewmates. While the audience may be shocked at Lowell's actions in eliminating his crewmates, their antagonism toward his love of nature renders them less sympathetic from the outset, and their deaths are accompanied either by no music or by the tense, almost expressionistic music that supports Lowell's mutiny ("No Turning Back"). By contrast, the poignant music that accompanies Lowell's

[75] *Silent Running: The Original Soundtrack Album*, Side 2, Track 3.

attempts to repair Huey are intended to elicit a great deal of sympathy and to encourage the audience to share Lowell's dismay when Huey cannot be fully repaired.

These passages sit at the center of the score's larger opposition between folk-rock and modernist orchestral music through their combination of characteristics from both sides of the opposition. The extreme polarity between folk-rock and modernist orchestral music, like the subsidiary oppositions within this larger opposition – tonal vs. non-tonal music, pop vs. serious music, "low" culture vs. "high" culture – reflect the extremity of the film's opposition between nature, embodied in the forest, and technology, embodied in the spacecraft. Lowell's relationship with the drones and the music that characterizes it would seem to suggest that a mediation between nature and technology is possible, and Dewey's management of the forest at the film's end would seem to confirm this. However, there is no human presence in this final scene; Lowell has sacrificed himself to save the forest from his human colleagues.

The implication appears to be that nature needs no human intervention to thrive, and in fact might do better without human intervention. The final reprise of "Rejoice in the Sun" over the end titles implies that, at least for a while, the forest will thrive under Dewey's care. As it turns out, technology, as a tool, is neutral in its relationship to nature. The humans behind that technology ultimately determine its beneficence.

Conclusions.

Contrasts of harmony are probably the most prominent elements in the scores to these films, with modernist approaches to harmony consistently indicating those aspects that contribute to each film's depiction of dystopia. Even the score for *Planet of the*

Apes, which consists entirely of modernist music, features music based on a twelve-tone melody as an element in its contrast between pitch-based and timbre-based music.

Novel and unusual approaches to harmony are perhaps the most easily recognizable features identifying modernist music and certainly among the most discussed. These novel and innovative approaches to harmony are also one of the features of modernist music that mainstream audiences can find most challenging.[76] Despite their difficulty, these sounds typified the latest products of Western art music that had been recognized by the academy. If modernism informed the High Art of the West, many mainstream audiences found it difficult to relate to sonic expressions of that High Art.

The four films discussed in this chapter are the earliest ones under study and therefore among the first to establish a connection between modernist music and representations of dystopia. Bernard Herrmann and Jerry Goldsmith both considered "avant-garde" styles appropriate for their respective projects and consciously incorporated them into their scores.[77] Stanley Kubrick chose to include some very contemporary works by one of the foremost modernist composers. These individuals deliberately associated sounds that were at once alienating and among the most current representations of the cultural mood with depictions of bleak speculative futures extrapolated from that same culture. Dissonant and defamiliarizing music became the

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[76] Aaron Copland's discussion of appreciating contemporary music focuses primarily on matters related to melody and harmony. He categorizes certain composers based on the relative accessibility of the harmony of their works and notes that "the dodecaphonic school of Schoenberg is the hardest nut to crack, even for musicians." Aaron Copland, *What to Listen for in Music* (New York: McGraw-Hill, 1957), 242-246.
[77] Herrmann aimed for a "parody of lots of avant garde music" while Goldsmith chose twelve-tone methods because "although twelve-tone music is not avant-garde anymore, it's sort of old hat but for films it is still sort of new." See Smith, *A Heart at Fire's Center*, 277; Hagen, *Scoring for Films*, 165.

sounds characterizing the future, which was further depicted as alienating and inhospitable. Even the spectacular scenes of technological progress in *2001* carried an undertone of impermanence due to the presence of the monolith and its implications for the future of humanity.

Planet of the Apes, with its exotic percussion and suggestions of ape noises includes the most overt example of texture as an element of an opposition. Still, this element opposes the similarly alienating twelve-tone melody that characterizes Taylor. Despite the clear suggestions of menace within the ape music, the opposed twelve-tone melody renders the audience's easy identification with Taylor somewhat problematic.

Unusual harmonies continued to refer to dystopian conditions throughout all of the films under study despite the appearance of other musical stylistic references in the films produced after 1970. These unusual and often difficult harmonies remained a readily recognizable feature of modernist music, and their consistent use in dystopian contexts allowed the audience to make quick associations between those sounds and suggestions of a future gone awry.

CHAPTER 4

CONVEYING DYSTOPIA: MODERNIST MUSICAL STYLES AND MULTIPLE STYLISTIC OPPOSITIONS

The six scores discussed in Chapter 4 may center on one principal opposition, but they also feature additional oppositions that operate at a level close to that of the principal one. These include the following:

1. *THX-1138* – tonal (chromatic) vs. non-tonal music; Baroque vs. avant-garde music, electronic vs. acoustic sounds
2. *A Clockwork Orange* – electronic vs. orchestral music; neo-tonal (*Timesteps*) vs. common-practice music
3. *Soylent Green* – tonal vs. non-tonal music; modified popular styles vs. classical music; electronic vs. orchestral music
4. *Zardoz* – tonal vs. atonal music; archaic vs. avant-garde music; metric vs. non-metric music
5. *Rollerball* – tonal music vs. atonal music; orchestral vs. organ music; popular (rock) vs. classical music
6. *Logan's Run* – tonal vs. non-tonal music; orchestral vs. electronic music

Each score in this group tends to include a wider range of musical styles than the scores discussed in Chapter 3, which, of course, allows the multiple oppositions in each film. The list is not exhaustive; rather, it gives the oppositions operating in each score that relate directly to each film's depiction of dystopian conditions.

Unlike the oppositions discussed in Chapter 3, which tended to apply to all cues within a specific score, the multiple oppositions in these six scores often apply to a limited number of cues. Not all of these oppositions include a modernist style characteristic as one of their elements. Indeed, some "non-modernist" elements refer to dystopian conditions in their respective films (this is true of the popular styles in *Soylent Green* and the organ as an instrument in *Rollerball*). That said, each film includes at least one opposition with a modernist style feature as an element. These modernist style features consistently refer to the film's dystopian conditions, whether or not they are supplemented by additional elements.

The discussions of individual scores that follow identify each opposition that is relevant to the film's depiction of dystopia, correlating musical oppositions with their accompanying scenes and rationalizing their relationships to each film's dystopia. As in Chapter 3, the alienating and defamiliarizing effects of these modernist styles, whether from unusual harmonies or textures, are conferred upon the dystopian conditions of each film.

***THX-1138* – Eclectic Music for a Homogenized World**

The eclectic nature of Lalo Schifrin's score for *THX-1138*, George Lucas's first feature film, reflects the multifaceted musical background of the composer, who performed and wrote music that ranged from jazz and pop to traditional and avant-garde music for the concert hall. Schifrin had already established himself as a successful composer and arranger for both television and film by the time he was contracted to score Lucas's film. He had achieved particular notoriety as a composer for action films and

thrillers with his score for the Steve McQueen film *Bullitt* and his theme music for the popular television series *Mission: Impossible.*[1] The music that Schifrin produced for *THX-1138* is equally eclectic, using many distinct styles to convey different facets of the film's oppressive society and the protagonists who try to escape it.

THX-1138 tells the story of a highly structured and self-contained totalitarian society in which all aspects of behavior are monitored and regulated. All inhabitants have shaved heads, dress the same, and are identified by numbers rather than names. The authorities maintain control through compulsory mood-altering drugs, omnipresent surveillance, pervasive media broadcasts in both private and public spaces, and robot police that detain and punish any offenders. The film's lead character, THX-1138, is imprisoned after engaging in an illegal relationship with another individual (his roommate, SEN-3417), but manages to escape his imprisonment and evade the police. He finally emerges into the world outside the sealed community, where he presumably is free.

The film was derived from an award-winning student project that Lucas had produced in conjunction with the film editor Walter Murch. Their collaboration related a similar story through a complex montage of audio and visual information, much of which is presented from the viewpoint of the omnipresent authorities. The later feature film largely preserves this method of storytelling despite its more direct depiction of the principal characters. THX is a skilled nuclear technician in a highly technological society that strives for efficiency in all facets of life, including not just production but also

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[1] Tony Thomas, *Music for the Movies*, 2nd ed. (Los Angeles: Silman-James, 1997), 292-293, 299-300.

consumption and ultimately human interaction.[2] Kellner and Ryan describe the society depicted in the film as embodying in its effacement of the individual the extremes of both capitalism and Soviet era communism.[3] The highly technical nature of the society is evident in much of the dialogue between the police sentries and in many of the surveillance voice-overs, all of which are filled with technical jargon and laced with numeric references to events and procedures.

The obvious areas of deficiency in this highly regimented society are autonomy and identity, with each individual distinguished from others by his or her numeric designation. What makes these deficiencies particularly remarkable in *THX-1138* is the degree to which they reveal the extreme indifference of the societal authority. There is no malicious brutality that dehumanizes the members of the society; they are subjugated by a dispassionate authority in which the aforementioned drive for efficiency is so strong that it leaves no room for individuality among the society's members. Equally remarkable is that this authority seems to be institutionalized within the society as a whole; there are no hints of an isolated oligarchy or other upper stratum beyond the robot police produced on assembly lines such as the one on which THX works. Instead, any individual can be assigned a task that can involve some measure of surveillance, anyone can report another individual for an infraction, and anyone can potentially be an offender, subject to punishment and confinement by the societal authority as a whole.

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[2] Leonard Heldreth, "Clockwork Reels: Mechanized Environments in Science Fiction Films," in *Clockwork Worlds: Mechanized Environments in SF* (Westport, CT: Greenwood Press, 1983), 222-223.
[3] Michael Ryan and Douglas Kellner, *Camera Politica: The Politics and Ideology of Contemporary Hollywood* (Bloomington: Indiana University Press, 1988), 247.

An ironic byproduct of this highly regimented community is its highly bureaucratic nature, which makes it very inefficient despite the constant media propaganda reporting the number of error-free days on the line, announcing the standardization of consumption, and encouraging members to buy more and be happy. The drive for efficiency renders the society and its police inflexible and therefore unprepared to deal with the unexpected. After being arrested, THX is not secured during his imprisonment in the holding area and is able simply to walk away because the authorities could not imagine that anyone would try to leave. Once his escape is known and he becomes a fugitive running from the police, he is eventually allowed to escape because the projected cost of his capture exceeds its budgeted expenditure.

In their discussion accompanying the CD recording of the score, Jeff Bond and Lukas Kendall identify at least six distinct musical styles that reinforce different aspects of the film:

1) "Baroque" style – This style is determined by gestures, harmony, and instrumentation reminiscent of music from the late Baroque era. The style derives from Schifrin's quotation of the opening chorus from Bach's *St. Matthew Passion* to accompany THX's emergence and the film's end titles. Bond and Kendall describe this style as "an impression of humanity reduced to an earlier stage of development, retarded by the formal structures of the totalitarian state," and "an expression of man's spirit locked within the

society."[4] Schifrin seemed to regard this style as something slightly more optimistic and considered the quotation of the Bach passion, in particular, to be a liberating reference. Although this may be true of the Bach quotation at the film's end, most of the Baroque-styled cues accompany activities that would seem to imply a crushing of the human spirit, such as the arrest of THX, the death of his companion, SRT, and the arrest of his nemesis, SEN.

2) "Alienation" – This style includes tonal but highly chromatic and brooding music that accompanies introspective scenes of THX and LUH as they experience powerful and illicit emotions after having avoided their obligatory medication. This music reflects their recognition of their oppression as well as their confusion and anxiety over their mutual attraction that is no longer blocked by the medication.

3) "Love theme" – This refers to a recurring melody for flute, harp, and vibraphone that accompanies scenes of tenderness between THX and LUH. It deliberately evokes a Japanese or a more generally Asian sound through its use of a pentatonic scale and sparse voicing.

4) "Source Music" – This includes several soft jazz or pop-based selections broadcast throughout the community to calm and soothe the masses. Schifrin describes the pieces as deliberately "bland" to evoke the colorlessness of the society and the music's soporific objective.

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[4] Lukas Kendall and Jeff Bond, notes accompanying Lalo Schifrin, *THX-1138: Original Motion Picture Soundtrack*, FSM Vol 6 No. 4, Compact Disc, 7.

5) "Religious Music" – This is also treated as source music, heard in conjunction with the OMM, the deified religious figure. It is essentially a parody of plainchant. When heard in the film, this music features reverberation added during the postproduction process.

6) "Avant-garde" – Bond and Kendall describe this category as including "everything else," those cues not as easy to categorize. These are the most deliberately modernist cues and are most closely associated with the authoritarian society, its environments, and the actions of the robot police. These cues include such devices as tone clusters for orchestra or organ, percussion cues using exotic instruments, and atmospheric, pointillistic cues that often feature processed echo effects. [5]

From the above list, it would seem readily apparent that the "Baroque," "Alienation," and "Love theme" styles are connected with the protagonists, whereas the "avant-garde" styles are associated with the totalitarian authorities. The source music and religious music are tools of the state that occur diegetically as aids for manipulating the masses. Aside from their presence in connection within the authoritarian environments, the accessibility and familiarity of the source music and religious music selections contribute to their role as tools for manipulation, something that the audience may recognize. Although only portions of the source cues are heard intermittently in the film, their deliberate blandness emphasizes the bureaucratic character of the authoritative apparatus into which they are piped, lulling the collective workers into a neutral and

[5] Bond and Kendall, notes to *THX-1138: Original Soundtrack*, 7-8.

Ex. 4.1. *THX-1138*, “Main Title,” vocal lines reprised during THX’s arrest anticipate quotation from *St. Matthew Passion* later in the film.

malleable state of mind in much the same way that the mandatory medication does.[6] The colorlessness of this music again speaks to the dispassionate nature of the authority in its drive for efficiency, using music along with other media to maintain the optimal outlook for the citizenry.

There are few instances of recurring music within the score. Most of these are treated as reminiscences, recalling earlier scenes accompanied by the same or similar music. The title music is the basis of one of these, accompanying the brutalization of THX by the police following his arrest after his workplace accident. Despite THX’s injuries and bruises, which were clearly inflicted by the police, the voices of the cybernetic officers sound almost reassuring, telling him calmly, “You have nowhere to go.”[7] The music in both instances combines aspects of the Baroque and “Alienation” styles, featuring two distinct ascending polyphonic vocal lines against a texture of thickly chromatic strings (Example 4.1). The harmony and contour of the vocal lines are similar to those in the excerpt from the *St. Matthew Passion* chorus that appears at the end of the

[6] One could note that even repressive societies recognize the need for accessible music in soothing their populations. The societies of the future do not necessarily listen to purely modernist music.
[7] See *THX-1138: Original Soundtrack*, Tracks 2 and 9

film; both the title music and the music that accompanies THX's arrest could be considered anticipations of that chorus because of their similarity.

The only other clear musical recurrences are the statements of the "Love theme," heard as THX and LUH discover and explore their mutual attraction and later as they comfort one another when it appears that they will be separated. This material is heard again as THX imagines being with LUH while imprisoned in the holding area, and finally as THX learns that she has been terminated.[8] These passages act as reminiscences, linking all of the scenes in which THX and LUH appear together intimately (although their last encounter in the holding area is presumed to be a dream sequence). The melody and scoring heard is virtually the same each time, although strings augment the final statement, giving the cue an elegiac quality as THX learns of LUH's death. Finally, the percussive music that accompanies THX's torture by the robot police is reprised during the scene in which robot police interrupt THX and LUH in the holding area during his imagined encounter with her. This further connects this relentlessly rhythmic percussive music with the indifferent harshness of the police and other authorities.

Many of the cues within the "Avant Garde" style group are remarkable for their apparent lack of affect, in particular when compared with the heavily chromatic cues used to convey alienation. Schifrin described the sound of clusters, especially those for strings as "very oppressive, and it reflects the oppression of that society."[9] Clusters within the "Avant-Garde" style can also convey some sense of tension or oppression depending largely on the gestures involved. Particularly loud passages or those involving a rapid

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[8] *THX-1138: Original Soundtrack*, Tracks 4, 8, 11, 15
[9] Lalo Schifrin, quoted in notes *THX-1138: Original Soundtrack*, 14.

glissando may convey tension or anxiety associated with circumstances such as the bustling crowd into which THX, SEN, and SRT merge after escaping from the holding area.

Both he music that accompanies the police and the music that characterizes the interiors of the sealed community use combinations of percussion and electronic sounds that convey little if any tension, expressing the indifference of the police and the cybernetic environment in which they operate. The percussion arrangement during the torture sequence is almost rigid in its rhythmic precision; moreover, the dynamics of the sounds are relatively even, with no abrupt or startling changes.[10] The effect is one of mechanical objectivity, with no fluctuations in dynamics or tempo that might indicate any of the violence that the music is accompanying. This is disturbing because the implied lack of affect is juxtaposed with the robots casually and coolly torturing and conditioning THX.

Similarly, the coldly dispassionate character of the electronic sounds accompanying shots of THX and SRT as they move through the corridors of the interior of the sealed community reflects the highly technological environments. These electronic timbres are simply created by playing cluster chords on an electronic organ, but because of the registrations the resulting sound comes across less like a cluster chord than a complex timbre typical of experimental electronic music of the 1950s and 1960s.[11] Rather than the tension implied by cluster chords in the strings, these sounds imbue the

[10] *THX-1138: Original Soundtrack*, Track 10

[11] *THX-1138: Original Soundtrack,* Tracks 12, 14. Edgard Varèse's *Poème électronique* includes similar sounds that may have been generated the same way.

environments with a strangeness and unfamiliarity that reflect the unknown purposes of the surroundings. These electronic clusters also have some of the objective quality of the percussive music, enhanced by muted dynamics. The surroundings are more or less indifferent to the presence of THX and SRT, and although they are clearly being pursued, there are no alarms announcing their whereabouts. Instead, the surveillance operators and police calmly track the movements of the escapees and go after them with cool deliberateness.

Even in the final chase scene leading up to the film's conclusion, as THX is pursued by police first on motorcycles and later on foot, the music consists primarily of slowly ascending clusters sounded by an organ. This provides some measure of dramatic tension but does not convey any form of overt aggression on the part of the police.[12] Sounds of percussion instruments are interspersed within the chase music, referring to the earlier association between the police and the percussion music during the conditioning scene. It is only toward the end of this sequence, as THX nears the doorway to exit from the sealed community into the outside world, that the strings enter with more alienating music that gradually sets up the quotation from the Bach passion as he emerges into the sunlight.

Percussion plays a large role in achieving the distinctly modernist character of much of the music, in particular the music closely associated with the oppressive agencies of the authoritarian society. Perhaps because of the comparative unfamiliarity of percussion ensembles to much of the audience, composers such as Schifrin and Jerry

[12] *THX-1138: Original Soundtrack*, Track 18.

Goldsmith turn to their timbres as a means to achieve strikingly distinct and unusual music, as demonstrated by the percussive cues in both *THX-1138* and *Planet of the Apes*. Of course, the nature of the sounds and their use result in different effects that reinforce the nature of each film's respective dystopian society. In the case of the ape civilization, the sounds of the various drums, in particular short rhythmic fragments as part of longer ostinati, contribute to the Primitivist character of the score, and of course the approximations of ape vocalizations by the cuika and slide whistle correlate directly with the apes. The more rigid character of the metallic percussion in *THX* contributes to the emotional disengagement of the technological society at the center of that film. In brief, the percussion conveys a more overtly emotional quality in *Apes*, since it hints at the underlying animal natures of both civilizations, ape and human, whereas the percussion in *THX* reinforces the distinctly technological and by extension unemotional aspects of the authoritarian society in that film.

Schifrin also uses chromatic harmony to convey the repressed feelings of the characters, which invites comparison with Herrmann's approach in *Fahrenheit 451*. Both films present the main characters with a certain level of detachment from the beginning, but Herrmann's score maintains a level of restraint that is not matched by Schifrin's music. This may be due to the more formally developed motifs in Herrmann's music, as opposed to Schifrin's less structured "Alienation" cues, which resemble slowly evolving beds of chromatic harmony.[13] At the same time, Schifrin's cues seem to suggest a greater intensity of feeling than those of Herrmann, primarily due to their use of a lower register

[13] Compare *THX-1138: Original Soundtrack* Track 3 ("Room Tone"), beginning, with *Fahrenheit 451: Original Soundtrack*, Track 14 ("The Novel").

and more pronounced dissonance; Herrmann's music, by contrast, often comes across as somewhat delicate. One might imagine that the emotions of THX and LUH could be similarly more intense given the greater level of oppression within their society and their abrupt withdrawal from substance-induced calming.

