Contextual Readings of

Analysis and Compositional Process

in Selected Works by Arnold van Wyk

(1916-1983)

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Dissertation presented for the Degree of Doctor in Philosophy at Stellenbosch University

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March 2013

Declaration

By submitting this dissertation electronically, I declare that the entirety of the work contained therein is my own, original work, that I am the authorship owner thereof (unless to the extent explicitly otherwise stated) and that I have not previously in its entirety or in part submitted it for obtaining any qualification.

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Abstract

In this project, contextual readings of four works by Arnold van Wyk are developed. They are the Symphony No. 1 in A Minor, the First String Quartet, the *Duo Concertante* and the *Missa in illo tempore*. These readings are grounded in richly detailed descriptions of the compositional processes, drawing on material such as sketches, autographs, diaries, correspondence and reception documents, as well as in structural analyses of Van Wyk's music and of certain peer compositions. Each reading is set in a separate theoretical frame, resulting in a multi-perspectival consideration of Arnold van Wyk's music that partakes in a range of current disciplinary discourses.

The First Symphony is discussed in the discursive context of English Sibelianism, and Arnold van Wyk's dialogue with Sibelius's symphonic works is investigated through comparisons of Van Wyk's and Sibelius's applications of two-dimensional sonata form and tragic reversed sonata form. The reading so developed sheds new musical light on the difficulties of Van Wyk's position as a colonial composer residing in the centre of a crumbling Empire.

The compositional process of Van Wyk's First String Quartet is described in juxtaposition with the compositional process of Bartók's Sixth String Quartet, and the similarities and differences of the two narratives and the two compositions highlight a second aspect of Van Wyk's colonial identity, namely the ambiguity of his return to South Africa from England, neither of which place could signify "home".

The reading of the *Duo Concertante* focuses on the Elegia from that work, interpreting the piece as part of a network of intertextual connections, including Van Wyk's model for this piece, Martin Peerson's (1580-1650) *The Fall of the Leafe,* Gerald Finzi's Elegy for Orchestra Op. 20, entitled *The Fall of the Leaf,* as well as Van Wyk's own theme for the Rondo of the *Duo*, to which he made various musical references in the Elegia which are associated with the concept of "prophecy". This intertextual reading considers Van Wyk's continuing problematic identification with the English musical culture and tradition, compounded by his uncomfortable place in the stifling cultural establishment of apartheid South Africa.

Van Wyk's *Missa in illo tempore* is interpreted in a post-apartheid context. The work purports to react to the conditions in London in 1945 at the end of the Second World War (when Van Wyk first started to work on it) as well as the conditions in apartheid South Africa in 1977-

1979 (when he completed the work as a commission for the Stellenbosch Tercentenary Festival). The reading considers the ethics of art that intends to respond to situations of suffering, drawing on post-Holocaust art scholarship as a theoretical frame.

In developing interpretations of compositions that have never been studied in such detail or with such theoretical rigour before, the thesis makes a significant contribution to Arnold van Wyk studies, and in its application of a range of methodological tools in order to construct poetic hermeneutic readings that are grounded in musical and contextual materials, it also represents a meaningful methodological innovation.

Opsomming

In hierdie projek word kontekstuele lesings van vier werke deur Arnold van Wyk ontwikkel. Hulle is die Simfonie Nr. 1 in A Mineur, die Eerste Strykkwartet, die *Duo Concertante* en die *Missa in illo tempore.* Hierdie lesings is gegrond in ryk-gedetailleerde beskrywings van die komposisieproses, waarby materiaal soos sketse, outograwe, dagboeke, korrespondensie en resepsiedokumente gebruik word, asook in strukturele analises van Van Wyk se musiek en van sekere eweknie-komposisies. Elke lesing word in 'n afsonderlike teoretiese raamwerk gestel, sodat 'n veelperspektiewelike oorweging van Arnold van Wyk se musiek resulteer wat deelneem aan 'n verskeidenheid hedendaagse dissiplinêre diskoerse.

Die Eerste Simfonie word bespreek in die diskursiewe konteks van Sibelianisme in Engeland, en Arnold van Wyk se dialoog met Sibelius se simfoniese werke word ondersoek deur vergelykings van Van Wyk en Sibelius se toepassings van twee-dimensionele sonatevorm en tragies-omgekeerde sonatevorm. Die lesing wat sodoende ontwikkel word, werp nuwe musikale lig op die moeilikhede van Van Wyk se posisie as koloniale komponis woonagtig in die sentrum van 'n verkrummelende Ryk.

Die komposisieproses van Van Wyk se Eerste Strykkwartet word beskryf in jukstaposisie met die komposisieproses van Bartók se Sesde Strykkwartet, en die ooreenkomste en verskille van die twee narratiewe en die twee komposisies belig 'n tweede aspek van Van Wyk se koloniale identiteit, naamlik die dubbelsinnigheid van sy terugkeer na Suid-Afrika uit Engeland, twee plekke waarvan geeneen die betekenis van sy "tuiste" kon dra nie.

Die lesing van die *Duo Concertante* fokus op die Elegia uit daardie werk, en dit interpreteer die stuk as deel van 'n netwerk van intertekstuele verbindings, insluitende Van Wyk se model vir hierdie stuk, Martin Peerson (1580-1650) se *The Fall of the Leafe,* Gerald Finzi se Elegie vir Orkes Op. 20, getiteld *The Fall of the Leaf,* asook Van Wyk se eie tema vir die Rondo van die *Duo,* waarna hy verskeie musikale verwysings in die Elegia gemaak het wat geassosieer word met die konsep van "profesie". Hierdie intertekstuele lesing beskou Van Wyk se aangaande problematiese identifisering met Engelse musiekkultuur en –tradisie, vererger deur sy ongemaklike plek in die verstikkende kulturele *establishment* van apartheid Suid-Afrika.

Van Wyk se *Missa in illo tempore* word in 'n post-apartheid konteks geïnterpreteer. Die werk stel sigself voor as reaksie op die toestande in Londen in 1945 teen die einde van die Tweede

Wêreldoorlog (toe Van Wyk die eerste keer daaraan begin werk het) asook die toestande in apartheid Suid-Afrika in 1977-1979 (toe hy die werk voltooi het as 'n opdrag vir die Stellenbosch Drie-Eeue Fees). Die lesing oorweeg die etiek van kuns wat ten doel het om te reageer op situasies van lyding en gebruik post-Holocaust kunsstudies as teoretiese raam.

In sy ontwikkeling van interpretasies van komposisies wat nog nooit in soveel besonderhede of só teoreties nougeset bestudeer is nie, maak die tesis 'n beduidende bydrae tot Arnold van Wyk studies, en in sy toepassing van 'n verskeidenheid metodologiese hulpmiddels om poëtiese hermeneutiese lesings te konstrueer wat gegrond is in musikale en kontekstuele materiale, verteenwoordig dit ook 'n betekenisvolle metodologiese vernuwing.

Acknowledgements

My first expression of thanks is to my promotor, Prof. Stephanus Muller, who lived through this doctorate with me, helping me to develop its arguments through intellectually energising conversations that also shaped my academic thought in a broader way, and providing the moral support that one inevitably needs in the ups and downs of a five-year project such as this. For me, it was especially meaningful to receive such support from a fellow Arnold van Wyk researcher, who often gave encouragement more in the spirit of collegiality than of supervision.

His co-promotors, Proff. Timothy Jackson and Nicholas Cook, each guided me with their expertise and advice. I would like particularly to thank Tim for his invaluable help with the analyses of Chapter 1, and Nick for his expert eye in structuring the argument of Chapter 3.

Proff. Nicol and Martina Viljoen, my colleagues at the Odeion School of Music, UFS, gave of their time and expert knowledge of analysis and critical musicology to comment on portions of the text, and were wonderfully supportive and encouraging towards me throughout.

I was able to embark on this project during a year's study leave as a visiting student at Royal Holloway, University of London, for which I thank those OSM colleagues who took over my teaching responsibilities (I know that Nicol had a lion's share), as well as my employer, the University of the Free State. The study leave was additionally funded by the Skye Foundation, and I would like to express my gratitude towards that institution.

Santie de Jongh, the archivist of the Documentation Centre for Music in Stellenbosch, patiently attended to all my requests for copies of and information about various materials in the Van Wyk Collection, and Dorothea Pelser and Estie Pretorius of the UFS Library ordered countless inter-library loans for me. The secretary of the OSM, Anchen Froneman, also assisted with book purchases related to this research. The staff of the Finzi Trust and the Bodleian Library were extremely helpful when I needed to consult Finzi sketches and correspondence for Chapter 3.

I presented an excerpt from Chapter 1 as a paper at the 2011 SASRIM conference in Grahamstown and thank the audience at that event for their feedback, and I similarly thank the audience who heard a previous version of Chapter 3 at the 2009 IAML/IMS conference in Amsterdam. A version of Chapter 3 was published in SAMUS in 2010/11, and the two readers

who reviewed the contribution helped me improve through technical and disciplinary criticism. Stephanus Muller's postgraduate seminar group read through a version of the entire document, and I am very grateful for all their comments.

I was privileged to grow up in a home where many of the dinner-table discussions involved music (my mother Elmien is a music teacher) and how hermeneutics proceeds from exegesis (my father Jaco is a Dutch Reformed minister), two modes of thought that continue to inform my identity as a musicologist. I honour my parents for the unique intellectual environment they created for me and my sisters in which to discover our thinking selves, and thank them and my sisters Maryke and Elmientjie for the love that gives the intellectual environment its warmth.

My husband Daniël lovingly supported me all through this project, which has spanned the first five years of our marriage. I thank him for making our marriage an encouraging, empowering space for me. I also thank him for his self-sacrificing attitude towards my studies and career, and for sharing enthusiastically and proudly in this aspect of my life.

Finally, I am indebted to Martie, Amelia, Velka, Anne, and all their families, who were instrumental in the retention of my sanity and perspective during this project.

SDG.

Bloemfontein, October 2012.

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Introduction

Arnold van Wyk does not loom large on the pages of music history. Born in South Africa when it was still part of the British Empire, he travelled to London in 1938 to study at the Royal Academy of Music. He remained there until 1946, when he returned to South Africa permanently, making only four more prolonged visits to England in 1952-3, 1955, 1966-7 and 1975 (Muller, Forthcoming). If the English musical culture of the WWII era has in some conceptions of "the" history of music been understood as "peripheral" to the "central" narrative (an idea that I am aware has been contested and subverted),[1] then a South African colonial composer is doubly marginal, someone who comes from "the edge of the edge" (as an English visiting scholar to South Africa with whom I discussed my research recently remarked).

Context I: Post/Colonial

These observations seem to invite a postcolonial consideration of Arnold van Wyk's music, and in some ways, the present research project does achieve that. Crucially, however, the postcolonial description is arrived at *musically* rather than through the application of a postcolonial critical methodology. In this way, the project begins to fulfil the vision of Vijay Mishra and Bob Hodge, echoing Lyotard, in which "[s]maller *récits* must replace the *grand récit* of postcolonialism in all these instances so that we can know the historical background better. In these smaller *récits* it may well be that the term 'postcolonial' is never used" (Mishra and Hodge, 1994: 289). The objective of the project was musical hermeneutics, but the contextual meanings developed for each of the compositions turned out to be inextricably bound up with observations about Van Wyk's colonial/postcolonial position, showing ever more clearly the pervasiveness of colonial identity in its objects of cultural contemplation.

Afrikaner colonial identity, though, requires some clarification. South Africa was conquered by Great Britain in 1806, after it had been part of the trade empire of the Dutch East India Company since 1652. At the beginning of the nineteenth century, the frontiers of the colony were the "Buffels" or Koussie River in the north (in the modern-day Western Cape Province)

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[1] In Chapter 2 I discuss this idea at greater length. A well-known challenge to this way of thinking has come from Richard Taruskin, who has called the "central" narrative the "panromanogermanic mainstream".

and the Fish River in the east (in the modern-day Eastern Cape Province). These frontiers were sites of violent dispute, and more land was continually annexed by the colonial governors. In addition, by the middle of the century, significant groups of white farmers had left the English colony to found the two independent "Boer republics" in the interior, north of the frontiers of English rule. The discovery of gold in the Zuid-Afrikaansche Republiek was an important catalyst for the Anglo-Boer War of 1899-1902, at the end of which the two republics were also incorporated into the colony, established as the Union of South Africa in 1910. Van Wyk was therefore born in a part of South Africa (near Calvinia in the modern-day Western Cape) that had been part of the colony from the beginning, and English culture was firmly entrenched there. Van Wyk's earliest musical style copies that would have fit seamlessly into an English drawing-room culture make this abundantly clear (Muller, Forthcoming). Van Wyk's youth was concurrent with the early development of Afrikaner Nationalism, but he would leave South Africa and return to it before the National Party's historic 1948 victory over the South African Party (the more liberal and pro-English party), an event often regarded as the beginning of the apartheid era.

Despite the profound English cultural influences with which he grew up – he corresponded with his mother in English and seems to have had music lessons from his sister Minnie in English (Muller, Forthcoming) – as an Afrikaans speaker and a South African citizen he did not feel himself part of the English nation, as can be deduced from his correspondence during the early period of his English sojourn. It is therefore problematic to situate Van Wyk either in the "coloniser" or "colonised" group of classical colonial models. Although some models would consider all white people in Africa as colonisers, this belies the complexity needed to understand the position of Afrikaans speaking farmers (the demographic to which Van Wyk's family belonged). In 1890 only 2-3% of Afrikaners were urbanised, and the large number of Afrikaners who were urbanised rapidly in the early twentieth century held almost no economic power (Giliomee, 2003: 323). As a group, they were subject to English (i.e. foreign) rule in their own country with little or no stake in government. On the other hand, it would also be too simplistic to theorise Afrikaners as a powerless instance of a colonised African demographic. Because they were from European descent, Afrikaners were a more privileged group than black South Africans, and can most accurately be described as occupying some position *between* these two terms, a position that encompasses certain

aspects of both coloniser and colonised. This in-between position of the Afrikaners in the first half of the twentieth century would however change to a less ambiguous *coloniser* position during Van Wyk's lifetime, when South Africa gained independence (so that Afrikaners were no longer politically colonised), and the apartheid regime instituted measures that increasingly resembled colonisation of black citizens. The problematics of these positions in Van Wyk's life come to the fore in all the readings I have performed in this project. I believe that in this way my research makes a unique contribution to the description of colonial/postcolonial influence on composed music in such a situation through the use of *musical* methodologies rather than specifically postcolonial ones.

Context II: Post/Apartheid

Eighteen years after the end of apartheid, South African musicologists are earnestly turning their academic gaze towards the music of the apartheid era. As can be expected given the historical proximity to apartheid, the scholarly discussions are volatile; sometimes they become personal.

The publication in 2008 of the collection *Composing Apartheid: Music For and Against Apartheid* (Olwage, 2008), proceeding from a conference held in 2004, is a milestone in this regard. It was, according to its jacket, "the first book ever to chart the musical world of a notorious period in world history, apartheid South Africa", and its objective was to "explore how music was produced through, and was productive of, key features of apartheid's social and political topography, as well as how music and musicians contested and even helped to conquer apartheid". In his contribution to the volume (the only one dealing with so-called art music), Stephanus Muller (2008a: 282) articulated the discomfort of taking part in the discussion as a scholar of Arnold van Wyk's music, observing that the call for papers posited, simplistically, an "already established master-narrative of apartheid complicity and aggrandisement" on the part of white establishment composers.

More recently, two "Music and Exile" conferences hosted by the University of South Africa (UNISA) in 2010 and 2011 ended in recriminations and clear faultlines between (mostly) institutional musicology and music discourses positioned outside academe or the discipline

of musicology.[2] Also in 2011, fiercely contested debate developed because of a paper by UNISA musicologist Annemie Stimie, who constructed connections between a work entitled *Masada* by Johannesburg-based composer Jeanne Zaidel-Rudolph, and white fears about the end of apartheid.

It is within this musicological climate that the present research project on the music of Arnold van Wyk must position itself. Commenced in the same year that *Composing Apartheid* was published, this project seeks to contribute to the scholarly discussion of apartheid art music. Importantly, though, similar to its endeavour to articulate postcolonial description through its primary musical focus, the project has allowed apartheid-related insights to emerge from its musical studies rather than approaching the music with a view to gaining insights about apartheid in the first place. Only in Chapter 4 did I feel that, because the composer intimated that the work in question was composed as a response to apartheid, I needed to approach it through an explicit post-apartheid critique. In that chapter, I argue against what Durrant has termed the "neo-Marxist dismissal" of "establishment" apartheid art (in his case the novels of J. M. Coetzee). Such a sentiment underlies many of the scholarly positions currently articulated about apartheid art music, and I argue that this position is too simplistic to form the basis of the profound ethical critique of apartheid art in which I believe South African musicology should engage. A dismissal stops, as it were, the encounter with the music before it can begin such an ethical critique. I argue, therefore, that the ethical response to apartheid art music (a category, moreover, that many South African musicologists would also dismiss outright, comprising a wholesale condemnation of establishment composers and their works) should be theorised in a way that can engender productive scholarly argument. In Chapter 4 I suggest that the insights gleaned from the ethics and aesthetics of Holocaust art is one body of literature that may be instructive in this regard, although I do not assume equivalence between the Holocaust and apartheid. I hope that, through its explicit post-apartheid analysis, but also through its more tangential post-apartheid description and commentary, the present project will ultimately argue persuasively for the necessity of moving beyond dogmatic assumptions that there was only one possible

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[2] The debates to which they gave rise are documented on South African filmmaker Aryan Kaganof's weblog (http://kaganof.com/kagablog/category/categories/music-and-exile-symposium/), and a reflection on the 2010 conference was published in *Musicus* (Stimie, 2010).

ethical artistic response to apartheid, and also the necessity of moving beyond dogmatic assumptions that there is only one possible ethical critical response to apartheid art today.

Objectives

The objective of this project is the construction of contextual readings of the four compositions by Arnold van Wyk that I have chosen. These readings proceed from investigations of varied aspects of the works – chiefly, as reflected in the title, analysis of the finished score and studies of the compositional processes of the works by means of Van Wyk's sketches,[3] but I have also probed reception documents and Van Wyk's correspondence to create rich contexts within which productive readings might emerge.

In the process of working out the interpretations of the four pieces, I have tried consistently to maintain an authenticity, fraught though that concept may be, with regard to the musical material itself (Nicholas Cook would speak of the musical "attributes") as well as with regard to the abundant archival sources. The composer's voice speaks in these pages through his programme notes, interviews and correspondence, but it speaks as one voice among many rather than as the definitive and ultimate interpretative authority. If there is such an authoritative voice in these pages, it must belong to me. I regard this project as a creative one as much as a scholarly one, and I have tried to construct the interpretations less as a textual critic than as a musician, who is moved by the music the meaning of which she is trying to decipher and create.

Another important motivation for many of the choices that I made in this study is my desire to place Van Wyk's music, compositional process and composer-persona in a broader context, to make this material part of a broader discussion. This, I believe, is the right scholarly course of action at this time, because the isolationism of apartheid musicology resulted in studies of South African composers and compositions from quite narrow vantage points in the past. In this project, such a broader context was achieved especially in two ways: (a) through the exploration of intertextual connections or peer compositions suggested by the archival sources, which could place Van Wyk in the orbit of English and international musical modernism, and (b) by drawing on current and international methodologies that have never been applied to South African materials, and that form part

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[3] These are now housed in the Arnold van Wyk Collection at the Documentation Centre for Music in Stellenbosch. They have been collected and catalogued by Stephanus Muller.

of international discourses to which I suggest that the study of Arnold van Wyk's music can contribute meaningfully.

Methodologies

Rather than choosing one overarching methodology for this project, I have opted to draw on richly different methodological perspectives simultaneously in order to generate multi-layered readings. I wanted to explore the possibilities of how looking at the same music from different vantage points could enable exciting musicological insights. This eclectic technique is perhaps eminently feasible for music about which very little scholarly work has been done. Because I could be much less defensive in constructing the readings in these pages than I would have been had I written about a more "central" and thoroughly researched composer, I could test the boundaries of my multi-perspectival readings to great effect, striving for a poetic hermeneutics that remained rooted in the musical and documentary sources. The underlying motivation for my choices of the different methodologies, then, was a hermeneutic one: which methodology would allow the best critical hermeneutics, would allow me to probe the most important issues of the composition?

Such eclecticism, of course, partakes of a postmodern scepticism towards claims of any one viewpoint to objectivity and comprehensiveness. The heated debate on the reciprocal relevance of sketch studies and analysis, conducted during the late 1970s and early 1980s, has cooled much in the intervening decades, a testament to the influence of postmodern thought. Reflecting the prominence of Beethoven's sketches to the discipline of sketch studies, the dispute focused on sketches for and analyses of this composer's music. Douglas Johnson's argument that the information yielded by sketches belong to the study of biography and cannot contribute insights to analysis centred on the autonomy of the finished work: "(T)he sketches may attract our attention to a structural problem … (b)ut the solution is only to be found within the work itself" (Brandenburg, Drabkin & Johnson, 1979: 278). As Peter McCallum (1994: 116) has pointed out, this argument has lost most of its validity after the thorough debunking of the concept of the autonomy of music by the so-called "New musicology" (see for example McClary, 1991, Subotnik, 1991, or Goehr, 1994). More recent contributions to the discussion reflect the release of tension between sketches and analysis in a postmodern climate:

> (F)ar from defining the relevance of sketches to the finished work, the present and future challenge may be rather to define the role of sketches and sketch studies in the context of a loss of faith in the notion of the organic, 'closed' work itself (Marston, 2001: 474).

Marston has taken up this challenge in his research on Beethoven, performing Schenkerian analyses of sketches and their "finished" counterparts alike and so treating successive sketches not as increments of a teleological process but as insightful documents of compositional activity in their own right (e.g. Marston, 2006).

The literature I chose to frame my discussions in each chapter was suggested by the archival sources in different ways. Sometimes the context in which to study the work was suggested by the reception documents. For example, the important place of Sibelius in the reception of Van Wyk's First Symphony led me to the literature on English Sibelianism and Sibelius analyses that play an important role in Chapter 1. Sometimes, the compositional process and history of the work suggested an appropriate frame. Here the best example is the similarities between the compositional processes and the endings of Van Wyk's First String Quartet and Bartók's Sixth String Quartet, which led to the juxtaposition and hermeneutic comparison of compositional processes and endings that I conduct in Chapter 2. In Chapter 3 the literature on musical intertextuality that I used was a consequence of my study of Van Wyk's appropriation of Martin Peerson's theme in the slow movement of the *Duo Concertante,* an aspect of the work that Van Wyk discussed in his own contribution to its reception. Similarly, Van Wyk's own statements about the *Missa in illo tempore* as a reaction to the Second World War and apartheid prompted me to search for literature on the ethical critique of art works in situations of suffering, so that I finally decided on Holocaust art criticism as the theoretical frame for Chapter 4.

The proximity to archival sources that I valued so much in this research project, finds a counterpart in the importance that I attached throughout to remaining close to the music. Schenkerian analysis was a tool used to that end in Chapters 1 and 4, and form studies support Chapters 1 and 3, both of which are also informed by comparative close readings of musical material. Analysis of sketch sources underlies all the studies, but comes to the fore especially in Chapters 2 and 3. The supporting role of these analytical tools, though, allows the freedom to restrict such analyses to specific aspects of the music, because the analyses do not pretend to be comprehensive.

The considerations and choices outlined in this section testify to a profound tension that has been present throughout this project, namely the tension between postmodern scepticism of truth claims – which, as explained above, gives rise to the use of a range of different methodologies – and a lasting commitment to the pursuit of hermeneutic truth, that endeavours not to establish facts, but to remain "true" to Arnold van Wyk's music, to its genesis and to a shared musical understanding of both the artworks and their geneses as communicative of meaning.

Chapter Summaries

The chapters in this project follow one another chronologically and so provide a skeletal impression of Van Wyk's career.

His First Symphony, the focus of Chapter 1, was composed during his studies at the Royal Academy of Music (1941-3), and in my reading I have reflected on his position as a colonial composer in London. I use Joshua Esty's work on the change in English identity during the late 1930s – the change from a concept of England as imperial centre to national culture, and relatedly from a primarily metropolitan identity to a primarily rural one – to contextualise the contemporaneous English phenomenon of "Sibelianism". Quoting from the English reception of Van Wyk's symphony which abounds with references to Sibelius, I argue that Sibelianism is the appropriate discursive context in which to consider the symphony. Using two techniques of analysis that have been applied to Sibelius's symphonies recently – Steven Vande Moortele's "two-dimensional sonata form" and Timothy Jackson's "tragic reversed sonata form" – I analyse Van Wyk's symphony in comparison with Sibelius's Seventh Symphony and the finale of his Fourth. These analyses lead to a consideration of "tragic fate" in Van Wyk's symphony, and my own interpretation of this concept in Van Wyk's piece centres on his colonial predicament. I argue that even as Van Wyk's English contemporaries were, through the Sibelianism of symphonic composition articulating a move from the metropolitan to the rural, so Van Wyk was through the same medium accomplishing the opposite transition: from peripheral, provincial South Africa to the imperial metropolitan centre of London. This move, I posit, could only result in profound isolation and deeply problematic composer identity for Van Wyk.

In Chapter 2, I consider the next large-scale work that Van Wyk completed. His First String Quartet was composed at the end of his stay in England, and I read this work as a piece that

intimately concerns his return to South Africa. I juxtapose the compositional process of Van Wyk's First String Quartet with that of Bartók's Sixth String Quartet, a composition that has similarly been understood in music scholarship as a "farewell" to Hungary before Bartók's relocation to America. The choice for a slow finale is a salient characteristic of both pieces. Moreover, in both cases this choice was made after the initial cyclic concept had been established: it represents a change to the original plan, and can be interpreted in both cases as a choice with programmatic intent. In the same way that Benjamin Suchoff (1967/1968) described the compositional process of Bartók's Sixth String Quartet by means of the sketch documents and correspondence, in this chapter I establish the chronology of Van Wyk's composition by quoting from his correspondence of the time as well as the (meticulously dated) sketches. While the juxtaposition is not designed to argue the "influence" of the earlier Bartók composition (1939) on Van Wyk's piece (1944-1946), my choice of peer composition is not arbitrary. Van Wyk bought the scores of all Bartók's string quartets before composing his own (in the same way that he had bought all Sibelius's symphonies before composing his own) and his fondness for these compositions is legendary among his students (pers. comm., Stephanus Muller, October 2012). The juxtaposition of the two compositional processes is maintained until the publication and first performances of each work so as to reflect the gist of the initial reception of each. In the second and third sections of the chapter, I focus exclusively on Van Wyk's composition, describing the compositional decisions in more detail and considering the place of his First String Quartet in his output. In the concluding section I return to the Bartók comparison to argue that the differences in the two narratives and works may reflect each composer's different relation to *home*. Finally I posit that although the "peripheral" status of Hungarian modernism and British modernism has been challenged persuasively in music scholarship, the peripheral status of colonial music awaits the same reconsideration.

Chapter 3 is an intertextual reading of the Elegia from Van Wyk's *Duo Concertante* for viola and piano, composed in 1962 and revised in 1976. The work therefore dates from a time when Van Wyk had been settled back in South Africa for two to three decades, and the description of his post/colonial relationship with England at that time differs from the first two chapters in its observation that in this compositional process, Van Wyk articulates a keen sense of *distance* from his English model. In this chapter, the environment of apartheid South

Africa in which Van Wyk was working at the time also becomes an important context for the construction of the interpretation, albeit implicitly. The intertextual reading proceeds from Van Wyk's identification of a model composition in the Elegia, the slow movement of his *Duo Concertante.* This model is a short piece entitled *The Fall of the Leafe* by the seventeenth-century English composer Martin Peerson that was included in the *Fitzwilliam Virginal Book.* I describe Van Wyk's engagement with this model composition in which the contour of Peerson's melody is followed very closely, but in which a studied distance from this model is maintained through the distortion of tonal intervals. I contrast this intertextual practice with that of Gerald Finzi, who composed a piece that refers to the same Peerson model, namely his *The Fall of the Leaf* (Op. 20) for string orchestra. I describe the compositional process of Finzi's piece and investigate possible musical connections between Finzi's material and Peerson's. I return to Van Wyk's composition to recount his 1976 revision and his efforts to include the programmatic musical effect of "prophecy" in the work. This "prophecy" refers to the main theme of the Rondo, the last movement of the *Duo,* and I show how in Van Wyk's mind this theme was associated with spontaneous music-making and a groundedness in every-day life as opposed to the artifice of the cultural politics of the day. I conclude by considering Van Wyk's and Finzi's very different encounters with the Peerson model in the light of this "prophecy" and its effect on the 1976 revision, and I articulate the possibility that Van Wyk's "prophecy", as a vision of an alternative reality, may dream of a world in which he could have the same unfraught relation to musical tradition that he imagined Finzi to have had, "a vision of South African composition at home in South Africa".

The context of apartheid South Africa, only tangentially invoked in Chapter 3, becomes a more explicit part of the argument in Chapter 4. I consider how Van Wyk had understood his *Missa in illo tempore* (1945-1979) as a response to world-wide suffering as well as to the specific contexts of suffering that he encountered in World War II London and in apartheid South Africa. A critique of this work, I suggest, should therefore comprise a consideration of the ethics of this category of art (i.e. art that is intended as a response to situations of suffering). These considerations have been worked out in much detail in the body of art criticism that is concerned with artistic responses to the Holocaust, and it is this body of literature that frames my discussion of Van Wyk's mass. I outline what I understand as some measure of scholarly consensus in Holocaust art criticism, namely the ethical insistence on

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the primacy of the Particular over the Universal in art works that respond to the Holocaust. In this stance, the Universal is aligned with bestowing an inappropriate "redemption" on the events to which the artwork relates, while the Particular is the more ethically accepted choice because it resists the temptation to present an overarching meaning in the artwork. I continue to problematise this stance by drawing on recent readings of Adorno's "after-Auschwitz" pronouncements to show that the ethics of representation should, in his view, comprise a much more profound consideration of the relationship between art and society. I continue to argue that for Van Wyk as a colonial composer, the Particular and the Universal hold different values than they do in the centre, because he is seeking to transcend the particularity and provinciality of the colony in order to connect to a broader musical tradition. Also, for Van Wyk as a composer seeking to make a musical statement in opposition to apartheid, the preference for the Universal (as a concept associated with shared humanity) over the Particular (the concept underlying the apartheid division of ethnic groups) should be understood as a deeply ethical commitment. In this way, I argue for a post-apartheid art criticism that is prepared to strive for more nuanced readings of works by "establishment" composers than a simplistic "neo-Marxist dismissal" of their entire output. Finally, I offer a reading of Van Wyk's mass as a profoundly personal spiritual statement.

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Symphony No. 1 in A Minor (1943):

Peripheral Departures, Peripatetic Arrivals

Sibelius is this South African composer's influential planet; but he has a character and message of his own ("R.C.", 1951).

I.   Introduction

"A composer's first symphony is generally something of a milestone, and Arnold van Wyk's symphony in A minor is no exception," Howard Ferguson began his programme note for the premiere of his friend's First Symphony, a studio performance broadcast by the BBC on 31 May 1943 (Ferguson, 1943). "It shows a remarkable broadening and maturing of the composer's style and technique. It is, too, a work of great intensity of feeling".

Ferguson's observations invite closer scrutiny. How might this "milestone" composition be interpreted within Arnold van Wyk's career and surroundings? Could it signify a certain coming-of-age, a mark of the successful transition from parochial South Africa to the metropolitan musical establishment in London? In this chapter, I argue that this is indeed the case, but that for reasons that will become clear, the accomplishment of that transition would intensify, rather than alleviate, the predicament of Van Wyk's colonial subject status. I connect Ferguson's "remarkable broadening and maturing of the composer's style and technique" to Van Wyk's encounter with Sibelius's symphonic works via the phenomenon of Sibelianism in England, and construct a reading of the work's meaning, a view of its "great intensity of feeling", that takes cognisance of a number of diverse perspectives ranging from reception history through form studies and voice leading analysis to cultural theory.

Composed between 1941 and 1943, towards the end of Van Wyk's studies at the Royal Academy of Music in London, the symphony was described by Stephanus Muller as "the most convincing and fluent work Van Wyk ever wrote" (Muller, 2008b: 68). The composer, however, felt ambivalent about it throughout his life, and Muller interprets the reason for that ambivalence as "embarrassment, seemingly with the emotional honesty of the work" (2008b: 67). Soon after its completion, Van Wyk wrote to Freda Baron that "this symphony is too protesting, too nervous and strained. But I suppose tranquility comes later in life" (quoted from letter dated 19 March 1943 in Muller, 2008b: 67). Van Wyk still held the same disparaging view of the symphony eight years later, when Sir John Barbirolli performed it at the Cheltenham Festival on 4 July 1951. Only months before this performance, on 5 February 1951, Van Wyk wrote (once more to Baron) that

> Howard still thinks the Symph a fine work, but I have doubts. It has very good points and I had to get it out of my system, but really I cannot listen to it any more. It is too hectic and too much suffering-heart-on-the-sleeve and it is too Sibelian. I was thinking of going all out to finish the Ricercare in time to offer it as a substitute to Barbirolli (quoted in Muller, 2008b: 67).

Besides his dissatisfaction with the directly expressive quality of the symphony, this last response of Van Wyk's broaches the criticism that the work is "too Sibelian": this is an issue that echoes strikingly throughout the public contemporary reception (in the form of newspaper reviews) as well as the private contemporary reception (in the form of short reports written for the BBC evaluating the work's suitability for broadcast) of the symphony, although not always with the negative slant that Van Wyk gives it. The truly ubiquitous references to Sibelius in the reception documents seem to assert that this composer's symphonic works formed a first frame of reference for new compositions in that genre. When asked in a TV interview in 1978 if he had been "satisfied" with the symphony, Van Wyk in his answer referred to this matter again, saying "it is much influenced by Sibelius, but try to write a symphony today that is not influenced by Sibelius – you know, in my idiom. I think I appropriated something from Sibelius, but I think some of the critics said 'he was influenced by Sibelius, but he made it his own'. I think that's what they said" (own translation from SABC, 1978).[4]

The tone of such remarks may be illustrated by a number of quotations from the public and private reception. L. G. Dennis wrote a letter to the BBC's Empire Music Supervisor after the Union Day broadcast of Van Wyk's symphony, in which he noted the following:

> The main work on the programme, a Symphony by Van Wyk, was very interesting indeed. That the composer has been influenced by Sibelius was obvious, but the fault, if it need be so called, is a good one after all (Dennis, 1943).

The reviews of the second performance at the Cheltenham Festival strike much the same note:

> Sibelius is this South African composer's influential planet; but he has a character and message of his own ("R.C.", 1951).

> There are features in it which recall Sibelius … But the Symphony is far from being a merely imitative work; it is a highly personal utterance of remarkable clarity and decision. … The Sibelian elements are thoroughly absorbed into the composer's own language (Shawe-Taylor, 1951).

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[4] "Dis baie beïnvloed deur Sibelius, maar skryf vandag 'n simfonie wat nie deur Sibelius – jy weet, in my idioom – beïnvloed is nie. Maar ek dink tog ek het van Sibelius iets oorgeneem maar … ek dink party van die kritici het gesê 'hy is beïnvloed deur Sibelius, maar hy het dit sy eie gemaak'. Ek dink dis wat hulle gesê het."

> The passing nod to Sibelius and Walton, as also what at first hearing seemed like inconsistency of argument at the start of an ultimately powerful development, were matters of small consequence (Review [untitled], 1951).

Interestingly, the Sibelian idiom of the symphony was regarded in a far more negative light by the South African reviewers of the 1952 Johannesburg and 1954 Durban performances:

> Arnold van Wyk's Symphony No. 1 could more appropriately be described as Movement No. 1 for a symphony. With obvious debts to Sibelius, it had neither his conciseness nor his intensity ("D.L.", 1952).

> The symphony was Arnold van Wyk's First. This is a powerfully written and compact work in one movement, but it is neither very individual or original, virtually every page containing unmistakable evidence of the strong influence exercised over the composer by Sibelius (Three New Works by S. A. Composers, 1954).

The argument of this chapter will proceed by introducing in succession a number of backdrops against which to view Van Wyk's First Symphony, with the expectation that each of these could allow unique hermeneutic insights.

The first of these "backdrops" is the insular contraction that occurred in the aesthetic imagining of Englishness in the late modernist literature of the 1930s as analysed by Joshua Esty, and the question it poses is how to place Van Wyk's creative persona within such an aesthetic shift. As part of this perspective, John Paul Harper-Scott's extension of Esty's observations to include visual arts and music will be discussed and elaborated on with a consideration of the position of English Sibelianism as an important phenomenon within English musical modernism.

The second and third "backdrops" are chosen for their pertinence to an investigation of Van Wyk's dialogue with Sibelius's symphonic works, with the objective of placing his First Symphony in the context of the observations emanating from the first stage of the argument. These second and third perspectives are two techniques of symphonic form that are used in Van Wyk's First Symphony and were identified fairly recently in theoretical work, namely two-dimensional sonata form (as described by Steven vande Moortele) and tragic reversed sonata form (as described by Timothy Jackson). These two techniques will inform my comparison of Van Wyk's symphony with two specific peer works by Sibelius, the Seventh and the finale of his Fourth Symphony, in order to articulate his dialogue with Sibelius and his self-positioning within the musical landscape of Sibelianism in a more detailed way. In

conclusion, insights afforded by the three perspectives will be drawn together in an interpretation of Van Wyk's First Symphony.

II.   "A Shrinking Island", English Sibelianism and English musical modernism

In his 2002 article *Amnesia in the Fields: Late Modernism, Late Imperialism, and the English Pageant-Play,* Joshua D. Esty describes what he calls a "striking … anthropological introversion that occurred during the decades between 1930 and 1960, as the cosmopolitan and colonial welter of the modernist city gave way with startling rapidity to a new cultural insularity" (Esty, 2002: 245). "As their nation faced the prospect of continental war and imperial loss," Esty explains further, "these writers [Eliot, Woolf and Forster] experimented with new forms, revising or abandoning their most successful practices of the 1920s" (Esty, 2002: 246). These new practices were geared towards "a more public and communal art" by which the authors were trying to reinvent an English national identity without Empire. Esty's insights into their work leads him to understand "British modernism's endpoints not just in the barbaric destruction of World War II, but as part of a larger transformation of the nation from universalizing center to particularized culture" (Esty, 2002: 247). In the article, Esty refers to the genre of the pageant-play, a form on which Eliot, Woolf and Forster drew in their 1930s work. (Eliot and Forster wrote actual pageants and Woolf used it as part of the narrative of her final novel *Between the Acts.*)

Esty proceeds to explore the characteristics of these writers' experiments with the pageant-play, highlighting those aspects that seem to embody the cultural change he describes. Of these characteristics, the search for a national rather than a cosmopolitan mode of expression is significant, as is the focus on the rural rather than the metropolitan. As Esty poetically observes in the case of Forster's pageant-play *England's Pleasant Land,*

> Englishness inheres in the village and the land; the landscape's meaning inheres in the texture of the native language; and the result is a mystified territorial nexus of culture and identity. The pageant enacts what the modernist novel could only mourn: an undisturbed and spontaneous sense of belonging attached to what Forster understands as the genius of place (Esty, 2002: 255-256).

 Another lucid passage observes the imperative of Woolf's experiment with pageantry in *Between the Acts* "to reestablish the nationalism of shared experiences (pastoral memory) as against the nationalism of shared goals (imperial mission)" (Esty, 2002: 259). Esty expanded

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the observations cited here into a monograph entitled *A Shrinking Island: Modernism and National Culture in England* (Esty, 2004), in which he could comment on more of Forster, Woolf and Eliot's oeuvres and incorporate his interpretation of the work of economist J. M. Keynes and the origins of the discipline of English Cultural Studies.

A reading of Esty's work in the context of a study about Arnold van Wyk prompts the reflection that this cultural transformation, this process of a nation divesting itself of the trappings of Empire and imperial pretensions, turning inward to find meaning in a kind of rural Englishness, and drawn towards a closer connection to the land and the customs of its people rather than affirming its position upon an international stage, was not the most opportune time for a young South African composer to arrive in England to study seriously, for the first time, his craft. For if Arnold van Wyk were to "connect" with an aesthetic in England, this aesthetic needed to acknowledge the imperial construct of English cultural identity that assigned to Van Wyk, as a British subject, a place. In other words, the very changes of focus that Esty describes so well, the "mystified territorial nexus of culture and identity", the "spontaneous sense of belonging attached to … the genius of place", the "nationalism of pastoral memory" constituted shifts, I argue, that excluded the colonial subject. Van Wyk's pastoralism, if it existed, was that of the Hantam, not the Cotswolds.[5]

Moreover, a closer reading of Esty's analysis reveals even more poignantly Van Wyk's predicament. In his conclusion, Esty explains how

> a high modernist aesthetic … tends to assume that human consciousness is a universal currency or that its language is at least transcultural. In other words, the canonical works of high modernism represent subjectivity by shuttling between individualizing (psyche) and universalizing (myth) discursive axes. … In moving from archetypal and mobile languages of the psyche towards a more culture-bound psyche, Woolf manages to register the broader transition in English literature from metropolitan modernism to minor culture (Esty, 2002: 269).

When one understands Esty's analysis schematically it becomes clear that Van Wyk, arriving in London from South Africa, was making exactly the opposite transition: *from* a minor culture *to* metropolitan modernism, and *from* the stifling "culture-bound" South African nationalism *to* a universal subjectivity. Recognising this is not, I want to emphasise, another

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[5] Pastoralism in English and South African art in the early twentieth century is a productive avenue for further exploration. More has been written about South African pastoralism in the field of literature (cf. the *plaasroman* or farm novel, an established genre) than in music, but connections exist that could be fascinating topics for further research, especially in the light of the ethically fraught nature of all questions surrounding land and its ownership in South Africa.

instance of asserting that those inhabiting the colonial margin perpetually lagged behind their "models" of the imperial centre; it is an insight that marks a crucial differential in the epistemology of the colonial citizen. In Van Wyk's case it was a particularly tragic one, since the successful completion of his transition from minor culture to a metropolitan culture turning inward, as it were, could only result in the confirmation of his outsider status in both contexts.

However, this argument will only be tenable if it can be shown that the shift from metropolitan modernism to minor culture was taking place in *musical* aesthetic thought as well as in literary thought. Van Wyk's primary cultural exposure was, we should remember, not to writers but to musicians; first at the Royal Academy of Music, and later with Howard Ferguson and his circle of acquaintances, including the composer Ralph Vaughan Williams.

This leads to my second perspective, namely that of the contemporary musical culture and the phenomenon of "Sibelianism". Paul Harper-Scott in his 2008 *Music & Letters* article "'Our True North': Walton's First Symphony, Sibelianism, and the nationalization of modernism in England" sets out to make exactly such a connection between Esty's work and English musical modernism. His argument proceeds from the statement that Walton's career took a demonstrably conservative turn in the mid-1930s and that he seems to have been "deflect[ed] ... from any recognizably modern approach to musical language and form" (Harper-Scott, 2008: 562). Moving on to sketch the "Sibelianism" of the English musical scene in the 1930s, Harper-Scott connects that phenomenon to Esty's "anthropological introversion" via his description of a similar change of aesthetic climate in visual art. In the latter case, the shift of focus from the global to the local, from the metropolitan to the rural, is also articulated in terms of a shift from South to North, as in art scholar Michael Saler's coinage "the myth of the North" (Harper-Scott, 2008: 569).

For Harper-Scott, this idea of a "Northern focus" enables, or at least reinforces, the link he makes between Esty's "anthropological introversion" (with its associated values) in literature, the similar shift from the metropolitan to the rural that he had identified in visual art, and the contemporary culture of Sibelianism in music. For example, he points out that "the serendipitous English musical interest in the Northern Sibelius ... lends the image of the North a useful metonymic resonance" (Harper-Scott, 2008: 573). In the rest of the article, Harper-Scott works out a creative metaphoric connection between, on the one hand, "New

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Formenlehre" scholar James Hepokoski's concepts of rotational form and teleological genesis as Sibelian symphonic techniques, and, on the other hand, Martin Heidegger's concepts of "repetition" and "preservation" respectively. Because Harper-Scott can show how rotational form and teleological genesis are applicable to Walton's First Symphony (1931-5), he reads the work as embodying Heidegger's ethics, which for him has similar objectives to the reinvented English nationalism of the 1930s literary and visual artists.

These metaphoric parallels enable him to locate the "conservative turn" itself as precisely as the finale of Walton's symphony, which he hears as follows:

> The group identity that revels here could indeed be an English nation newly divorced from its former responsibilities and potentialities, glorying in its little-Englandness, proudly proclaiming that no identity could be more cherishable than one rooted in this royal throne of kings, this sceptred isle (Harper-Scott, 2008: 587).

While Harper-Scott's article testifies to an impressive ability to synthesise insights from different disciplines, as well as a remarkable theoretical agility and elegance, some reservations prevent the present writer from concurring with all his conclusions. His above-mentioned reliance on a "useful metonymic resonance" to enable him to draw a parallel between English Sibelianism and the shift of focus in literary and visual arts using the catch phrase "the myth of the North" is a weak point in his argument, and his detour via Heidegger to enable metaphoric interpretations of his Hepokoskian form analysis is not ultimately convincing. Moreover, the conclusions of the analysis itself do not withstand close scrutiny. Harper-Scott makes much of the fact that the flat seventh degree (A♭) which played an

important part in the first movement has been "purged" by the finale, yet the first movement already ends on a pure B♭ major chord without the A♭.

Van Wyk and Sibelius (1): Van Wyk in the context of Sibelianism
Whereas an obvious application of Harper-Scott's insights to Arnold van Wyk's First Symphony would have entailed a Hepokoski-inspired "rotational" analysis of the work along the lines of Harper-Scott's analysis of Walton's First Symphony, which might subsequently have been used to support the hypothesis that Van Wyk's musical and intellectual journey bore witness to the opposite direction from Walton's (i.e. from margin to metropolis), it has proved more productive to appropriate Harper-Scott's description of the aesthetic climate only, substituting other analytical tools to investigate "Sibelian" symphonic techniques.

Harper-Scott's most valuable insight for the present research, therefore, has been the act of bringing together Esty's theory of a change in literary sensibility and the curious English cult of Sibelius in the 1930s. Because of the criticisms levelled above at his particular way of establishing a connection between these two phenomena, it is necessary to re-investigate that connection, forging, if such an understanding could be borne out by the contemporary evidence, a more solid link between them.

Harper-Scott begins his useful summary of the Sibelius "cult" by referring to the reception of Walton's symphony: "The critical response was that it was a Sibelian work, and for that reason a great modern symphony. The reasons for this are not obscure. Sibelius was the post-war influence of choice for British composers" (Harper-Scott, 2008: 563).

In a paper delivered at the second international Jean Sibelius conference in Helsinki in 1995, Laura Gray (1998: 62) notes that the term "Sibelius cult" was often used in the English press in the 1930s. Her overview of the contributors to the cult almost creates the impression of a conspiracy:

> Catalyzed by the 1930 Columbia recordings of the First and Second Symphonies and culminating in the 1938 Sibelius Festival, consisting of no less than six concerts performed by Beecham and the London Philharmonic Orchestra, the "Sibelius cult" in England owes much to the unflagging support of several uncommonly influential people from all areas of the musical world: the most high-profile English conductors and orchestras, the almost unanimous praise he received in the press, especially from the highly esteemed and prestigious music critic, Ernest Newman, and the attention of the young, enthusiastic executive at His Master's Voice, Walter Legge, who produced six volumes of recordings in the subscription series called "the Sibelius Society" (Gray, 1998: 62).

Harper-Scott locates the origin of the "cult" in Sibelius's successful visits to England in 1905, 1912 and 1921, and names the champions of Sibelius's continued iconic status there as the leading music critics Cecil Gray and Constant Lambert, and composers Arnold Bax and Ralph Vaughan Williams. That this is the appropriate intellectual and musical context in which to understand Van Wyk during his English sojourn is borne out by the prominent place of these musicians and authors in his life: Van Wyk owned both Gray's *Sibelius* and Lambert's *Music Ho! A Study of Music in Decline* in which, according to Peter Franklin (2004: 192) "while [the book] was in no sense primarily about Sibelius, it is the Finn who comes out on top, as it were". Vaughan Williams was a personal acquaintance of Van Wyk, and Sir Henry Wood, named by Harper-Scott in a footnote as one of "the other great English Sibelians of his time", was the conductor of the Royal Academy of Music's student orchestra and conducted the

premiere of Van Wyk's First Symphony in that capacity. Significantly, Van Wyk had acquired scores of all Sibelius's symphonic works in the period immediately preceding the composition of his own First Symphony (cf. the dates written into Van Wyk's study scores in the Arnold van Wyk Collection at DOMUS, Stellenbosch).

Peter Franklin has contributed a fairly detailed narrative overview of Sibelius reception in England to *The Cambridge Companion to Sibelius*. Recounting Sibelius's three visits to England during which the latter, with the help of English friends like Sir Granville Bantock and Rosa Newmarch, cemented his "position as a leading 'British' modern" (2004: 187), Franklin names the key figures in the early stages of the Sibelius "cult" (Bantock and Newmarch, of course, the conductors Sir Henry Wood, Sir Thomas Beecham and Sir Adrian Boult, and the critics Ernest Newman, Eric Blom, Cecil Gray, Constant Lambert and Donald Tovey). According to Franklin, "the mid-1930s through to the late 1940s saw a real turn in the tide of wider British Sibelius appreciation, with increasing concert and radio performances, and a continuing series of articles and books on him". In this regard he mentions Gerald Abraham's 1947 *Sibelius: A Symposium* as an example (Franklin, 2004: 194) – another important Sibelianism text that Arnold van Wyk owned.