The eclecticism of the score is especially noteworthy if one takes into account Schifrin's performing ensemble, which is like the one he used for the more pop-based music that he composed for many police and crime dramas.[14] Passages in the score that are reminiscent of moments from such films include the "Morgue sequence," with its short, jagged flute exclamations and its use of electronic echo effects. Moreover, the performance and production of the excerpt from the *St. Matthew Passion*, in particular, reveal the pop orientation of Schifrin's orchestra. The recording is distinctly "dry," having little natural or artificial reverberation, and the enunciation of the chorus differs noticeably from that in commercially recorded performances of the same music.

This apparently pop-based ensemble invites comparison with those used in the scores for *Silent Running* and *Soylent Green.* Like Schifrin, Peter Schickele and Fred Myrow, the respective composers for *Silent Running* and *Soylent Green*, had worked in popular music as well as concert and film music. *Soylent Green* includes some passages similar to Schifrin's more "suspenseful" music (such as the "Morgue Sequence"). Furthermore, both of these films make fairly extensive use of source music, especially *Soylent Green*., although the effects are different in each. The overall moods of the respective films are quite different, however; *Soylent Green* comes across as a more

[14] Bond and Kendall note that Schifrin's ensemble consisted of a 40-piece string orchestra, two wind players, three keyboard players, and three percussionists. *THX-1138: Original Soundtrack*, 9.

mainstream film by an established director (which it was) and depicts a world slipping out of control rather than one under rigidly tight control. The eclectic music of *THX-1138* is one of its distinguishing features, producing a great variety of potential oppositions with its variety of styles. Yet, despite this stylistic variety, modernist characteristic within these styles consistently refer to some aspect of the totalitarian society.

A Clockwork Orange – Electronic Timbres as Markers of Compromised Humanity

In adapting *A Clockwork Orange* for film, Stanley Kubrick revisited and expanded the method that he had used in *2001: A Space Odyssey*, basing his score on selections of pre-existing music, especially classical music. In *A Clockwork Orange*, Kubrick included a greater number of musical selections, which gave the score a greater stylistic variety overall than that for *2001*. Furthermore, Wendy Carlos realized some of the selections in *A Clockwork Orange* as electronic arrangements. As in *THX-1138*, the greater variety of styles allows for more stylistic oppositions to characterize the film's dystopian conditions.

A Clockwork Orange tells the story of Alex, a young hooligan whose greatest pleasures include "ultra-violence" – participating in gang-fighting, robbery, rape, and other acts of brutality – and music, especially the music of Ludwig van Beethoven. After murdering one of his victims, Alex undergoes experimental conditioning to quell his violent impulses, but the conditioning has two unfortunate consequences: it leaves Alex open to violence enacted on him by some of his past victims, and it causes him to become physically ill whenever he hears Beethoven's Ninth Symphony.

The film addresses questions of Alex's loss of autonomy and the lack of empathy and morality on the part of both Alex and the state. The audience may well experience ambivalence toward Alex, recognizing that the state has been evil toward him, while also recognizing that he has been evil himself. Anthony Burgess's original novel presented the story as a fable extolling an individual's need for free moral choice, claiming that the lack of such a choice rendered an individual less than human, essentially a "clockwork orange."[15] Kubrick's film offers a modified version of this belief that is tempered by his personal lack of faith in the nobility of mankind. He believed that the inner bestial nature of humanity ultimately caused actions to be motivated by self-interest, and that "civilization" was but a thin veneer covering mankind's essential brutishness.[16]

In *A Clockwork Orange*, several cues are reprised to accompany different scenes, thereby acting as musical reminiscences in the same manner as the prologue from *Also Sprach Zarathustra* and the Kyrie from Ligeti's Requiem in *2001*. Despite this similarity of use, the greater stylistic variety of the music in *A Clockwork Orange* makes it difficult to recognize a single overarching stylistic polarity like that between the tonal selections and the atonal, sound-mass selections in *2001*. Complicating this further is the fact that only one cue clearly qualifies as modernist. One can recognize several binary oppositions in the musical score: electronic vs. orchestral vs. acoustic music, classical vs.

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[15] Burgess reflects on the meaning of the term "clockwork orange" and distinguishes between his original intent to create fiction showing a character's capacity for moral trasformation, and the film version of his story which he regards as more of a fable or allegory. See Burgess's preface to Anthony Burgess, *A Clockwork Orange*, New York: Norton, 1962/1986), viii-xi.

[16] See Michel Ciment's interview with Stanley Kubrick in Michel Ciment, *Kubrick: The Definitive Edition*, trans. Gilbert Adair and Robert Bononno (New York: Faber and Faber, 2001), 149-151, 157-163.

popular music, and even the operatic music of Rossini vs. the symphonic music of Beethoven.

The film as a whole has been described as overtly postmodern in both visual and musical respects. The art critic Robert Hughes described the world of the film as “a vast cultural emptiness” full of “culture objects cut loose from any power to communicate, or even to be noticed.” Royal Brown described the score as fraught with “non-referential images,” that contribute to its “ecstasy of musicality.”[17] Even such details as the mismatched items making up the costumes, in particular the inclusion of stylized hats by the various youth gangs such as bowlers, top hats, berets, and shakos, are reminiscent of a form of cultural assembly featuring the “dead styles” and “cultural masks” comprising what Fredric Jameson calls “pastiche.”[18]

The stylistic diversity of the film’s music similarly seems to be the result of a postmodern sensibility. Royal Brown notes the incongruity between the excerpts by Rossini and Beethoven and even Alex’s quotations from “Singin’ in the Rain” and the violence of the “young thugs” in the film, attributing the “mythic power [of the] cinematic personae” to the film’s “access to the purity of a nonreferential image in the music.”[19] Despite Brown’s description of the music’s “non-referential images,” there appear to be deliberately implied references in many of the musical choices; these will be

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[17] Robert Hughes, “The Décor of Tomorrow’s Hell,” *Time*, Dec. 1971, 59; Royal S. Brown, *Overtones and Undertones: Reading Film Music* (Berkeley: University of California Press, 1994), 241.
[18] Fredric Jameson, “Postmodernism and Consumer Society,” in *The Anti-Aesthetic: Essays on Postmodern* Culture, ed. Hal Forster (Port Townsend, WA: Bay Press, 1983), 113-114.
[19] Brown, *Overtones and Undertones*, 241.

discussed further in Chapter 5. He sees the use of electronics as crucial in connecting the musical masterpieces to the film's violence.[20]

The electronic sounds of the synthesized musical arrangements provide the most overtly modernist characteristic of the score. Moreover, the excerpt from *Timesteps*, an original electronic piece by Carlos, includes harmonies and timbres more reminiscent of avant-garde electronic music than those used in the film's electronic arrangements of earlier classical works. Whereas the defamiliarizing effect of the electronic sounds is consistent with modernism, the electronic arrangements of music by Beethoven and Purcell could be considered postmodern. Like Carlos's electronic arrangements of Bach in her popular *Switched on Bach* album, the defamiliarizing effect of these arrangements stems from their reinterpretations of established classics as much as from the electronic sounds themselves.

The qualitative difference between the sounds of orchestral music and those possible with electronic instruments in the early 1970s will most likely produce a defamiliarizing effect for audience members regardless of whether or not they are biased against music apparently produced by "machines."[21] Many within the film audience may not recognize the electronic pieces as synthesized or related in any way to classical electronic music, even though Kubrick may well have expected such sophistication. Still, most within the film audience would perceive the difference in timbre between the orchestral and electronic music, perhaps imagining the latter to be produced on some

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[20] Ibid.

[21] See Jacques Barzun, "Introductory Remarks to a Program of Works Created at the Columbia Princeton Electronic Music Center," in *Audio Culture: Readings in Modern Music*, ed. Christopher Cox and Daniel Warner (New York: Continuum, 2004), 367-369.

form of elaborate organ, a common perception of synthesizer-based music.[22] In any event, the defamiliarizing effect of the electronic arrangements could easily invite the audience to regard the electronic music as somehow mechanical or even artificial.

The title music appears so often that it can be considered a theme for Alex.[23] It might be tempting to conclude simply that this artificial music expresses something about Alex, perhaps that his lack of both empathy and morality make him less than human. This might seem reasonable, but it does not account for prominent orchestral cues that also appear in close connection with Alex, especially the overture to *La gazza ladra* and the scherzo from the Ninth Symphony. These two cues accompany significant events for Alex within the story: *La gazza ladra* accompanies Alex's rapturous participation in various forms of "ultra-violence," and the scherzo accompanies his personal "musical ecstasy" as he listens to the piece and imagines scenes of violence on a grander scale. The latter cue also establishes the depth and nature of his attraction to the music of Beethoven.

With the exception of the title music, each of the recurring cues does so only once, again reinforcing the power of that cue as a reminiscence device. Closer inspection of these recurrences shows that one of these, the scherzo from the Ninth Symphony, is not a strict recurrence because the second appearance is not the same cue; it is in fact an electronic arrangement of the scherzo rather than the orchestral version of the scherzo that accompanied Alex's fantasies early in the film. The scherzo is the only selection that

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[22] Wendy Carlos noted this tendency in Dominic Milano, "Wendy Carlos," in *The Art of Electronic Music*, ed. Tom Darter and Greg Armbruster (New York: Quill, 1984), 122.

[23] This is true particularly if one includes the two appearances of the cue titled "Beethoviana," which is an adaptation of the melody from the Title Music.

appears in both formats, orchestral and electronic. The electronic scherzo accompanies Alex frantic attempts at escape and finally at suicide after being shut up in an upstairs room by F. Alexander and his associates and forced to endure listening to music, specifically the scherzo from the Ninth Symphony. Furthermore, the sound of this scherzo on the film soundtrack is processed with "flanging" effects that enhance its electronic quality but are also unique among the film's musical selections.[24]

The audience viewing this scene can easily infer that the processed sound, which could include the electronic timbres, somehow reflects Alex's altered response to the scherzo as a result of his conditioning and makes this reflection audible. Such a perception could easily be reinforced by considering the final bars of the orchestral Ninth Symphony heard by Alex and the audience at the end of the film. Alex, having had the Ludovico Technique reversed by the Ministry of the Interior in a public relations move, luxuriates in the unprocessed sound of the symphony's orchestral conclusions and proclaims, "I was cured, alright."

The excerpts of the Ninth Symphony that Alex specifically hears are the orchestral scherzo that he hears in his bedroom, the electronic scherzo that spurs him to attempt suicide, and the orchestral finale that he hears after his conditioning is reversed. Considered by themselves, these cues could lead to the conclusion that the electronic timbres somehow reflect the effects of Alex's conditioning by the Ludovico technique. More broadly, one might conclude that the electronic timbres somehow reflect the dehumanization that results from the conditioning, in particular the subject's lack of

[24] "Flanging" is an electronic effect resembling an exaggerated chorus or phasing.

autonomy, but also the implied lack of empathy that the conditioners demonstrate for the subject. The problem, of course, is that this accounts for only one electronic excerpt and does not explain any significance behind the various other electronic selections, many of which are heard before Alex's conditioning.

Both of these hypotheses are plausible, and they can still be seen as viable if they are considered together. That is, the electronic timbres draw on connotations of "artificiality," "mechanism," and therefore "deficient humanity" to refer to both Alex and to the state and its methods, including the Ludovico conditioning technique. Such a supposition would be consistent with Kubrick's professed opinions on humanity. The state's actions in conditioning an individual against violent impulses results in a loss of that individual's autonomy in an essentially repressive and dehumanizing action. But Alex is portrayed as a sociopath whose capacity for autonomy is questionable from the beginning. He instinctively makes the wrong choices and is compelled to commit mayhem; he can no more escape his own inherently brutish nature than any other human. The repressive measures of the state may reduce offenders to "clockwork oranges," but Alex is already a "clockwork orange" when we are introduced to him.[25] Although he is further reduced by his conditioning, he was already "less than human" to begin with.[26]

The hypothesis that the electronic timbres can refer both to Alex as a deficient character and to the state as a dystopian agency makes it easier to accept that electronic timbres are indicative of dystopian tendencies within the film. Still, simply combining the hypotheses may seem too convenient and broad. An indication of the director's

[25] Ciment, *Kubrick: The Definintive Edition*, 149, 157-163; LoBrutto, *Stanley Kubrick*, 339-340.
[26]

intentions regarding electronic timbres might make this combination seem less arbitrary. Although the director's intentions are by no means the primary consideration for interpreting characteristics of a film, and although there is no way to know definitively what associations Kubrick made with the electronic sounds, speculation on Kubrick's intentions with respect to the film's electronic sounds may give this hypothesis more credence.

The audio processing of the electronic scherzo heard before Alex's suicide attempt was added during editing and was not part of Carlos's original recording.[27] Kubrick most likely added this processing to give the audience an aural signal that Alex was hearing a familiar work differently and that this makes him uncomfortable. This, of course, raises the question of exactly what the characters are hearing when they acknowledge hearing music that the audience also hears. Traditionally, the audience has assumed that source music of this sort was strictly diegetic, that the characters hear what the audience hears. However, some films deliberately blur the distinctions between diegetic and non-diegetic music and sound to give the audience a more nuanced perspective on a given scene.[28]

Does Alex hear an electronic version of the scherzo that leads him to jump from the window? For that matter, does he hear an electronic version of the Turkish March as rendered by Carlos during his second conditioning session? There is no way to be certain. Although he protests the doctors' "using Ludwig Van like that," he does not

[27] Comparison of the recordings in the film and on the album of music released by Carlos clearly indicates the difference.
[28] Copland expressed annoyance with this device by composers such as Max Steiner in Aaron Copland, "Second Thoughts on Hollywood," *Modern Music*.

elaborate by commenting on “that ghastly, limpid electric version.” This leads to the conclusion that within the diegesis at least it makes no difference.[29] The music may be diegetic, but the *medium* of the music is apparently *non-diegetic*, that is, expressly for the audience. The contrasting media of electronics and orchestra are intended to be perceived by the audience alone.

The audience hears the electronic scherzo before the suicide attempt, the orchestral scherzo earlier in Alex’s room, and the final orchestral bars of the symphony at the end of the film. As previously mentioned, the audience (and Alex) hears a version of the Turkish march (realized by Carlos) while viewing Nazi propaganda films as part of the Ludovico sessions. This cue had been heard earlier in the film during Alex’s perusal of the record shop as he met two young partners for an afternoon tryst, but the music in this earlier scene *was not marked as diegetic music*. Still, the Turkish March heard by the audience in each scene is the electronic version, which further reinforces the tenuous connection between the electronic timbres and the dystopian nature of both Alex and the state.

The first conditioning session is accompanied by the excerpt from Carlos’s original composition *Timesteps*, both the most overtly modernist and the closest to an original cue in the film.[30] *Timesteps* lends its modernist sounds and medium to the actions of the state that limit Alex’s autonomy, namely the Ludovico technique intended to quell

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[29] Katherine McQuiston also acknowledges the ambiguity regarding the diegetic medium of the Turkish March excerpt that accompanies this scene in Katherine McQuiston, “Recognizing Music in the Films of Stanley Kubrick,” (PhD diss., Columbia University, 2005), 271n44.

[30] *Timesteps* was influenced and inspired by Carlos’s reading of Burgess’s original novel of *A Clockwork Orange*. Chris Nelson, notes accompanying Wendy Carlos, *Wendy Carlos’s Clockwork Orange: Complete Original Score*. East Side Digital ESD 81362, 1998, Compact Disc, 5

his violent behavior. Although the timbres of this cue could simply be considered more electronic music in support of Alex, *Timesteps* is different from other electronic music associated with Alex thus far. It is not a reprise of the title music, as might be expected from its more numerous recurrences, and the comparatively non-tonal harmony and pronounced electronic sound of *Timesteps* are distinctly different from the rest of the music in the score.

The electronic sound of *Timesteps* seems to resonate with the clinical setting of the conditioning sessions: the presence of lab equipment, Alex secured in a strait-jacket with his eyes held open, and the watchful presence of the doctors at the rear of the theater. This music seems to support the clear impression of something being done to Alex rather than supporting Alex himself. This music reflects the actions of Drs. Brodsky and Branom in applying the Ludovico Technique to Alex at the behest of the Ministry of the Interior; it reflects the state apparatus affecting the autonomy of the protagonist. Its overtly modernist harmonic character is consistent with similar uses of modernist music to characterize deficient futures in the other films discussed. And its electronic medium connects it to other electronic music in the score of *A Clockwork Orange*, encouraging the audience to associate all of the electronic music with some measure of the artificial, mechanical, and perhaps deficient.

The opportunity for Kubrick to use music realized by Carlos did not come about until after filming of *A Clockwork Orange* was complete and editing had begun. Wendy Carlos relates how she and her producer, Rachel Elkind, contacted Kubrick and informed him of Carlos's current project, which included an electronic realization of portions of the

choral section of the Ninth Symphony and *Timesteps* to introduce the novel sounds of synthesized vocals. Kubrick agreed to use some of these existing pieces and asked Carlos to create additional realizations of pieces that had already been contracted (presumably the scherzo, the Title Music [Purcell's Music for the Funeral of Queen Mary], and perhaps a portion of the overture to *La gazza ladra*).[31] Carlos herself suggested an electronic version of the latter portion of the *William Tell* overture for the scene of Alex's afternoon tryst, since the radically increased tempo would lend the time-lapse action a more comic character.[32] Had Carlos not become involved with the film, one could assume that these pieces would have been tracked from existing orchestral recordings as in the remaining cues and the music from *2001*.

If Kubrick had used tracked orchestral recordings exclusively, would he still have used the "flanging" effect on the reprise of the scherzo that almost drives Alex to suicide? It is likely that he would have done so to achieve the same effect that the flanging has even on the electronic version: to add a measure of oddness to the sound of the cue that serves as an aural indicator that Alex's hearing of this piece is causing his distressed response. The flanging effect applied to the orchestral track would have been just as effective in conveying Alex's diminished state following his conditioning and would have thereby portrayed the state's actions in using the Ludovico Technique as dehumanizing and dystopian.

Once Carlos was brought in, Kubrick became very interested in electronic music synthesis, asking numerous questions in an attempt to know as much as possible about

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[31] Nelson, notes to *Carlos's Clockwork Orange*, 6.
[32] LoBrutto, *Stanley Kubrick*, 351.

the subject (as was his usual method).[33] The new medium certainly increased possibilities, and Kubrick's purpose can be inferred by examining where electronic cues were ultimately used.

From Carlos, Kubrick took the Turkish March portion of the Ninth Symphony and a portion of *Timesteps*, both of which Carlos had already produced. Carlos produced other cues, some of which contained modernist elements similar to those of *Timesteps*, but Kubrick retained only the excerpt from *Timesteps* in conjunction with Alex's first conditioning session. Furthermore, Kubrick requested that Carlos realize music already contracted; since the scherzo exists in both orchestral and electronic versions, it must have been among those already contracted. Carlos herself mentions her suggestion to replace the excerpt from the latter part of the *William Tell* overture and of Kubrick's request for a unique version of Purcell's Funeral Music; this must have been decided on, perhaps already as a theme for Alex.[34]

Kubrick apparently chose to replace these contracted selections with newly realized electronic ones, no doubt hoping to gain something from the medium of the new settings to enhance the musical selections themselves. Having already dealt with themes of humanity's uneasy relationships with machines in *2001*, it is easy to imagine that Kubrick would have quickly come to appreciate any associations between machines, mechanisms, artificiality, and electronic music. Indeed, it is but a short leap from mechanisms to the "clockwork oranges" of the film, individuals on either side of the

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[33] Ibid.

[34] Carlos notes that her version of *La gazza ladra* that appeared on his album was "how we would have done it, had there been time"; it is not clear whether she was asked by Kubrick to produce a version of this excerpt and ran out of time, or simply had hoped to produce a version to suggest, and time constraints made it impossible. See Nelson, notes to *Carlos's Clockwork Orange*, 6.

conditioning debate who are ultimately no more autonomous than any others because all are subject to the basic unpleasant, savage, and brutal nature of humanity that civilization barely disguises.

Viewed in this way, such an association with the electronic music is appropriate as it is used: Alex already has little autonomy because of his inherent nature but is nonetheless diminished by the Ludovico Technique because it removes some of the autonomy that he does have. The electronic versions of cues "heard" by Alex indicate for the audience his diminishment through their contrast with his reactions when "hearing" orchestral cues. The electronic versions of cues "not heard" by Alex also convey his lack of autonomy and morality even before the conditioning.