When Harper-Scott writes that "[it] was inevitable that Walton's symphonic music would be judged – in England at any rate – in an essentially post-Sibelian context" (Harper-Scott, 2008: 564), this statement applies in exactly the same way to Arnold van Wyk's First Symphony. This is confirmed by the abundant references to Sibelius in the English reception of the work quoted in the introduction to this chapter. It may therefore be asserted that an influential group in the English musical establishment had embraced Sibelius as their paragon of symphonic composition at the time, and that this was the musical context in which Van Wyk was immersing himself. It should be noted, however, that Van Wyk's circle represented the conservative sector of the English musical establishment; the "heyday" of Sibelianism in England, itself a reactionary phenomenon, had actually *also* passed by the time Van Wyk arrived in London. Even before Van Wyk's symphony was composed, in 1941, Britten referred to Sibelius and Brahms together as "heavy-handed late Romantics" (Franklin, 2004: 194).

Laura Gray's paper locates the reason for the Sibelius "cult" in a "widespread notion in England from the beginning of the century that there was a 'symphonic problem' inherent in the nineteenth-century symphony", to which "Sibelius's works provided a timely solution"

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(Gray, 1998: 64). This, certainly, is the gist of Cecil Gray and Constant Lambert's adulation of Sibelius in their monographs. Additionally, Franklin conveys the picture painted of Sibelius as a "'nature' mystic" in English scholarship of the early twentieth century (Franklin, 2004: 190) that seems to imply that Sibelius was a figure who, because he could be characterised in such terms, struck a chord with the English late Romanticism of the time. Franklin further cites the contribution of Eric Blom to articulate a connection between Sibelius and the English temperament through a shared "proverbial stiff upper lip and a suppressed melancholy" (Franklin's paraphrase), and a common outlook of the English and the Finnish by describing the latter as a "highly cultured, united and sanely democratic … people" (Blom quoted in Franklin, 2004: 191). Byron Adams has contributed a thorough analysis of English Sibelius criticism in the early twentieth century (Adams, 2011b), and drawn attention to the importance of questions of race and gender in the Sibelius cult. He writes that Sibelius's "evident, unforced masculinity" "thrilled his British admirers" (2011b: 131) in the aftermath of the trials in which Oscar Wilde was convicted of "gross indecency" in 1895, which produced a homophobic atmosphere. Also, English critics saw Sibelius as an embodiment of Finland and the Nordic race, an idea that Adams contextualises by drawing on contemporaneous eugenicist literature.

Understanding the Sibelius cult against the background of Esty's theory of a conceptual "insular contraction" being accomplished in the literature of the 1930s, we may add to these possible reasons for the Sibelius cult that musicians were engaged in a similar process. In the course of his short elucidation of English Sibelianism, Harper-Scott makes a highly significant remark. He writes: "That Sibelius seemed to have effectively given up composition by the time he was adopted this way in England adds to the sense that the pro-Sibelian movement in British music was already a nostalgic phenomenon" (Harper-Scott, 2008: 564). It could be argued that the link between Esty's literary transition from cosmopolitanism to insularity and contemporary thought in musical circles may be no more complicated than this: Through their belated enthusiasm for Sibelius, English composers like Walton were (intentionally) distancing themselves from the mainstream continental developments of modernism, cultivating a conservative style and producing a musical insularity comparable to the literary one described by Esty.

Of course, this observation does not pretend to explain the entire English musical spectrum of the time: Sibelianism was but one important element of the inter-war musical variety. For the sake of locating Sibelianism in that spectrum more precisely, another perspective on the English musical life of this time may be discussed in brief. In her article "The Parataxis of 'British Musical Modernism'", Jenny Doctor (2008) analyses the new music (the so-called "novelties") played during the Promenade Concerts during this time within the context of modernist aesthetics. In particular, she highlights the "political or social functions [that] lay behind the selection, presentation, and discussion of that repertoire within the series" (Doctor, 2008: 92) with reference to World War II. She aligns the nationalities of the composers of the "novelties" with the development of the War and England's involvement, for example as follows:

> Note that even in 1938, none of the composers were German or Italian. [Rather,] the Proms programmers turned to Russia, Belgium, and France for new Continental ideas (e.g., Rachmaninoff, Poot, Roussel, and Milhaud). However, increasing political tensions also encouraged strong home-based nationalist feeling, and … the presentation of recent British music took on a vital meaning (Doctor, 2008: 97).

Doctor notes the strong presence of Sibelius's works on the programmes, explaining that his music "was much-championed in England at the time through recordings, broadcasts, and concert performances, and who was a great favorite with Wood" (Doctor, 2008: 100). She also comments on the political implications of this prevalence as follows, quoting a BBC memo that is revealing of how strongly Sibelius's music was rooted in the English musical culture of the time:

> [The 1942 Proms season novelties show] a healthy allied presence, with works of French, Russian, and American composers. Given the number of Sibelius works that were programmed, it is interesting that a BBC internal memo records: 'In view of the entry of Finland into the war, Sir Henry [Wood] was very much averse to including any music by Sibelius at all. He was, however, finally persuaded that this was an extreme attitude to take.' (Doctor, 2008: 104).

The inclusion of Arnold van Wyk's *Saudade* in the 1943 season is pointed out to have been a political choice in a season "densely packed with allied and Empire works, including music not only of the usual French composers, but also, at the suggestion of the Empire Music Supervisor, by two Australians and a South African" (Doctor, 2008: 105).

The objective of Doctor's article is to rehabilitate the place of British music in the landscape of Continental modernism, where it is often denied a place because of its perceived

conservatism. She seeks to revise the teleological narrative of text-book modernism that takes the "extremes" of modernism as definitive, to allow for "parataxis" – "the juxtaposition of things without providing connectives" (2008: 91), an understanding which would not exclude the English compositions of the period from the history of modernism because they are deemed less "progressive". "From an analytical perspective," she argues, "it is vital to recognise that the political scene encouraged the programmers to shun the predominant Continental modernist trends from before the war to reveal an underlying tapestry of musical activity" (Doctor, 2008: 108). The prominent place of Sibelius's music in that tapestry is manifest in the lists of novelties performed at the Proms, alongside music with more overt political motivations.

While Doctor's research therefore seems generally to support my interpretation of Sibelianism as an effect of Esty's "insular contraction", it is nevertheless important to note subtle differences. Doctor is more concerned with an English introversion vis-à-vis the Continent, while Esty focuses on such an introversion vis-à-vis the Empire. Also, Doctor's subject is the programming of a series of popular events, while Esty writes about changes in the oeuvres of high art authors; therefore, the "strong nationalist home-based feeling" Doctor identifies does not necessarily map onto the objectives of the authors or composers. On the contrary, the authors Esty mentions were wary of and skeptically inclined towards nationalism per se, partly because of its connections with imperialism, and sought to articulate a reinvented Englishness *without* committing to nationalism. There may be a musical parallel in English composers' enthusiasm for a Sibelian symphonic style as a medium for an English art music that does *not* constitute a nationalist or imperialist style.

One possible objection to my reading of Sibelianism as connected to Esty's "insular contraction", is that pastoralism in music seems to fit Esty's description of a renewed focus on insularity and celebration of a homely, rather than an imperial, Englishness, better than does Sibelianism. Byron Adams offers an interesting perspective on the origin of pastoralism in music which connects it to the broader aesthetic of its time (i.e. the first quarter of the twentieth century) in a similarly directed reading to the one I am constructing here for English Sibelianism. Adams interprets pastoralism as an outcome of the Oscar Wilde trials (we have also seen that he situates the element of enthusiasm for patent masculinity in English Sibelius criticism in this same environment):

> The immediate effect of Wilde's humiliation on British composers, suddenly self-conscious about their own social status in a society habitually suspicious of the sexual mores of artists, was to bring about a decisive change in aesthetics. The Irish author's fate signaled the end of both the aestheticism of the pre-Raphaelites and the delectable shame celebrated by the English Decadents. Banished virtually overnight were witty paradoxes, elegant waistcoats, green carnations, voluptuous twilights, scented brocades, references to Baudelaire, muted homoeroticism, and the perfervid celebration of Wagnerian erotic excesses. In their place, as signifiers of the modern, came pastoral landscapes flooded with daylight, rough tweeds, tramps over steep downs and through wet fields, ruddy manliness, folksongs, and Elizabethan madrigals (Adams, 2008: 4).

My contention is that precisely because pastoralism did not prove to be an effective vehicle for a sophisticated art music, the aesthetic shift described by Esty needed another musical style, and that the Sibelian symphonic technique was such a suitable style. Although Saylor (2008) has written a defence of English pastoralism as "serious" modernist music, for example in the case of Vaughan Williams's *Pastoral Symphony* which the composer revealed to be a reaction to his experience in the First World War, the need for Saylor to defend pastoralism in music on those counts seems to prove that, in general, music in a pastoral style was taken as escapism rather than high art.

It seems a satisfactory interpretation of the existing research on English 1930s aesthetics, then, to interpret Sibelianism – both as a nostalgic enthusiasm for Sibelius's symphonic music and as a symphonic style for new English compositions – as a musical counterpart of what Esty identified in literature as an "insular contraction" or an "anthropological introversion". Although Sibelianism was not an all-pervasive musical phenomenon, there can be little doubt that it is the appropriate context in which to view Van Wyk's First Symphony, on the one hand because the reception of the work situates it in the context of Sibelianism, and on the other hand because some of Van Wyk's musical acquaintances (notably Vaughan Williams and Wood) were "Sibelians".

If it is accepted that (a) the English musical establishment, through the phenomenon of Sibelianism, was making a transition from a vision of itself as a universalising centre to particularised culture, and (b) Van Wyk's arrival in England from South Africa entailed a transition in exactly the opposite terms, from the provincial to the cosmopolitan, then it becomes possible to argue that for Van Wyk to compose in a Sibelian symphonic style meant the opposite of what, in Harper-Scott's analysis, it meant to Walton. When Harper-Scott hears Walton taking a conservative turn through a Sibelian symphonic technique, the

very same technique facilitated Arnold van Wyk's transition from the parochial to the metropolitan in what was termed above a crucial epistemological differential characterising colonial culture.

In order to work out this observation musically, I now turn to a two-part analysis of Van Wyk's First Symphony. Each of the two analytical tools employed here has engendered a comparison with one of Sibelius's symphonies, and these comparisons will be discussed after each of the two parts of the Van Wyk analysis.

III.   Van Wyk's First Symphony as a Two-Dimensional Sonata Form

The term "two-dimensional sonata form" was coined by Steven vande Moortele (2009). His definition, given in the introduction to his book, is the following:

> Although the term may not be familiar, the phenomenon it denotes is. 'Two-dimensional sonata form' refers to a principle of formal organization that is used in several large-scale instrumental compositions of the second half of the nineteenth and early twentieth centuries. In these compositions, the different movements of a sonata cycle are combined within a single-movement sonata form (Vande Moortele, 2009: 1).

The two "dimensions" of the term, then, are (1) the dimension of the *cycle*, i.e. the succession of different movements represented in the composition (e.g. first movement-slow movement-scherzo-finale) and (2) the dimension of *overarching sonata form,* the sonata form of the composition as a whole (e.g. exposition-development-recapitulation).

The most frequently cited precursors to whom Vande Moortele reacts in formulating his theory are William Newman (1969), who described works such as those Vande Moortele discusses as "double-function forms" and Carl Dahlhaus (1988), whose word "Mehrdimensionalität" inspired Vande Moortele's own preferred term, although Dahlhaus himself used the concept "Mehrsätzigkeit in der Einsätzigkeit". Vande Moortele also situates his own contribution in the context of more recent publications by William Caplin (1998), James Hepokoski (e.g. Hepokoski, 2001, Hepokoski and Darcy, 2006), and Timothy Jackson (1999).

The elegance and power of Vande Moortele's tool lie in the systematic application of his insight that within a two-dimensional sonata form, the two dimensions represent simultaneous form-functional trajectories, and that the form function of the musical material is continually negotiated between the two dimensions. His tabular analyses represent the

interaction of the functions by assigning separate rows or columns to each dimension. The form function of a given selection of musical material can, in this way, be shown to be the same in both dimensions, or to be different for each dimension, or there may be musical material that belongs only to one of the two dimensions. In this last regard, Vande Moortele distinguishes between an "interpolation" – where "a movement of the cycle is interpolated into the overarching sonata form" so that "for the duration of the interpolation, the overarching sonata form is suspended", and an "exocyclic unit" – "a unit that belongs exclusively to the overarching sonata form and plays no role in the sonata cycle" (Vande Moortele, 2009: 25-26). These terms are complemented with a further distinction between the *overarching sonata form* and the *local sonata form*, the latter being the sonata form of the first "movement" in the dimension of the cycle.

It is clear from Vande Moortele's definition quoted above that Van Wyk's single-movement First Symphony belongs to the category of two-dimensional sonata form, and I believe that analyzing it after Vande Moortele's example can yield important insights about the composition. Indeed, this aspect of the work's structure was discussed in a short unpublished paper by Izak Grové (2004), who compared it with Liszt's B minor sonata, referring to Dahlhaus's "Mehrsätzigkeit in der Einsätzigkeit", an important precursor to Vande Moortele's method. Grové very briefly illustrates formal parallels between Liszt's B-minor sonata (1853) and Van Wyk's symphony (1943), as well as the one-movement symphonies by Franz Schmidt (his Fourth Symphony, 1933) and Schoenberg (*Kammersinfonie,* Op. 9, 1906) – findings that emphasise the profitability of a detailed two-dimensional analysis of Van Wyk's symphony according to Vande Moortele's method.

Before embarking on such an analysis, though, it will be enlightening to revisit the reception of the piece: The two English performances of the symphony (the 1943 broadcast and the 1951 performance at the Cheltenham Festival) engendered a wealth of reviews from eminent music critics of the time, and some of these documents engage with precisely that aspect of its form that concerns us here.

As I indicated at the beginning of this chapter, Howard Ferguson (probably in cooperation with Van Wyk) wrote a programme note for the 1943 broadcast that was used again at the Cheltenham Festival. This note describes the two-dimensional sonata form with some analytical vagueness:

> A glance at the score tells us that the symphony is in one continuous movement, lasting something under 20 minutes. Different sections of this one movement have certain affinities with the separate movements of the normal symphonic plan; but the comparison must not be pressed too far, or difficulties will be encountered (Ferguson, 1943).

A reading of Ferguson's whole analysis with the concept of two-dimensional sonata form in mind reveals that he concentrates chiefly on the dimension of the overarching sonata form, which is perhaps not surprising in light of the short duration of the work. He divides the symphony into three "sections"; the first and third of these are described in terms of their function in the overarching sonata form, as exposition and recapitulation respectively, and the second in terms of the dimension of the cycle, as a scherzo. The function of the first section in Ferguson's mind can be inferred to be that of exposition in terms of how he describes the material (he speaks of a "direct and concise statement of all ... thematic elements"). The second section is described by Ferguson as "correspond[ing] to the symphonic scherzo", again certainly in consultation with Van Wyk, as this term also appears on the sketch documents. The third section in Ferguson's analysis "has the effect of a free recapitulation of the First Section" and is followed by a "coda" – another term that corresponds to a sonata form scheme and not a movement of the cycle.

Because subsequent critics had access to Ferguson's note, it should be no surprise that some of them echo his observations with regard to the two-dimensional sonata form. William Glock, for example, agrees with his tripartite division (with appended coda), but Glock's terminology centres on the cyclic dimension rather than that of the overarching sonata form:

> There is no break between first movement and Scherzo or between Scherzo and finale, and all three have material in common. (Glock, 1943)

This view may be represented schematically as follows:

Table 1: Ferguson and Glock's view of Van Wyk's First Symphony as a two-dimensional sonata form

Bars	1-162	163-489	489-614	614-641
Cycle	First Movement	Scherzo	Finale	(Poco Adagio)
Overarching sonata form	Exposition	Development	Recapitulation	Coda

Veronica Franke's recent article explains the formal divisions of the work as Ferguson and Glock do (Franke, 2012: 98), but she understands all of the last three sections to embody a developmental function. Like Ferguson, she focuses on the overarching sonata form

dimension more than on the cyclic dimension, designating the four sections Exposition-Scherzo-Recapitulation-Poco Adagio.

Izak Grové's analysis mentioned earlier takes much the same view, understanding the "first movement" as performing an expository function, but highlighting the Molto Calmo section just before the Scherzo as a "suggestion of a slow movement" (Grové, 2004) which functions as a transition to the Scherzo (which corresponds, in his view, to the Andante Sostenuto section in Liszt's B-minor Sonata which performs much the same function). Grové's interpretation may be shown as follows:

Table 2: Grové's interpretation of Van Wyk's Symphony as a two-dimensional sonata form

Bars	1-108	108-162	163-489	489-641
Cycle	First Movement	Slow Movement	Scherzo	Finale & Epilogue
Overarching sonata form	Exposition & Early "development"	Transition to Scherzo	Development	Recapitulation

Desmond Shawe-Taylor departs from Ferguson's analysis to articulate a more complex view of the two-dimensional sonata form.[6] He writes:

> In particular, the one-movement form, which can easily become a bore, here fully justifies its use. Between development and recapitulation a scherzo is skillfully embedded, and a curiously impressive coda takes the place of a slow movement (Shawe-Taylor, 1951).

He identifies the Scherzo as an interpolated movement (i.e. music that has a function only in the dimension of the cycle) between the development and the recapitulation (which function, of course, in the overarching sonata form). Moreover, Shawe-Taylor's statement that the coda "takes the place of a slow movement", can be interpreted, in the conceptual frame of two-dimensional sonata form, to mean that the material of the coda functions as a slow movement within the cyclic dimension of the composition. Shawe-Taylor's interpretation of the two-dimensional sonata form can be shown as follows:

Table 3: Shawe-Taylor's view of Van Wyk's First Symphony as a two-dimensional sonata form

Bars	1-108	108-162	163-489	489-614	614-641
Cycle	First Movement		Scherzo	Third Movement	Slow Movement
Overarching sonata form	Exposition	Development		Recapitulation	Coda

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[6] It seems clear from his review that he must have had access to a score, and naturally he knew Ferguson's analysis from the published programme note.

Vande Moortele's method offers a tool with which to work out such insights in a more rigorous way, and to theorise about the interaction between the two dimensions more precisely.

At the beginning of a two-dimensional sonata form, the interaction between the two dimensions exists in the interaction between the local and the overarching sonata form, the former embodying the first movement in the dimension of the cycle. It is logical to expect that at the onset of the piece, the functions of these two formal trajectories may overlap; Vande Moortele calls the moment at which they no longer do the "dimensional disconnection" (Vande Moortele, 2009: 47).

In Van Wyk's symphony, the exposition functions of the two dimensions coincide until bar 57. This first section constitutes the entire exposition of the local sonata form, which plays out as a three-key exposition tonicising I, ♯iii and v.[7] The exposition of the overarching sonata form dimension, however, continues up to bar 108, at which point the subordinate key of the overarching sonata form, C major, is reached.

The development of the local sonata form comprises bars 57-108, presenting a new development theme, and restating the second subordinate theme with different orchestration. Bar 57 therefore represents the "dimensional disconnection", that moment when the formal functions in the two dimensions diverge. In the overarching sonata form, the material in bars 57-108 may be taken to continue the subordinate theme group with a third subordinate theme, interspersed with a statement of the second.

The divergence of formal function in this section also illustrates the negotiation of function integral to a two-dimensional sonata form: The material itself contains certain formal ambiguities that allow a negotiation between the two functions of development and subordinate theme. The relatively unchanged statement of the second subordinate theme in the middle of this section connects it to the subordinate theme group and so facilitates an understanding of this music as belonging to the subordinate theme group in the overarching sonata form; at the same time, the developmental character and greater tonal instability of the material allow it to be understood as embodying the development section of the local sonata form.

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[7] The first subordinate theme is marked "2nd subject" on the sketch documents (Van Wyk, 1942[?]).

The next section, bars 108-162, displays a similar give-and-take between the characteristics of the formal functions in both dimensions. In this case, however, the overarching sonata form clearly takes precedence over the local sonata form. There is the effect of a re-arrival on main theme material in a slow tempo (Molto Calmo) that seems to signal an ending, but there is no tonal closure (the material is presented off-tonic in C major, then repeated in D major). The Molto Calmo section turns out to have been a short interlude only, and the main theme character is regained at Tempo Primo in bar 137. The recapitulatory character is lost at this point in favour of a developmental one, although the perfect cadence using ST II material in C♯ major in bar 155 could represent a gesture that seeks to lend some closure to the local sonata form. The overriding function, therefore, of the material in bars 108-162, seems to be that of the first phase of the development in the overarching sonata form dimension, developing main theme material and incorporating motifs from ST II.

Indeed, the precedence of the overarching sonata form over the cyclic dimension applies to the entire symphony: Because of its short duration, the individual movements of the cyclic dimension cannot establish their own formal functions assertively and never constitute self-contained units, as is the case in more elaborate two-dimensional sonata forms (such as the ones analysed in Vande Moortele's book). Rather, the movements of the cycle lend their character and gesture to sections of the overarching sonata form.

The Scherzo, then, while Shawe-Taylor understood it as an interpolated movement, may in a fully-fledged two-dimensional sonata form analysis rather be interpreted as the second, third and final phases of the development of the overarching form, cast in the metre and character of a Scherzo. The tripartite division of this section seems to echo the design of a Scherzo-and-Trio, but the content and tonal plan do not bear this out; there is no reference between the first and third of the three parts. While the formal function of the first part is clearly developmental throughout, each of the second and third parts seems to start with an initiating function (this effect, indeed, is what separates the sections) that in addition seem to assert a new key (C minor and G minor respectively). However, these initiating gestures soon give way to the overriding developmental character of the section as a whole.

The recapitulation of the overarching sonata form is associated with the finale of the cycle, and opens with, as Ferguson (1943) describes it, "a majestic transformation" of the subordinate themes. The first section recapitulates the end of ST II and states ST I twice, on

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E♭ and on D, and the second section combines ST II with motifs from the main theme and ST III to reach a climax in the key of VI, F major (Ferguson calls this "a climax of the utmost intensity, with the strings left blazing in the heights", to which Van Wyk in his copy of Ferguson's note had added the comment ["Golly!!"]). The off-tonic recapitulation of the subordinate themes that occurs before the tonic recapitulation of the main theme will be addressed in section IV.

The recapitulation of the main theme in the home key (here cast as A major) follows, presented in the character of a slow coda (Poco Adagio – Più tranquillo). In the dimension of the overarching sonata form, I interpret bars 586-641 as a conflation of the recapitulation and coda spaces, because the radical change in tempo and character in bar 586 makes it more meaningful to understand bars 586-641 as one section, than to understand bars 586-614 as the conclusion of the recapitulation and bars 614-641 as the appended coda, as Ferguson had done. In the dimension of the cycle, this material seems to represent the slow movement, displaced from its usual appearance as a second movement (the absence of which seems in retrospect to have been emphasised by the "slow movement fragment" in bars 108-136).[8] These choices will be interpreted with reference to Jackson's concept of tragic reversed sonata form in Section IV. The observations on the two-dimensional sonata form of the symphony are summarised in Table 4.

The kinds of ambiguities and negotiated interpretations of musical material that I have discussed above characterise more aspects of the music than just the formal structure: the tonal plan and voice leading structure of the symphony, too, are pervaded by musical gestures that may reference multiple meanings. In this short and terse work, these ambiguities are portrayed as the issues with which the symphonic argument grapples, and as I shall show below, the fact that they remain unresolved contributes to the elements of tragedy and protest in the narrative of the piece.

The first of these ambiguities makes itself felt in the opening measures: the role of chord IV as an entity that problematises the clarity of harmonic reference. While the opening may be heard straightforwardly as a tonic prolongation, with the G-F♯-E line in bars 2-3 and 5 simply

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[8] This compositional decision can be linked to a similar choice Van Wyk made when changing the order of the movements in his string quartet so that this work, too, ended with the slow movement.

as a decoration of $\hat{5}$, the motion of G to F$\sharp$ subtly threatens to turn chord I into V7/IV. This principle persists throughout the background structure, the long IV-prolongation in bars 522-585 preventing the resolution to V, so that when chord V is finally achieved it coincides with the lamenting coda and postponed recapitulation of the main theme (cf. Table 4).

Moreover, the role of chord IV is connected to another ambiguous musical gesture, namely which cadence is to be interpreted as the true structural cadence: the authentic one composed out in bars 586-614, or the plagal one at the very end of the coda, in bar 637-641? A first glance at the middleground graph on Table 4 would probably indicate the former as the clear structural cadence, since it is the norm that plagal cadences follow structural authentic cadences in codas. However, the status of the authentic cadence as the structural one is rendered ambiguous by its pianissimo dynamic and self-effacing texture and material, whereas the plagal cadence is fortissimo and affirmative.

The matter of the true structural cadence is also related to a third important issue in this work: is C$\sharp$, or is C, the primary tone? For if C$\sharp$ ($\sharp\hat{3}$) is the primary tone as I interpreted it on Table 4, then the obligatory register is reached at the authentic cadence in bar 614 – but if C supplants C$\sharp$ as the primary tone through its extensive prolongation in bars 108-489 (let us not forget the designation "Symphony in A *Minor*"), then the obligatory register for the resolution to $\hat{1}$ is reached only in the closing moments of the work, over the plagal cadence in bars 637-641. Of course the C$\sharp$/C question may be no more complicated than its representation on Table 4, with C as a chromatic passing tone between C$\sharp$ and B (the resolution to B being postponed by the B$\flat$ at bar 489), but this interpretation is challenged by a number of factors. First, C is present in the opening even before the initial ascent to C$\sharp$. Second, the subordinate key of the overarching sonata form is C major (it underlies the prolongation of C in the upper voice in bars 108-489), a key that supplants the short presence of C$\sharp$ minor as subordinate key of the local sonata form in bars 27-46. (The unusual length of this III-prolongation hangs together with the absence of an interruption in the fundamental structure, an aspect of the form which will be further commented on in Section IV with reference to Jackson's "tragic reversed sonata form".) Third, while C is prolonged in the top voice of the background structure, the middleground top voice begins

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a new prolongation above it that portrays a mini-drama in C within the larger tonal drama in A.

Table 4: Two-dimensional sonata form analysis of Van Wyk's First Symphony

Voice Leading	Overarching Sonata Form	Local Sonata Form	Cycle	Measures
Voice-leading graph (handwritten) with analytical labels: a: i; a: (♭2̂ ♯2̂) ♯3̂; III; c: 1̂ 2̂ ♯2̂; c: 3̂; 5-6 5-6; III	**Exposition**: MT → Transition (ST I).	**Exposition**: Main Theme → Transition (ST I)	First Movement	1-24
	Subordinate Theme I (ST I).	Subordinate Theme I (ST II)	First Movement	25-41
	Subordinate Theme II (ST II).	Subordinate Theme II Th.	First Movement	41-56
	Development: 57-73: ST III (= devmt of MT); 74-85: ST II in F; 86-108: ST III.	**Development**: 57-73: Devmt Theme (= devmt of MT); 74-85: ST II in F; 86-108: Devmt Th.	First Movement	57-108
	Development — Development Phase I: Development of MT and motifs from ST II	**Recapitulation-like Unit**: Arrival on material of MT in C major, perfect cadence with ST II motif in C# minor at 155	Slow Movt [Fragment]	108-137
			First Movt Cont'd	137-156
	[shaded]	[shaded]	Trans. to Scherzo	157-162
	Devmt Phase II; motifs from ST II & MT.		Scherzo	163-276
	Devmt Phase III; New Idea derived from MT.		Scherzo	276-363

	Devmt Phase IV; motifs from MT & ST III. New idea.				364-489

[Table 4 continued]

Voice Leading	Overarching Sonata Form	Local Sonata Form	Cycle	
(musical voice-leading sketch)	**Recapitulation → Coda** Recapitulation of ST I (& end motif of ST II).		Finale	489-522
	Recapitulation of ST II (with motifs from ST III & MT). ST II climax in F.			522-585
	Recapitulation of MT (coda-like character)		Slow Movement	586-614
	Coda character continues; expanded cadence.			614-641

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The middleground begins a chromatic line C-D-D♯ in bars 108-123 that therefore projects the attainment of E as its goal, analogous to the chromatic rise from A to C♯ in the initial ascent of the composition. This E is finally reached over C at the beginning of the Scherzo in bar 163. It is prolonged for most of this "movement", rising via F♯ to G at bar 489, the beginning of the finale/recapitulation section. At this moment, although the background top voice moves to ♭3̂ (B♭), the middleground strives to reassert C as the goal of a descending line, both as the conclusion of the "mini-drama" over C in the middleground, and as the true primary tone 3̂. But the reassertion of C as 3̂ is doomed to failure – its first attainment in bar 569, for all its military insistence, is not supported by a consonant bass at all, and its climactic entry in bar 580 takes place over F, part of the prolongation of chord IV that underlies the entire finale. Fourth, the recapitulation of the Main Theme begins over an A major chord, but the C soon reappears as part of the melody in bar 597, and the authentic cadence at bar 614 resolves to A minor, not A major. Even at that late moment, though, the C♯ is far from "purged": in the very next bar, and through the rest of the coda, the conflict between C♯ and C is driven to its most intensive point, sounding simultaneously as a double third of the A major/minor chord in bars 615-617 and juxtaposed dramatically in bar 628. Finally, the fact that the conflict remains unresolved to the last is highlighted by the absence of a third in the last chord of the work. This omission is intentional: On a sketch for the end (Van Wyk, 1942) reproduced below as Figure 1, on which he had intended to compose the final triad of A, D and E (probably to echo the opening motif) Van Wyk had written "But no third – no finality!"

I believe that the portrayal of unresolved issues in Van Wyk's symphony may be understood in the context of his interaction with Sibelius and with Sibelianism, and I shall undertake such a contextualisation in Section IV, after drawing on Tim Jackson's idea of "tragic reversed sonata form" to discuss further important issues pertaining to the formal and tonal argument of the work.

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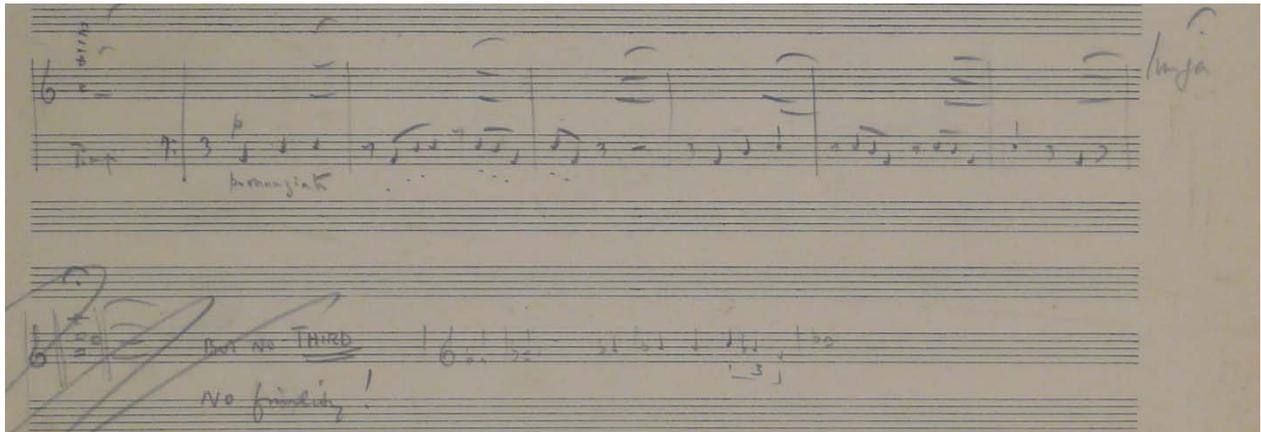
Figure 1: Van Wyk, sketch for end of First Symphony, 1942

Van Wyk and Sibelius (2): Sibelius's Seventh Symphony as a Model of Two-Dimensional Sonata Form

I have mentioned above that the name of Sibelius appears remarkably regularly in the reception of Van Wyk's symphony. Specifically, Ferguson (1943) invoked Sibelius's Seventh Symphony, which is also a two-dimensional sonata form, as an obvious comparison work for Van Wyk's First:

> Unlike Sibelius – who starts his one-movement 7th Symphony with characteristically indefinite material, and from there works his way towards definition – Van Wyk begins with uncompromisingly direct and concise statements of all his thematic elements.

Richard Capell (who certainly read Ferguson's note, reviewing the Cheltenham Festival performance of the work) agreed with the suitability of a comparison with Sibelius's Seventh as a model work, but found that Van Wyk's piece did not quite live up to its inspiration source. It is interesting to note, also, the way in which Capell can easily refer to "Sibelius's scherzo" and "Van Wyk's [scherzo]" as though he takes the cyclical form of both, containing a scherzo-like section within the one-movement structure, as an obvious fact requiring no explanation:

> Like Sibelius in his seventh symphony the South African has grappled with the problem of composing an uninterrupted piece of music in which features of a complete symphony should all be represented. Sibelius was far from being the first to attempt this form. Something of the sort is found in Liszt's B minor sonata. But Sibelius's No. 7 represents the triumph of the idea. That the solution of a formal problem was involved is forgotten in the effect made of natural impulse and growth. Sibelius's scherzo arrives, as Mr. van Wyk's does not, like the inevitable outcome of what has gone before. But if in the new symphony we are aware of something schematic the composer's grip, his purposefulness, the inherent interest of his thought and his intellectual control make an uncommon impression (Capell, 1951).

Vande Moortele has identified Sibelius's Seventh as a two-dimensional sonata form in the chapter he contributed to *The Cambridge Companion to the Symphony* (Vande Moortele, 2013: 280-282), but explains that because the overarching form is that of a slow movement, "the different movements do not amount to an orthodox sonata cycle" (Vande Moortele, 2013: 280). Rather, the overarching form is structured by the three appearances of the "grand trombone theme" in bars 60-92, 222-241 and 476-507, around which the other sections are arranged in an "arch-like design" (Vande Moortele, 2013: 281). Table 5 is a two-dimensional symphonic form analysis adapted from Vande Moortele's similar tabular representation (2013: 282) and expanded from his explanatory text.

Table 5: Sibelius, Symphony No. 7: Two-dimensional symphonic form analysis by Vande Moortele

Bars	Overarching Form (SLOW)			Cycle
	Framing Functions	**Trombone Theme statements**	**Developmental units**	
1-22	Introduction			
23-59		Exposition →**Trombone theme + continuation (C major)**		
60-92				
93-155			Development I	
156-207				Interpolation (Scherzo-like)
208-221		Dominant preparation		
222-241		**Trombone theme + continuation (C minor)**		
242-408				Interpolation
409-448			Development II (pendant to the first development)	
449-475		Dominant preparation		
476-507		**Trombone theme + continuation (C major) (Climax)**		
508-525	Coda (recalls Introduction)			

Although Vande Moortele ultimately found it untenable to project an overarching *sonata* form model onto the Seventh Symphony, a number of scholars have felt the work does exhibit an (overarching) sonata form procedure. Timothy Jackson (Jackson, 2001) has interpreted the structure as a "super-sonata design", a concept that has many points of

convergence with Vande Moortele's two-dimensional sonata form, but may also apply to cyclic works in which the different movements are not continuous.[9] In Jackson's analysis of Sibelius's Seventh Symphony, the Scherzo is analysed as fulfilling the function of development in the overarching sonata form (Jackson, 2001: 265-266). For the sake of consistency I have transcribed Jackson's super-sonata form analysis in the manner and terminology of Vande Moortele's two-dimensional sonata form in Table 6.

Table 6: Sibelius, Symphony No. 7: Two-dimensional sonata form analysis adapted from Jackson

Bars	Overarching sonata form			Cycle	
1-59	Introduction				
60-207	Exposition	60-83	**First Group (Jackson: "Aino"; Vande Moortele: "Grand Trombone Theme")**		
		84-92	Bridge		
		93-207	Second Group		
208-448	Development	208-242	**Transformation of "Aino" (First Group)**		
		243-260	Transition to Scherzo		
		261-284	[Continued development]	Scherzo	Introduction to Scherzo
		285-319			Scherzo I
		320-342			Quasi-Trio
		343-408			Scherzo II
		409-448	Episode linking Scherzo to retransition		
449-475	Retransition				
476-499	Recapitulation: **First Group** & Transformed Second Group				
500-510	"Catastrophe"				
511-end	Coda				

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[9] Jackson's own definition of this concept (set out in his *Tchaikovsky: Symphony No. 6* and quoted in *Sibelius Studies*) is that, in this form, "the three spatial divisions of sonata form – exposition, development, and recapitulation – are superimposed upon the design of a unified – usually (but not always) continuous – four movement macro-symphonic form. In this superposition, the first movement generally fills the exposition space containing the first and second groups of a normative sonata form, and the Finale is assigned to recapitulation space and encompasses the recapitulation of the first and second groups. The spatial envelope of either "development space" or "recapitulatory space" is then extended by interpolating spatial envelopes for the other movements, usually a slow movement and Scherzo, into the spatial envelope of the development or recapitulation" (Jackson, 2001: 186).

The great differences between these two interpretations indicate the profound ambiguity of the musical function of Sibelius's material. The two scholars agree about the importance of the "grand trombone" / "Aino" theme, but the only other correspondence is the fact that the material in 242-408 is understood to function in the dimension of the cycle. The "catastrophe" moment in Jackson's analysis derives from his interpretation of the voice-leading at that point, in which the tonic, C, as well as the "Aino" theme itself, are represented as "trapped" in a subdominant prolongation. In Section IV of this chapter I shall present a reading of the recapitulation of Van Wyk's symphony that will reveal a similar representation of crisis in the symphonic argument.

A doctoral student of Jackson's, William Pavlak, has conducted an analysis of the symphony that combines Jackson's analysis with Edward Laufer's rondo form interpretation (Laufer, 2001). I have transcribed one of Pavlak's analytical figures that reflect this combination (Pavlak, 2004: 58) in two-dimensional format in Table 7. His combination of sonata and rondo interpretations arrives at an interpretation that also recognises a "Proto-Scherzo" in the dimension of the cycle (bars 93-207) – this unit overlaps with what Vande Moortele understands as a first, "scherzo-like", interpolation (see Table 5). More common ground between Pavlak and Vande Moortele is the observation that the overarching form is a slow movement, with the Scherzos offset by their faster tempo. Whereas for Vande Moortele, both Scherzos are interpolations, i.e. they function only in the dimension of the cycle, for Pavlak the "Proto-Scherzo" has an expositional function and the second Scherzo is interpolated.

Table 7: Sibelius, Symphony No. 7: Two-dimensional sonata form analysis adapted from Pavlak

Bars	Overarching sonata form		Cycle
	[SLOW MOVEMENT]		[FAST MOVEMENTS]
1-22	Introduction	Part I	
22-59		Part II	
60-92	Exposition	**1st group**	
93-148		2nd group	Proto-Scherzo
149-207		Closing group	
208-284	Development	**1st group**	
285-475			Scherzo
476-509	Recapitulation	**1st group**	
510-525	Coda		

Van Wyk was certainly aware of the unique form of Sibelius's symphony, and the formal functions of sections interested him particularly. In his own score, bought in 1941, he made notes such as "Development?" (marked at bar 93) and "Development II? Recap?" (at bar 222).[10] There are no explicit clues to suggest that he had taken the Sibelius symphony as a model for his own two-dimensional practice, but it is nevertheless striking that the two interpretations of the role of the Scherzo in Van Wyk's symphony in the published reception (i.e. either as fulfilling a developmental function, as in the interpretations of Glock, Ferguson and Grové,[11] or as an interpolated movement, as in the interpretation of Shawe-Taylor),[12] correspond exactly to the two interpretations of the role of Sibelius's Scherzo in the analyses of Vande Moortele (who identifies two interpolations and remarks that one is scherzo-like) and Jackson (who recognises one Scherzo, which is developmental).

IV.   Van Wyk's First Symphony as a Tragic Reversed Sonata Form

In the conclusion to his book, Vande Moortele reflects in a meta-analytical way about the implications of his concept of two-dimensional sonata form:

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[10] There are also many other analytical notes in Van Wyk's score, but many of them derive from Parmet's 1959 analysis (Parmet, 1959), which could not have informed Van Wyk's thinking as he composed his own symphony. Van Wyk explicitly indicated in his score that the *red* markings reflect Parmet's analysis. Of the other markings, I suggest that the ones followed by question marks reflect Van Wyk's own ideas before he encountered published analyses.
[11] See Table 1 and Table 2.
[12] See Table 3.

> Two-dimensional sonata form is an answer … to two central preoccupations of large-scale instrumental form in the post-Beethovenian nineteenth century. One is the search for a solution to the recapitulation problem in sonata form, for a way of avoiding too close an analogy between the recapitulation and the exposition without neglecting one of the form's most fundamental requirements. The other is a strong tendency towards cyclic integration in multi-movement compositions (Vande Moortele, 2009: 200-201).

In what way does the use of a two-dimensional sonata form scheme solve the "problem of the recapitulation"? Vande Moortele concludes that "almost every new two-dimensional sonata form comes with a new solution for it" (Vande Moortele, 2009: 201). He then cites the strategies employed in the compositions analysed in his book, for example Liszt's identification of "the finale with the recapitulation and coda of the overarching sonata form" in the B-minor Sonata, or Strauss's incorporation of "the new theme from the development in the recapitulation to give it the character of a finale" in *Don Juan* (Vande Moortele, 2009: 201).

The question that presents itself, of course, is how Van Wyk's two-dimensional sonata form was able to solve the "problem of the recapitulation". On the one hand, I think it may be argued that the invocation of the cyclic gestures of the triumphant finale and the tragic slow movement at the end provided a programmatic solution to the problem. On the other hand, in the dimension of the overarching sonata form, I think Van Wyk found a solution to the problem of the recapitulation in the reversal of the themes as described above: the subordinate themes were recapitulated *first* as the finale, and moreover not in the tonic key, and the main theme was recapitulated *second,* conflated with the coda, in the tonic key. This reversal of the recapitulation has far-reaching programmatic implications that refer to a range of symphonic compositions throughout the nineteenth and early twentieth centuries.

The practice has been analysed by Timothy Jackson as "tragic reversed sonata form", in a chapter of *Bruckner Studies* entitled "The Finale of Bruckner's Seventh Symphony and the tragic reversed sonata form" (1997). In this study, Jackson delineates a group of compositions in sonata form of which the recapitulations present the themes in a different order from their appearance in the exposition. This specific alteration to the sonata form normative at the time (in which the themes are presented in the same order in the exposition and the recapitulation), seems for Jackson to be connected with "tragic, programmatic implications" in the compositions that make use of it (Jackson, 1997: 143). In addition to the formal irregularity, the tragic reversed sonata form is also characterised by a tonal one. At

the beginning of the recapitulation, besides the fact that the subordinate theme or themes replace the expected main theme,[13] "the recapitulated material [is] … recomposed so that the tonic due at the beginning of the recapitulation is either suppressed or devalued" (Jackson, 1997: 143). Jackson understands this sonata "deformation" (the term, of course, is indebted to James Hepokoski) as a rhetorical gesture comparable to Aristotle's device of *peripety* in tragic plots. "In a small number of reversed sonata forms in the German tradition post ca. 1770, the reversed recapitulation combined with the displaced tonic has programmatic significance, representing tragic peripety wrought by capricious and unkind Fate" (Jackson, 1997: 148). Jackson constructs a persuasive list of compositions in which the formal and tonal deformation may be associated with such programmatic content, ranging from the finale of Haydn's Symphony No. 44 in E minor ("Trauersymphonie") of 1771 through Brahms's *Tragic Overture* Op. 81 (1881) and the finale of Mahler's Sixth Symphony (1904) to the first movement of Schoenberg's Second String Quartet (1908). Finally, before embarking on an impressive number of analyses in which the subtleties of different applications of tragic reversed sonata form are highlighted, Jackson clarifies the programmes of this group of compositions further, referring once more to the role of Fate/Destiny:

> The genre of the tragic reversed sonata form is the antithesis of the "dark-to-light" or "strife-to-victory" model. In the narrative plots of [such] … pieces …, the cruel blows of destiny are never overcome as they are, for example, in Beethoven's Fifth and Ninth Symphonies, Schumann's Second Symphony, and Tchaikovsky's Fifth Symphony; there is no rescue, no *deus ex machina,* no song of rejoicing (Jackson, 1997: 149).

Additionally, the role of Fate/Destiny is connected in Jackson's chapter to the fact that the fundamental structure of a tragic reversed sonata form is undivided, rather than containing an interruption:

> The background tonal structures in tragic reversed sonata forms are quite different from the interruption structures underlying sonata form presented by Schenker in *Free Composition.* … In Schenker's sonata model, the return to the structural tonic supporting the primary tone at the beginning of the recapitulation signifies a tonal return deep in the middleground. The idea of a second chance in the deep middleground is foreign to tragic reversed sonata form. In the tragic context, the undivided upper voice and continuously unfolding harmonic-contrapuntal process parallel the inexorable unravelling of tragic destiny (Jackson, 1997: 151).

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[13] Although Jackson prefers "first group", "second group" and (if necessary) "third group" to refer to the material in the exposition, I follow William Caplin in designating the themes "main theme" and "subordinate theme" (of which there can be more than one).

I believe that Arnold van Wyk's First Symphony can convincingly and productively be analysed as a tragic reversed sonata form. It fulfils the two essential requirements of Jackson's definition of that form, namely, (a) the order of the main theme and the subordinate theme(s) is reversed in the recapitulation, and (b) the return to the tonic is deferred until the recapitulation of the main theme, which has the character of a coda (a frequent feature of compositions in this form, noted by Jackson in 1997: 141), so that the fundamental structure is undivided. Figure 2 illustrates this aspect of the background structure through a simplified voice leading graph.
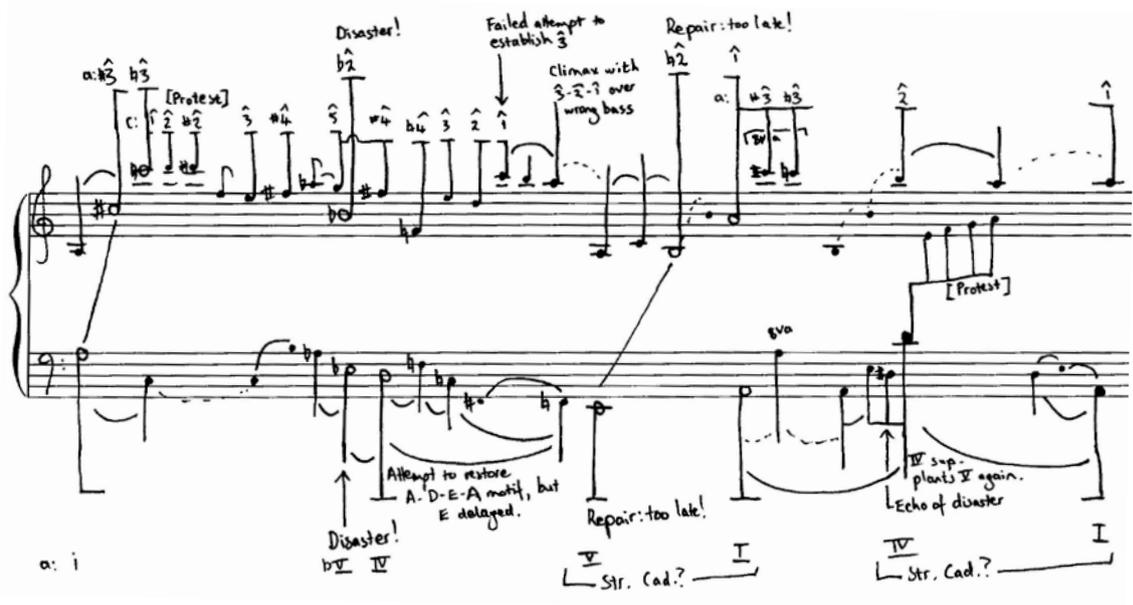
Figure 2: Van Wyk, First Symphony, background graph

The reversal of the themes in the recapitulation was alluded to above, and Table 4 shows this formal disruption in detail. On that table, the recapitulation is shown to begin in bar 489, with a triumphant gesture which lends this section the character of a finale, as it is interpreted in the dimension of the cycle. As described in Section III, the recapitulation of subordinate theme material plays out in two phases, where the first recapitulates ST I twice, incorporating the end motif of ST II, and the second recapitulates ST II, with motifs from ST III and the main theme.[14] This last section culminates in the climactic statement of ST II in the highest register of the strings. The recapitulation of the main theme was interpreted above

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[14] "Subordinate Theme I" and "Subordinate Theme II" would in Jackson's nomenclature belong together in a "Second Group" (with the "Main Theme" constituting the "First Group"), because both "ST I" and "ST II" in their first appearances tonicise C♯ minor, the mediant key.

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to function as a combined recapitulation/coda section in the dimension of the overarching sonata form,[15] and as a (dislocated) slow movement in the dimension of the cycle.

Moreover, it is also clear that the expected return to the home key of A minor is delayed until the MT-recapitulation/coda/slow-movement section, while the ST recapitulation takes place over an E♭ (going to D) prolongation, as shown on Figure 2. The main theme in its recapitulation is sounded at its original pitch, but over a dominant pedal which resolves deep into coda space (bar 614), *after* the full recapitulation of the main theme.