At the very least, the film's opposition between electronic and orchestral music results in an ambiguity where such an arrangement of associations is possible. The film's unpredictable juxtaposition of defamiliarizing electronic music with more familiar orchestral music prevents any easy correspondence of meaning, enhancing the audience's dilemma of sympathizing with Alex as the protagonist despite his lack of empathy, or condoning the state's means of forcibly limiting his capacity for violence despite the lack of empathy in those means.

Although virtually all of the cues in *A Clockwork Orange* are tonal, they do not feature the subtle chromatic tonality that conveys shades of emotion in *Fahrenheit 451*, largely because none of the characters in *A Clockwork Orange* exhibit such subtle emotions but also because the harmonic practice of the cues generally does not allow for much chromatic dissonance. Furthermore, the identities of the pre-existing excerpts play

a role in the affective responses to the music. The same can be said of the music for *2001*; this is discussed further in Chapter 5.

Timbre as an opposing term in the music would seem to be shared with *Planet of the Apes* and its distinction between unpitched percussive and orchestral passages based on the twelve-tone melody. Yet the polarity of electronic and orchestral sounds in *A Clockwork Orange* is distinctly different. The electronics in *A Clockwork Orange* are also distinct from those in *THX-1138*, which have more to do with timbre and cluster effects than with a novel instrumentation for otherwise conventional music. At the same time, the novel instrumentation in *A Clockwork Orange* remains that film's principal indicator of dystopian conditions through its defamiliarizing effect on the otherwise familiar repertory.

***Soylent Green* – Bleakness Implied in Modernist-Inflected Source Music**

Fred Myrow's score for *Soylent Green* bears similarities to *THX-1138* and *Silent Running* in its use of pop instrumentation and further resembles *THX-1138* in its eclecticism. Although centered on a pop-based idiom, the score also includes more introspective and expressionistic passages and, in what may be a nod to *2001*, excerpts of classical music.

Soylent Green portrays a future society in which overpopulation and the exhaustion of the planet's ecology have reduced quality of life for the earth's population. The people lack basic physical needs for subsistence, such as reliable food and shelter. In a broader sense, people lack meaning in their lives and dignity as individuals. Commercial centers have appeared that cater to individuals submitting to voluntary

euthanasia. Upon dying, most people are not mourned or buried, but rather are picked up by sanitation squads like refuse, for, as it turns out, the foodstuff Soylent Green, unbeknownst to the population, is created from the bodies of dead individuals. There is little or no dignity in death or life.

Thorn, the film's protagonist, is a detective investigating the murder of a high-level executive within the Soylent Corporation. Thorn discovers that the executive was killed to hide the government's terrible secret: the deteriorating environment can no longer produce food for the population, necessitating the production of food from deceased persons.

The score refers to a number of styles, including jazz, soul, rock, abstract electronic music, and introspective "night" music, and it also includes excerpts from classical music. The pop music styles, including jazz and soul, assume primacy in the score due to their prominence throughout most of the film. The classical and abstract electronic cues act as contrasts to the more prevalent popular styles.

Modernist elements in the score are infused throughout most cues to varying degrees. Scenes depicting characters engaged in stealthy activities, such as the assassin entering the luxury apartment tower of the Soylent executive, Simonson, or Thorn discreetly observing the apartment of Simonson's driver, Tab Fielding, are accompanied by introspective and sometimes even pointillistic music.[35] In these cues the gradually evolving textures, anchored by slowly shifting chords played by strings or muted brass instruments or ostinati sounded by an electric piano, are often punctuated by isolated

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[35] Fred Myrow and Jerry Fielding, *Soylent Green/The Demon Seed: Original Motion Picture Soundtracks*, FSM Vol 6 No. 8, Compact Disc, Tracks 3 and 4.

outbursts from other instruments, for example an electric guitar or pitched percussion. Locations such as Simonson's apartment, Fielding's apartment, and the lobby for "Home" are characterized by banal source music rooted in jazz or soul that is colored by modernist inflections in its harmony or timbre, defamiliarizing it in such a way that the music becomes unsettling and even threatening. Modernist sounds come fully to the fore in the electronic pulses that accompany Thorn's investigation into the Soylent plant outside the city and his discovery of the company's secret.

The scene of Sol Roth's death includes the only music that is completely devoid of modernist inflections. This music combines excerpts from familiar works by Tchaikovsky, Beethoven, and Grieg, and it accompanies Sol's elective suicide, during which he views archival images of the natural world that has disappeared due to ecological collapse. The scene is poignant for its portrayal of Sol's death and of Sol's personal remembrance and nostalgia for the unspoiled world of the past.

One of the most common means of blending pop-based and modernist music in the film is to set up a pop-based framework or "groove" and then gradually infuse it with modernist sounds or materials of some kind. The title music to *Soylent Green* illustrates this approach. The cue begins with an almost blues-based riff that leads into a busier section, while accompanying a still-photo montage of city life from the early twentieth century to the present and onward, showing gradually increasing industrialization, population, and activity.[36] This newly active section contains jazzy syncopation that recalls jazz-inflected music of Leonard Bernstein or even Aaron Copland, reinforcing the

[36] *Soylent Green/Demon Seed: Original Soundtrack*, Track 1

urban images within the montage. As this activity continues, increasingly dissonant string chords begin to sound, first quietly, then gradually increasing in intensity until they almost overwhelm the jazzy syncopated music, while the images shift to those of traffic congestion, factory smokestacks, and crowded city streets. The activity abruptly drops off, returning to the opening tempo, but with a more somber mood, punctuated by an almost forlorn melody sounded by an electric guitar.

This montage during the main title sequence acts as a prologue, showing how increasing industrialization led to the overpopulated, Malthusian society that is the background of the film's story. The pop-based music during the film's titles might add to the immediacy of the film for the audience and might resonate with the look and feel of the film, which are very evocative of the early 1970s despite the film's setting of 2022.[37]

Almost all of the remaining pop-based music can be interpreted as source music, which nonetheless includes sounds that reflect the futuristic setting of the film. The futurism comes across primarily through unusual instrumentation, including electronics, but also through unusual harmonies and other kinds of unusual sounds. This is most readily apparent in the jazzy source cue "Can I Do Something For You" which serves as the ambient background for Simonson's apartment and accompanies most of the activity there between Shirl, Simonson's concubine or "furniture," and Thorn.[38] The cue's light jazz is augmented by electronic effects such as filtered white noise and the inharmonic sounds of a ring-modulator that supplement the melodic leads by flute and violin over a

[37] The costume styles seem very reflective of the 1970s despite the film's futuristic setting.
[38] *Soylent Green/Demon Seed: Original Soundtrack*, Track 2

chordal organ and simple percussion groove. The accompaniments sounded by these electronics add a subtle element of strangeness to the otherwise conventional music.

The cue "Tab's Pad" is similarly based on a distinct style, this time derived from soul or even funk-rock. Tab Fielding's companion is shown listening to this music as she enjoys the luxury of a jar of strawberries before Thorn arrives to search the apartment. The funk style of this cue may reflect Tab Fielding's station (as Simonson's driver, Fielding lives in an apartment that is not nearly as luxurious as Simonson's and is not characterized by the sophistication of jazz) and possibly the ethnicity of Fielding's African-American companion.[39] The cue proceeds over a recognizable twelve-bar blues pattern and is performed by a diverse group of instruments including electric bass and guitar, clavinet, piano, saxophone, trombone, and other instruments that are often featured within funk music. The cue is also punctuated at points by a brief tremolo figure played on what sounds like an amplified cello or other string instrument; this tremolo figure is heavily processed with electronic reverberation, which seems to place it in a different sound space from that of the other instruments. Like the inharmonic sounds that add a degree of strangeness to "Can I Do Something For You," this processed and "artificial" sound defamiliarizes through both its novelty and its violation of the cue's principal style of the cue.

These scenes highlight the deficiency of the dystopia in *Soylent Green* by depicting characters performing "normal" activities (relaxing in an apartment, enjoying a treat of strawberries, or taking a shower) that the film audience most likely takes for

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[39] *Soylent Green/Demon Seed: Original Soundtrack*, Track 5.

granted but have become largely unattainable luxuries within the film's context. The pop-based source music that underscores these scenes may convey some of the immediacy and familiarity of the activities, whereas any modernist elements defamiliarize them and serve to reinforce how they are perceived differently within the context of the film.

Some unfamiliar activities and institutions brought about by the deficient state of the environment are similarly accompanied by pleasant, yet unsettling source music. The cue "Home Lobby Source" accompanies Sol Roth's entry into the lobby of "Home" to submit to voluntary euthanasia. This music is also very simple jazz-pop reminiscent of elevator music heard in countless lobbies, department stores, or other similar environments. This cue is remarkable for its slightly unusual harmony and melodies and its unusual arrangement that features chimes (not an instrument normally heard in elevator music).[40] Over a pleasant jazz guitar riff, unison strings and an alto saxophone sound a melody that makes extensive use of a whole-tone scale, followed by a second melodic fragment that meanders through whole-tone and chromatic scales. Statements of this melody are separated by an unusual break also based on a whole-tone scale and featuring tuba and flute played in parallel intervals (two octaves plus a tritone), producing a disturbing and unusual timbre that contradicts the otherwise pleasant

[40] *Soylent Green/Demon Seed: Original Soundtrack*, Track 7.

Flute

Tuba

Ex. 4.2. *Soylent Green*, “Home Lobby Source,” “break” motif.

character of the cue (Example 4.2). The sound of the chimes is a comparatively inharmonic timbre reminiscent of the electronic ring-modulator sounds in “Can I Do Something for You,” but it also sonically complements the parallel tritones during the break.

The effect produces oddly disturbing music that reflects the cheerfully presented but grim purpose of “Home,” a center for assisted suicide, where individuals can go to experience their last moments much as they might spend a few moments at a salon or spa. The timbre resulting from the parallel flute and tuba most strongly creates the dark character of the cue, and the chimes, while adding a similarly unusual timbre to the style type, also convey a weak sort of “death knell” for those going “Home.” The banality of this music contrasts with the “serious” classical music that follows during the scene of Sol’s death.

The most overtly modernist music is a very short cue, “Infernal Machine,” that underscores Thorn’s discovery of the machinery used to reprocess the corpses of individuals picked up by the sanitation crews into the foodstuff called Soylent Green. The cue is almost entirely electronic and consists of syncopated, inharmonic pulses against a background of high-pitched, inharmonic tones that sound like the output of a

ring-modulator. This brief track is reprised two or three times as Thorn surveys the extent of the Soylent operation. The mechanical pulses and the inharmonic and almost metallic sounds provide a chilling background for the food processing plant and for Thorn's horror when he realizes its purpose.

Two scenes are conspicuously accompanied by classical music that is free of any of the modernist sounds or inflections that characterize the rest of the score. The first depicts Thorn and Sol enjoying relishing a meal prepared from food that Thorn pilfered from Simonson's apartment. The second depicts Sol viewing images of lost nature as part of his elective suicide. Sol's and Thorn's feast is accompanied by Mozart's *Kegelstatt* Trio, K489; the director, Richard Fleischer, believed that scoring the scene with classical music would emphasize the luxury of the experience for Sol and Thorn by evoking the sounds of a fine restaurant. Sol's death is accompanied by a medley of classical excerpts that add a bittersweet quality to the images of animals, forests, and oceans that Sol sees on his deathbed.

The classical excerpts in the score refer strongly to the past through their distinctly older styles, and the absence of modernist inflections in these excerpts leaves them "unspoiled" by the desperate conditions experienced by the population. The classical music in *Soylent Green* serves as an indicator of nostalgia for the time when the environment was capable of providing a much better quality of life for the population. The specific excerpts included in the medley that reinforce this nostalgia are discussed in more detail in Chapter 5.

The film's moody, introspective night music is perhaps most reminiscent of that from *THX-1138* (notably such cues as "First Chase" and "Third Escape"). There is some irony in the appearance of similar music accompanying societies that could be considered opposites. Both are oppressive to a degree, and both represent responses to a catastrophe. Whereas the society in *THX-1138* exerts extreme control over all aspects of the population and exaggerates the effects of catastrophe (whether real or not), the society of *Soylent Green* appears to have virtually lost control. It is capable only of occasionally hauling away dead bodies, sending police to prevent food riots, and essentially sanctioning cannibalism to minimize starvation, but incapable of any social cohesion that could eventually produce a solution. Both films are nonetheless scored at times with similarly introspective and moody music produced by similar pop-based ensembles and augmented with electronics.

***Zardoz* – Classic and Archaic Styles as a Metaphor for an Underlying Natural Order**

The music for John Boorman's *Zardoz* might appear at first to be a simple opposition between accessible music by Beethoven and more difficult avant-garde music similar to the opposition in *2001: A Space Odyssey*. The two films revolve around the common theme of arrested human development and use music to support the broader implications of the developmental impasse. Whereas *2001* depicts the possibility of stagnation as endemic to humanity, *Zardoz* essentially posits stagnation and a lack of human progress that has been caused by the accumulation of power and resources by an elite group of intellectuals who have achieved immortality. This group of Eternals withdraws into their isolated community, the Vortex, and engages in endless academic

discussions while casually exploiting the remainder of humanity who endure harsh conditions outside the Vortex. It is only through the destruction of the Vortex by one of the outsiders that human development, progress, and evolution can continue.

Like other aspects of the film, the music of *Zardoz* invites comparison with that of *2001* in several ways. *Zardoz* generally opposes dissonant, atonal music against more clearly accessible music, sometimes using one type to accompany extended scenes without dialogue that focus instead on visual imagery for their meaning. Both films make use of pre-existing classical music, even featuring a particular work as a "main theme." Whereas *2001* features the prologue from *Also Sprach Zarathustra* as one of its principal recurring themes, *Zardoz* features excerpts from the Allegretto of Beethoven's Seventh Symphony as a major element. The atonal music in *Zardoz* is typically very abstract, having no clear metric pulse and existing essentially as sound-mass music like the selections by Ligeti in *2001*.

Despite these similarities, there are also distinct differences between the music for each film. The Beethoven excerpt in *Zardoz* is the film's only example of pre-existing music, and although it is as central to *Zardoz* as *Also Sprach Zarathustra* is to *2001*, the Beethoven excerpt in *Zardoz* is manipulated in ways that have no counterpart in Kubrick's film. Furthermore, the music in *Zardoz* features a broader range of styles than those in *2001*, including Renaissance and early Baroque music, late Classical music, hints of impressionistic music, and sounds reminiscent of the most avant-garde music. Over the course of the film, it becomes clear that the avant-garde music is meant to characterize the Vortex, the enclave of the Eternals, whereas the Beethoven quotations

Countertenors

Organ

Ex. 4.3a. *Zardoz*, Main Title (paraphrase of Beethoven, Symphony No. 7, Second Movement)

Ex. 4.3b. *Zardoz*, paraphrase of Beethoven, Symphony no. 7

appear more and more to be connected to Zed, the film's protagonist and an outsider to the Vortex.

Only two musical ideas recur. One is the Beethoven Allegretto, and the other is an irregular and almost impressionistic melody for solo flute. The recurrences of the Allegretto are remarkable because each is set in a different historical style. Measures 27-100 of the familiar orchestral version accompany a lengthy sequence at the end of the film, but the opening titles are supported by an arrangement of mm. 27-74 in which countertenor voices, supported by an organ, replace the melodic lines for viola and first violin (Example 4.3a). The resulting sound suggests early Baroque sacred music. Two additional excerpts occur at key moments in the film, each lasting about ten measures and arranged for viols and recorders respectively, further suggesting the sound of archaic music (Example 4.3b). These stylistically varied recurrences not only emphasize the

Ex. 4.4 *Zardoz*, melodic fragments associated with Avalow

musical opposition between tonal and non-tonal music but also engender two additional oppositions. Older, even archaic-sounding music is contrasted with specifically avant-garde music, and the particular strains of the Beethoven Allegretto are set against the rest of the score.

The remaining music, composed specifically for the film by David Munrow, includes a variety of gestures and devices more typical of modernist music. These include tone clusters sung by human voices or performed on an organ, an irregular melody for solo flute, and passages that use electronic sounds. The irregular solo flute melody, organized around a whole-tone scale, is heard primarily in conjunction with Avalow, whom Boorman refers to as the “high priestess” and who is valued by both the Eternals and Zed for her special insight; this melody recurs each of the five times that we see her (Example 4.4). Brief cluster chords sounded by a pipe organ accompany shots of the floating "Zardoz head” airship as it flies over the landscape. Vocal cluster chords are heard as the Eternals discover Zed within the Vortex and indeed are sung by the Eternals as one of their number, Friend, is cast out for violently denouncing the group. Finally, electro-acoustic sounds are sounded primarily in connection with the Tabernacle, the artificial intelligence that maintains the Vortex. This music is exclusively timbre-based

and ranges from short inharmonic sounds heard in brief passages to an extended cue that accompanies Zed's final confrontation with the Tabernacle, which incorporates synthesized sounds but also *concrète* sounds consisting of short segments of dialogue and other processed vocals. In fact, of the scores under study, only the music of *Zardoz* includes examples of *musique concrète*.

The very stylized nature of Boorman's film imbues it with a sense of "profundity" that recalls the intellectual weight of *2001*. At the heart of *Zardoz* is a reverence for an implied natural order that brings progress and evolutionary development and governs the recurring life cycle of birth, death, and rebirth. The Eternals, having achieved immortality, have interrupted that cycle, and their enslavement of the remaining human population prevents any further development from taking place. Moreover, the isolation of the Vortex does not allow the remaining population to benefit from its intellect or its technological accomplishments, potentially suspending mankind in a never-ending dark age. The petty factionalism, boredom, and decadence of the Eternals further show the Vortex as a developmental impasse.

The excerpts from the Beethoven symphony serve as a musical metaphor for the underlying natural order. The successive variations could be understood to suggest the cyclical progress that underlies natural human development. Boorman uses the opening variations to accompany a stylized montage at the end of the film, in which Zed and Consuella, one of the leading Eternals who had actually been hunting Zed, escape the dying Vortex and live out the rest of their lives in a nearby cave. The audience sees Zed and Consuella in a series of portraits that show the birth of their son, his maturity, and his

eventual departure, along with the couple's old age and death and ending with a shot of Zed's handprint on the cave wall. The montage shows this natural life cycle within the lives of Zed and Consuella, and the accompanying music encourages the audience to situate them within the larger progressive life cycle of humanity implied by the film.

The earlier paraphrases of the Beethoven Allegretto set in archaic styles can be thought of as both anticipations of this final sequence and hints of the "natural order" still at work despite the interference of the Vortex. Indeed, Zed describes himself as essentially a product of that force; in breeding him for their own purposes, the Eternals were unknowingly sowing the seeds of their own destruction.

Apart from the obvious contrast in tonality between the modernist cues and the paraphrases of Beethoven, the modernist passages are also remarkable for their degree of abstraction. They contain virtually no hint of tonal harmony or regular rhythmic pulse. The vocal and organ clusters and the electronic cues contain no recognizable rhythms. Even the solo flute melody, by far the most accessible of these modernist cues, lacks a definite tonal center and any sense of a regular pulse. These abstract cues create an effect similar to that of the Kyrie in *2001*; their materials are so foreign to a mainstream audience that they impart a distinct and utter alien-ness and incomprehensibility to the Vortex and its inhabitants. Such alien-ness complements the degree to which the Vortex is cut off from the rest of humanity and the rest of the world. The prodigal founders of the Vortex describe it as "going against the natural order," and the music for the Vortex encodes it as alien and unnatural.

The unnaturalness of the Vortex is further indicated by the temporal distance between its music and the archaic and Classical styles of the Beethoven Allegretto. The Beethoven settings reflect various stages of an established, traditional practice that the music of the Vortex violates and attempts to suppress. Of course, the Vortex is ultimately brought down by the forces of the natural order working through Zed. And the modernist music that encodes the Vortex is similarly swept aside in favor of the Beethoven Allegretto during the final montage, reestablishing Boorman's implication of that order's dominance.

Rollerball – Organ as a Façade for Corporate Oligarchy

Norman Jewison's 1975 film *Rollerball*, a film about a violent and popular futuristic sport, was intended to address the growing power and influence of big business and the escalation of violence in professional sports. Ironically, many critics and fans came to view the film as glorifying the very violence it was meant to condemn.[41]

Rollerball posits the world of 2018 as governed by major corporations that use the sport to control the population, emphasizing group effort over individual achievement, channeling the aggressive and potentially revolutionary sentiments of the people, and distracting them from the actions of the executives in charge. Problems arise when a star player, Jonathan E, refuses to retire despite the insistence of the corporate executives.