The characteristic tragic moment of the tragic reversed sonata form as Jackson has formulated it, is the onset of the recapitulation, where the music subverts the listener's every expectation: in stead of the triumphant recapitulation of the main theme, a subordinate theme is heard; in stead of the reassuring return of the tonic key, another key; and in stead of the reinvigorated primary tone after an interruption in the fundamental structure, a relentless onward motion through an undivided fundamental structure. The beginning of the recapitulation section is the point where, to quote Jackson again, a "rescue" or "*deus ex machina*" was due, and therefore also the point beyond which, failing such a rescue, there can be no "song of rejoicing". This is why Jackson casts the reversed recapitulation as "tragic peripety wrought by capricious and unkind Fate".

In Van Wyk's First Symphony, this peripety moment occurs in bar 489. The gesture of the music at this point is grand, "majestic" (Ferguson), but it unfolds over an E♭ bass rather than the expected return to the tonic, A – to make matters worse, a near-unsurpassable *tritone* away from the "proper" tonality. The top voice at this point prolongs a B♭, where a return to the primary tone C was expected. As described in Section III, the upper voice attempts to restore C as ᴈ in bar 569, but the attempt fails since there is no consonant support for this ᴈ (moreover, the primary tone as analysed in the exposition was ♯ᴈ, not ᴈ), and the climax in bars 580-586 has a quality of futility to it, something which Ferguson registered when he wrote that it "*left* (the strings) blazing in the heights" (my emphasis).

An even more salient attempt at repair, and one that it is more difficult to categorise as "failed" or "successful", is the attempt to restore the background tones of the disaster

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[15] Jackson (1997: 141) mentions that in tragic reversed sonata programmes, the recapitulation of the main theme often "elides" with the coda.

moment, ♭ə over ♭V, to their diatonic versions, ə (B) over V (E). Van Wyk portrays this attempt by turning E♭ into a neighbour note to D which should act as the pre-dominant preparation for E, a manoeuver which would allow the background structure to repeat the opening motif A-D-E-A. But it is not so easy to turn the cruel hand of Fate into the provident hand of Destiny, as Van Wyk shows in the rest of the finale: the D-prolongation with its unfolding to F delays the resolution to V for so long that the rhetorical climax of the piece (bars 580-585) takes place in the wrong key,[16] and the V-I cadence is relegated to coda space, undermining its status as the structural cadence of the work as I have argued in Section III. In the context of this interpretation, then, the main theme recapitulation has a lamenting slow-movement character for a specific reason: It mourns the disaster of the too-long-postponed rescue.

As was suggested in Section III, the authentic cadence also does not provide the resolution to the issues with which the work has been struggling. In the coda, it becomes clear that the E♭ of the peripety moment still plagues the structure: It resurfaces in bar 635, acting as a neighbour to D as before, but this time, the D (IV) supplants the motivically and structurally indicated resolution to E (V) entirely. The work ends with a plagal cadence, the timpani and basses to the last insisting, remonstratingly, on the overthrown motif D-E-A.

The idea of protest just touched on is also present in the motivic structure of the middleground and especially salient in the coda. The undivided background structure of the work, as we have seen, is a direct consequence of the reversal of the themes and the nontonic statement of the subordinate theme(s) in the recapitulation. For Jackson, this structure is also intimately bound up with the programmatic associations of the form – he writes that "the undivided upper voice and continuously unfolding harmonic-contrapuntal process parallel the inexorable unravelling of tragic destiny" (Jackson, 1997: 151). In Van Wyk's symphony, the middleground seems to have been constructed in such a way as to portray a resistance to that "inexorable unravelling" by "counteracting" the inevitable downward motion of the upper voice with a series of ascending thirds: Table 4 and the discussion that followed it in Section III showed the chromatic initial ascent of the exposition of the overarching sonata form in bars 1-108 as well as a second ascending third over a C-

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[16] Again, this is the point where, for Ferguson, the strings are "left blazing in the heights".

prolongation in bars 108-163 (the "slow movement fragment" and the transition to the Scherzo). After a prolongation of that E (ɜ in C), the middleground outlines yet another rising third, from E to G, in bars 350-489 (see Figure 2). Bar 489 is of course the "peripety" moment, the moment of unavoidable disaster, where the entire struggling ascent from A to G unravels within just 98 bars, all the way from G back to A in bar 581 – which is the wrong note at the wrong time, and over the wrong bass note (F, VI, part of a IV-prolongation), an offence that no climactic gesture may redeem. The coda takes up the rising third motif once more, the violin parts traveling from E to C♯ through three ascending minor thirds in bars 619-628, and even as the final ι is reached through a descending third from ♯ɜ, the celli, violas and trumpets sound the ascending third F-G-A.

In fact, the coda material in bars 614-641 performs the function of a summary of the "issues" of the work, none of them quite settled. The clash between C and C♯ is portrayed more severely than before, with no resolution. The unsettling chord IV makes itself felt in the plagal cadence which competes with the authentic cadence in bar 614 for the position of the structural cadence of the symphony, disrupts the integrity of the motif A-D-E-A, already challenged by the E♭ at the peripety moment, and makes it clear that the disaster, represented by the E♭/D♯ at bars 635-637, can never be fully mended. Unkind Fate, in the story of this symphony, cannot be overcome, but this does not make the struggle against it less heroic.

The identification of a "protest" element in this work – indeed the element that prevails in the closing utterances of the work – may be supported by two quotations. The first is from Howard Ferguson's programme note for the symphony, in which the coda is described as follows: "The bleakness increases. And, as befits so passionate a work, the final gesture is of neither calm nor resignation, but of defiance" (Ferguson, 1943). Even more significantly, in a radio interview in 1972, when prompted about the "content" of the symphony, Van Wyk answered, "it is an abstract piece ... a protest symphony" (SABC, 1972).

The question that presents itself at this point is "protest against what"? It is a question that has a much wider significance than the composer's supposed "intention" of the work's "content" or "programme", and one that cannot be answered profitably or responsibly by scrutinising his own statements about the composition. It is also a question that can too

easily be answered glibly or opportunistically, inviting criticism like Leo Treitler's of readings that "seem precariously close to interpretations that are driven by little more than the need to make them" (Cook, 2001: 173). Emanating from the present tragic reversed sonata form analysis, I think that the "protest" and "defiance" may be understood as directed against the "unkind Fate" or the "cruel blows of destiny" – concepts that are hardly more referential than an "abstract protest", however. Yet, the interpretational context of Sibelianism in England and the conclusion drawn earlier that for Van Wyk to complete a successful transition from the periphery to the metropolis could only result in a renewed isolation, allows us to probe the reading of "unkind Fate" in this work a little further. Might Van Wyk's tragic destiny have been exactly this: the impossibility of an authentic connection to a living music tradition – and not because of some essential perpetual-outsider status conferred by his colonial birth, but specifically because of the *moment* of his colonial birth, because that London that he travelled to as a young adult in 1938 was the centre of a rapidly crumbling Empire?

Van Wyk and Sibelius (3): Sibelius's Fourth Symphony as a Model of Tragic Reversed Sonata Form

A comparison between Van Wyk's First and Sibelius's Fourth Symphonies was prompted generally by my discovery of Sibelianism as an important context for Van Wyk's music, and specifically by my discoveries that Van Wyk's First Symphony and the finale of Sibelius's Fourth are both composed as tragic reversed sonata forms, and, moreover, are both in the key of A minor.

An analysis of the finale of Sibelius's Fourth Symphony as a tragic reversed sonata form appears in Jackson, 1997: 201-203. The middleground graph in that source is reproduced here as Figure 3, and it shows the reversal of the themes in the recapitulation (beginning in bar 281) as well as the "devalued" tonic in the recapitulation of the subordinate theme or "second group": In the exposition, the subordinate theme was composed over a C (III) prolongation. The recapitulation of that music is truncated, outlining a bass movement from B to A, and although the subordinate theme does end with a perfect cadence in the key of A (bar 318), that A is an "apparent" tonic as shown on Jackson's analysis Figure 3 and therefore "devalued". The "apparent" tonic marks the beginning of the recapitulation of the main theme, so that in this form the main theme is *also* recapitulated over a "devalued" tonic, and the true tonic is only reached at the beginning of the coda in bar 483.

Figure 3: Sibelius, Fourth Symphony, Finale, tragic reversed sonata form analysis by Timothy Jackson

Van Wyk's own score of the Sibelius work is inscribed as having been a gift from Howard Ferguson, and abounds with notes in Van Wyk's hand, jotting down analytical categories (e.g. "Second Group") and marking motivic correspondences.

The most important of these motivic correspondences for the present purpose is that of the tritone, since the use of this interval, both motivically and in the tonal plan, is the most salient shared characteristic between Van Wyk's and Sibelius's symphonies apart from the tragic reversed form. In Van Wyk's score of Sibelius's symphony, the tritone between C and F♯ in the opening notes of the work is marked with a bracket and marked "important", as well as notated seperately on a small staff in the upper left corner of the first page in Van Wyk's own hand, marked "germ", with the D between the tritone and the E after added in parentheses. The tritones in the opening measures of the other movements are similarly marked, between F and B\ in the beginning of the second movement (bars 14-18, 21-23), and between A and D♯ in bar 1 of the third movement and in bars 1-2 of the fourth movement. Motivic correspondences to this "germ" are marked in many other places throughout the symphony.

The role of the tritone between A and D♯ or E♭ was an aspect of the work that interested Van Wyk particularly: besides the marked interval in bars 1-2, he made four more notes on this interval in the last movement alone, in bar 79, "A/E♭ conflict already here", bar 138, "E♭-A

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conflict", bar 336, bass entry of E♭ encircled, and bar 369, "E♭/A conflict (notes reversed)".

Moreover, the first instance of the motif A-B-D♯ is shown in the violins in bar 32 of the first movement.

In Arnold van Wyk's symphony, the tritone plays an important motivic role, since it is integral to the structure of ST II (see Figure 4, reproduced from Howard Ferguson's programme note).

Figure 4: Van Wyk, First Symphony, subordinate theme II, bars 41-43

In this, its first appearance, the characteristic tritone is moreover between A and D♯, the precise interval Van Wyk marked repeatedly in Sibelius's Fourth.

The tritone between A and D♯/E♭ also has a marked tonal significance in Van Wyk's symphony, since E♭ is the bass tone over which the reversed recapitulation begins in bar 489. As was pointed out above, that E♭ is a tritone away from the expected A bass note at that point in the form is an important element of the "disaster" effect of the reversed recapitulation on the sonata structure. The function of the E♭ is best understood as a neighbor to D: as discussed above, when the E♭ returns in the shape of D♯ in the coda (bars 635-637), it performs this same function, thus preparing the final plagal cadence. Before falling to the D, though, it moves in a sequential passage to a lower neighbour D♭/C♯ (see Table 4), in a motivic parallel to the melody of ST II (Figure 4).

In Sibelius's background structure, the E♭/D♯ has a different function, that of a neighbour note to the structural dominant, E (see Figure 3). Significantly, though, in the middleground the E♭, exactly like Van Wyk's, moves down to C♯ in bar 435. While it does not accompany the peripety moment as it does in Van Wyk, the E♭ in Sibelius enters at a climactic moment in the recapitulation of the main theme (bar 339) and so is intimately bound up with the

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effect of the "devalued" tonic in the reversed recapitulation, and therefore it seems probable that the E♭ tonicisation at the peripety moment in Van Wyk's symphony may have been inspired by his encounter of Sibelius's treatment of E♭ in the finale of his own A minor symphony.

Another common feature between Van Wyk's and Sibelius's symphonies is the ambiguity between C and C♯ as the true ♭3̂ in the work that I discussed at length in Section III. Although the key of Sibelius's symphony is A minor, the first movement ends in A major and the third in C♯ minor; C♯ also continues to play an important part in the finale, e.g. in the A major "apparent tonic" cadence in bar 318 and as the bass of I6 (bar 435) just before the final structural cadence (cf. Figure 3). In this regard also, I maintain that the tonal conception of Van Wyk's symphony was profoundly shaped by his intimate knowledge of Sibelius's Fourth Symphony.

V.   Conclusion

The present chapter set out to read Arnold van Wyk's First Symphony drawing on three specific "backdrops", as they were called in the introduction. The first of these is a socio-historical backdrop, namely the insular contraction in English culture in the late 1930s, anticipating the dissolution of the British Empire. In music, this insular contraction manifested in the reactionary Sibelius "cult", which had an isolating effect on English musical culture vis-à-vis Continental modernism especially. Situating Arnold van Wyk in this context reveals the tragic irony that Van Wyk's transition from the periphery to the centre could only result in a renewed cultural isolation for this composer, because the centre that he sought to connect with was then making its own transition from a self-conception of imperial metropolitan centre to a renewed parochial identity. This parochial identity moreover entailed reinventing an intimate connection to English soil and country life in a way that a colonial citizen could not share.

The observations in this first section of the chapter provided a perspective for reading Van Wyk's dialogue with Sibelius's symphonic style. This reading was conducted drawing on two specific analytical tools (two-dimensional sonata form and tragic reversed sonata form) and, correspondingly, two of Sibelius's symphonies (the Seventh and the Fourth respectively).

The analysis of Van Wyk's utilisation of two-dimensional sonata form initially referred to the reception history of the symphony, where a number of critics' views of the interaction of the cyclic and overarching sonata form dimensions were considered. Sibelius's Seventh Symphony was investigated as a possible model of this formal technique, and it was particularly insightful that the role of the Scherzo as either developmental or an interpolation was a point of correspondence between the interpretations of Van Wyk and Sibelius's symphonies. My own two-dimensional sonata form analysis suggested that Van Wyk had sought to solve the "problem of the recapitulation" through his use of the two-dimensional form, by casting the recapitulated themes in different guises from their first occurrences, corresponding to the characters of a triumphant finale (for the recapitulation of the subordinate themes) and of a slow movement (for the recapitulation of the main theme). Van Wyk had also confronted the "problem of the recapitulation" by reversing the order of the themes in the recapitulation – this aspect, of course, was investigated in the analysis of the symphony as a tragic reversed sonata form.

Finally, Van Wyk's symphony was analysed as a tragic reversed sonata form and compared to Sibelius's use of the same form in the finale of his Fourth Symphony. This technique has allowed a detailed musical investigation of Van Wyk's dialogue with Sibelius's music that has not been attempted before. The conclusion of the comparison was that Van Wyk was able to enter into such dialogue with Sibelius's symphonic works on a sophisticated level, and that his First Symphony was most probably influenced by certain voice-leading and formal characteristics of Sibelius's Fourth. The tragic reversed sonata form analysis of Van Wyk's symphony also prompted an investigation of the programmatic context conveyed by the work's belonging to a group of nineteenth-century symphonic pieces in this form as discussed by Jackson (1997). In this regard, my interpretation of the concepts of tragic fate or destiny in Jackson allowed a connection with the theoretical work conducted in the first section, so that Van Wyk's "unkind fate" could be construed as the inevitable isolation in which he found himself in the centre of a diminishing Empire to which he had sought to belong, and where he had arrived even as it was shunning its cultural identity as imperial centre. My consideration of the middleground voice leading of the symphony introduced the idea of protest against this fate or destiny (through the use of ascending third motifs as resistance against the inescapable downward motion of the undivided background

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structure). This "protest" element, alluded to by both Van Wyk himself and Howard Ferguson, was interpreted as the overriding affect in the symphony and the dominating gesture at the closing of the work.

In this way, this chapter has constructed an interpretation of Van Wyk's symphony that has sought to integrate a reading of its sociocultural origin with an understanding of the work as an aesthetic statement, to connect musical exegesis with musical hermeneutics.

2

Arnold van Wyk, Béla Bartók and Music of Migration:

Retrospective Dialogues and Resonances

Juxtaposition, n. The action of placing two or more things close together or side by side, or one thing with or beside another; the condition of being so placed (OED Online, June 2012).

I.a.   Compositional Processes

Saanen, Switzerland – August 1939

In August 1939, Bartók was on holiday in Switzerland, composing at Paul Sacher's Chalet Aellen in Saanen. Something of the idyllic experience it was for him, even while he was worried about the mounting conflict in Europe, is intimated by the letter he wrote to his son on the latter's birthday, 18 August 1939:

> *Somehow I feel like a musician of olden time the invited guest of a patron of the arts. For here I am, as you know, entirely the guest [of] the Sachers; they see to everything – from a distance. In a word, I am living alone – in an ethnographic object: a genuine peasant cottage. The furnishings are not in character, but so much the better, because they are the last word in comfort. They even had a piano brought from Berne for me. … I do not like your going to Rumania – in such uncertain times it is unwise to go anywhere so unsafe. I am also worried about whether I shall be able to get home from here if this or that happens. Fortunately I can put this worry out of my mind if I have to – it does not disturb my work (Bartók quoted in Kárpáti, 1976/1994).*

He completed the Divertimento for Strings *(commissioned by Sacher) on the 17ᵗʰ of that month, and started working on his sixth String Quartet immediately, jotting down musical ideas for this work at the end of the completed sketch full score of the Divertimento (Suchoff, 1967/1968: 2). Within the first week of composition, Bartók developed the ideas of the eventual first, second and third movements. Most likely while working on the Marcia, he composed the material of the* Mesto *"ritornello theme" and decided on its structural role as introduction to every movement (Somfai, 2003: 107-109). After composing a number of versions of this theme, he settled on its eventual form, with the opening phrase outlining the tritone G♯-D (♯4-).[17]*

However, the sketches for the finale at this stage show that Bartók started to compose, after the Mesto *introduction, "a rondo, sonata, or other large architectonic form, of markedly folk-like character" (Suchoff, 1967/1968: 5). Suchoff (1967/1968: 9-10) characterises the two themes for this folk-like finale as a theme "patterned after a Rumanian bagpipe motif" with an added syncopated motif, and one "placed in a setting imitative of a gypsy band in a Transylvanian village" respectively.*

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[17] Kárpáti (1976/1994: 464-468) describes the different versions of the "ritornello" theme in detail, noting that the octaves and fifths of the first versions were later "replaced by mistuned relationships, and so alongside the tonality of D the adjacent chromatic notes also became important, chiefly G-sharp" (1976/1994: 468).

I.b.   Compositional Processes

London, England – October 1944

Arnold van Wyk had received a scholarship to spend the 1938/1939 academic year at the Royal Academy of Music, but was unable to return to South Africa in 1939 because of the outbreak of the Second World War, and had the opportunity to continue studying at the RAM until 1944 (Muller, 2008b: 63), while also working part-time at the BBC as an Afrikaans broadcaster, translator and music programme compiler.[18] In October 1944 he started working on a string quartet, beginning with a movement marked "Appassionato" in F♯ minor which he identified as the finale, a slow movement in C major (designated as a variation set with a theme featuring a prominent tritone through the use of ♯♮, F♯), and some material in B minor marked "leggierissimo", which must have been intended for the other inner movement and bears some resemblance to the eventual Scherzo. At this time, Van Wyk was resolved to live in England, only making visits to South Africa, and made his plans accordingly. In a letter to Freda Baron (Van Wyk, 1944a), he wrote:

> I'm going to arrange [*Poerpasledam*] for piano & orchestra, so that I'll have something to play when I get back. It now seems very unlikely that I'll ever settle in South Africa. England seems to be the only place where I'll be able to make a comfortable living <u>and</u> have enough time to go on writing.

Van Wyk continued working on the finale and the slow movement for a few days of every month from October 1944 until July 1945. There are numerous indications in his correspondence that during this time he was suffering from depression (although a systematic investigation of such indications remains to be conducted). He refers repeatedly to dark "moods", and worries about his small compositional output, the slow progress of the string quartet, and possibilities for earning a living that would leave enough time for composition.

As far as can be judged from his correspondence (and his apologies for lapses in correspondence) the depression intensified until the beginning of 1946, when his letters report that his health has improved.

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[18] In fact, he was one of the two founding members of the Afrikaans service in 1939; the other was Louis Knobel (Afrikaans uit Londen, 1942). Van Wyk worked at the BBC until his departure for South Africa in 1946.

Saanen, Switzerland / Budapest, Hungary – August-September 1939

On the 24th of August, it was announced that Germany and Russia had signed a non-aggression treaty, and Bartók wrote two letters on that day to explain to his publisher (Ralph Hawkes) and his concert manager (Walter Schulthess) that he was forced to return to Budapest immediately (Suchoff, 1967/1968: 10). Kárpáti (1976/1994: 459) adds the news of Bartók's mother's illness to his concern about the escalating conflict in Europe as reasons for his hasty return to Hungary. The abrupt end to the composing holiday effected a break in the composition process of the quartet because, back in Budapest, Bartók was working against time to try to finalise the publication of four earlier works (including the Divertimento) by Boosey & Hawkes while communications between Hungary and England were still possible (Suchoff, 1967/1968: 10). On 29 September, Bartók wrote to Géza Frid[19] in Amsterdam:

> *I am ready with the first three movements of the sixth quartet (one more – the fourth movement – is still lacking) (quoted in Vinton, 1964: 224).*

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[19] Géza Frid (1904-1989) was a Jewish Hungarian composer and pianist who had studied the piano with Bartók and also assisted the composer as a corrector. He moved to Amsterdam in 1929 at the invitation of violinist Zoltán Székely (Nederlands Muziek Instituut, n.d.).

The theme of anxiety about his future is recurrent in his letters of this time, and in two letters from April and July 1945 he also refers to the war in connection with his "moods":

> My "mood" is still with me & it's more than a mood. I feel absolutely without hope ... I feel quite sick about the war & feel horrified that people should talk of victory & that there should be talk of rejoicing about the war "ending". This letter, again, is vague: but I can't write two consecutive thoughts these days. ... Part of the mental sickness can be disregarded for it is vague & indefinite ... but at least there is the very concrete problem of my future. That won't pass with Spring & that can't be ascribed to moods & fancies (Van Wyk, 1945b).

> I must just get some calmness if I can. Everyone was knocked out by the peace or rather by the accumulated strain of the war years [that] suddenly made itself felt. Well, I was no exception, & in addition, I've been worrying over my future & it's also been a strain having all these works to think about & not getting on with them (Van Wyk, 1945c).

This last letter from July 1945 also confirms that Van Wyk was still planning to settle in England after a short visit to South Africa.

> No, I have made no plans about returning. It takes time to realize the war's over: & I want to do a big film before I come back – so as to [be] sure of work when I return to England. Negotiations in this respect have started... Strangely enough, I'm not dying to be back. You figure largely among the attractions South A. has to offer, but for the rest – I'm coldish about it. I'm sick of narrow-mindedness & intolerance (Van Wyk, 1945c).

Van Wyk's correspondence gives no clear indication of the reason for the break in work on the string quartet between July and November 1945, except that he was completing a new score and parts of his First Symphony (possibly as part of his negotiations with Sir John Barbirolli, whom he had approached in 1945 to play the work), and his frequent bouts of depression:

> I'm very very depressed. I'm full of the most immense sadness: frightened of death, frightened of the horrible world we live in. I have no hope: but blame that on the nasty time I'm having pasting over the parts of the Symphony & not getting down to writing anything new (Van Wyk, 1945d).

> I'm still in a dreadful state: not as bad as it was in so far that I have longer stretches of tranquillity. I'm not taking any pills because I don't want to get accustomed to such things. I've done no work but there have been many painful struggles at my writing desk (Van Wyk, 1945e).

In the same letter, there is for the first time a positive tone about his return to South Africa – he seems to feel that a prolonged stay in South Africa may help his health. However, he is also afraid that by returning he will miss out on new opportunities in England after the end of the War.

Budapest, Hungary – October-November 1939

Between work on the publication of his four new compositions and preparation for a concert series in October in Budapest, Bartók had little time to work on his quartet, mentioning in letters to Ralph Hawkes in October and November that he was working on it, but had not finished it (Suchoff, 1967/1968: 10). After sending his Mikrokosmos manuscript to Hawkes on the 13th of November he returned to the quartet in earnest and completed it during the same month. Kárpáti notes that at the time of finishing the quartet, Bartók was struggling with the dilemma of whether to emigrate or to remain at home (Karpáti, 1976/1994: 12). Malcolm Gillies (2001) connects this dilemma with Bartók's feeling of responsibility towards his mother, observing that he only felt himself finally free to emigrate after his mother's death in December 1939.

> I've heard from a friend that the S.A.B.[C.] would like to give me a job – so I've applied – but [it] is a dreadful anxiety to know whether or not that is a good thing. … I need a change: sunshine: and to eat with another purpose rather than that of merely remaining alive: and I need being made a fuss of. On the other hand, all sorts of avenues are opening up now that the war is over (is it & for how long??) and I must be on the spot (Van Wyk, 1945e).

Perhaps no quotation from correspondence can convey Van Wyk's doubt about returning to South Africa as clearly as the following note with which he ended the letter quoted above:

Figure 5: End of letter from Arnold van Wyk to Freda Baron, 21 October 1945

Stephanus Muller (2008b: 70) has explained the reference of this theme (the opening of the third movement of Beethoven's Violin Concerto): It was the melody that "Van Wyk used to whistle underneath the Barons' bedroom window in De Rust in the early thirties to announce his arrival from boarding school in Stellenbosch", and also the melody that he sent them before boarding the Carnarvon Castle with which he would eventually return to South Africa. Notating it here with written-out ritardando and diminuendo and marked "molto esitando" (ditheringly, waveringly, hesitantly) summarises the question: "Am I coming home?"

London, England – November 1945-September 1946

Van Wyk returned to the composition of his quartet on 24 November 1945 and decided on that day to change the order of the movements so that what he had thought of as the finale would become the first movement, and the slow variation set would be the last movement. Van Wyk worked steadily but laboriously for the next ten months, finishing a draft of the first movement in July 1946, a fair copy of the entire quartet on 29 August 1946, and making further small changes in September.[20]

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[20] The fair copy of 29 August 1946 is the only one in the Van Wyk Collection at DOMUS, and differs very slightly from the September sketches. However, the published version (Van Wyk, 1955) seems to revert to the August autograph.

The folk-like finale was now abandoned and replaced with a slow movement (Suchoff, 1967/1968: 10), based entirely on the Mesto *theme that had preceded every movement, interspersed with reminiscences of the other movements. The work's closing moments, in particular, have attracted much musicological comment, most critics hearing them as inviting extra-musical interpretation. Kárpáti (1976/1994: 492), for example, remarks that the passage "give[s], with nostalgic renunciation, a sorrowful , painful, resigned final tone to the work," and McCalla has remarked that the "complex emotional character" of the quartet derives especially from the ending's "combination of ... various effects[:] sweetness, lack of complete and insistent closure, harmonic ambiguity (or harmonic simultaneity), incomplete melody, but arrival at finality in every other way" (2003: 213-214). The effect of the ending has also more than once been connected to the Second World War, for example by Suchoff (1967/1968: 10), who called the finale a "mourning song for the murder of Europe", and Gerald Abraham (1945: 194), who observed that "[t]he quartet ends in a mood of profound and mournful resignation which may have been inspired by contemporary events".*

At this time, Freda Baron urged him strongly to return to South Africa on account of his health, and in a letter of 12 December 1945 she also pressed him about the position at the SABC for which Van Wyk had applied in October, having established through Gideon Roos[21] via Julius van Velden[22] that the SABC, "while they are anxious to have your services … cannot keep the post open for an indefinite period". It is abundantly clear from the correspondence that she felt the post to be the right career move for Van Wyk, writing to him that "we here are all very anxious about your wellbeing and would be intensely relieved to hear that you have either decided to come out or that your health has very much improved – preferably the former" (Baron, 1945). Van Wyk, however, was not ready to return. He explained this sentiment in his letters to Baron, indicating that he felt he had not yet accomplished enough during his time in England:

> If you only knew what a warm feeling it gave me to hear how willing and eager you are to look after me until I'm really well and happy. I don't doubt that I'm sorely in need of that care; even the prospect of it makes my heart beat faster. But it is not to be for some time yet. Please pray that the next six months will be very productive so that I can leave England with a clearer conscience about next October (Van Wyk, 1946a).

The same letter reports the progress of the string quartet "slowly, of course, but surely", and in March he writes in the same vein, expressing anxiety about his struggle to compose.

> My health has improved beyond recognition and I get along. The String Quartet is uppermost in my thoughts, and I try to work at it every day. But it – every little bit of progress – is literally torn from me. It is a very painful process and it is working in the dark and it is a childlike faith that the great moment of illumination will come (Van Wyk, 1946b).

In July 1946 Van Wyk had not decided finally to return to South Africa – "Even now nothing is settled: I'm staying on here, why God knows" (Van Wyk, 1946c) – but in September he settled on traveling to South Africa in November of that year for a "visit" which he envisioned as lasting "until June 1948 or thereabouts" (Van Wyk, 1946d). He planned to live with the Barons in Pretoria for the most part of this visit, and hoped not to take "any regular job", relying on "a bit of work for the SABC", the fee for the Christmas Cantata which the SABC had commissioned from him, and the income from selling his bassoon.[23]

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[21] Roos was to become the Director-General of the SABC in 1950 and keep that position until 1961.

[22] Julius van Velden was a friend of Van Wyk's and a colleague at the BBC. Van Velden was on holiday in South Africa in 1945 and spent some time with the Barons.

[23] This plan was not to be realised, because Van Wyk had underestimated the cost of living in South Africa. His 1947 letters to Howard Ferguson abound with financial worries.

New York, USA – October 1940

Having decided to settle in the United States following Bartók's concert tour and "pre-emigration visit" to America in April-May 1940 (Gillies, 1997: 7), Bartók and his wife set out for New York in October 1940; they arrived on the 30th "after an eventful passage, and separation from their luggage" (Gillies, 1998: 8). They received much support from Boosey & Hawkes's New York office – Gillies (1998: 8) goes so far as to call the publisher "Bartók's greatest ally in his move to America" – with administration such as boat tickets and visas. Bartók brought the manuscript of the completed Sixth Quartet with him and, because he was dependent on the income that the premiere of a new composition would generate, he re-dedicated the work that had been promised to the New Hungarian Quartet to the Kolisch Quartet who had recently immigrated from Vienna (Karpáti, 2008). The Bartóks did not find the emigration easy. Béla, especially, "found Manhattan a noisy and inhospitable place – eventually the Bartóks moved to a quieter residential area in Brooklyn – and he was concerned about the family's financial future" (Dreisziger, 2005: 290). Gillies also remarks that "after an initial flurry of concerts in north-eastern United States and then a coast-to-coast tour of minor engagements during February-March 1941, Bartók was faced with a dwindling number of engagements" and that "for 1941 and most of 1942 … his Muse entirely deserted him" (Gillies, 1998: 8).

It is possible that the completion of the string quartet in September relieved Van Wyk's "conscience" about his output during his English sojourn. In the same letter of 24 September, he wrote: "I cannot tell you what a blessed relief it is to have got it off my chest: it is such a long time since I've completed anything."

Cape Town, South Africa – December 1946

Van Wyk arrived in Cape Town on 4 December 1946, bringing the score of the completed but as-yet-unperformed string quartet with him, the London premiere of the work earlier in the year having had to be cancelled due to strikes and shortages of electricity supply (Orpheum maak geskiedenis – Eerste opvoering van Arnold van Wyk se Kwartet, 1947).

Van Wyk's adjustment to South Africa after an absence of eight years was difficult.

> The reunion with the family was almost as bad as I thought it would be [Van Wyk wrote to Howard Ferguson in January 1947]. They're good people and I get along fine with them as long as the conversation does not embrace music, politics or religion. … As far as the country is concerned, I haven't any settled impressions, apart from the fact that it's impossible to get soap in any shape or form, that fruit is expensive and the shops not as full as I thought. I've seen enough to depress me: intolerance, Calvinistic narrowmindedness, sheer stupidness and lack of knowledge (Van Wyk, 1947a).

The letters to Howard Ferguson also express a solidarity with and longing for England, with Van Wyk hoping to return in the middle of 1948. "I'm still convinced that it would be bad for me to stay here permanently", Van Wyk stated in parenthesis in the January letter to Howard Ferguson. In the meantime, Van Wyk had not made a final ink copy of the score of the string quartet, although he had left the individual parts with the Zorian Quartet in England, hoping that they would give the premiere before he left London in November 1946. In March 1947, at Ferguson's insistence, Van Wyk produced such a score despite doubts about the quality of the work. The South African premiere of the work (scheduled for a broadcast from Johannesburg on 13 April 1947) was postponed for an unknown reason. It is possible that the players were not ready: Van Wyk called the quartet a "thrown-together affair" in a letter to Ferguson dated 20 March 1947 (Van Wyk, 1947b). It is not clear how the premiere came to be hosted at Heidelberg, Transvaal. [24]

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[24] So called to distinguish it from the German town; Transvaal was one of the four provinces of apartheid South Africa. The town is in the present-day Gauteng province.

New York, USA – January 1941

The Kolisch Quartet gave the premiere of the Sixth String Quartet on 20 January 1941, eliciting a reception Tallián (1995: 114) would describe as "chilly". The New York Times *critic was certainly not glowing. He called the work "an impressive effort that should not be dismissed now that its première is out of the way", and expressed the hope of hearing the work again "to determine whether it is a significant work or whether it is just the craftsmanship of a consummate craftsman" ("H.T.", 1941). Although Bartók provided no programmatic elucidation, the critic felt that "the very structure of the piece seem[ed] to suggest some extra-musical comment" because of the structural role of the "grief-laden, resigned" ritornello theme ("H.T.", 1941).*

Heidelberg, South Africa – May 1947

One wonders what crossed Arnold van Wyk's mind as he read the review of the premiere of his First String Quartet. Reading it today, one feels that the unknown journalist of the *East-Rand News* was out of his depth. Overwhelmed by a political significance in the Nationalist fervour of the moment so appalling to Van Wyk, the reviewer seemed to find the music unintelligible.

> Arnold van Wyk wrote his name in large letters across a significant page of the musical history of our country last Saturday night. It was clear that the years' stay abroad has not alienated him from his compatriots. He has remained just a farmer-boy [*boereseun*] and this means as much to his fellow South Africans as his masterly piano playing and brilliant compositions (own translation from Orpheum maak geskiedenis – Eerste opvoering van Arnold van Wyk se Kwartet, 1947).

At a loss as to how to react to the music of the string quartet, the critic asked the opinion of an audience member "known as a musical expert in Heidelberg", Mr Stephen Eyssen.[25] Eyssen's response was an impressive monologue that connected the tragic character of the work to the Second World War and the human condition:

> This tragic work expresses in sound the eternally human reactions in the terrified life of a great city with the devastation of war, with blackouts, bomb shelters, and with its almost superhuman suffering, a suffering that had to persevere inexorably in the midst of the deadly peril brought on by every mourning minute, day and night. Van Wyk absorbed these painful sounds of a powerful suffering city in his soul and portrayed it in his work as the seasoned beauty of suffering, a beauty that rises up in the language of sound to convey the suffering fate of a bewildered humanity under the harrassing hammer blows of a modern war. Throughout the work it cries poignantly and wails despairingly until the end, an ending that dies away in the uncertain spaces of our time (own translation from Orpheum maak geskiedenis – Eerste opvoering van Arnold van Wyk se Kwartet, 1947).[26]

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[25] Eyssen (1890-1981) was the principal and Afrikaans teacher of the Hoër Volkskool in Heidelberg at the time. However, he had also been educated in music at the Conservatoire in Stellenbosch, and composed numerous songs expressing an Afrikaner nationalist sentiment (SA Opera Singers, n.d.).

[26] "Hierdie tragiese werk verklank die ewigmenslike reaksies in die angsbevange lewe van 'n groot stad met oorlogsverwoesting, met verdonkerings, skuilkelders, en met sy byna bomenslike lyding, 'n lyding wat onverbiddelik moes voortgaan te midde van die doodsgevaar wat elke trae lanferdraende minuut, dag en nag gebring het. Van Wyk het hierdie pynklanke van 'n magtiglydende stad in sy siel opgevang en in sy werk tot gerypte lydenskoonheid uitgebeeld, 'n skoonheid wat in klanktaal uitstyg tot weergawe van die lydenslot van 'n ontredderde mensdom onder die teisterende hamerhoue van 'n moderne oorlog. Deur die werk heen skryn dit skel uit en weeklaag dit wanhopig totdat die einde kom, 'n einde wat in die onsekere ruimtes van ons tyd versterf."

New York, USA – 1944

Bartók's Sixth String Quartet was performed for a second time by the Kolisch Quartet in 1944. This performance was much better received than the first. Interestingly, whereas the reviewer of the premiere only hinted at "some extra-musical comment", Marion Bauer clearly connected the work to the Second World War in her review: "If one is looking for a contemporary expression of a mental state produced on a sensitive person by conditions of recent years, it is to be found in this poignant, profoundly sad work" (Tallián, 1995: 114)

New York, USA – 1941

Bartók's quartet was published by Boosey & Hawkes in 1941, in the year following its premiere. Its reviewer in Tempo *remarked of the ritornello theme that its "peculiar treatment … gives the impression that the composer was loth to listen to the sad message it seems to convey" ("M.C.", 1942: 262).*

London, England – July 1947

Van Wyk's string quartet received its second performances, and its English premiere, in July 1947, when it was broadcast by the BBC on the 7th and 14th. John Ireland was so impressed with the work that he wrote a letter of encouragement to Van Wyk:

> If I may say so, there are few works couched in an idiom of this kind, which so well succeed in convincing a definite (& in this case, most poignant) emotional impression … May I again congratulate you in having accomplished a musical work of [illegible] significance – an accomplishment sufficiently rare in these days as to call for praise & recognition, if only from a musician of an older and less progressive school" (Ireland, 1947).

London, England – 1955

Eight years after its premiere, Van Wyk's quartet was published by Boosey & Hawkes, by which time its moment had passed. Humphrey Searle had listened to its performance in Brussels in June 1950 at the International Society of Contemporary Music Festival, and had deemed it "overlong" in a report to the BBC (Searle, 1950). In 1957, Colin Mason reviewed the publication as coming a day after the fair, writing that it "reawakens interest in the subsequent development of Van Wyk, who has rather disappeared from view since that time" (Mason, 1957).

II.   Beginnings and Endings in Van Wyk's First String Quartet

A conspicuous and interesting feature of the compositional process of Van Wyk's First String Quartet is the fact that, while most of the compositional process would consist of writing the musical material of a movement from beginning to end, he would also make sketches for the closing bars of a movement from quite early on in the process of composing it. A study of these ideas for beginnings and endings is instructive, since they provide a unique perspective on the evolution of his concepts of the individual movements and of the quartet as a whole. In this work, the change to the order of the movements effected a significant change to the concept of the quartet as a whole. This aspect, too, may be investigated by comparing the ideas for the opening and closing of the quartet before and after the November 1945 decision to use the finale as the first movement and the slow variation set as the concluding movement.

Throughout the first year that Arnold van Wyk worked on his First String Quartet (October 1944 – November 1945), he never wrote down an idea for its opening: in fact, in a radio interview he admitted that he had switched the movements around in desperation, because he had no inspiration for a first movement (SABC, 1947). The earliest preserved sketches are on two pages dated 2 October 1944, and they contain the proto-ideas of all three eventual movements. Figure 6 (Van Wyk, 1944b) shows the first idea for what he thought of as the finale. The music of this sketch conveys gravity: the strings play in unison in F♯ minor, marked *pesante e risoluto,* and the insistent F♯s are marked with ever louder dynamics.

Underneath this sketch is an idea for an opening with imitative ascending scalar material in B minor (with ♭ə, or had he forgotten the C♯s?), which may have inspired the eventual Scherzo texture. The opening for the slow movement composed on the same day as the abovementioned sketch page (see Figure 7, Van Wyk, 1944c), characterised especially in its opening by ♯♮ – Muller (2008b: 68) describes the movement as "in a C major plagued by E-flats and F-sharps" – would change minimally throughout the compositional process.

Figure 6: Van Wyk, early sketch page for First String Quartet

Figure 7: Van Wyk, early sketch for slow movement of First String Quartet
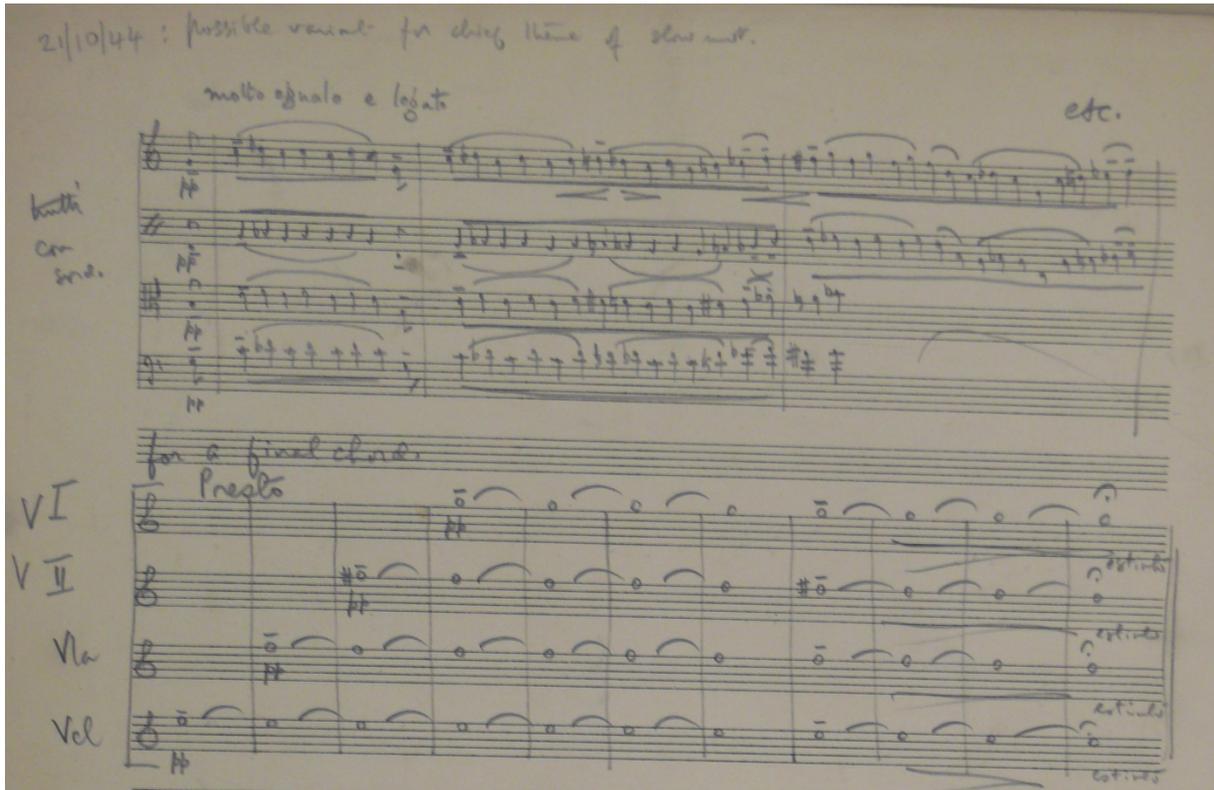
Figure 8: Van Wyk, first sketch for end of slow movement of First String Quartet
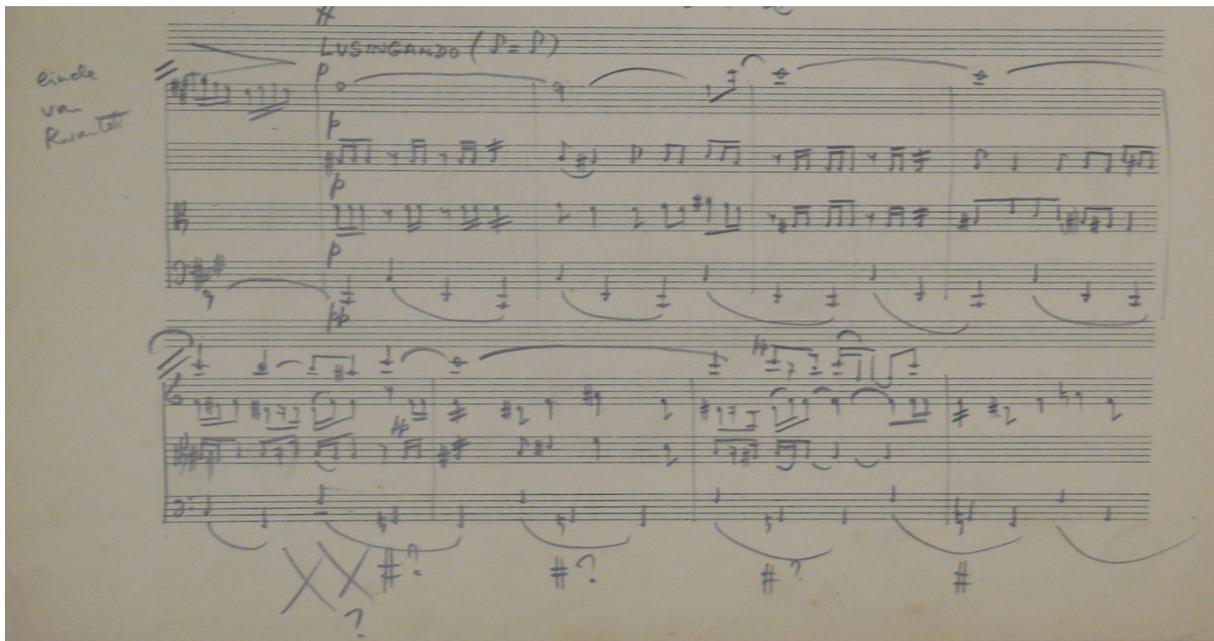
Figure 9: Van Wyk, first sketch for end of finale (i.e. eventual first movement) of First String Quartet

During the same month Van Wyk wrote down his first idea "for a final chord" (see Figure 8, Van Wyk, 1944d) – most probably of the slow movement, judging by the context on the page. This material intimates harmonic ambiguity. If the framing notes E and G are to be

heard as 3̂ and 5̂ of C major, then the chord contains no root, and the chromatic passing notes between the two chord notes remain unresolved.

The following March, Van Wyk wrote down his first idea for the end of the quartet, which would at that stage have been the end of the F♯ minor movement (i.e. the eventual first movement). On that sketch (see Figure 9, Van Wyk, 1945f), he brings back the material of the opening of the movement, now stated in the major mode in euphonic thirds and sixths rather than stark unison, over dominant and tonic pedal points in succession. The sketch is unfinished, but from what there is, it seems safe to assume that it would have ended in F♯ major, thus casting the movement as a post-Beethovenian "darkness-to-light" narrative.

On another sketch page from March 1945, Van Wyk recorded a second idea for the end of the slow movement (Figure 10, Van Wyk, 1945g). Here he decided against the harmonic ambiguity of the earlier sketch, ending the movement on a clear repeated C major chord, the mixture elements of ♭3̂ and ♭6̂ resolving to 3̂ and 5̂ respectively, and the prominent ♯4̂ in the first violin also resolving finally to 3̂ through a descending chromatic line. This sketch therefore resonates with the F♯ minor movement's "darkness-to-light" scheme, the chromatic notes that "plague" C major (to quote Muller's word again) having been resolved to diatonicism in the closing moments of the movement.

Figure 10: Van Wyk, second sketch for end of slow movement of First String Quartet

Figure 11: Van Wyk, second sketch for end of finale while working on opening of finale

Figure 12: Van Wyk, sketch for First String Quartet reflecting change to order of movements; Third sketch for end of slow movement

On 29 April, as Van Wyk was working on the finale, the opening of which had not changed from its first conception, he made a second small sketch for the end (see staff 13-14 of Figure 11, Van Wyk, 1945h). Written, like the previous idea, in F♯ major, this sketch has the top voice outline ♯3̂, decorated with neighbour notes.

This sketch played a vital part in Van Wyk's cyclical objective for the work. When he returned to his quartet at the end of 1945 and decided to use as the two outer movements the two movements on which he had done the most work,, he planned to precede the F♯ minor movement with a Poco sostenuto introduction based on the same material, so that the first movement would begin and end with the same idea. The note at the top of Figure 12 (Van Wyk, 1945i) states: "Possible beginning of Quartet (if old last movement becomes first movement). Scheme then: 1. Poco sostenuto – Allegro | 2. Scherzo (Presto) | 3. Adagio" (my translation). The key of each movement is also indicated in the note. The music on the sketch page begins with the Poco sostenuto introduction based on the previous sketch for the end of the movement. This version of the material is not as decisively in F♯ major as the music that is shown in Figure 11, though, despite the A♯s. The added G♯ clouds the clarity of the F♯ major triad, and the D♮ and the B♯ (and later also A♮ and B♭, cf. staff 12 and 17) cast doubt on the mode. Perhaps these ambiguities preserve some of the "darkness-to-light" effect planned for the previous version of the movement. The Poco Sostenuto material is followed by ideas for the Scherzo-and-Trio movement. The raised fourth degree is so ubiquitous in this version of the Scherzo that Van Wyk decides to give it a "key signature [with] one flat only" (cf. the note between staves four and five on the right of Figure 12).

The idea of the raised fourth degree connects with the feature of the tritone, which at this stage became more and more important to Van Wyk as a unifying element of the work – possibly because, in the new scheme, the tonics of the outer movements would be a tritone apart. The sketches at the bottom of Figure 12 (marked "vir einde van kwartet" – "for end of quartet") show clearly the important structural role of the tritone between C and F♯. Over a C-pedal in the cello, the first violin outlines the interval between F♯ and C, with trills on each of those tones. The F♯ is accompanied by D and A in the other strings, so that D major is fleetingly suggested. However, the small sketch on the last staff of the page makes it clear

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that the tritone is the important feature, rather than the suggested triad. On that small sketch, two sonorities are written down, marked to be repeated three times. One is for a D major triad with F♯ in the first violin over a C bass (corresponding to the sketch above it), and the other sonority is a C major chord with C in the first violin and F♯ in the cello.