[41] Jewison recalled that moviegoers in the United States actually wanted to know the actual rules governing play. Norman Jewison, *This Terrible Business Has Been Good to Me: An Autobiography* (New York: St. Martin's, 2004), 204. Discussions of the film in David Cook's *Lost Illusions* and Ryan and Kellner's *Camera Politica* describe the film as a statement against corporate culture with little or no mention of the violence of the game. See David A. Cook, *Lost Illusions: American Cinema in the Shadow of Watergate and Vietnam, 1970-1979* (Berkeley: University of California Press, 2000), 243-245; Michael Ryan and Douglas Kellner, *Camera Politica: The Politics and Ideology of Contemporary Hollywood* (Bloomington: Indiana University Press, 1988), 255-256.

Jonathan defies the corporate executives by continuing to play, while trying to learn the origins of the corporate culture that sponsors Rollerball. In the end, his only effective means of defiance is survival as he becomes the sole player left alive in the championship game.

Rollerball depicts a lack of individual autonomy under the executive oligarchy, but more importantly it shows how that culture has sapped human empathy and compassion not only from the oligarchy's own ranks but also from the population as a whole. The executives often act capriciously, with little regard for the effects of their actions. Jonathan is still bitter over the loss of his wife to an executive who desired her and used his position to take her. Junior executives attending the party at Bartholomew's estate are shown destroying majestic trees for sport.

Their lack of compassion is particularly evident in the culture's reaction to the rollerballers themselves. One executive's escort is overheard repeating a rumor that the rollerballers are all robots rather than real humans, thus making the carnage more acceptable. As rule changes make the game more violent, in a bid to build excitement and to force either Jonathan's retirement or his elimination, the crowds respond as hoped, occasionally urged on by the increased brutality to engage in fights in the stands. The film audience can easily infer that a similar callousness extends to the population as a whole, that the fans attending the game have themselves become non-empathic individuals through the manipulation and repression of the executive class to maintain its power.

The music in *Rollerball* reflects the opposing forces of the executives, largely personified by Bartholomew, and Jonathan, as he defies their orders for him to retire. Like most of the scores discussed, one of the principal musical oppositions involves harmony, pitting tonal music that supports the protagonist against atonal gestures for the executives. Although crucial within the score, this opposition is largely hidden among the tonal classical excerpts that make up most of the score. It only becomes apparent in a few brief instances of jarringly dissonant atonal music for organ at key points at which the oppressive influence of the executives is keenly felt. Like the executives themselves, who exercise their power over the population from within unseen circles, the atonal portion of the score's harmonic opposition is only recognized at those moments when it restricts and deflects the trajectory of the tonal music.

The harmonic opposition is complemented by a parallel opposition that centers on instrumentation. Specifically, the tonal music connected with the protagonist is all orchestral, whereas music connected to the executives and to the game of Rollerball itself is all played on a pipe organ. The organ music associated with the game is tonal. It includes the film's main and end titles, some incidental music, and examples of source music that precede two of the matches. The minimal amount of atonal music played on the organ helps to establish a set of musical connections between the striking sound of that instrument, the public image of the executives, and the game of Rollerball that they sponsor. The sound of the organ plays a role in the score similar to that of the public façade cultivated by the executives, which presents them as powerful and imposing while hiding the true extent and nature of their activities.

The orchestral cues and title music for organ are examples of pre-existing classical music, whereas the incidental and source music for organ and two additional pieces of source music for rock band were newly composed for the film. The orchestral selections include excerpts from symphonies by Shostakovich: mm. 41-61 of the first movement of the Eighth Symphony, mm. 1-18 of the third movement of the Fifth Symphony, and fig. 128-131 from the finale of the Fifth. The orchestral selections also include the Adagio in G Minor attributed to Tomaso Albinoni by Remo Giazotto and Tchaikovsky's waltz from *Sleeping Beauty*. The film's title music and the only pre-existing organ music is J.S. Bach's Toccata in D Minor, BWV 565.

There are few recurrences of music in the film. The toccata is reprised during the end titles, and a portion of the closing bars accompanies the end of the first sequence involving the game between Houston and Barcelona. The complete Adagio is heard later in the film after having been introduced earlier. Much as in *2001*, these recurrences serve to recall circumstances earlier in the film when the cues were first heard.

The excerpts by Shostakovich accompany Jonathan's increasing questions regarding the game and his defiance at Bartholomew's insistence that he retire, culminating in his journey to Geneva to consult the Archives.[42] The excerpt from the Eighth and from the Adagio of the Fifth are slow, introspective, and even mournful passages primarily for strings, which easily support Jonathan's trepidation at defying the

[42] Jonathan's earliest conversations about the origins of the game with his trainer, Cletus, are accompanied by the excerpt from the Eighth Symphony. The excerpt from the third movement of the Fifth accompanies junior executives at a party who destroy a row of trees on a corporate estate with a grenade pistol as Jonathan, resolved to issue demands in exchange for his retirement, looks on from a window. The climactic ending leading to the fourth movement of the Fifth Symphony accompany Jonathan's journey to the Archives in Geneva in an attempt to learn the history of the corporations.

executives and his resentment of the power that they have over him. The heroic buildup in the excerpt from Shostakovich's finale reflects Jonathan's resolve to travel to Geneva and learn the secret history of the corporations once and for all. As "pure" film music, these excerpts closely mirror the moods of the scenes they accompany, conveying a sense of pessimism that hints at Jonathan's powerlessness before the executives. The significance of their authorship by Shostakovich will be discussed in Chapter 5.

Of the organ pieces associated with the executives and the game, the Toccata in D Minor is the most prominent. This piece has a history of associations with horror and suspense.[43] The organ itself has accumulated similar associations. As Irvin Bazelon notes, "The full bodied-overtones and ritualistic connotations of the organ lend themselves to melodramatic subject matter. The instrument plays a prominent role in the numerous variations of *Phantom of the Opera* and similar shock films."[44] From the opening scenes of the film, depicting the setup before the first game, the toccata immediately gives Rollerball an aura of spectacular malevolence.[45] Having already established a connection with the game, the organ becomes associated with the corporate executives through its sounding of the "corporate anthem," source music played in the arena before the start of each match.[46] These musical cues, the Toccata in D Minor and

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[43] An orchestral arrangement of the toccata served as the title music to the 1932 version of *Dr. Jekyll and Mr. Hyde* starring Fredric March, and the piece appeared as diegetic incidental music performed by Boris Karloff's character in the 1934 film *The Black Cat.* As late as 1954, Disney's *20,000 Leagues Under the Sea* featured the mysterious and malevolent Captain Nemo performing the toccata aboard his submarine, the Nautilus.
[44] Irvin Bazelon, *Knowing the Score: Notes on Film Music,* (New York: Arco, 1981), 104-105.
[45] The organ may or may not be acting as source music during this sequence.
[46] Two different "corporate anthems" are heard during the film, one preceding the match between Houston and Madrid at the beginning and another before the match between Houston and Tokyo midway through the film. Both are purposefully banal and hymn-like in their own way; the Houston theme is set very traditionally in a series of balanced phrases, while the Tokyo theme incorporates some purposefully

the corporate anthems, convey the horrifying nature of the spectacular game and hint at the power and influence of the corporate executives by drawing on both the cinematic/horrific and also the political and even religious connotations of the organ. Beyond the film's associations with the instrument, specific brief passages on the organ further indicate the ruthlessness of the executives in enforcing corporate decisions. As Jonathan enters the main offices of the Energy Corporation to meet with Bartholomew, the accompanying organ music begins with a solo atonal melody and gradually builds to dissonant chords as Bartholomew pressures him to retire. A more striking example of atonal music sounded by the organ occurs as Jonathan arrives at the Archive in Geneva. Aerial views of the mountains and shots of Jonathan ascending the steps of the Archive are accompanied by the finale of Shostakovich's Fifth Symphony. The building tension in the music leading to the coda reinforces our sense of Jonathan's belief that he is about to get the desired answers. As the elevator doors open to the reception level, a jarring organ chord replaces the symphony's anticipated coda. Jonathan then discovers that the information is irretrievably lost in the complex and cumbersome computer system of the Archives. Whether by design or ineptness, the corporate executives have thwarted his attempts to gain information that might have allowed him to subvert the corporate culture. The organ chord that disrupts the coda of Shostakovich's finale conveys the futility of Jonathan's efforts to the audience as well as hinting at the executives' omnipotent control over information available to the population.

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stylized "Oriental" attributes no doubt intended to reflect the setting of that particular match. *Rollerball* (1975), produced and directed by Norman Jewison, MGM Home Entertainment, 1998, DVD.

The remaining music in the score further enhances the characterizations of Jonathan and the executives that was set up by the opposition between the music for organ and symphonic music by Shostakovich. The Adagio in G Minor, heard initially as source music in Jonathan's recordings of his former wife, Ella, serves almost as a love theme for the film; Jewison even considered it to be the film's "main theme."[47] The sentimental mood of the Adagio matches Jonathan's brooding over his loss of Ella. In contrast the climactic passages of the piece are used as underscore to accompany Ella's confrontation with Jonathan, during which he realizes that she is being offered to him at the behest of the executives if he will comply with their wishes and retire.

The waltz from *Sleeping Beauty* that accompanies Jonathan and his teammate Moonpie on a visit to the Luxury Center may prompt a comparison with the use of the *Blue Danube* waltz from *2001*. Jewison described this cue as "essentially Muzak," echoing the sentiment of Irwin Bazelon regarding the *Blue Danube* in *2001*.[48] The light and elegant waltz music conveys the sophistication and prestige of the Luxury Center, which has many of the amenities desired by executives (such as secretaries, as Moonpie points out) and acts as another public face for executive life.

In contrast to the superficial sophistication of the Luxury Center and its music, the film includes two rock-based source cues for the executive party that Bartholomew hosts, ostensibly in honor of Jonathan's anticipated retirement. Jewison described these source cues as the film's only examples of "contemporary music." Their rock and blues based

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[47]Jewison describes the Adagio this way in both his commentary accompanying the DVD release of the film and his notes accompanying the soundtrack recording. See *Rollerball*, DVD; See also André Previn, *Rollerball: Original Motion Picture Soundtrack*, Varese Sarabande 302 066 354 2, 2002, Compact Disc, 2.
[48] Jewison, commentary accompanying *Rollerball,* DVD.

styles suggest a less formal atmosphere than that of the Luxury Center. Using structures, gestures and instrumentation largely indistinguishable from those in much music of the mid 1970s, these cues also include subtle details that, like the source cues in *Soylent Green*, mark these source cues as aberrant products of the dystopian atmosphere of the executive party. The cue "Executive Party" includes more obvious details, mainly the altered twelve-bar blues harmonic pattern substituting flatted supertonic and flatted dominant harmonies as the ninth and tenth chords, and the lead melody sounded by a synthesizer that emphasizes G sharp and a B-flat minor scale in the context of an A minor

Ex. 4.5. *Rollerball*, "Executive Party," lead line and chord pattern.

Vamp (Example 4.5).[49] As in the source cues from *Soylent Green*, these non-harmonic inflections to the pop idiom of the cue, particularly when sounded by an electronic instrument, mark the source music as both futuristic and "deficient." This enhances the decadence of the executives as they network, show off their escorts, and revel in their positions as the decision makers of the world.

[49] *Rollerball: Original Motion Picture Soundtrack*, Track 4.

Rollerball is similar to both *2001* and *Zardoz* in its use of one recurring piece to suggest and reinforce a key element in the film's story. At the same time, *Rollerball* differs from those films in that its main recurring piece, the Toccata in D Minor, does not receive as much "screen time" as the prologue from *Also Sprach Zarathustra* or the references to Beethoven's Seventh Symphony. The presence of the Toccata is recalled by the supplementary source and incidental cues for the organ, which keep its striking timbre along with the memory of the piece itself in the audience's attention. The distinctive sound of the instrument retains its presence and its clear association with the game and the corporate sponsors, despite its relatively infrequent appearances in the score. Within the group of organ pieces as a whole, the Bach toccata can be likened to the spectacle of Rollerball itself, whereas subtler and yet more disturbing atonal organ passages are hidden in its shadow, much like the executives who exercise their manipulative power behind the scenes.

Logan's Run – Orchestral Music, Electronic Music, and a Prescription for Dystopia

Jerry Goldsmith's score for *Logan's Run* contains some of the most clearly opposed musical styles: passages built up using the unique timbres of synthesizers contrast with orchestral passages that resemble more traditional film music. The sense of tradition is heightened by Goldsmith's use of recurring themes much like leitmotifs to support characters and circumstances within the story; in fact, *Logan's Run* has the only score in the films under discussion that includes leitmotifs in this traditional manner.

Logan's Run is set in a future urban society in which almost all aspects of life are regulated by a central computer. The society exists in a great domed city that is isolated

from the outside world because of a war and environmental catastrophe, which are explained in a brief prologue. Life appears comfortable, pleasurable, and even hedonistic, but all residents must submit to compulsory euthanasia at age thirty in an elaborate ritual known as Carrousel. Individuals wishing to live past the thirty-year age limit try to escape to a mythical place called *Sanctuary*; an elite corps of police called "Sandmen" hunts these "runners." Logan is a Sandman charged with locating Sanctuary, but finds himself sympathetic with the runners, especially with his contact, Jessica.

The sealed environment of *Logan's Run* would seem to invite comparison with that of *THX-1138*. Both feature highly regimented societies in which individuals are designated by numbers rather than simple names, but they differ sharply in the nature of their respective social interaction. Whereas the highly prohibitive and oppressive society of *THX-1138* recalls that of Orwell's *Nineteen Eighty-Four*, the casual relationships, lack of familial bonds, and implied shallowness of the culture of *Logan's Run* make it resemble Huxleys's *Brave New World*.

In some respects, the world of *Logan's Run* seems to have been set up as a straw community to extol the virtues of the nuclear family and other traditional values in the face of alternative lifestyles introduced by the counterculture.[50] Notwithstanding the electronic music in the score, the film's generally more traditional approach to film music in both its substance and methods may reflect a subtle attempt to appeal to the more

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[50] Ryan and Kellner consider film's negative portrayal its collective society as a commentary on leftist social tendencies in Ryan and Kellner, *Camera Politica*, 249. Leonard Heldreth takes issue with believability of Logan's and Jessica's immediate affinity for "natural" world upon their escape, noting that their lifetime experience in the domed city should render the outside world terrifying; the point, of course, is to further characterize the domed city as unnatural and unpleasant. See Leonard Heldreth, "Clockwork Reels: Mechanical Environments in Science Fiction Films," 220-221.

conservative portion of the mainstream audience. Perhaps because of its overt support of a "traditional" society, the film is quite conventional in its storytelling, relying largely on unusual sets and locations and on novel special effects rather than on novel cinematic approaches to reinforce its futuristic story.

There is little wholesale recurrence of music in *Logan's Run* that bears comparison with reminiscences in *Fahrenheit 451*, *2001*, *A Clockwork Orange*, or *Silent Running*. Instead, a few leitmotivic musical themes are reprised throughout the score, appearing in differing musical settings while supporting or suggesting their characters or locations. The full musical recurrences are in the electronic music, typically reprises of short, programmed ostinato patterns that are then assembled into larger cues.

Lukas Kendall and Jeff Bond provide extensive discussion of the score and of Goldsmith's use of motifs in the notes that accompany the remastered CD release of the film's soundtrack music.[51] As one might expect, the score reserves modernist music for the somewhat oppressive domed city and traditional tonal or impressionistic music for the world outside. The modernist music falls into two sub-groups: electronic music created exclusively with synthesizers and music scored with strings, piano, and the sounds of a string synthesizer. The music that accompanies Logan and Jessica's journey through the ruins of Washington, D.C. is for a full orchestra and features prominent wind and brass parts that provide a further sonic contrast with the music reserved for the domed City.

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[51] Lukas Kendall and Jeff Bond, notes accompanying Jerry Goldsmith, *Logan's Run: Original Motion Picture Soundtrack*, FSM Vol 5 No. 2, 2002, Compact Disc, 6-19.

Ex. 4.6. *Logan's Run*, City Motif.

The purely electronic music accompanies the interiors of the City, the activities of the Sandmen, and Logan's contacts with the central computer, whereas the string-based music accompanies Logan's contacts with Jessica and the underground runners.[52] Almost all of the modernist music makes extensive use of the "City motif." Bond describes this as a three-note chromatic motif (A, A-sharp, B) often followed by a variant (A, A-sharp, C). These occur together so frequently, however, that it is probably more correct to refer to the entire six-note group as the City motif (Example 4.6). Its closely spaced intervals possess an inherent dissonance that Bond and Kendall describe as "neatly encompass[ing] the oppression of the future society, characterizing the City, its ruthless Sandmen enforcers, and the icy, female-voice central computer."[53] This motif is incorporated throughout cues that accompany the City and even some scenes outside. The motif becomes a theme stated repeatedly during the opening titles, it is used as a programmed ostinato in much of the synthesizer music, and it even acts as a leitmotif for the City's culture when it accompanies Logan's nemesis, Francis, in the world outside.

All of the electronic music is generated with synthesizers, and although the timbres are distinctly electronic, most of this music makes full use of the chromatic scale rather than purely unpitched sounds or on inharmonic timbres. The sounds used are

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[52] Kendall and Bond, notes to *Logan's Run: Original Motion Picture Soundtrack,* 6-11.
[53] Kendall and Bond, notes to *Logan's Run: Original Motion Picture Soundtrack,* 6.

common ones for the synthesizers readily available at the time: swept filters, very wide and rapid vibrato or other similar sound modulation, short repeating ostinato patterns generated with programmed sequencers, and a few inharmonic sounds that may be the result of ring modulation. These sounds may be further enhanced with artificial

Ex. 4.7. *Logan's Run*, "Love Theme"

reverberation and echo effects. The results sound very machine-like, suggesting the central computer and its extensive control over City systems. This music is also strongly reminiscent of the earliest recordings of electronic music by Morton Subotnick on the Buchla synthesizer, notably his *Silver Apples of the Moon*. Significantly, the equipment used in *Logan's Run* resembles that used by Carlos to create the electronic music for *A Clockwork Orange*, although here there is obviously no attempt to "humanize" the electronics to present tonal music.

A second theme that recurs extensively is much longer in its full form than the City motif, and it is clearly tonal. Referred to as the "Love theme," it appears to suggest the attraction between Logan and Jessica, although Bond and Kendall assign it a broader scope, calling it "a signpost for human emotion and freedom itself" (Example 4.7).[54] Fragments of this theme appear early within the string-based modernist music for the City, reinforcing Logan's contacts with Jessica and the underground support network for runners. The theme is heard more fully during the cue "The Sun," as Jessica and Logan

[54] Kendall and Bond, notes to *Logan's Run: Original Motion Picture Soundtrack,*, 6.

emerge from the outskirts of the City, and is further interspersed in the music that accompanies the scenes of outside. This "Love theme" assumes its broader scope during the film's final scenes as the residents of the City emerge into the outside world from the domed enclosure after the central computer is destroyed.

Ex. 4.8a. *Logan's Run*, "Outside" motif.

Ex. 4.8b. *Logan's Run,* "Ruins" motif.

Two other, more minor themes are introduced during the sequence outside, reflecting the contrast in environment with the enclosed City and providing further musical contrasts with the City's dissonant music. The first of these, acting as a theme for "Outside," is a simple theme outlining a triad; this theme appears in rapid sequences along with a flowing waterfall or a majestic fanfare in conjunction with a view of a mountainous vista in the distance (Example 4.8a). The second, also heard in conjunction with the world outside, is modal and conveys a sense of mystery that is distinct from the oppressive character of the music for the City (Example 4.8b). This second outside theme is used during scenes of the ruins of Washington; its sounding in conjunction with reiterated open fifths in the strings and piano give the music a ritualistic quality that suggests great age.

Austere music for strings and piano returns as Logan and Jessica return to the City to encourage more inhabitants to join them. The central computer's interrogation of Logan following his capture is accompanied by a return of the electronic music. Logan's insistence that Sanctuary does not exist clashes with the computer's calculated formulation of Sanctuary's existence, causing a system overload that destroys the computer and opens the domes to the outside for everyone in the City. Orchestral reprises of the music for outside color the computer's destruction as triumphant for all of the residents who are now free to rediscover the old social behaviors of their twentieth-century forebears.