Whereas previously the slow movement would have ended in an unclouded C major, therefore, because its end is now also the end of the quartet, Van Wyk decided to introduce the F♯ as a complicating element. The tone F♯ refers both to the opening of the quartet and to the opening of the slow movement, where ♯4 is a prominent note in the theme as we have seen and, through the idea of the sharpened 4, to the opening of the Scherzo recorded on the same sketch page. Moreover, the homophonic texture and parallel chords of the upper strings as well as the effect of F♯ as temporary 3 of the D major chord, decorated with an upper neighbour on Figure 12, may be connected to the ideas for the opening and closing of the F♯ movement (see Figure 11 and Figure 12), which had outlined A♯ as 3 in the first violin, elaborated with upper and lower neighbour notes. This idea for the end of the slow movement may also refer back to the "possible variant for chief theme of slow movement" that had already been sketched in 1944 (Figure 8).

The resemblance between this idea for the end of the quartet and the idea for the end of the Scherzo, written down a few days later,[27] supports my observations on Van Wyk's cyclical objectives. On the first system of Figure 13 (Van Wyk, 1945j), the Scherzo (or one section of it) ends with an outlined tritone (here between A♯ and E) with trills and over a C-pedal as in the sketch for the end of the quartet on Figure 12. It is unclear if the sketch on the second system is meant as an alternative to the one on the first system, or if the ending on the first system was always meant as the ending of one of the sections, as indeed variants of it function in the eventual composition (cf. bars 137-140 and 233-236 in the published version). The ending on the second system of Figure 13 has the dyad C♭/B♭ in the lower strings, with A and F♯ alternating in the violins, producing the suggestion of bitonality combining the tonics of B♭ (the tonic at the opening of the Scherzo) and F♯ (which would refer to the

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[27] Van Wyk dates the sketches 31/11/45, but obviously he must have made a mistake. The correct date is not known.

opening and close of the quartet). The material on the third system of Figure 13 was probably intended to function as a "Trio". It resembles the "alla tarantella" fragment on Figure 12 and a subordinate theme in the eventual piece (cf. bar 74 of the published version), and there are also other sketches for this opening, marked "Presto".

Probably in January 1946, Van Wyk made a new sketch for the opening of the quartet on a page where he had been working on the Scherzo (cf. Figure 14, Van Wyk, 1946[?]). This sketch preserves the prominence of A♯ in the Poco Sostenuto introduction, but also reverts back to the seriousness of the earliest opening of the F♯ movement (Figure 6 and Figure 11). The theme written down here therefore became the "main theme" of the movement,[28] and in February 1946, Van Wyk worked to link this new opening to the material of the earliest opening, treated as a second idea. Figure 15 (Van Wyk, 1946e) shows some of Van Wyk's sketching to refine this new opening, introducing the all-important F♯/C tritone, by now established as a central focus of the end of the quartet as shown on Figure 12, in the cello part (cf. staff 14). The texture of this opening makes the metre uncertain at first, and it is also tonally ambiguous: the theme may suggest F♯ major or D♯ minor.

In July 1946, a draft of the first movement was finished (cf. Figure 16, Van Wyk, 1946f), incorporating the F♯ major ending composed more than a year before (cf. Figure 11), but subsequently opting for the alternative ending on staff 7-8, which outlines the C-F♯ tritone.

The last draft of the slow movement completed before Van Wyk wrote a fair copy of the quartet dates from August 1946. The last three systems appear in Figure 17 (Van Wyk, 1946g) and Figure 18 (Van Wyk, 1946h). This draft shows the tritone ending with trills as planned in November 1945 (Figure 12),[29] but the very end features a repeated unison C, played *fortissimo,* preserving the tonal unity of the slow movement and removing at the very end all the chromatic elements that could render the tonality ambiguous.

Yet, between the completion of this draft and the fair copy dated 29 August 1946, Van Wyk made a far-reaching decision about the end of the quartet: He deleted the unison C from the

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[28] It was called the "basic theme" ("grondtema") in the programme notes that Van Wyk wrote for its Heidelberg premiere (Van Wyk, 1947c).

[29] This ending uses both sonorities planned on the small sketch at the bottom of the page: D major with F♯ soprano over C bass, and C major with C soprano over F♯ bass.

ending and replaced it with a written-out dying-away effect for the first violin on its F♯ trill.

With this decision he violated the tonal unity of the last movement, thereby opting for a radical ambiguity of key. By doing this he in fact composed an emphatic anti-ending for the movement and the work.
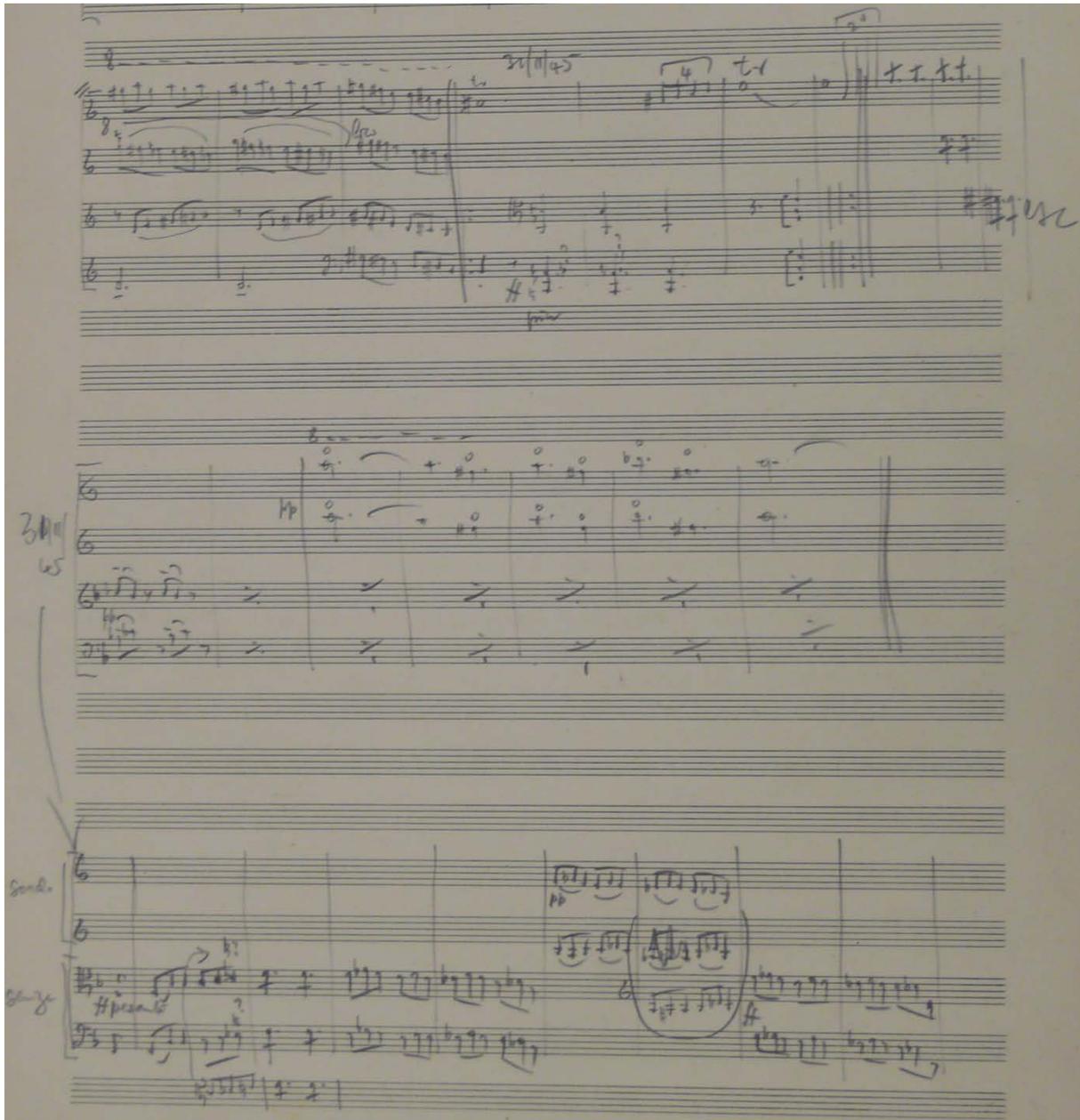
Figure 13: Van Wyk, sketches for end of scherzo of First String Quartet
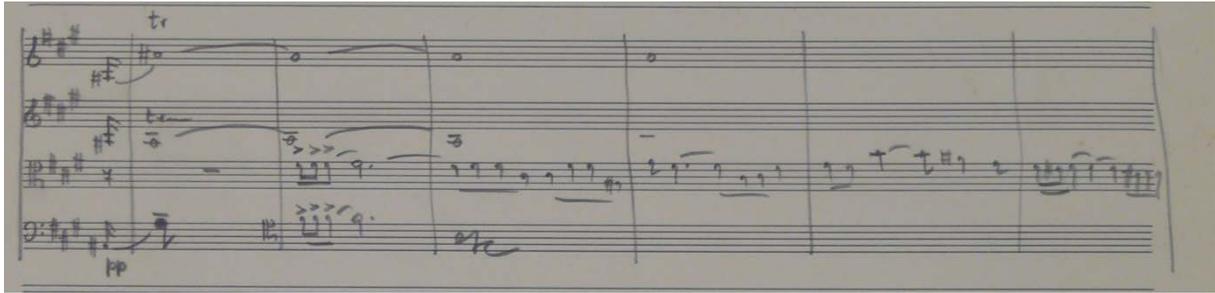
Figure 14: Van Wyk, sketch for opening First String Quartet
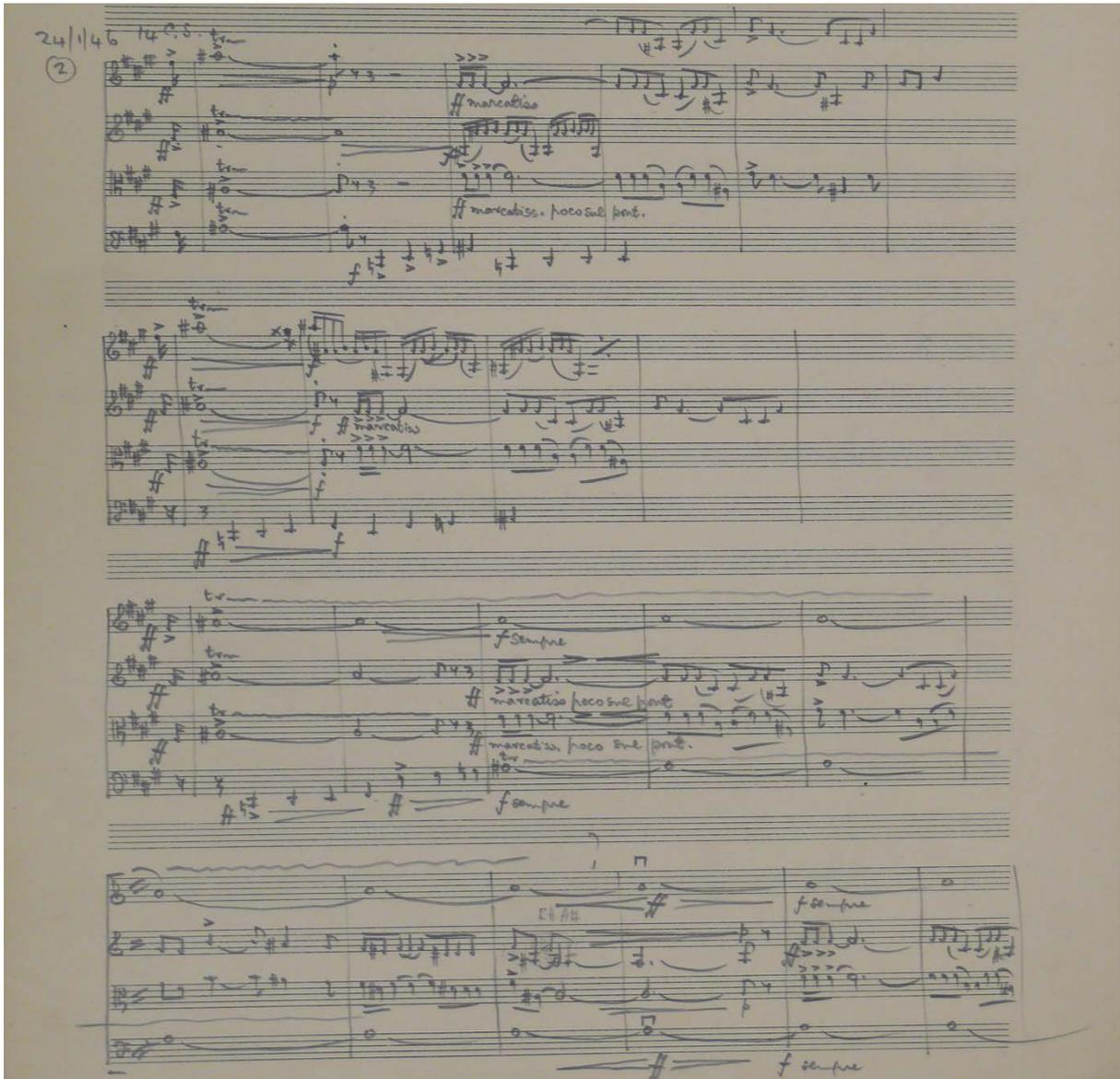
Figure 15: Van Wyk, sketches for opening of First String Quartet

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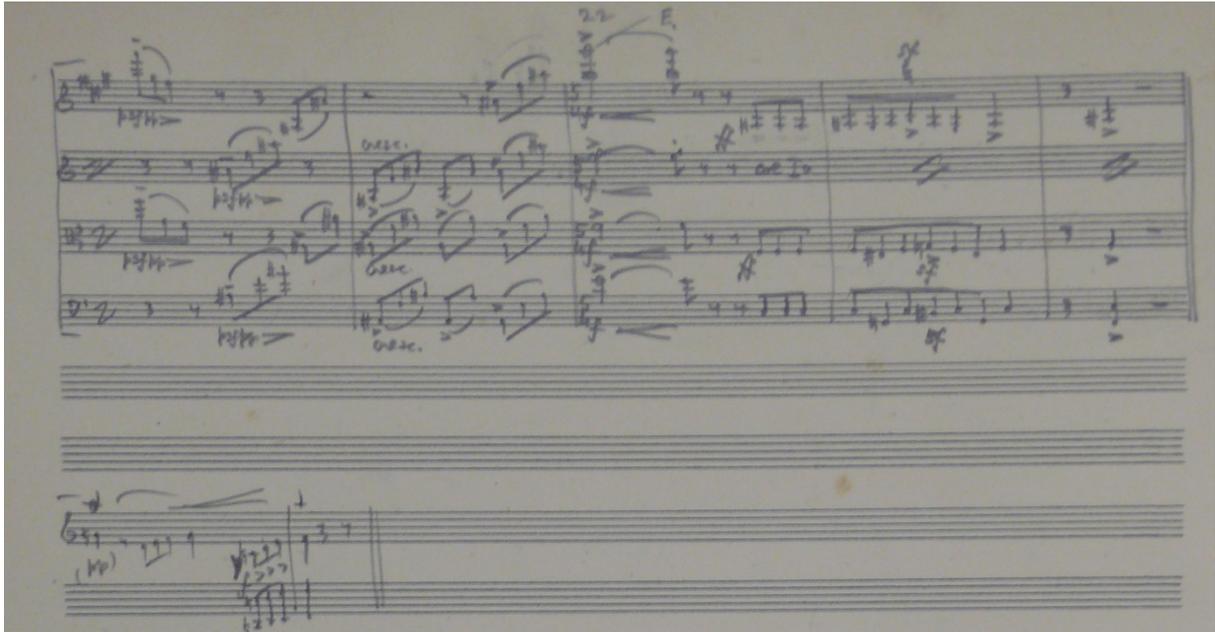
Figure 16: Van Wyk, end of draft of first movement of First String Quartet
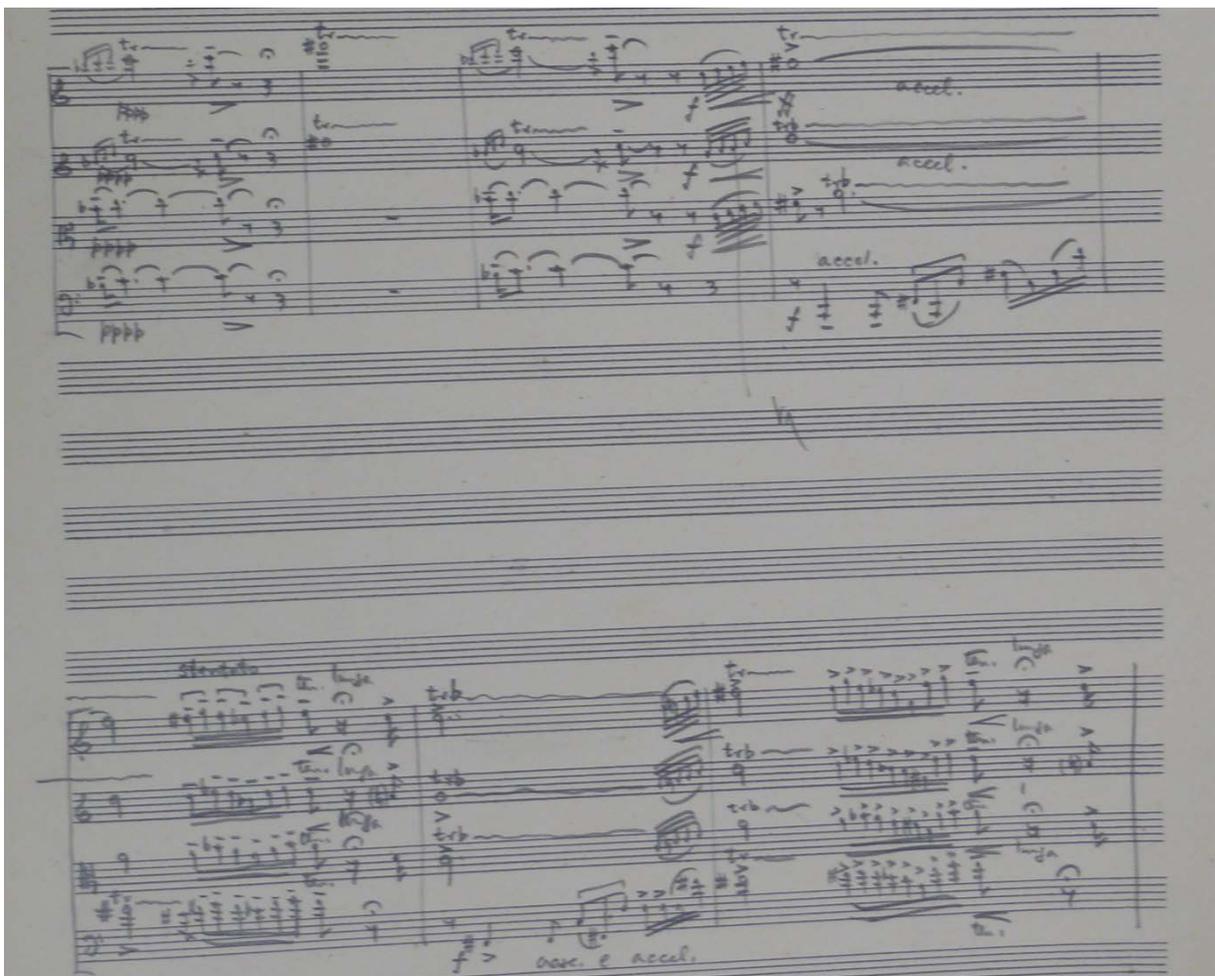
Figure 17: Van Wyk, penultimate systems of draft of slow movement of First String Quartet

Figure 18: Van Wyk, end of draft of first movement of First String Quartet
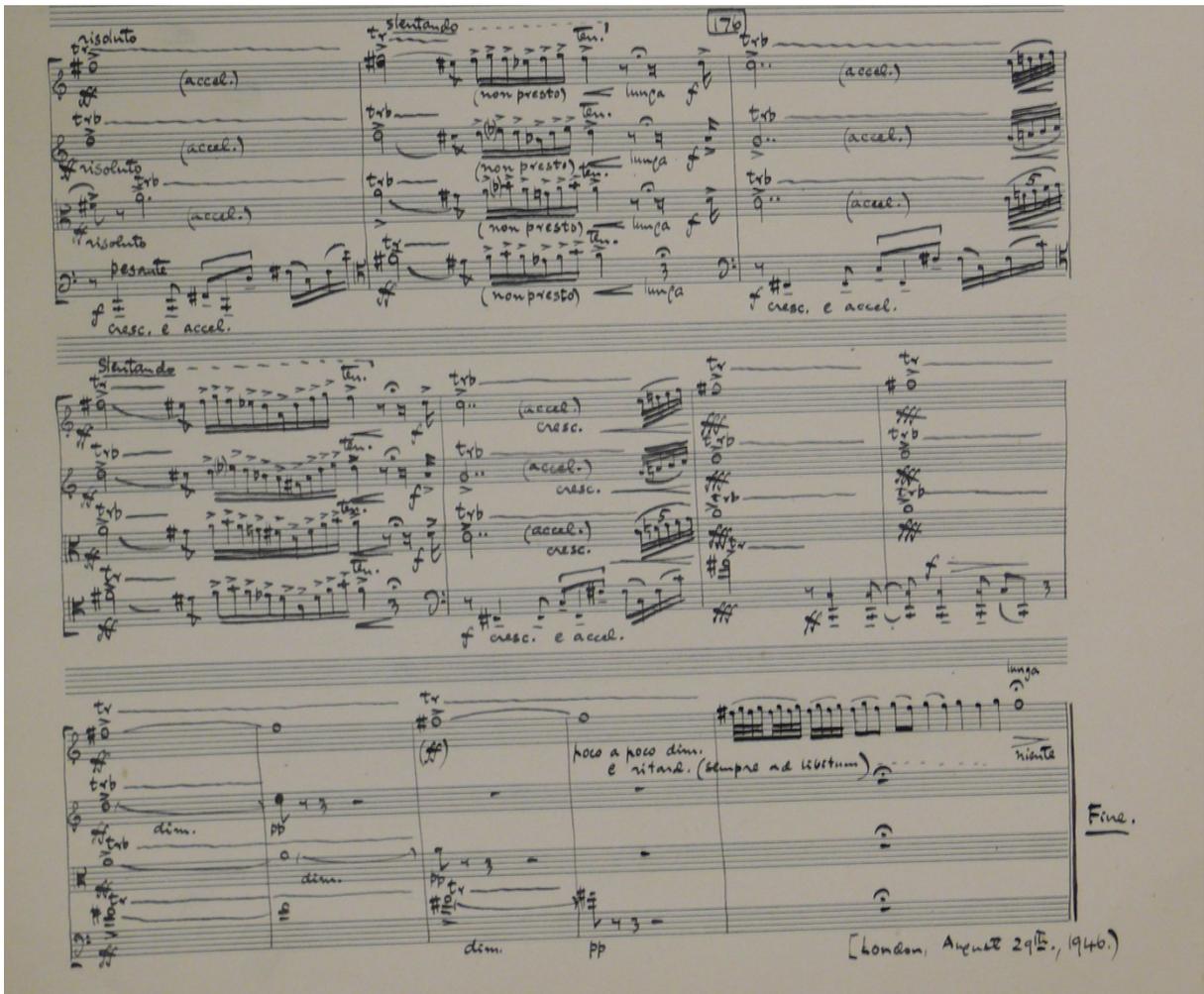
Figure 19: Van Wyk, end of fair copy of First String Quartet

This synopsis of Van Wyk's work on the beginnings and endings of individual movements and the quartet as a whole, enables a number of important and inter-related observations about this work and its compositional process.

First, this aspect of the compositional process reveals Van Wyk's concern for structural and cyclical unity, both within movements and in the quartet as a whole. I have shown how Van

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Wyk worked to give the tritone (between F♯ and C, and also between ı and ♯4) a more and more prominent role in the openings and closings of movements, and also how the first movement was at one stage to have a Poco sostenuto introduction derived from its ending.[30]

This first objective hangs together with the second question that seems to have preoccupied Van Wyk in the sketches discussed here, namely the degree of harmonic ambiguity that is allowed to persist up to the closing of the quartet. It has been demonstrated how Van Wyk had experimented with endings where all harmonic ambiguity is resolved and all chromatic elements purged. Ultimately, however, he decided for the profound harmonic ambiguity which he would express as follows in the programme note for the premiere: "The quartet begins with a struggle to establish a key and ends uncertainly, with a trill on the notes F♯ and G" (own translation from Van Wyk, 1947c).[31] The matter of harmonic ambiguity is connected to the prominence of the tritone at the end, because the tritone between ı and ♯4 is an element that hinders harmonic clarity, whilst enforcing structural coherence, and ultimately unsettled the tonic of the last movement entirely, as shown on Figure 19 (Van Wyk, 1946i).