That the film's society seems a "straw" one intended to show the virtues of conventional middle-class culture is imbedded as much in the music as in the rest of the film. The City, with its society of free love and collectivism is coded as undesirable through the use of mechanical electronic music or dissonant and austere strings. In contrast, the natural world outside and the ruins of Washington, which serve as a reminder of familiar American consumer culture, are coded as desirable through the tonal, accessible, and even lush orchestral music that accompanies these. Any social critique at work in the film seems biased in favor of mainstream culture and values rather than challenging any aspects of that culture or presenting any portions of the future society of *Logan's Run* as viable. The more overt social commentary of the novel, involving tensions between the emerging youth culture of the 1960s and its relationship

to the exploding population of the planet as a whole, was downplayed in the film's production in favor of excitement and spectacle.[55]

Although the electronic cues are striking and effective, they are not integrated into the rest of the score to the extent that the electronic episodes in *Zardoz* or *Soylent Green* are. In *Logan's Run*, the use of synthesizers seems very self-conscious, which adds to the obviousness of this aspect of the score's modernist/tonal opposition. The electronic cues for the film might not be out of place in *THX-1138*, even though most of that film's music is more transparent, most likely to allow more audio space for the various elements that make up its complex soundtrack. The lack of such a complex soundscape for the futuristic environments in *Logan's Run* reinforces the film's more conventional storytelling to ensure broader audience appeal.

Likewise, the characters do not experience any complex emotional states that would call for the harmonic subtlety heard in *Fahrenheit 451*. Indeed, there is not much in the score by the end of the film that would leave the audience unsettled; the film's conflict is resolved, the inhabitants appear set on a path back to a more recognizable and "proper" mode of living experienced by the film audience themselves, and the music has followed these events with moods and gestures prescribed by classical Hollywood. The film presents itself largely as entertainment, and the music guides the audience's reactions to better perform that function.

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[55] Leonard Heldreth, "Clockwork Reels: Mechanical Environments in Science Fiction Films," 220-221; David A. Cook notes that the film was advertised as the most elaborate science fiction film since *2001* at the time of its release in Cook, *Lost Illusions*, 244-245.

Conclusions

Contrasts involving harmony remain the most prominent oppositions in this second group of films even with the wider variety of musical styles represented in these scores. This should not be surprising; as with the first group, unusual harmonies are some of the most recognizable characteristics of modernist music, making harmony a useful point of contrast for characterizing dystopian conditions despite any additional elements offered by other musical styles. Modernist harmonies continue to refer to dystopian aspects in each film, although the contexts vary. These often dissonant harmonies are accompanied by a greater number of unusual textures and timbres, most of which are created using electronics. These unusual timbres and textures may form the basis of a cue or may be incorporated into a cue based on a more accessible style, producing a defamiliarizing effect.

Electronic timbres are more prevalent in this latter group of scores largely because the resources for producing electronic music had become much more readily available. The electronic music of this second group draws on the sounds and techniques of tape-based music that arose concurrently with many of the other musical developments in the 1950s.[56] Although the groundbreaking works produced during this period largely defined the sound of electronic music for the next two decades, the techniques used to create them were slow and cumbersome. Commercially produced synthesizers that made this process easier and more convenient began to appear during the 1960s, but were not

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[56]Boulez and Karlheinz Stockhausen were among the early champions of such tape based music. For an overview of developments, see Paul Griffiths, *A Guide to Electronic Music* (New York: Thames and Hudson, 1980), 12-24.

widely available until the early 1970s, when manufacturers introduced newer and simpler models designed for a broader group of users.[57]

All of the scores that feature electronics include some form of contrast between the electronic sounds and orchestral music, with the electronic sounds often serving as the indicator of dystopian conditions. The actual form taken by the electronic sounds varies, ranging from textural beds to realization of common practice music. In all cases, the electronic quality of the sounds generated is readily apparent.

Several of the scores in this group contain cues composed in popular styles such as rock or jazz. *Silent Running* had perhaps foreshadowed the use of popular musical styles, although many New Hollywood films such as *The Graduate*, *Bonnie and Clyde*, and *Easy Rider* were noted for the popular music in their scores. The popular music cues in this second group are remarkable for their use as source music and for including defamiliarizing electronic sounds or other sounds that refer to the dystopian conditions. These cues are another means by which electronic sounds can refer to the dystopian environment.

The appearance of such popular styles in contrast to orchestral music suggests a further opposition between notions of "high" and "low" culture, an opposition confirmed by the prominent place given to classical excerpts in many of these scores. On one hand, this mixing of popular and classical styles might be regarded as another expression of the postmodern consciousness, which typically seeks to erase the distinctions between high

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[57] Griffiths, *A Guide to Electronic Music*, 18-19; Dominic Milano, "Robert Moog," in *The Art of Electronic Music*, ed. Tom Darter and Greg Armbruster (New York: Quill, 1984), 69-73.

and low culture.[58] On the other hand, these juxtaposed representations of high and low culture may point to questions within the film community about the validity of film as an artistic expression. The *auteur* theory to which many in the New Hollywood subscribed was rooted in the conviction that films were artistic statements. In some instances, the directors of these dystopian films consciously included classical music as part of the film's score to draw on the artistic status of that music, whether to enhance the status of the film or to use that status as the basis of commentary within the story.

Despite the wider variety of musical styles in this second group of films, the correlation between modernist musical elements and depictions of dystopia remain consistent with those of the first group; the wider variety of styles simply increases the number of forms that these correlations can take. By the appearance of *Logan's Run*, in which the depiction of a dystopian community begins to look formulaic, such associations between modernist musical styles and depictions of dystopia may themselves have potentially become clichés. If so, this would point to the effectiveness of those modernist sounds in the context of dystopian films and further highlight the consistency with which those associations were made during the ten-year period that saw the production of these dystopian films.

[58] Jameson, "Postmodernism and Consumer Society," 112.

CHAPTER 5

DYSTOPIAN FUTURES AND THE "VENEER OF ART"

In his study of film music from 1975, composer Irvin Bazelon noted the increasing tendency toward commodification of art, particularly music, by the film industry, ostensibly to enhance the status of the films through their use of recognized artistic commodities. As examples, he mentioned the two Kubrick films under discussion:

> In *2001* and *A Clockwork Orange*, Stanley Kubrick uses the framework of classical music to give his films the veneer of art. In *2001*, he borrows liberally from Richard Strauss and others; in *A Clockwork Orange*, he avails himself of a recomposed, electronic version of Beethoven, updating this composer from out of the pages of the Anthony Burgess novel.[1]

Bazelon's comments could apply to each of the films discussed that include pre-existing music as part of the musical score. After *2001* and its follow-up, *A Clockwork Orange*, pre-existing classical music became relatively common in science fiction films during the early 1970s. Although it had not been uncommon for European films to include some classical music in their scores during the 1960s, this practice was rare in the United States before the appearance of *2001*. However, it was consistent with the manner in which some of the earliest films of the New Hollywood, including *Bonnie and Clyde*, *The Graduate*, and *Easy Rider* had used pre-existing popular music. These films relied on the audience's familiarity with the musical selections to bring an added dimension to the film experience, which went beyond moods and drew on the music's cultural

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[1] Irvin Bazelon, *Knowing the Score: Notes on Film Music,* (New York: Arco, 1981), 35-36.

associations, something that European directors had already accomplished in their films with both popular and classical music.[2]

The classical selections in *2001* were rich with meanings, bringing a level of sophistication to the film that was not normally associated with the genre of science fiction. Significantly, of the seven films under study that appeared after *2001*, five of these included some form of pre-existing classical music. Four of these five films feature classical selections prominently in their scores, and the pieces selected typically relate to the film's story in a manner that invites interpretation and suggests a sophistication similar to that of *2001*. Although it may be impossible to say with certainty that the example of *2001* directly influenced this practice in the subsequent films, it is certainly clear that directors of these later films intended to achieve similar results with their similar musical approaches. Classical music seemed so much a part of the sound of science fiction during the early 1970s that George Lucas initially considered including classical excerpts in the music for his next film, *Star Wars*.[3]

Naturally, the ability of pre-existing music to impart meaning to a film through its connotations requires that it be recognized by the film audience. The availability and prevalence of classical music on long playing records by the mid 1960s allowed for such

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[2] Royal S. Brown, *Overtones and Undertones: Reading Film Music* (Berkeley: University of California Press, 1994), 239; Russell Lack, *Twenty Four Framce Under: A Buried History of Film Music,* (London: Namura, 1997), 297-298. Anahid Kassabian refers to the perceiver's individual experience of this culturally loaded music as contributing to "affiliated identifications." See Anahid Kassabian, *Hearing Film: Tracking Identifications in Contemporary Hollywood Film Music*, (New York: Routledge, 2001), 117, 141-144.

[3] Michael Matessino, notes accompanying *Star Wars: A New Hope – Original Mition Picture Soundtrack*, RCA Victor, 09026-68772-2, Compact Disc, 6; John Williams also acknowledges this in his notes accompanying *Star Wars* (Original Soundtrack Recording) (20th Century Records, 2T541 0898, 1977, LP).

a possibility.[4] As if to better insure their recognition, most of the classical selections featured in these films are examples from the standard repertory by well-known composers with whom audience members with an average exposure to such music would be familiar. [5] At the very least, the excerpts fall within the common practice and thus overlap with the familiar styles and codes of classical Hollywood film music. This ensured that the excerpts could at least perform the traditional functions of film music, providing the *cultural* and *musical* codes of classical Hollywood, for those audience members who did not recognize the excerpts at all.

Such a practice provoked controversy. In his 1947 book *Composing for the Films,* Hanns Eisler had dismissed such uses of "stock" or "trademarked" music as one of several "bad habits," although he considered it to be limited to lower budget films.[6] His disdain for using pre-existing music was somewhat reflected by the emphasis that film composers placed on the originality of their music during the early sound era. Already anxious about the artistic validity of their craft and the subordination of their music to a film's narrative, film composers stressed the originality of their music and its resulting

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[4] Aaron Copland extolled the virtues of the LP as a means of access to a broad repertory, going so far as to include a recording list. Aaron Copland, *What to Listen for in Music*, (New York: McGraw Hill, 1957), 251, 292-298. See also Russell Lack, *Twenty Four Frames Under,*299.

[5] Krin Gabbard and Shailja Sharma allude to this in their discussion of music in *A Clockwork Orange*, describing the excerpts of Rimsky Korsakov's *Sheherezade* and Elgar's "Pomp and Circumstance March No. 1" as "well known pieces" that were included "so the audience could congratulate themselves on their knowledge of great music, or to phrase it more cynically, their knowledge of middle-brow orchestral music of the past that is often crassly marketed as "The Greatest Music the World has Ever Known." Krin Gabbard and Shailja Sharma, "Stanley Kubrick and the Art Cinema," in *Stanley Kubrick's "A Clockwork Orange,"* ed. Stuart McDougal (Cambridege: Cambridge University Press, 2003), 98.

[6] Hanns Eisler, *Composing for the Films* (New York: Oxford, 1947), 15-16.

specificity to the film for which it was created.[7] Both of these were regarded as measures of the quality of film music within the film music community.[8]

Eisler's objection to the use of pre-existing music may also have stemmed from the co-author of his prescriptions for film music, Theodor Adorno. Adorno was suspicious of using of a familiar repertory of classical pieces in American popular culture. He regarded such works as musical "fetishes," employed by the powers behind a Culture Industry that manipulated the mass audience through popular music and media.[9] These works had become commodities, their popularity a measure of their quality, and any meanings that they might impart to the mass audience would stem from their commodity status.[10]

In the 1950s, European directors began to include classical works in their film scores to elevate the status of their pictures. Fellini, Bergman, Visconti, and Buñuel often included eighteenth-century Classical music in their films. They created subtle and cerebral works in a medium that was still establishing itself as an art. Including the Classical music of Haydn, Mozart, and Beethoven allowed them both to draw on the classic status of that music and to imply a parallel between the emotional and intellectual sophistication of the music and the intended sophistication of the film as a whole.[11]

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[7] Dean Duncan, *Charms that Soothe: Classical Music and the Narrative Film* (New York: Fordham, 2003), 15-22.
[8] Ibid. (Combine with previous note).
[9] Theodor W. Adorno, "On the Fetish Character in Music and the Regression of Listening," in Theodor W. Adorno, *Essays on Music,* ed. Richard Leppert, trans. Susan H. Gillespie (Berkeley: University of California Press, 2002), 293-294.
[10] Ibid., 294-295.
[11] Russell Lack, *Twenty Four Frames Under: A Buried History of Film Music* (London: Namura, 1997), 297-298.

Similarly, *2001: A Space Odyssey* and other dystopian films of the New Hollywood drew on the classic status of pre-existing musical selections to augment the role of music. These selections interacted with the modernist musical styles associated with the deficiencies behind each dystopia, while the broader connotations of the selections interacted with the film's story or scenario. This gave the film an aura of intellectual sophistication that had rarely been ascribed to science fiction films in the decades before the New Hollywood. The new sophistication thus achieved presumably encouraged contemplation of the dystopic elements within each film, enhancing its role as social critique.

2001: A Space Odyssey – Science Fiction and "Literary" Significance

Kubrick's intention with *2001* was to produce a film with an almost "literary" seriousness in a genre that was not taken particularly seriously in the mid 1960s. The research that he conducted into both the mechanics of space travel and science fiction literature testify to his commitment to make a high-quality film, as does his insistence on visual effects that were captivating but also remarkable for their level of realism, even forty years after the film's release. Perhaps the most overt indication of his aspirations for the film was his collaboration with the noted science fiction writer Arthur C. Clarke, himself regarded as an expert on futurism and space travel at the time. Clarke's short story "The Sentinel" and novel *Childhood's End* provided material incorporated into the film's story.[12]

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[12] Arthur C. Clarke is credited with the idea of the shuttle rocket to ferry astronauts from a planet surface to a larger spacecraft or orbital station. Clarke's story, "The Sentinel," relates the discovery of an alien artefact on the moon that acts as a beacon for the civilization that planted it millions of years before, and his

Such meticulousness was necessary for *2001* to convey properly the magnitude and scope of the themes Kubrick wished to explore. While reticent to give definitive interpretations of any of his films, the director did describe his depiction of an extraterrestrial intelligence that influences the development of humanity over time as presenting something close to a "a scientific definition of God."[13]

Although Kubrick had hired a composer for the film at the urging of MGM studios, he was already considering using pre-existing music early in the editing stages, presumably for its evocative properties. Kubrick had contacted Alex North, the composer for the score of *Spartacus,* and requested that he produce as many as a dozen cues for *2001*. North later noted that Kubrick had already resolved to include at least one example of classical music along with any music that he composed.[14] The substitute cue that North offered in its stead closely resembles the opening prologue to *Also Sprach Zarathustra*, suggesting that the prologue was the piece that he had intended to include.[15] In the end, of course, none of North's music was used, and Kubrick retained the prologue to *Also Sprach Zarathustra* along with the other pre-existing selections that made up the score.

Kubrick was no doubt drawn to these musical works because of their potential to imbue the film with extra meaning. This would not have been possible with North's originally composed music. In his previous film, *Dr. Strangelove*, Kubrick had already

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novel *Childhood's End* (1953) describes mankind's sudden evolution into non-corporeal beings with the help of an alien species who act almost as "midwives" for this development.

[13] Quoted in James Gilbert, "Auteur with a Capital A," in *Stanley Kubrick's "2001: A Space Odyssey" – New Essays*, ed. Robert Kolker (New York: Oxford, 2006), 29.

[14] Robert Townson, "The Odyssey of Alex North's *2001*," notes accompanying Alex North, *Alex North's "2001,"* National Philharmonic Orchestra, Varèse Sarabande VSD-5400, 1993, Compact Disc, 2-3.

[15] Ibid.; North's opening title cue closely imitates the prologue to *Also Sprach Zarathustra*.

shown a proclivity for using music to provide wry commentary in addition to evoking a mood or making a narrative reference. The shots of an aerial tanker refueling a bomber to an arrangement of “Try a Little Tenderness” implied coupling between the two aircraft. On the other hand, the wistful optimism of Vera Lynn singing “We’ll Meet Again” under scenes of thermonuclear conflict added a note of very dark humor to the visions of the end of civilization.

For *2001*, Kubrick imagined the entire score in this way, using classical excerpts not just for their implied moods but also for the added level of meaning. Royal Brown describes the musical excerpts in these instances as “separate artistic fragment[s] expressing in a different medium what the film expresses in visual and narrative terms.”[16] This procedure proved particularly effective in *2001*; the film’s relative lack of dialogue and extended visual sequences rely on the music to “explain” the scenes in the film’s story. In his later films, Kubrick continued to use pre-existing music, sometimes supplemented with originally composed music.

All of the musical excerpts in the score of *2001* carry additional meaning in the manner described by Brown. The two excerpts that recur at key moments in the film’s story, the prologue to *Also Sprach Zarathustra* and the Kyrie from Ligeti’s Requiem, however, might be said to call most emphatically for interpretation because the scenes imply so much for human development. In chapter 4, I offered my own interpretations of how the respective styles inform the film’s implied future for humanity, interpretations that I believe can be supported by the extramusical associations of and the meanings

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[16] Brown, *Overtones and Undertones*, 239.

constructed with each piece. My interpretations are part of a multitude of interpretations put forth regarding the meanings of musical selections in *2001*. Although these readings agree on many points and diverge on others, all of them respond to the apparent need to rationalize the juxtaposition of the evocative musical examples and of the equally momentous scenes.

Much has been made of the Nietzschian implications of the film's scenes of planetary conjunctions, the evolutionary steps taken by the hominid discovering the power of tools, and of David Bowman's appearance as the Star Child, all of which are accompanied by the prologue from Strauss's tone poem.[17] The evocations of Nietzsche result, of course, from the intertextual relationships between Nietzsche's text, with its concept of the *Übermensch*, Strauss's tone poem with Nietzsche's title, and the stages of human development depicted in the film. Michel Ciment describes Kubrick's use of this prologue as "preparing us for the profundity of his intentions," but as otherwise no more illustrative of Nietszche than was Strauss.[18] The music's literary connection may have been lost on much of the audience, who knew the music only from the film, perhaps indeed believing that the music was actually composed for *2001*.[19] Michel Chion

[17] Vincent LoBrutto, *Stanley Kubrick: A Biography* (New York: Donald Fine, 1997), 308; M. Keith Booker, *Alternate Americas: Science Fiction Film and American Culture* (Westport, CT: Praeger, 2006), 82; Michel Ciment, *Kubrick: The Definitive Edition*, trans. Gilbert Adair and Robert Bononno (New York: Faber and Faber, 2001), 128; David Patterson lists several other mentions in David W. Patterson, "Music, Structure and Metaphor in Stanley Kubrick's *2001: A Space Odyssey*," *American Music* 22 (Autumn 2004): 451.

[18] Ciment, *Kubrick: The Definitive Edition*, 128.

[19] This possibility is implied in John Williamson, *Also Sprach Zarathustra*, Cambridge Music Handbooks (Cambridge: Cambridge University Press, 1993), 8.

downplays the Nietzsche connection in favor of the perceiver's experience of the music's gestures.[20]

David Patterson's description of the prologue as reinforcing "turning points of becoming" is perhaps the most apt.[21] In learning to use tools, the hominid effectively "becomes" a new type of creature, just as Bowman's transformation allows him to "become" a new type of human. The music characterizes these episodes of becoming as positive through its triumphant rhetoric, but also marks them with a "literary" significance by using a musical piece with literary associations. The cultural references that the Strauss excerpt makes move the film's thesis beyond the bounds of science fiction and situates it among the basic questions posed by mankind. At the same time, the cultural references showed a level of sophistication not typically associated with science fiction films.

Opinions about the meanings of the Kyrie vary more. Patterson remarks on the appropriateness of the reference to a requiem in the music accompanying the monolith, which appears before scenes of "monumental discovery," such as the hominid's adoption of bone tools, the discovery of the buried monolith on the moon's surface, and Bowman's entry into the Star Gate.[22] For Patterson, the Kyrie acts as a lament for that which is then lost: the hominids' connection to nature, the budding cosmic awareness of the scientists and of human culture, and ultimately human consciousness as we know it.[23] Ciment regards the Kyrie as a leitmotif that for the alien consciousness, which invokes "Clarke's

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[20] Michel Chion, *Kubrick's Cinema Odyssey*, trans. Claudia Gorbman (London: BFI, 2001), 91-92.
[21] Patterson, "Music, Structure and Metaphor in Kubrick's *2001*," 451.
[22] Patterson, "Music, Structure and Metaphor in Kubrick's *2001*," 453.
[23] Ibid.

idea that all technology, if sufficiently advanced, is touched with magic and a certain irrationality."[24] Indeed, the Kyrie's text, an appeal to a higher power for mercy, fits the implied relationship between humans and the alien consciousness that Kubrick described as "a scientific definition of God."[25] The text does little to offset the unsettling sounds of the music because this largely obscures the text. In combination, the words and music suggest an awesome and impenetrable God, before whose enormity humanity appears irrelevant, and for whom finite human achievement and progress are of little consequence.

Patterson describes the *Blue Danube Waltz* as the "single-most discussed work from *2001*"; the plethora of comments on its use certainly provides a great variety of opinions.[26] Kubrick's best known remark on the piece was "It's hard to find anything much better than 'The Blue Danube' for depicting grace and beauty in turning. It also gets about as far away as you can get from the cliché of space music."[27] Ciment calls the inclusion of the waltz a "brilliant idea," that "not only evokes the music of the spheres with a deliciously buoyant humor but adds a dash of Kubrick's characteristic nostalgia for a period when Johann Strauss's melody cradled revelers on board the Big Wheel in Vienna's Prater."[28]

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[24] Ciment, *Kubrick: The Definitive Edition*, 128.

[25] Quoted in James Gilbert, "Auteur with a Capital A," in *Stanley Kubrick's* 2001: A Space Odyssey – *New Essays*, ed. Robert Kolker (New York: Oxford, 2006), 29.

[26] Patterson's article includes at least ten quotes on this piece alone in Patterson, "Music, Structure and Metaphor in Kubrick's *2001*," 453, 473.

[27] Stanley Kubrick, originally from Adel, *The Making of 2001*, quoted in David Patterson, "Music, Structure, and Metaphor in Kubrick's *2001*," 454.

[28] Ciment, *Kubrick: The Definitive Edition*, 131.

Patterson remarks on the musical symmetry between the opening gestures of the waltz and those of the prologue to *Zarathustra*. He notes how the "softened" opening of the waltz in comparison to the grand opening of *Zarathustra* mirrors the parallel confrontations between the groups of aggressive hominids and their more civil scientist counterparts aboard the space station.[29] Katherine McQuiston emphasizes the circular nature of the waltz music, discussing the cue in connection with the prevalence of circle figures in the images of the spacecraft's interiors and exteriors and their relationship to the movement of the craft.[30] Irvin Bazelon focused on a more immediate connection between the scenes of the spacecraft and the sounds of the waltz, calling the music (affectionately):

> Muzak – an endless flow of prerecorded, sentimental musical pap, heard in any air terminal the world over. Kubrick's point is made even more pronounced when the space traveler arrives at the space station and discovers that Conrad Hilton has living accommodations served up and Howard Johnson has the exclusive franchise for dining facilities.[31]

Chion similarly reacts to a perceived detachment in the juxtaposition between the waltz and the otherwise silent views of the spacecraft, the characters' conducting of their routines that evoking silent film:

> [T]his silent image creates a certain discomfort, a sense of emptiness and luxurious coldness, characteristic of Kubrick and appropriate to the mystery he weaves. . . . I cite Kubrick's use of the "Blue Danube" as an example of what I call *anempathetic music* – music whose ostensible indifference to the situation on screen, implacably continuing no matter what, creates an expressive contrast.[32]

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[29] Patterson, "Music, Structure and Metaphor in Kubrick's *2001*," 455-457.
[30] Katherine McQuiston, "Recognizing Music in the Films of Stanley Kubrick," (Columbia University: PhD diss., 2005), 185-193.
[31] Irvin Bazelon, *Knowing the* Score, 110-111.
[32] Chion, *Kubrick's Cinema Odyssey*, 94.

These descriptions by Bazelon and Chion evoke a sense of space travel infused with routines imposed by technology that slowly siphon off individual and collective human autonomy. Yet their readings are hardly authoritative. What is clearly most significant about the music for *2001* is that it invites interpretation. Brown's description of the opening prologue as "a separate artistic fragment expressing in a different medium what the film expresses in visual and narrative terms" leaves open the question of what that fragment expresses.

Equally significant was the example that *2001* set for filmmakers who would create science fiction films in its wake. Kubrick's *2001* not only invited filmgoers to interpret the film and its music. It similarly encouraged interpretation of other films and their music. Kubrick's use of art music, especially art music with literary significance, added to the already high technical and intellectual quality of his film. In its attempts at a new cinematic sophistication, *2001* paralleled the new levels of sophistication in science fiction literature, and the film's art music references gave the film a broader cultural significance that moved beyond the exclusive boundaries of science fiction.

A Clockwork Orange – Instrumental Music, the Ninth Symphony, And the Value of Art

Like that in *2001*, the deficient future in *A Clockwork Orange* centers on a deficiency inherent in humanity. In the latter film, the specific deficiency is a lack of empathy, stemming from the selfishness and brutality of human nature, making individuals act out of self-interest rather than altruism. Kubrick summed up the film's image of human nature by stating, "Man isn't a noble savage, he's an ignoble savage. . . .

I'm interested in the brutal and violent nature of man because it's a true picture of him. And any attempt to create social institutions on a false view of the nature of man is probably doomed to failure."[33] This contrasts with the deficiency implied in *2001*, which suggests mankind's inability to progress beyond certain developmental plateaus without the assistance of an outside force or entity. The social stagnation of the society of 2001, brought on by the encroachment of technology into all facets of life, seems as though it would result in the effacement of this "natural human state" behind a demeanor that is becoming reminiscent of humanity's ever more sophisticated machines.

Chapter 4 discussed the juxtaposition of electronic and orchestral timbres in *A Clockwork Orange*. The "artificial" and "unnatural" electronic timbres were considered to characterize both Alex and the state as "deficient" in their humanity. Their deficiencies result specifically from their lack of empathy for their victims – Alex, for the victims of his ultra-violent escapades, and the state, for the citizens that it subjects to dehumanizing conditioning via the Ludovico Technique. Furthermore, the distinction between Alex's "normal" self and the changes that he experiences through the Ludovico Technique centers on his hearing of the scherzo from the Ninth Symphony. Under the influence of the conditioning, the sound track plays an electronic version of the scherzo that is subjected to further processing as Alex reacts with the fear and illness caused by the conditioning.

As one of Alex's favorite musical works, Beethoven's Ninth Symphony has a particular irony within the film. The popular associations of joy and human brotherhood

[33] Kubrick to Craig McGregor, New York Times, January 30, 1972.

that stem from the last movement and its text are difficult to reconcile with Alex's penchant for ultra-violence. Significantly, however, there are few excerpts from this final movement heard in the film. The one that does recur is an electronic arrangement of the Turkish March section, which is marked as "deficient" by its electronic timbres. Instead, the scherzo, an instrumental movement, is heard on the soundtrack during early scenes showing the intense pleasure that he derives from it and the distress that he later endures when he hears the piece after having been subjected to the Ludovico Technique. The scherzo has no text proclaiming the ideals associated with the symphony, and the depictions of Alex suggest that his appreciation of the symphony is on a purely visceral level.

Art music figures strongly in both the novel and film versions of *A Clockwork Orange*, functioning as a marker of culture and civilization. As a product of culture, art is generally assumed to represent the best that culture can offer, revealing or reflecting values, truths, and ideals that promote and encourage the good of all. The Ninth Symphony, and especially its fourth movement, has traditionally been regarded in this way. Its connotations of brotherhood and idealism no doubt prompted Burgess's inclusion of the Ninth in his novel. But Alex's love for the symphony does nothing to improve his moral character. In fact, he cites music as inspiring for his predilection for violence.

Burgess and Kubrick seem to diverge in their positions on the value of art and its ability to spur the improvement of humanity. Burgess approaches this question with a belief, that mankind, given the opportunity, will ultimately choose the good. Peter

Rabinowitz, discussing the differences in the treatment of music in the novel and film, notes that Burgess's depiction of Alex in the novel explores questions of ethos and how music affects and reflects an individual's character.[34] In the full novel's final chapter, which was not part of the film adaptation, Alex is shown giving up his pursuit of violence and looking forward to the prospect of joining mainstream society; significantly, he also expresses a new interest in smaller and more "sentimental" musical genres, in particular lieder.[35]

Kubrick's film version, in omitting this final episode, ends with Alex essentially returned to his violent state of the beginning of the film, still unaffected by his appreciation of music, even the uplifting music of Beethoven. Beethoven is given a more prominent position in the film version; the film specifically names him as Alex's favorite composer and the Ninth Symphony as his favorite work. Whereas in Burgess's novel the Ludovico Technique caused Alex to react negatively to any music that might produce a strong affective response, Alex's negative reactions in the film are limited to the Ninth Symphony, ostensibly because of its inclusion in the soundtrack of the Nazi films used during the sessions. By restricting Alex's negative response to the Ninth Symphony, Kubrick focuses more on the cultural associations of the music than on affective responses to the musical sounds. Kubrick draws heavily on the image of Beethoven as a universally recognized and admired figure whose music imparts truths and ideals that are

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[34] Peter Rabinowitz, "A Bird of Like Rarest Spun Heavenmetal: Music in *A Clockwork Orange*," in *Stanley Kubrick's" A Clockwork Orange"*, ed. Stuart McDougal (Cambridge: Cambridge University Press, 2003), 119-121.

[35] Alex: "I was slooshying more like malenky romantic songs, what they call *Lieder*, just a goloss and a piano, very quiet and like yearny. . . ." quoted in Anthony Burgess, *A Clockwork Orange* (New York: Norton: 1962/1986), 186. This final chapter was omitted from the first American editions of the novel, and the early American version was the basis of Kubrick's film adaptation.

commonly understood and appreciated, an image consistent with the popular associations of the "Ode to Joy."[36] The film's focus on this image of Beethoven enhances the irony of Alex's love of the symphony and, more importantly, expresses Kubrick's own lack of faith in the ability of art to change human nature.[37] The film's focus on the Ninth Symphony deconstructs the potential moral value of art.[38]

Alex seems oblivious to this idealistic image of Beethoven or to the notions of brotherhood associated with the Ninth Symphony. His visceral enjoyment of the symphony encourages his personal fantasies, which, contrary to the symphony's popular connotations of unity, center on images of violence.[39] Beethoven does not express ideals or truths in music to him; instead, to paraphrase Alex, "Ludwig van . . . just wrote music." He listens to the scherzo following his assault with his droogs on the writer, F. Alexander, and his wife, and, as discussed in Chapter 4, the alternately orchestral and electronic versions of the scherzo heard in the soundtrack can be heard as indicators of the effects of the Ludovico Technique.

The three excerpts of the fourth movement that do occur in the film are consistent with Alex's visceral enjoyment of the symphony as represented by the scherzo. Two of these incidents feature an excerpt from the Turkish march, first as Alex peruses the record shop and second as Alex is subjected to Nazi propaganda films during his

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[36] Rabinowitz, "A Bird of Like Rarest Spun Heavenmetal," 125-127; James Wierzbicki, "Banality Triumphant: Iconographic Use of Beethoven's Ninth Symphony in Recent Films," *Beethoven Forum* 10 2 (Fall 2003), 118-126.
[37] See Kubrick's comments on the relationship between violence and art in Ciment, *Kubrick: The Definitive Edition,* 149-151, 163.
[38] Robert Hughes sums this up effectively in Robert Hughes, "The Décor of Tomorrow's Hell," *Time*, Dec. 1971, 59.
[39] Alex imagines himself as Dracula amid visions of a hanging, people crushed by falling rocks, and other images. See *A Clockwork Orange* (1971), produced and directed by Stanley Kubrick, Warner Home Video, 2001, DVD.

conditioning. In both of these circumstances, the excerpt heard is the electronic arrangement by Carlos, which implies deficiency by virtue of its electronic timbres and arguably because of the resulting comparative unintelligibility of the text. A third excerpt from the finale, a choral/orchestral rendering of the coda, accompanies Alex's press conference with the Minister of the Interior following his "cure" (the reversal of the Ludovico Technique) and his subsequent fantasy of sexual cavorting in a snowy patch as a host of Victorian onlookers applaud. Here, his responses to the music are indicated by facial expressions that coincide with specifically instrumental gestures of this passage, and his sexual fantasy does not become visible until the instrumental bars after the choral parts have ended. His response to the fourth movement is just as visceral as his response to the scherzo, as demonstrated by his reactions to the instrumental portions of the choral movement.

Notwithstanding his interest in music and his flair with his Nadsat dialect, Alex does not consider himself to be particularly intellectual and appears to place little value on rational thinking. When confronted by his droog Georgie, who makes plans for organized heists beyond petty thievery and violence in order to realize greater proceeds, Alex muses to himself that "thinking is for the gloopy (i.e. dull) ones, and the oomni ones rely on, like, inspiration and what Bog (God) sends."[40] He considers little beyond his immediate gratification, whether by music or by his indulging in violence.

All of the various classical excerpts within *A Clockwork Orange* add to the film's "veneer of art," presenting a variety of classical styles that reflect the film's overall

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[40] Alex, quoted from *A Clockwork Orange*, DVD.

fragmented collection of artistic images. But the excerpts by Beethoven lie at the center of the musical characterizations of deficiency and at the center of the film's own discourse on the value of art. As Kubrick would have it, Alex fails to respond to the symphony's idealism because like most human beings he is already little more than a clockwork orange.

Soylent Green – Familiar Musical Fragments as Nostalgia for a Lost World

In comparison with *2001* and *A Clockwork Orange*, *Soylent Green* includes relatively little classical music. However, the sounds of the rest of the score contrast so strongly with these classical excerpts that their very appearance is more striking in *Soylent Green* than in the other two films. Classical music accompanies the scene of Sol Roth's suicide as he views pastoral scenes of deer in forests, seabirds on the coast, underwater reefs, and other images of nature lost to environmental degradation; the music is treated largely as source music within the film. Initially, this scene was to be accompanied by original music; indeed, the composer Fred Myrow composed a cue in the style of Ravel for Sol's death. Perhaps because the film had earlier used Mozart's *Kegelstatt* Trio to accompany Thorn's and Sol's sumptuous meal of food taken from the deceased executive's apartment, Richard Fleischer decided to include pre-existing classical selections for the scene of Sol's death. Fleischer contracted with conductor Gerald Fried to select, arrange, and record some appropriate excerpts.[41]

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[41] Lukas Kendall and Jeff Bond, notes accompanying Fred Myrow and Jerry Fielding, *Soylent Green/The Demon Seed: Original Motion Picture Soundtracks*, FSM Vol 6 No. 8, Compact Disc, 10. Compact Disc. Fried made his selections, but had to get them approved by Fleischer, producer Walter Seltzer, and also Charlton Heston. Fried's production of new recordings for the film contrasted Stanley Kubrick's licensing of excerpts from commercially available recordings of classical works in *2001* and *A Clockwork Orange*.

All of the excerpts that Fried selected seem purposefully chosen to emphasize the pathos behind Sol's choice to end his life and his nostalgia for the unspoiled nature depicted in images projected before him as he undergoes elective suicide. Fried's choice of the beginning of Beethoven's Sixth Symphony plays on that work's associations with nature and reinforces Sol's nostalgia for the world of the past. The excerpts from Grieg's *Peer Gynt* suite similarly draw on the programmatic aspects of that work. Fried also included the second theme from the first movement of Tchaikovsky's *Pathétique* Symphony to accompany the brief shot of Sol as the attendants of Home administer the euthanizing drug to him.

The sense of nostalgia comes not just from the excerpts and their sources but also from the way that the excerpts are combined. The music is made up of "highlights" from each piece, deftly connected by brief orchestral passages that Fried composed to connect them. The very brief quotation from Tchaikovsky's *Pathétique* Symphony leads almost immediately to the excerpt by Beethoven, which is followed by the excerpts by Grieg. The excerpts include enough of each piece for the listener to get the sense of the full source before the score moves to the next excerpt. The result is an "idealized collection of significant moments from great music of the past," similar to the visual effect of the idealized images of nature displayed before Sol on his deathbed. The effect for the film audience is like that for Sol. The pieces are perceived as representing a nostalgic

remembrance of the past that preserves only selected cherished memories separated from their original contexts.[42]

Even members of the audience not familiar with these specific excerpts would no doubt recognize – either consciously or subliminally – the code of signs in the music that convey nature and tragedy. Such associations are consistent with those used by Kubrick in *2001* and *A Clockwork Orange*, which ask the audience to regard the stages of human development in light of Strauss's evocation of Nietzsche, or to consider Alex's place in the idealized brotherhood of humanity implied in Beethoven's Ninth Symphony.

The excerpts included in *Soylent Green* are in general more accessible than, and do not carry the same intellectual weight as, the pieces used in Kubrick's films. In addition to their programmatic connections to the story, their familiarity no doubt made them attractive candidates for "well known pieces" included "so the audience could congratulate themselves on their knowledge of great music."[43] Their place in the classical repertory would instantly have raised the artistic level of the film, and their programmatic connections to the film's story resulted in an complex relationship similar to that within *2001* and *A Clockwork Orange*.

These highbrow implications are limited within *Soylent Green* because these classical excerpts are largely confined to the one scene of Sol's death. The reprise of the Beethoven exposition along with the scenes of nature during the film's closing titles seems intended to counteract this limitation and to give an impression of prophetic

[42] Such nostalgia could be considered symptomatic of the "fetishization" criticized by Adorno in Adorno, "On the Fetish-Character in Music," 294.
[43] Paraphrased from Gabbard and Sharma, "Stanley Kubrick and the Art Cinema," 98.

warning to Thorn's cries that "Soylent Green is people" as the closing credits begin. The reprise of Beethoven coupled with the scenes of nature brings the sense of nostalgia for nature directly to the audience's attention, raising the possibility of losing nature to environmental degradation and showing its consequences.

Unlike the excerpts used in *2001*, the classical excerpts in *Soylent Green* include no examples of modernist music, nor are they rearranged using instrumentation that could be construed as modernist as in *A Clockwork Orange*. The music accompanying Sol's death is separate from the rest of the score not just by its context in the film, but also by its instrumentation, styles, and the collective identities of its components. Thus, distinguished from the rest of the score by its style, instrumentation, and collective identity, this "older" music enhances its nostalgic function in the scene.

THX-1138 – *Hope in the Opening of Bach's* St. Matthew Passion

Lalo Schifrin's inclusion of a quotation from Bach's *St. Matthew Passion* during the final scene of *THX-1138* appears at first to be an anomaly in an eclectic score with no other pre-existing music. Because the excerpt comes so late in the film and is performed and produced in a manner more typical of popular music, many in the audience may not have immediately recognized the passage as a quotation from a pre-existing piece. The quotation sounds like a continuation of or even a fulfillment of the references to Baroque style that occur elsewhere in the score.

The opening chorus of the passion accompanies THX as he escapes from pursuing police by exiting the sealed underground complex that houses the totalitarian society and emerges into the open air, finding a placid landscape lit by a dazzling sunset rather than

the blasted remains of a nuclear holocaust. The ascending gesture of the vocal lines in the opening chorus, coupled with the image of THX's emergence, appear to have inspired Schifrin's inclusion of this excerpt. The composer was moved by the hope implied in this image, and believed that Bach's passion provided the best musical expression of that hope: "So when I used the *St. Matthew Passion*, the music is growing and growing like an energy that keeps going up and up. The idea of growing and bringing this incredible space and freedom is totally contrary to the oppression of my clusters. It opens up."[44]

Schifrin noted that he included this reference to the Bach passion on his own impulse, largely because of the values that he associated with Bach's music and the way that those values intersected with the portrayal of humanity in Lucas's film.[45] His affinity for the Bach passion may have inspired him to use "Baroque" style as one of the six general style references throughout the score. This supposition is supported by the similarity between the Baroque references in the title music and the music for THX's arrest and the entrance of the voices from the opening chorus of the passion. The ascending vocal lines in the title music sound like a simplified imitation of these gestures from the passion chorus.

The quotation of the Bach passion in *THX-1138* is unique among the classical excerpts in the scores under study in that Lucas, who could be considered the film's "*auteur,*" did not stipulate its use. While the audience may easily recognize the piece and notice the affinity between the gestures in the chorus and the images of THX's

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[44] Lukas Kendall and Jeff Bond, notes accompanying Lalo Schifrin, *THX-1138: Original Motion Picture Soundtrack*, FSM Vol 6 No. 4, Compact Disc, 14.
[45] Ibid.

emergence, the full significance of the quotation lies not with the film's director but with the composer.

Zardoz –*Natural Order and the Authority of Beethoven*

John Boorman's *Zardoz* includes many disparate musical styles. These range from a commercial performance of Beethoven's Seventh Symphony by the Concertgebouw Orchestra Amsterdam to the film's original music, in both modernist and archaic styles, composed by David Munrow, leader of the Early Music Consort of London and an advocate for the performance of "early music."[46] Although Beethoven's symphony accounts for much of the "veneer of art," stylistic similarities to early music in the score had their own aura of sophistication. Beethoven as a figure is not as overtly crucial here as in of *A Clockwork Orange*, although the intellectual and idealistic connotations of his music do remain a factor.

Boorman's descriptions of Beethoven's Allegretto as "terribly moving" give some indication of the significance he placed on the work, and the archaically styled arrangements suggest that he may have intended to include the piece from the beginning.[47] He gives no further specific reasons as to why he chose this piece, so one can only speculate that the movement may have had some personal significance beyond what can be inferred from its use in the film. Beethoven's status as an artistic and intellectual figure may have enhanced the sense of profundity much as Strauss's prologue to *Also Sprach Zarathustra* gave intellectual weight to *2001*. The resolute rhythms of the

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[46] Howard Mayer Brown, "Instruments of the Middle Ages and Renaissance: in memorium David Munrow," *Early Music* 4 3 (July 1976), 289-293.
[47] Boorman refers to the Beethoven symphony as "terribly moving" in his commentary accompanying *Zardoz* (1974), produced and directed by John Boorman, Fox Home Entertainment, 2000, DVD.

Allegretto variations provide a striking contrast to the irregular rhythms of the original music that characterizes the Vortex, creating an effective musical metaphor of the "natural order" of human development that underlies the plot of the film. The use of music by Beethoven as the basis of this metaphor gives the idea an additional authority that stems from the humanist ideals associated with Beethoven. Indeed, writers of the later nineteenth century sometimes discussed Beethoven's music as resembling a force of nature.[48]

Despite Boorman's own claims that his film is essentially a critique of class-based hierarchies, the conclusion of his picture reinstates traditional gender-based hierarchies that had been eliminated and perhaps reversed in the society of the Vortex.[49] Following the destruction of the Vortex, Consuella, who had been an intellectual, a leader in the Vortex, and Zed's staunchest opponent, takes a subservient position as Zed's mate during the film's final montage. In this case, the idealistic and humanist authority of Beethoven might be perceived as lending its authority to one form of oppression, based on gender, even as it celebrates the end of oppression based on class and intellect.

Even at the time of the film's release, some critics found the film's inadvertent expression of male dominance troubling.[50] Boorman himself stated that he considered any connotations of femininity within the film to be positive rather than negative. Speaking in an interview soon after the film's release, he described the three principal

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[48] Scott Burnham, "The Four Ages of Beethoven," in *The Cambridge Companion to Beethoven*, ed. Glenn Stanley (Cambridge: Cambridge University Press, 2000), 272-287.
[49] Interview with John Boorman in Philip Strick, "*Zardoz* and John Boorman," *Sight and Sound* 43 2 (Spring 1974), 77; Boorman's description of class conflict in the film still left genre hierarchies unacknowledged in John Boorman, *Adventures of a Suburban Boy* (New York: Faber & Faber, 2003), 204.
[50] Stephanie Goldberg, "*Zardoz*: Boorman's Metaphysical Western," *Jump Cut* 1 (1974), 8-9; Marsha Kinder, "*Zardoz* (review)" *Film Quarterly* 4 (Summer 1974), 49

female characters as embodying mythic types: "Avalow is the pure mystic, the pure virgin prophetess that you find in myths. . . . May is a kind of earth mother in the guise of knowledge, . . . Consuella is [Zed's] logical partner . . . because she is the one who has opposed him, and leads the attack on him. 'In hunting you,' she says, 'I've become you.'"[51] The negative reaction from feminist critics left him somewhat baffled: "[T]he Women's Lib people think it's saying that male virility is the only answer, which is a bit of a misreading because after all the women are the dominant people in the film. . . . In the scene where they give him their knowledge, they are the sexual aggressors and he's totally passive."[52]

Although Boorman's characterization of "Women's Lib" criticism of the film as a "misreading" may seem curious at first, especially in light of the somewhat violent end to the Vortex at the hands of the male Exterminators, one should recall that contemporaneous films differed little in their depiction of female characters. Most of the women depicted in *Soylent Green* are "furniture," concubines assigned to a particular living space, while the vast majority of female characters in *Rollerball* are companions assigned to Rollerballers or to executives at the behest of corporate directors. Still, the implied message of male dominance in *Zardoz* is hard to ignore, especially in light of the changed relationship between Consuella and Zed and various characters' pronouncements that the "natural order" should be restored by bringing an end to the Vortex, which the film visually characterizes as feminine. Indeed, one could easily suspect (as Marsha Kinder alludes) that the voices of the Renegade scientists calling the

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[51] Strick, "*Zardoz* and John Boorman," 77.
[52] Ibid.

Vortex a “challenge [to] the natural order” and “an offence against Nature” might well have been Boorman’s.[53] Whether consciously or not, the director calls on the “terribly moving symphony of Beethoven” to sanction the natural order implied by the film, and this natural order seems to affirm traditional gender roles as equally “natural.”

The visual elements that code the Vortex as feminine include the costumes and interrelationships between the characters. All of the inhabitants are dressed in clothes with bare midriffs that could be construed as feminine. The de facto leaders of the nominally egalitarian community are all women. The males are all slight and appear effeminate, and it is revealed that their immortality has rendered them impotent since they have no need for procreation.

By contrast, Zed is depicted as distinctly masculine. He appears physically larger and stronger than the males of the Vortex, he is more aggressive and more physically active, and he is more virile. As an Exterminator, he has “taken women” in the name of Zardoz and he has demonstrated physical arousal during one of Consuella’s experiments.

The opposed musical styles – Baroque and Classical contrasted with distinctly modernist sounds – reinforces these opposing gender associations for Zed and the Vortex. Zed, as the protagonist, acts to restore the natural order that has been disrupted by the Vortex, and he is supported by references to the Beethoven symphony that give authority to that order. The Vortex itself, which is responsible for the suspension of the natural order, emerges as an Other to Zed and the natural order that he champions. And the

[53] Kinder, “*Zardoz* (review),” 56.

music that characterizes the Vortex is an equally distinct Other to the more traditional styles that support Zed.

Many writers have commented on the heroic quality of Beethoven's most famous music. Scott Burnham has noted Beethoven's particular uses of musical gestures, thematic development, and long-term harmonic planning to encourage the audience's subjective identification with the music.[54] Moreover, the scale and immediacy of these characteristics in Beethoven's music have often inspired interpretations of individual assertion, heroism, moral redemption, and even forces of nature beyond the music itself.[55]

By the bicentennial of Beethoven's birth in the 1970s, the composer and his music had become so intertwined with the Beethoven myth and its connotations of heroic striving and natural forces that these could be evoked simply with brief quotations of his music or even with his likeness.[56] The paraphrases from Beethoven's Seventh Symphony draw on this legacy as they underscore Zed in the film, reinforcing his role as a champion for natural human development against the artificial and static immortality of the Vortex.

Susan McClary has pointed out that the "heroic striving" and "natural forces" perceived in Beethoven's music are themselves the product of artifice. Such qualities reflect goal-oriented constructions created for a male-dominant culture that, according to her, reflect male conceptions of desire. [57] Beethoven's music was regarded as a standard for presenting this perspective, and his means of articulating it, frequently using extreme

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[54] Scott Burnham, *Beethoven Hero* (Princeton: Princeton University Press, 1995), 24, 29-30.
[55] Scott Burnam, "The Four Ages of Beethoven," 272-287.
[56] Burnham, "The Four Ages of Beethoven," 287-289.
[57] Susan McClary, "Sexual Politics in Classical Music," *Feminine Endings: Music, Gender, and Sexuality* (Minneapolis: University of Minnesota Press, 1991), 68, 69; see also, McClarry, "Getting Down Off the Beanstalk: The Presence of a Woman's Voice in Janika Vandervelde's *Genesis II*," *Feminine Endings* (Minneapolis: University of Minnesota Press, 1991), 126-127, 130.

gestures (that, for McClary, can spill over into violence), have been considered "more serious, more virile, [and] more consequential," than those of most other composers.[58]

Even if the notions as heroism and virility associated with Beethoven's music are artificially constructed, this does not make them less perceptible to audiences familiar with the composer and his popular image. Indeed, McClary's contention that such perceptions of Beethoven's music reflect male perspectives supports Boorman's inclusion of the symphony as tacitly affirming the gender bias in the picture and its implication of a natural order. These gender connotations in the music and in the visuals may not seem especially significant on their own. Indeed, the gender codes in the visual images are so clear that they hardly need reinforcement from the music. They become more significant in the film's conclusion, where the role of the Beethoven excerpt as a metaphor for the natural order becomes clearer. The impression of "naturalness" is enhanced by Beethoven's music, which is clearly distinct from the modernist music associated with the Vortex. "Nature" is restored by Zed and supported by the moral authority of Beethoven.

Rollerball – "Timeless" Music and Metaphors for Conflict

The score for *Rollerball* consists almost entirely of pre-existing music. Aside from the atonal organ music heard in Bartholomew's office early in the film and the brief organ cluster heard as Jonathan arrives at the archives, all of the important musical characterizations of the film are provided by selections of pre-existing music.

[58]McClary, "Sexual Politics in Classical Music," 76; McClary, "Getting Down Off the Beanstalk," 127-129.

Director Norman Jewison was concerned during production that the film could quickly become "dated" because of choices that determined the look and sound of the film. In his commentary accompanying the DVD release, Jewison spoke of his desire for the film to have a "timeless" quality. His decision to use classical musical excerpts in the score reflects this desire for timelessness in the music.[59] He does not indicate whether Andre Prévin, the score's conductor, had any part in this decision. Although Prévin himself had been celebrated for his experience with jazz in film scores, he had developed disdain for popular music and even some film music during his tenure as conductor of the London Symphony Orchestra.[60] It is possible that Prévin could have influenced Jewison's conviction that such timelessness could best be achieved with concert works. In either case, Jewison believed that including examples of classical concert music, which were not subject to changes in fashion like popular music or even film music, would best promote the longevity of his film.

The six pre-existing musical selections cover a range of familiarity, from the easily recognizable to the comparatively obscure. The Toccata in D Minor, perhaps the most recognizable work because of its previous use in films, effectively establishes the organ as the instrument associated with the executives and initiates the timbral opposition between music that evokes the executives and orchestral music, which is associated with the protagonist, Jonathan.[61] The Adagio in G Minor was arguably less familiar, although by no means unfamiliar. This piece had an interesting history: Remo Giazotto had

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[59] Norman Jewison, commentary accompanying *Rollerball* (1975), produced and directed by Norman Jewison, MGM Home Entertainment, 1998, DVD.
[60] André Previn, *No Minor Chords: My Days in Hollywood* (New York: Doubleday, 1991), ix, x, 143-145.
[61] Among the films featuring the Toccata in D Minor are *Dr. Jekyll and Mr. Hyde* (1931?), *The Black Cate*, (1935), and *20,000 Leagues Under the Sea* (1954).

attributed the Adagio to Albinoni, and the Adagio had been used in earlier films such as Orson Welles's adaptation of Franz Kafka's *The Trial*.[62] The waltz from Tchaikovsky's *Sleeping Beauty* was no doubt vaguely familiar to audience members, who may have known it from either the ballet or the concert hall. One might argue that its identity was not critical because of its role in the film's score; Jewison described it as "Muzak," a characterization that recalls critics' branding of the *Blue Danube* waltz in *2001*.

The excerpts by Dmitri Shostakovich, although taken from two of his more popular works in the West, were most likely the least familiar of the score's selections for a mainstream film audience. Although their position in the classical repertory affords these works as much claim to timelessness as the other selections, their authorship by a single composer, their more recent styles and dates of composition, and their relative obscurity in comparison with the other selections sets them apart within the score. Their separateness prompts the question of why they were included and how their inclusion contributes to the timelessness desired by Jewison.

As discussed in Chapter 4, each excerpt by Shostakovich provides appropriate underscore: for Jonathan's initial questions about the origins of the Corporations and Rollerball, the gleeful vandalism of the junior executives that he witnesses as he awaits a meeting with Bartholomew at his estate, and his arrival at the Archives in Geneva to get at restricted sources that will reveal the history of the Corporations and of Rollerball. These particular scenes depict revealing moments in the antagonism between Jonathan and the executives, which grows as the film progresses. This antagonism is not unlike

[62] Jewison describes the Adagio as composed by the Italian composer Albinoni in his commentary to *Rollerball*, DVD.

the relationship between Soviet authorities and Shostakovich. Such a similarity is admittedly a coincidence but may well have occurred to conductor Andre Prévin, whose affinity for the music of Shostakovich may have prompted him to use that coincidence.

In his role as conductor of the London Symphony Orchestra, Previn was an outspoken advocate of Shostakovich's works and programmed them frequently.[63] Previn himself maintained a deep admiration for the Soviet composer, working under what he was convinced were very difficult circumstances.[64] Previn's comments suggest a personal image of the composer as a heroic figure who worked under oppressive conditions to produce musical masterpieces that nonetheless hinted at his oppression.[65] Such an image matches the figure of Jonathan E. in *Rollerball*; Jonathan is portrayed as a heroic individual struggling to assert his autonomy against authoritarian corporate executives who exercise increasing control over his participation in their game, which he has mastered.

Whether on his own or in consultation with Jewison, Previn may have chosen excerpts from the Shostakovich's Fifth and Eighth symphonies because of their own places in Shostakovich's troubled relationship with the Soviet authorities who frequently persecuted him because of his music. The Fifth Symphony was, of course, born out of such condemnation and bore the public epigraph of a "response to just criticism," a

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[63] Martin Bookspan and Gordon Yockey, *André Previn: A Biography,* (Garden City, NY: Doubleday, 1981), 331; Richard Morrison, *Orchestra: The LSO – A Century of Triumph and Turbulence* (London: Faber and Faber, 2004), 190.

[64] When the alleged memoirs of Shostakovich, *Testimony,* appeared in 1979, Previn produced a public endorsement of their authenticity based on "his own research and from that of his musical friends inside the U.S.S.R."; he described the book itself as "filled with quiet heroism. The fact that this man turned out some of the twentieth century's greatest symphonies and quartets under those circumstances is beyond belief." See Bookspan and Yockey, *André Previn*, 332.

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response that may or may not have wholeheartedly supported the ideology of the Communist Party.[66] Leaving aside Shostakovich's intended meaning in the symphony, its public program of personal struggle and triumph and the speculation surrounding its genesis resonate with Jonathan's situation as he struggles under the Corporation's oppressive authority. The personal bitterness that Jonathan feels as he prepares to confront Bartholomew at the party and witnesses the vandalism of the junior executives is well summed-up by both the sounds and the program of tragic loss of the Fifth Symphony's third movement, which briefly accompanies this scene. Similarly, the personal triumph implied in the symphony's finale supports Jonathan's apparent triumph as he arrives in Geneva to have his questions answered. Unlike the symphony and its program, there is no ambiguity regarding Jonathan's quest; the jarring organ cluster substituted within the finale clearly indicates that his quest has been thwarted. Similarly, the pessimism implied by the first movement of the Eighth Symphony, a controversial feature at the time of the premiere, is particularly effective as accompaniment for Jonathan's first questions about the Corporations' history.

The likelihood that mainstream film audiences might recognize these references was quite remote. Despite the growing presence of these pieces in the concert repertory, they did not have the same level of "timelessness" in popular culture as had been achieved by the Toccata in D Minor largely through its appearance in films since the 1930s. Still, such references might explain why these particular pieces by Shostakovich

[66] Richard Taruskin discusses many perspectives on the reception of this symphony based on reviews and other sources dating from its premiere in Richard Taruskin, "Public Lies and Unspeakable Truth: Interpreting Shostakovich's Fifth Symphony," in *Shostakovich Studies*, ed. David Fanning (Cambridge: Cambridge University Press, 1995), 28-36.

were used alongside the other, more historically remote excerpts. Furthermore, these types of associations had a precedent in *2001*, a film that did not shy away from obscure musical references to achieve greater profundity. These selections by Shostakovich in *Rollerball*, while providing appropriate mood accompaniment, added another level of seriousness by obliquely referring to another individual's struggle against an oppressive authority.

Conclusions

The classical excerpts often participate in a broader opposition between high and low culture. Although such an opposition is admittedly obvious, its significance stems from its use in the genre of science fiction, which was considered a marginal genre up to the release of *2001*. The culture of the New Hollywood, which celebrated the idiosyncratic genre films of *auteur* directors as artistic statements, encouraged directors to explore and deconstruct genres and their conventions as part of a greater recognition of cinema as an art form.[67] The socially critical dystopian scenarios in the New Hollywood science fiction films already represented one way in which science fiction films were aspiring to a higher status. Incorporating elements of high culture was another.

The classical music in the score to *2001* recalls the similar use of art music by European directors such as Fellini and Bergman, two individuals whom Kubrick particularly admired.[68] The artistic status afforded to *2001* by the inclusion of art music may have stemmed as much from its similarity to European art cinema as from the

[67] Cook, *Lost Illusions*, 71, 159.
[68] Russell Lack, *Twenty Four Frames Under*, 296-301; Gerald Fried remarked on Kubrick's special affinity for Fellini and Bergman in Vincent LoBrutto, *Stanley Kubrick: A Biography* (New York: Penguin, 1997), 150.

classical music itself. Such experimentation was typical of the directors active during the early years of the New Hollywood.[69] Viewed in this way, *2001* becomes a hybrid of "high" art cinema and the "low" genre of science fiction. The classical music in the score can be considered to reflect its art house pedigree in addition to providing meaningful commentary on the film's compelling images and story.

Subsequent science fiction films followed suit with oppositions that similarly featured classical music as an element of "high culture," but that centered on different points specific to each film. Kubrick's follow-up to *2001*, *A Clockwork Orange*, used its art music to confront the value of art itself. The juxtaposition of gang violence and art music in *A Clockwork Orange* becomes a critique of the art's ability to instill virtue.

Music is more central to high culture vs. low culture oppositions in *Soylent Green* and *Rollerball*, each of which includes both classical excerpts and pop-styled source music. The juxtaposition in *Soylent Green* of the lost natural world with the musical relics of high culture gives additional emphasis to the value of what was lost, particularly in light of the defamiliarizing popular music that characterizes much of the rest of the film's world. The rock-based source music that accompanies the executive party in *Rollerball* clashes with the classical music making up the rest of the score. It suggests the executives' desires for immediate satisfaction through power or sex and their inability to appreciate more elevated notions implied by the timeless classical music. The opposed Baroque, Classical, and modernist styles in *Zardoz* seem to evoke a conflict or opposition in high culture itself, perhaps alluding to that between the radical tendencies of

[69] Cook, *Lost Illusions*, 161.

modernism in any artistic medium and the traditions that it seeks to disrupt. These oppositions make effective metaphors for the intellectual Eternals and their resistance to any notion of a natural authority outside themselves.

Such oppositions involving classical music and questions of high and low culture were possible because of the consciousness of the New Hollywood, whose audience was younger, better educated, and much more informed about films and film literature than previous generations of filmgoers.[70] The audience's more extensive exposure to classical repertory due to the availability of LP recordings made it possible for them to recognize the musical elements in those oppositions. The New Hollywood's flexible approach toward genre allowed filmmakers to consider science fiction a possible medium for such oppositions.

Perhaps ironically, the strong interest in genres as vehicles for experimentation shown by filmmakers of the New Hollywood gave way to production of more conventionalized genre films by the mid 1970s. These films featured few if any of the idiosyncratic features of *auteur* exercises in film genres and instead followed genre prescriptions closely in the hopes of maximizing audiences. Most critics consider this trend to have begun with Steven Spielberg's *Jaws* in 1975, also the year of release of *Rollerball*, the latest of the dystopian films under study that featured classical music. *Logan's Run*, which appeared the following year, had a high-quality original score that nonetheless relied heavily on many conventional scoring techniques drawn from Classical Hollywood practice. After its initially positive critical response, later writers

[70] Cook, *Lost Illustions*, 71.

commented on the film's reliance on clichés and its unlikely happy ending.[71] The film's more conventional if excellent music, coupled with the emphasis on visual effects, strongly suggest that *Logan's Run* was affected by this trend toward more orthodox genre films that left it little room for the potentially multivalent musical treatment found in films that featured classical music.

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[71] Cook, *Lost Illusions*, 244-245; Leonard Heldreth, "Clockwork Reels: Mechanized Environments in Science Fiction Films," in *Clockwork Worlds: Mechanized Environments in SF*, ed. Richard D. Erlich and Thomas P. Dunn (Westport, CT: Greenwood, 1983), 221; M. Keith Booker, *Dystopian Literature: A Theory and Research Guide* (Westport, CT: Greenwood Press, 1994), 346-347.

CHAPTER 6

MODERNIST STYLES AND "POST-DYSTOPIAN" SCIENCE FICTION

During the course of this study, I have described ways that dystopian science fiction films produced between 1966 and 1976 used modernist music to characterize their dystopian futures. Not only do the films discussed have a common theme in their depiction of the future as somehow "deficient," but also their specific use of modernist musical sounds to characterize their respective futures connects them. The general mood of cultural anxiety expressed in these films was also reflected in the dystopian scenarios that characterized science fiction literature of the period as well as in the more consciously critical films in other genres from the early years of the New Hollywood.

During the 1970s, changes in response to a recession in the film industry between 1969 and 1971 redefined the types of films being made. Statistics had shown that studios could realize bigger profits by investing more money into fewer films, with the expectation that one of the films would be a "hit" with returns that could finance the remaining films.[1] At the same time, studios raised the costs of distribution to maintain their income from exhibition of films despite the lower number of films being distributed.[2] Finally, the studios began devoting production to genre pictures such as gangster films, horror films, and science fiction films, each of which could guarantee an

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[1] David Cook, *Lost Illusions: American Cinema in the Shadow of Watergate and Vietnam, 1970-1979*, vol. 9 of *History of the American Cinema*, ed. Charles Harpole. (New York: Scribner's, 2000), 25-27.
[2] Ibid., 17.

audience. Studios also increased marketing tie-ins and merchandising of films to further boost profits.[3]

Audiences were also undergoing a shift. The radicalism of the 1960s counterculture had left many audiences with a desire for films reflecting traditional values and conservative themes. After some extreme early examples in 1971 (*Straw Dogs*, *The French Connection*, *Dirty Harry*), this shift took place gradually over the course of the decade.[4] At the same time, many of the *auteurist* directors of the New Hollywood had achieved a level of success that made it difficult for them to maintain their independence from the system that had fostered their success in the first place.[5]

Most critics agree that *Star Wars*, appearing in 1977, significantly affected expectations for science fiction films specifically and for films generally.[6] *Star Wars* represented a new kind of science fiction film, one that strove to entertain with escapist fantasy rather than provide an undertone of escapist fantasy.[7] The film's special effects were groundbreaking, setting a new standard for the look of science fiction films that eclipsed the example of *2001* from the previous decade.[8] *Star Wars* not only confirmed the viability of science fiction films but also brought them to the forefront as one of the

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[3] Ibid., 29.
[4] Michael Ryan and Douglas Kellner, *Camera Politica: The Politics and Ideology of Contemporary Hollywood* (Bloomington: Indiana University Press, 1988), 37-39.
[5] Cook, *Lost Illusions*, 156-157.
[6] Cook, *Lost Illusions*, 139-141, 245-247; Ryan and Kellner, *Camera Politica*, 228-229
[7] Lucas stated: "[I]nstead of making 'isn't-it-terrible-what's-happening-to-mankind' movies, which is how I began, I decided that I'd try to fill that gap. I'd make a film so rooted in imagination that the grimness of everyday life would not follow the audience into the theater." Quoted in notes accompanying *Star Wars* (Original Soundtrack Recording) (20th Century Records, 2T541 0898, 1977, LP).
[8] Cook, *Lost Illusions*, 246-247; See also Peter Biskind, *Easy Riders, Raging Bulls: How the Sex-Drugs-and Rock'n'Roll Generation Saved Hollywood* (New York: Simon & Schuster, 1998), 342, 344.

more popular genres.[9] *Star Wars*, moreover, expanded the trend in Hollywood toward the goal of "blockbuster" films already set in motion by *Jaws* in 1974, encouraging studios to concentrate more resources on a select few films that were expected to generate large returns at the box office.[10]

Fredric Jameson described *Star Wars* as a "nostalgia film" that exemplifies the pastiche aesthetic of postmodernism. *Star Wars* incorporates and evokes subtle motifs from a variety of earlier film styles and types, notably the western and the serialized adventures of Flash Gordon and Buck Rogers from the 1930s.[11] The music of *Star Wars* also reflects this notion of nostalgia and pastiche, employing traditional nineteenth-century harmonies and a network of leitmotifs in a manner consistent with classical Hollywood practice.[12]

Significantly, there is very little atonal or otherwise strikingly modernist music in the score, and the few examples that do exist underscore marginal alien threats operating outside the film's central struggle between the protagonists on the side of the Rebel Alliance and the forces of the evil Galactic Empire.[13] There is no critical message behind this music, nor is there any sort of dystopian reference to anything outside the film. This lack of a critical stance has attracted the disparagement of some writers who see the

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[9] Cook, *Lost Illusions*, 248.

[10] Cook, *Lost Illusions*, 47-51, 245-248.

[11] Fredric Jameson, "Postmodernism and Consumer Society," in *The Anti-Aesthetic: Essays on Postmodern* Culture, ed. Hal Forster (Port Townsend, WA: Bay Press, 1983), 116-117.

[12] Kathryn Kalinak, *Settling the Score: Music and the Classical Hollywood Film* (Madison: University of Wisconsin Press, 1992), 190-191; James Buhler, "*Star Wars*, Music, and Myth," in *Music and Cinema*, ed. James Buhler, Caryl Flinn, and David Neumeyer, (Hanover, NH: Wesleyan University Press, 2000), 33-57.

[13] Buhler, "*Star Wars,* Music, and Myth, " 47-48. Buhler notes in particular that the score does not use atonal or non-tonal music to characterize the Empire despite its use of technology to assert its authority. Such a tendency might have been expected in the dystopian films under study, but would perhaps not be consistent with the nostalgic musical idiom that is the basis of the score for *Star Wars*. Furthermore, the lack of any atonal or modernist sounds to characterize images of technology in *Star Wars* may suggest that the associations between these sounds and images of technology or dystopia were no longer effective.

film's simple yet almost mythic story and unabashed appeal to emotions as playing to fantasies of male power.[14]

Star Wars was soon followed by *Close Encounters of the Third Kind*, Steven Spielberg's film about alien visitors that stemmed from public fascination with UFOs. This offered a distinctly uplifting and simple plot similar to that of *Star Wars*, which audiences regarded as a fresh and appealing approach to science fiction films. The aliens in *Close Encounters* possessed dazzling technology and, once they revealed themselves, were seen to be benevolent. These apparently harmless, even beneficent extraterrestrials stood in marked contrast to the dour and cynical images of the future and of technology that had characterized science fiction during the previous decade. Furthermore, the extraterrestrials themselves were a far cry from the unseen and awe-inspiring aliens at work in *2001: A Space Odyssey*.

In many ways, the music of *Close Encounters of the Third Kind* is much like that of *Star Wars*, in that it primarily employs the sounds and practices of classical Hollywood. The score for *Close Encounters*, however, includes several passages that are overtly atonal and modernist; many of these seem closely modeled on sound mass compositions similar to those by Ligeti used in *2001*. By the end of the film, the few instances of such music give way to richly orchestrated tonal music that centers largely around a highly sentimental quotation of the Disney tune, "When You Wish Upon a Star."[15] As in *Star Wars*, the familiar tonal music at the end of the film not only

[14] Ryan and Kellner, *Camera Politica,* 228-236.
[15] Neal Lerner considers the absorption of the modernist music by the tonal music in the score and the highly sentimental quotation of the Disney tune as having regressive and even fascist undertones. Neal Lerner, "Nostalgia, Masculinist Discourse, and Authoritarianism in John Williams' Scores for *Star Wars*

encourages identification with the film's protagonist, Roy Neary, but also characterizes the aliens as clearly benevolent despite their awe-inspiring technology. Seen in this light, the earlier atonal passages might be said to convey the strangeness and mysteriousness of the extraterrestrials, the terror of the characters when they first make contact with them, or even the spectacle of their encounters with Neary. The film's sentimental ending denies any possibility of the extraterrestrials having malicious motives, nor does it signal any sort of dystopian ending for human civilization or the human species.

Star Wars and, to a lesser extent, *Close Encounters* represent a stage in a series of approaches to film genre that had taken place over the 1970s. At the beginning of the decade, *auteurist* directors had deconstructed genres within their highly individualistic films. By the middle 1970s, the larger "event" films stayed true to their genre conventions to preserve their audience. By the end of the 1970s and into the 1980s, the type of genre pastiche seen in *Star Wars* was evident in other films that self-consciously mixed disparate genre characteristics, e.g. Lawrence Kasdan's *Body Heat* (1981) and Ridley Scott's *Blade Runner* (1982).[16]

The genre pastiche in films such as *Star Wars* is an example of the postmodernism that Fredric Jameson regards as a response to late capitalism.[17] The various elements and references that make up the film have been taken from other sources and combined to produce something new that evokes the sense of something old.

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and *Close Encounters of the Third Kind,*" in *Off the Planet: Music, Sound, and Science Fiction Cinema*, ed. Philip Hayward (Bloomington: Indiana University Press, 2004), 104-106.

[16]Cook, *Lost Illusions*, 159-161

[17] Jameson, "Postmodernism and Consumer Society," 113-117; Fredric Jameson, "Postmodernism, or the Industrial Logic of Late Capitalism," *New Left Review*, 146 (July-August 1984), 65; Fredrick Jameson, *Postmodernism, or the Industrial Logic of Late Capitalism* (Durham: Duke University Press, 1991), 286.

Such pastiche is possible because these elements exist as cultural commodities that in many cases have lost most if not all of their original meanings, allowing them to be "re-animated" into new cultural constructs such as the genre pastiche film.

Modernism as a style had been similarly commodified as a result of its canonization by the academy and consequent "cooption" by industrial capital as the High Art of the West during the 1950s and 1960s.[18] But, as mentioned above, modernism's critical power had stemmed largely from its ability to stand outside of commodified cultural "meanings," calling into question those meanings and any formal norms that implicitly supported them.[19] The commodification of modernism tied its forms to the institutions that supported them, equating it with the forces of industrial capital that supported those institutions. Filmmakers were exploiting these associations between modernism and the industrial capital supporting it that when they used modernist musical styles in their dystopian films to depict possible results of the progress that industrial capital advocated.

By the time of the shift in values during the middle 1970s that brought the earlier critical and experimental phase of the New Hollywood to a close, these associations had begun to lose their specificity as these visions of the future became less compelling. That they had become something of a prescription is apparent in the latest of the films under study, *Logan's Run*. Although its distinct musical styles are unambiguously associated

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[18] M. Keith Booker makes this point after Jameson in M. Keith Booker, *Monsters, Mushroom Clouds, and the Cold War: American Science Fiction and the Roots of Postmodernism, 1946-1964* (Westport, CT: Greenwood Press, 2001), 22.
[19] Martin Scherziger discusses this with respect to Schoenberg and Adorno in Scherziger, "In Memory of a Receding Dialectic: The Political Relevance of Autonomy and Formalism in Modernist Musical Aesthetics," in *The Pleasure of Modernist Music*, ed. Arved Ashby (Rochester, NY: University of Rochester Press, 2004), 81-83.

with dystopian elements in a manner consistent with that of earlier films, other aspects of the film's setting and plot seem almost to evoke a formulaic "dystopian community" as much as they derive from the novel on which the film is based.[20] Indeed, much of the "critique" in the film appears to be directed toward those aspects of life in the domed community that went against more conservative and traditional family values, which were reasserting themselves in the U.S.[21]

The modernist music follows the formula set by the preceding films, using non-tonal features to characterize the oppressiveness of the society and electronic sounds to convey the mechanical artifice of the central computer responsible for the unnatural social order within the domed city. The modernist music for *Close Encounters*, which appeared the year after *Logan's Run*, was, however, already being used in different contexts to different ends. The meaning of modernist sounds in science fiction films was losing its dystopian aspects.

Significantly, the interval before and after the appearance of *Star Wars* also saw a change in the way that films treated technology and notions of a dystopian future. Whereas visions of a technological future had largely been pessimistic and bleak in the films under study, *Star Wars* and the films that followed it showed a new acceptance, coexistence, and even comfort with technology that contrasted with films up through *Logan's Run*.[22] At the same time, contemporaneous science fiction literature and its

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[20] See Leonard Heldreth, "Clockwork Reels: Mechanized Environments in Science Fiction Films," in *Clockwork Worlds: Mechanized Environments in SF*, ed. Richard D. Erlich and Thomas P. Dunn (Westport, CT: Greenwood, 1983), 220-224; for comparison, see also William F. Nolan and George Clayton Johnson, *Logan's Run*, (New York: Dial Press, 1967).
[21] Ryan and Kellner, *Camera Politica*, 247-249.
[22] Vivian Sobchack, *Screening Space: The American Science Fiction Film* (New Brunswick: Rutgers Univeristy Press, 1987), 223-230.

emerging "cyberpunk" aesthetic envisioned highly technological futures that bore resemblance to the dystopian communities portrayed in the literature and films of the previous decade. These stories tended to celebrate their extensive technology and its incursion into society rather than to regard it as contributing to the degradation of society.

Jameson regards cyberpunk literature as embodying two key aspects of the postmodern consciousness, namely a "weakening of historicity" and recognition of new technology as "a figure for a whole new economic world system."[23] He considers the complex probabilities of the present moment to be so overwhelming for members of late capitalist consumer society that postmodern culture finds it difficult to envision a future that is significantly different from the present.[24] Two celebrated films that share the aesthetics of cyberpunk, *Blade Runner* (1982) and *The Terminator* (1984) illustrate both this more problematic approach to representing the future and the prevalence of technology in that future. *Blade Runner*, set in a highly detailed, decaying Los Angeles of 2019, is modeled on a detective story and borrows many visual motifs from 1940s *films noirs*. *The Terminator*, although centered around a near-future conflict between humans and cyborgs, is actually set in the present; the story follows a young woman pursued by a cyborg assassin from the future because her as yet unborn son will become the leader of the human resistance against the machines.

Despite the presence of what could easily be regarded as dehumanizing technology, both films use their settings as opportunities for visual splendor, delighting in the images of technology for their own sake as much or more than in their contributions

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[23] Jameson, "Postmodernism, or the Cultural Logic of Late Capitalism" 58; Jameson, *Postmodernism*, 286.
[24] Jameson, *Postmodernism*, 285-286.

to the story. The music for each film also celebrates the plethora of technological imagery with electronic instrumentation, but with accessible styles that allow ready identification with each film. *Blade Runner*'s music, by Vangelis Papathanassiou, includes subtle hints of jazz harmonies and voicings that resonate with that film's *noir* elements. Brad Fiedel's music for *The Terminator* is reminiscent of contemporaneous pop-electronic music by such artists as Tangerine Dream and enhances the mechanical quality of the film's cyborg villain through the use of repetitive motifs. Modernist musical styles do not appear in either of these films. Instead, the music includes more accessible styles to encourage a more positive identification with the technological environments, which the electronic instrumentation reinforces.

Even if these films had used modernist styles or sounds, it is not clear that such sounds would still have carried the meanings that they had conveyed in the dystopian films produced before the middle 1970s. Mention has already been made of the modernist passages in *Close Encounters of the Third Kind* and of their disconnection to dystopian themes or imagery in the films under study. John Corigliano's music for Ken Russell's *Altered States* (1980) uses modernist sounds throughout, although as in *Close Encounters*, there is no apparent connection to the dystopian associations of the science fiction films of the Hollywood Renaissance. Arved Ashby describes the music for *Altered States*, which follows the terrifying experiences of an anthropologist conducting experiments with the unconscious mind, as "phantasmagoric modernism," employing unusual and strident sounds and gestures for their ability to evoke suspense or horror

similar to the effects of Penderecki's *Threnody for the Victims of Hiroshima*, Stravinsky's *Rite of Spring*, or even Bernard Herrmann's music for the shower scene in *Psycho*.[25]

By the early 1980s, modernist musical styles had lost their specific connection to visions of dystopia. These sounds were being included in different filmic contexts, often carrying connotations of tension that were little more specific than those associated with the Expressionism of the past. Films with visions of highly technological futures resembling the dystopias of the New Hollywood used distinctly different styles of music that were more accessible and that reflected the changes in perception toward these images previously termed "dystopian." In film, modernist styles had become dead styles, equivalent to the "masks" and "the voices and the styles in the imaginary museum."[26] They no longer alluded to a dystopian future but had instead become relics of both a cinematic and artistic past.

Nonetheless, the consistent association between modernist musical styles and dystopian conditions in these ten films is significant because it demonstrates how these musical sounds took on new meanings. The passage of time from the high modernism of the 1950s and the inclusion of modernist sounds in motion picture scores allowed modernist music to acquire new associations, particularly for mainstream audiences that had little exposure to such music in the concert hall. At its height, modernism had been largely formalist and abstract, focusing more on exploring the extreme possibilities of a given medium. In music, the serial works produced by composers of the Darmstadt School, the sound-mass compositions of composers such as Ligeti and Penderecki, and

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[25] Arved Ashby, "Modernism Goes to the Movies," in *The Pleasure of Modernist Music*, ed. Arved Ashby (Rochester, NY: University of Rochester Press, 2004), 377.
[26] Jameson, "Postmodernism and Consumer Society," 115.

the electronic works issuing from the studios at Cologne, Paris, and the Columbia-Princeton Center all resulted from modernist exploration of different musical parameters.

Despite the proclivity of modernism for abstraction, some critics, following Adorno, continued to recognize a critical role for modernist practices and techniques. The effect of defamiliarization imparted by many modernist works served to deconstruct more conventional artistic and musical practices, whether to demonstrate new possibilities or to question the perceived essential nature of those conventional practices. During the Cold War, this critical role took on ideological dimensions, with the West championing modernism as exemplifying the free expression that was not possible in the socialist realism advocated by Eastern bloc countries.

By the time that modernist musical sounds had made their way into the dystopian science fiction films of the New Hollywood, they had taken on more specific meanings of their own. These alienating sounds stood for a bleak future. They stood for the authoritarian societies of the future. They stood for invasive and oppressive technology. They stood for the decline of the natural world as a result of industrial expansion, catastrophic war, or other equally damaging human activities. For a period of about ten years, filmmakers imparted these sounds and styles with new meanings that diverged from the notions of modernism as experienced in the concert hall. Whether those filmmakers drew on the generally perceived difficulty of these sounds or their privileged status in circles of high culture sponsored by government and industry, the sounds of modernist music became something of a fixture in the soundtracks for dystopian futures.

Because these dystopian science fiction films were themselves a form of social criticism, the modernist music within their scores could still be thought of as having a critical function. Rather than serving as a vehicle for deconstruction, the music drew on *a priori* conceptions of its difficulty and alienation and applied those qualities to scenes and conditions of dystopia with which it was juxtaposed. The film's power of social critique and deconstruction typically resided in its scenario. The role of the modernist music was to modify images of the dystopian conditions, reinforcing any dire qualities already present in them or else conferring on them a sense of strangeness or unpleasantness that might already be attributed to the music. The music served as an indicator of dystopia and colored that dystopia as alienating and problematic.

That filmmakers continued to use these musical styles in these contexts indicates their belief that the music successfully performed this function. Still, it can be difficult to realize fully the nature and extent of popular responses to what had been a specialized musical medium by mainstream audiences. To what extent did modernist music convey dystopia to them? How long did this music continue to have this association even after its use in those contexts declined? How might that association have influenced the reception of such music in different filmic contexts, such as that of *Close Encounters* or *Altered States*? Arved Ashby correctly implies that the context of an individual film will perhaps have the greatest effect on the reception of any modernist music it contains.[27] At the same time, the persistent association in film between modernist music and dystopia over the course of a decade would seem to suggest a more stable meaning, although that meaning may have been stronger among filmmakers themselves.

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[27] Arved Ashby, "Modernism Goes to the Movies," 348-382.

Statements by figures such as Aaron Copland or Henry Pleasants on the reception of modernist music by mainstream audiences are limited to discussions of its difficulty.[28] Moreover, their observations were made some fifteen to twenty years before the dystopian science fiction films under study appeared. Current essays on the reception of modernist music, such as those included in *The Pleasure of Modernist Music* edited by Arved Ashby, are intended for specialists and do not address the reception of such music by a mass audience. Research into the reception of modernist music by this audience, in both concert settings and film music after the 1970s, might answer a number of questions.

In the end, the modernist music accompanying these dystopian films connoted progress, but not the same notion of progress that informed similar music composed for the concert hall. The modernist music emphasized filmic depictions of extrapolated consequences of social and technological developments occurring during the 1950s and 1960s, which industrial capital promoted as progress but whichsocial activists, science fiction writers, and even filmmakers regarded as worrisome trends. Filmmakers drew on the popular perceptions and cultural status of these musical sounds to reinforce their pessimistic visions of the future, thereby imbuing these sounds with new meanings for listeners of the contemporaneous present.

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[28] Aaron Copland, *What to Listen For in Music* (New York: McGraw-Hill, 1957), 242-251; Henry Pleasants, *The Agony of M odern Music* (New York: Simon and Schuster, 1955), 85-87, 149, 166.

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