However, the decision for a pervasive harmonic ambiguity that is never dispelled was a programmatic choice on Van Wyk's part. When asked by Pierre Marais why, in his opinion, the First String Quartet is not often played in South Africa, he answered that the work "ends in absolute pessimism – and perhaps some people do not want to hear those things" (own translation from SABC, 1978).[32] As I have illustrated, some of the discarded possibilities would have resulted in a "darkness-to-light" narrative for the quartet – but the musical message that Van Wyk finally chose to convey was one of an agonised subjectivity spiralling into ever deeper darkness. The most potent means of depicting this extra-musical content is the end, the resolution of which was literally deleted to leave it open and "fad[ing] into

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[30] In the completed work, that specific material features neither in the beginning nor the end, but the prominence of A♯ as the first violin note still creates a correspondence between the beginning and the end of the first movement.

[31] "Die kwartet begin met 'n stryd om die konstatering van 'n toonsoort en eindig onseker, met 'n triller op die note F kruis en G."

[32] "[Die Strykkwartet] eindig in absolute pessimisme – en miskien wil party mense nie daardie goed hoor nie."

emptiness", as Howard Ferguson has described it (1958: 7). This belated decision of the radical excision of the closing two bars of the movement and the work, like the effect of the end thus created, invites interpretation. For one commentator at least, that interpretation centred on the contemporary events of the Second World War. The rest of this chapter will offer a contextual and intertextual interpretation of the end and the compositional decision associated with it.

III.   Van Wyk's First String Quartet as Beginning and Ending

Stephanus Muller has observed that the designation of "First String Quartet" (as Boosey & Hawkes published it) is "misleading, not only because there was to be no 'Second' String Quartet,[33] but also because the *Five elegies* and before them no less than five youthful string quartets in various degrees of completion, preceded this magnificent three-movement work" (Muller, 2008b: 68).

This statement summarises Muller's more detailed description of the juvenile ensemble works (Muller, 2008c), where he argued that Van Wyk's First String Quartet, as well as the *Five Elegies for String Quartet* of 1941, should be regarded as "the culmination of his interest in the medium of the string quartet, rather than first exploratory steps of which the potential would never be realised" (own translation from Muller, 2008c: 10). This argument rests on the large number of pieces for string quartet, as well as for strings and piano, that Van Wyk had composed before attempting his first mature works for string quartet (i.e. the *Five Elegies,* not designated formally as a string quartet, and the "First" String Quartet). Before Van Wyk wrote any of the five string quartets in his juvenilia (to be discussed below), he experimented with ensemble works for piano and strings, piano being his first instrument and also the instrument for which he composed his earliest pieces. Muller describes eight such ensemble works composed between 1930 (when Van Wyk was 14) and 1933 (the composer's matric year). These are summarised in Table 8, using the information in Muller's article and his catalogue of the sketch sources in the Arnold van Wyk Collection.

Table 8: String ensemble works in Arnold van Wyk's juvenilia

Nr.	Ensemble	Key	Movements	Date
1	Piano Trio	F minor	One movement (43 bars), incomplete	1930

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[33] Muller (2008b: 12) notes that there are sketches for a second quartet, dated 1948, among Van Wyk's documents, but that they constitute only the working-out of one musical idea.

2	Piano Quintet	A minor	One movement completed	1931
3	Violin Sonata	G minor	Three movements completed	1932
4	Piano Trio	C major	One movement (228 bars), incomplete	1932
5	Piano Trio	G minor	Three movements completed	1933
6	Piano Trio	E♭ major	One movement completed	1933
7	Piano Trio	G minor	One movement completed	1933
8	Piano Quintet	E minor	One movement (134 bars), incomplete	1933

Only after this extended experience of writing for strings *with* piano – Muller (2008c: 9) notes that in the earliest efforts, the piano "unsurprisingly" dominates – did Van Wyk feel confident enough to try his hand at his first string quartet compositions. Similarly, he would write five of these experiments before producing the *Five Elegies* and the First String Quartet in London, a course of action which Muller (2008c: 10) interprets as a sign of "caution" and "integrity" on the composer's part. These five string quartets in the juvenilia are listed by Muller as follows (2008c: 12):

Table 9: String quartets in Arnold van Wyk's juvenilia, table translated from Muller

Nr.	Key	Movements	Date
1	C major	First two movements completed; third movement (54 bars) incomplete	1933
2	E minor	First movement (264 bars), incomplete; second movement completed	1934
3	F♯ minor	First movement (26 bars), incomplete – would become the only movement of the Piano Quintet in F-sharp minor; second movement completed	1935
4	E minor	Three movements completed	1936
5	D minor	Two movements completed	1936-7

While Muller's research reveals that Van Wyk was actually a much more experienced string quartet composer than previously believed by the time the First String Quartet was written, it is not entirely satisfactory to regard the work as the "culmination" of his output in that genre. Van Wyk was thirty years old when the First String Quartet was completed and had only two years before concluded his studies at the Royal Academy of Music. The composer's own designation indicates that he hoped that the work would inaugurate a series of mature string

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quartets, and this was also the way in which it was reviewed by Colin Mason, who wrote that it "reawakens interest" in Van Wyk's "subsequent development".

The fact that Van Wyk's First String Quartet turned out also to be his last, then, feeds into an impression of stunted development, of potential not realised. Moreover, the idea that a composition intended to be an auspicious beginning of an output must in retrospect be interpreted as the culmination of an output, can rightly be viewed as tragic. This particular tragedy of unrealised dreams resonates through Van Wyk's entire English sojourn. The similar title of the First Symphony, which was to have only one successor, springs to mind. Not only did Van Wyk's output in particular genres come to less than expected, but his career as a whole did not develop as, for example, the excited tones of Ferguson's early *Tempo* articles seemed to promise:

> These few notes can give little indication of the quality of van Wyk's *Five Elegies*. But if they help to bring the work to the notice of quartet players and others they will have served their purpose. Anyone who has heard the work performed (it has already been played in public by the Menges and Griller Quartets) will realize that its composer is blessed with a rare feeling for the quartet medium and a wonderfully sure constructional sense. This knowledge makes one all the more impatient for the publication of van Wyk's much larger and more ambitious String Quartet No. I (completed in 1946), which was recently performed for the first time in England by the Zorian Quartet on the Third Programme (Ferguson, 1947/1948: 18).

It would be entirely speculative to identify reasons for the unfulfilled promise of Van Wyk's early career; yet it is also impossible not to mention in this connection that his (permanent, as it would transpire) relocation to South Africa turned out to be a singularly bad decision in terms of his career as a composer. Muller (2008b: 72) has made this argument persuasively, calling it the "biggest mistake" of Van Wyk's career, and pointing out that Van Wyk's English-period compositions have "a boldness, an adventurousness and a spontaneity that would gradually desert him as he became isolated and frustrated after his return to South Africa" (Muller, 2008b: 67). This designation of Van Wyk's return to South Africa as a turning point after which the quality of his musical expression deteriorated steadily, however, is also problematic: Van Wyk's continued career in South Africa, while it is true that composition became for him an increasingly fraught activity and that he was ever more racked by self-doubt, would include a number of excellent and acclaimed compositions, such as the song cycle *Van Liefde en Verlatenheid* (Of Love and Forsakenness), the symphonic tone poem *Primavera,* and the *Missa in illo tempore*. Any narrativisation of Van Wyk's compositional career must allow for great ambiguity of beginnings and endings.

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IV.   Homes

In the first section of this chapter I have juxtaposed the stories of two string quartets because of my conviction that the resonances that I have discovered between these two stories will prove illuminating to my study of Van Wyk's compositional process, his composer-persona and his music. I performed this juxtaposition because I found it creatively productive to read these two compositions and their stories next to each other. At the same time, the connection is also borne out by the important place the Bartók string quartets held in Van Wyk's musical life. He had bought the scores of all six during his first years in London, and they are well-thumbed and annotated.

The compositional processes of both Bartók's Sixth String Quartet and Van Wyk's First String Quartet are marked by the Second World War, and the reception of both works registers this context unambiguously. Both quartets end with tragic slow movements, and in both compositional processes, this concept was not present from the outset, but a later choice. Both works represent their composer's farewell music before a major relocation connected with the War. Both quartets feature some unresolved ambiguities in their endings, subsequently interpreted by scholars as tragic gestures. Both quartets were finished in the country the composer was leaving, and each received its premiere in the respective countries of their relocation.

The nature of the two relocations, though, could hardly be more different, and the reason for this relates partly to each composer's reference to *home*. Bartók was an established composer with different options for emigration available to him, and also with a career that was significant enough for his publisher to assist him in carrying out his eventual choice. Van Wyk was a composer on the brink of a meaningful career, who returned to South Africa for a visit that turned out, calamitously, to be permanent. Bartók's string quartet was commissioned by a Hungarian ensemble, completed quickly and decisively and even when this commission did not work out as planned because of the War, the composer could re-dedicate the work, confidently adapting to new circumstances. Van Wyk's string quartet was not commissioned, and he continuously pored over it, doubtfully gravitating this way and that, and tinkering with details. Perhaps most importantly for the present comparison, though, Bartók knew clearly that he was leaving his home, and gave a farewell concert before he did so, while Van Wyk because of his Afrikaner colonial citizenship had a very ambiguous

relation to home. Stephanus Muller has described how Van Wyk's place of birth did not signify "home" for him because of its remoteness from the cultural centres with which he identified.[34] Van Wyk's correspondence with Baron and Ferguson indicates that he had decided to settle in London, and yet he felt so profoundly unhappy in England that he hoped his mental health would benefit from a prolonged South African visit, where Freda Baron was a replacement-mother-figure ready to take care of him. Consequently, Van Wyk's relocation from England to South Africa could be neither a return to a place that carried a clear meaning of home, nor yet an uncomplicated departure from a place with such a meaning.[35]

Therefore, however traumatic the relocation may have been for both composers, I am arguing here that for Van Wyk it represented a much more profound identity crisis than for Bartók. After the relocation, Bartók's identity would be easily labelled as a Hungarian émigré composer. Van Wyk, on the other hand, would be an increasingly obscure Afrikaans colonial composer with a deeply troubled musical identity, someone who would write letters pining for England, but who for an English critic would "disappear from view" even as the South African reviewer of the premiere of his quartet could joyfully assert that he had "remained a farmer-boy". Bartók left his home for a new country, which he knew not to be his own but where he hoped to adapt, but for Van Wyk neither "departure from" nor "arrival at" was psychologically possible. This is poetically confirmed as his embarking on what was intended as an eighteen-month holiday retrospectively becomes a final departure.

It is insightful to note that the resonances between the two compositional histories listed at the beginning of this section can be extended by remarking that both composers have been theorised as peripheral figures by subsequent scholarship: Bartók because his aesthetics ran counter to the "panromanogermanic mainstream", to use Taruskin's phrase, and Van Wyk because he was a colonial subject. Lynn Hooker has challenged the peripheral status of Hungarian modernism in music historiography in an article about Bartók and the "New Hungarian Music Society", arguing as follows:

> The concerts UMZE [the "New Hungarian Music Society"] planned did not tokenize or ghettoize Hungarian composers, but set them up as equal to the most modernist composers in Europe at the time; and folksong was used not as a token of nationalist pride, but as

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[34] Muller (2008b: 62) writes: "If Calvinia [Van Wyk's childhood hometown] was the measure of things here and now for Van Wyk, 'beauty' could only be of another place and time."

[35] Perhaps this observation also sheds some light on Van Wyk's repeated postponements of the decision to go back to South Africa, that so frustrated Baron.

> another way to let in the 'fresh air' of new sounds and new worlds. …. Bartók and his circle … move[d] folksong, along with composers and compositions drawing on it, out of the 'naïf' ghetto and into the wide world, claiming citizenship rights for themselves and other "peripherals" in the modernist mainstream of the early twentieth century (Hooker, 2005: 297-299).

The peripheral status of British musical modernism vis-à-vis the "panromanogermanic mainstream" has been challenged with equal persuasion (as noted in Chapter I), for example by Jenny Doctor (2008), who has argued that the aversion to Continental musical modernism in Britain should be seen in its proper political context and not dismissed as parochial isolationism.

These two "rehabilitations" of supposedly peripheral modernisms excluded from the progress-oriented music historiography of the past, stem from the common philosophical root of postmodernism, as Byron Adams explains:

> One of the casualties of postmodernist historiography is the concept of a monolithic international mode of modernism. What has developed in its place is a bracing if paradoxical postmodern theory of historical narrative that is capacious enough to encompass a plethora of "modernisms" (Adams, 2011a: 742).

And yet it seems that the reinstatement of British musical modernism within a larger context of "modernisms" does not yet encompass the music of the British colonies. The quotation above is from a review of the recent *British Music and Modernism, 1895-1960* (Riley, 2010), a book that gives no indication that Britain between 1895 and 1960 included more countries than those represented by the British Isles. This equation of England (mostly) with Imperial Britain completely erases the existence of colonial contributions to imperial culture.

My argument endeavours to register an important difference in the current status of composers who were described as "peripheral" in terms of a "panromanogermanic mainstream" in modernist music historiography, and composers of Empire who, because they lived on the "periphery", are scarcely acknowledged even by postmodernist music historiography. At the same time, this is not an imbalance that revisionist music historiography can "set straight", as Taruskin arguably did in his lecture "Why you cannot leave Bartók out" (Taruskin, 2006). Arnold van Wyk returned to a parochial existence in South Africa, producing a limited output of mostly unexceptional music in growing cultural isolation. History can, arguably, "leave Van Wyk out" because there is as yet no satisfactory musical revisionist narrative that objects to this.

Van Wyk's music reveals much about the conditions of cultural production experienced by colonial composers of the WWII period; composers whose music is just as much a part of the "underlying tapestry of musical activity", in Doctor's description of English musical modernism (2008: 108), as that of Vaughan Williams or Gerald Finzi or Benjamin Britten undoubtedly is. The function of the centre/periphery binary in "creating and maintaining a colonial power structure" has been theorised, as Annedith Schneider (2001: 86) has remarked, by "figures as diverse as Said and Homi Bhabha". However, these authors have also pointed out "the fragility of the structure". If the centre/periphery binary is truly fragile, as Hooker and Doctor have shown it to be in the cases of Bartók and British musical modernism respectively, then the centre/periphery binary *within* British musical modernism, the boundary between the imperial centre and the colonial margins, remains to be subverted.

The endings of Bartók's and Van Wyk's string quartets partake of different kinds of musical ambiguity. Bartók's ambiguity is masterly and carefully constructed: the breaking-up of the theme, the irresolvable D major / F major end, the play between finality and non-finality. Van Wyk's ambiguity is half-constructed (inasmuch as the tritone as structural device was an ongoing concern since November 1945), but finally he deletes the end that he had composed. The result is a radical non-closure. Rather than a carefully planned breaking-up as Bartók had portrayed, Van Wyk's ending communicates an existential breaking-up. It is a violation of the ending, of the sense of arrival, and therefore a violation also of the future. Van Wyk's quartet, the music of his sojourn in the centre and of his return to the periphery, is a wound. Its excised ending silently marks the place where his journey might have begun.

3

"Arts-brothers should help one another":
An intertextual reading of the Elegia from the *Duo Concertante* (1962-1976)

The frontiers of music are never clear-cut: beyond its framing silence, beyond its inner form, it is caught up in a web of references to other music: its unity is variable and relative. Musical texts speak among themselves (Klein appropriating Foucault in Klein, 2005: 4).

I.   Background and Theoretical Perspectives

This chapter presents a multi-layered intertextual reading of the Elegia from Van Wyk's *Duo Concertante* for viola and piano. The intertexts that "converse with" Van Wyk's piece in this chapter will highlight aspects of that composition not immediately obvious without such intertextual perspectives. Two of these intertexts have an obvious connection to the Elegia and constitute intuitively suggestive texts for interrogation: Martin Peerson's *The Fall of the Leafe* from the Fitzwilliam Virginal Book was identified as a model for the Elegia by the composer on the sketch drafts and programme notes, and Gerald Finzi's *The Fall of the Leaf* (Elegy for Orchestra), opus 20, in turn is identified with that same intertext through its title, and, possibly, through musical references.

The third intertext I shall introduce represents a more unusual intertextual practice, in that the intertext is a musical fragment by Arnold van Wyk himself, which he invented, by his own testimony, about twelve years before the completion of the first version of the *Duo*, and which he used as the main theme of the Rondo in the *Duo*. I shall argue that Van Wyk wanted to embody the "extra-musical" concept of "prophecy" through this musical idea, and I shall trace the role of the musical idea through the composition process of the *Duo*. This idea and its associations for Van Wyk, like the other two intertexts that command attention here, contribute towards the construction of radical new understandings of the Elegia and the *Duo*.

An Intertextual Family

On the autographs for Arnold van Wyk's *Duo Concertante*, an asterisk appears next to the title of the second movement, Elegia, indicating a footnote in which the composer identifies a specific intertext for the piece: "Based on 'The Fall of the Leafe', (Martin Peerson, c. 1580-1650)". In a newspaper article published in *Die Burger* on 9 October 1962 announcing the première of the *Duo*, that had been commissioned by the South African Broadcasting Corporation for the Wallfisch Duo's tour of South Africa which was then taking place, Van Wyk (1962d, own translation) elaborated on his choice of the intertext as follows:

> I decided that the cheerful Rondo [the last movement] would best be offset by something pessimistic and introspective. ... But – I had no suitable theme ... until one day I read in an overseas newspaper that Picasso ... is now creating a series of drawings based on Manet's *Déjeuner sur l'herbe*, a painting which – this I did not know before – Manet had, in turn, based on a work by Giorgione! Then I thought: If Picasso could do it, and before him Bach and Händel, why not I? And eventually I settled on "The Fall of the Leafe", the moving little tone

poem by the English composer Martin Peerson (1580-1650). Some days I fear that the use of another's themes is an indication of inability. But mostly the far more reasonable opinion holds that arts-brothers can and should help one another and that there can be no objection to such borrowings, as long as an artist contributes something of his own.

The intertextual connection set up by Van Wyk between his work and Peerson's may be extended to Gerald Finzi's Op. 20, which is entitled *The Fall of the Leaf* (Elegy for Orchestra). This work was first performed in public at the centenary concert of the Hallé Orchestra in Manchester on 11 December 1957. An early work which Finzi worked on intermittently since its inception around 1929, at the composer's death it was completed in piano duet form only, with some draft ideas for scoring. Joy Finzi offered it in lieu of the commissioned work Finzi would have composed for the Hallé concert, in an orchestration prepared by his lifelong friend Howard Ferguson.

In the accompanying edition of the Hallé magazine, Ferguson explains that this piece was "first conceived in the early 1930s[36] as the final part of a three-movement work to be entitled 'The Bud, the Blossom and the Berry'; but the full design was never completed and Finzi wished the Elegy to stand on its own with the title he borrowed from a short piece by Martin Peerson in the Fitzwilliam Virginal Book" (Ferguson, 1957: 10-11).

It is possible – though not in any way necessary for my argument – that my esthesic intertextual extension to Finzi's work may apply to the poiesis of the works as well. Howard Ferguson was of course also a close friend of Van Wyk's and introduced Van Wyk to Finzi. They became reasonably well acquainted: Van Wyk spent a holiday with the Finzis at Ashmansworth in July 1945 and corresponded with them once after his return to South Africa, in 1949. Ferguson and Finzi were corresponding about Finzi's *The Fall of the Leaf* as early as 1934, and there existed a piano duet arrangement of it, which they played together at least once, for Boosey & Hawkes during 1940. The intimacy of Van Wyk's and Ferguson's friendship and level of their musical discussions since 1941 make it seem highly probable that Van Wyk was familiar with Finzi's piece, and he may have been prompted by this memory in his choice of the intertext for his Elegia.

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[36] Ferguson is wrong on this detail: the first autograph version, which may likely have been preceded by sketches, is dated 1929.

Although the term "intertextuality" had not been coined at the time of Van Wyk's newspaper chapter quoted above,[37] Van Wyk's argument in the chapter may be understood as a defense of his intertextual practice vis-à-vis the doctrine of originality, which was an important ethical principle for him. What is particularly revealing is the metaphor he arrives at, namely that of family (arts-brothers, orig. *kunsbroers*). If his justification for using a model piece in lieu of an original theme allowed him to include himself in an intertextual family, then Van Wyk's intertextual practices and choices may be a fruitful point of entry to understand his struggle for belonging, a place in the tradition, and an authentic compositional voice. For this reason, the choice of model is telling: Other adopted "brothers" implied by the choice of Peerson include Finzi, as well as Vaughan Williams and other contemporary English composers who drew on Tudor material. Muller (2008b), theorising Van Wyk's struggle for spontaneous self-expression in terms of a postcolonial "alienation from his own place and time" (2008b: 66), and (in passing) in terms of Van Wyk's homosexuality, has also referred to his frequent use of existing music to show how "Van Wyk was a composer ill at ease with himself, crucially unable to reach within to an unequivocal and recognisable musical expression that constituted a personal identity" (2008b: 69). "Even as a mature composer," Muller continues, "in some of his best work, he continued to search for musical stimuli or techniques to spark his own writing, resulting in works densely layered with intertextual reference, but also curiously devoid of a strong personality or focus". Muller's insights, which are original in the context of existing Van Wyk scholarship, are not supported by empirical and analytical research. This chapter will engage Muller's ideas empirically by exploring the "layers of intertextual reference" in the *Duo Concertante*.

Perspectives on Musical Intertextuality

Early scholarly contributions to musical intertextuality and its related categories of allusion and influence – a complex that Peter Burkholder (1994) calls "the uses of existing music" – tended to theorise the question in terms of genius: a composer (usually Brahms) proves his genius by transforming material he borrowed from his predecessors into something original. So, for example, when Brahms took the models of Bach's Chaconne for solo violin and Beethoven's *Eroica* as formal models for the finale of his Fourth Symphony, and "in a more general way" took the works of Mozart and Chopin as stylistic models of "melodic grace,

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[37] According to Klein (2005: 11) it was first used by Julia Kristeva in 1969.

ornament and chromaticism", according to Burkholder (1984: 78), "(t)he result is pure Brahms … (he) avoids mere imitation; his own voice is recognizable, even when his debt is most obvious". Similarly, Charles Rosen (1980) showed that Mozart and Brahms transformed their borrowings so thoroughly that "it is almost undetectable and certainly unprovable without a signed affidavit from the composer admitting the borrowing" (1980: 100). This leads Rosen to affirm the autonomy of the musical domain and the concomitant primacy of "pure musical analysis":

> What Brahms had to say about his relation to history and to the past, he let his music say for him. This goes to show that when the study of sources is at its most interesting, it becomes indistinguishable from pure musical analysis.

In 1985, Robert Hatten and Peter Burkholder formulated typologies of intertextuality and "borrowing" techniques respectively. Hatten distinguished between "stylistic" and "strategic" intertextuality and Burkholder expanded his list into a 14-item inventory of "the uses of existing music" in his 1994 article with that title.

The early 1990s was marked by the belated enthusiasm for Harold Bloom's theory of "the anxiety of influence", originally set out in four books that appeared in 1973 (*The anxiety of influence: A theory of poetry*), 1975 (*A map of misreading* and *Kabbalah and criticism*) and 1976 (*Poetry and repression: Revisionism from Blake to Stevens*). In the vanguard were Joseph Straus (1990 and 1991) and Kevin Korsyn (1991). Although their applications of Bloom's ideas (the latter handily summarised in a table of six "revisionary ratios" which lends itself to, although it was probably not intended for, systematic application) attracted a sizable following, this wave of intertextuality scholarship was sharply criticised for a number of reasons. Lloyd Whitesell (1994) balked at Bloom's blatant chauvinism and reactionary insistence on a restricted canon of "masterworks", and warned against perpetuating such prejudices through using his theory as a framework:

> By allowing a rhetoric of aggressive anxiety to grip and congeal our discourse, we risk passing on its ugly contradictions, its blithe pairing of violence with cultural entitlement. We perpetuate the trap, the unworkable gender arrangement couched in the language of hypermasculinity, when we would be better off focusing an incredulous, interrogative light in its direction (Whitesell, 1994: 167).

Richard Taruskin (1993) and Martin Scherzinger (1994) complained that, despite Korsyn and Straus's intent for the Bloomian approach to free analysis from organicist thinking by locating meaning in the intertextual space, the approach yielded no new musical insights and

that the authors' conclusions could as easily have been arrived at with traditional means. According to Taruskin (1993: 123), "[Korsyn's] 'new poetics' mainly reconfirms conventional judgments. The reconfirmation, meant to justify the new methodology, obviates the need for it". This failing may at least in part be ascribed to the content of Bloom's theory, in which according to Scherzinger (1994: 300), "the Kantian notion of genius is … preserved in the face of an inescapable narrative structure".

Recent contributions have shown a tendency to move away from "fact-based" research into specific scenarios of "influence", which is regarded as positivist, towards a range of freer modes of intertextual criticism. The most radical voice in this regard belongs to Michael Klein (2005), who draws an unforgiving caricature of influence studies:

> Composer A must have borrowed material from Composer B, because she studied the older master's music as a student, she kept copies of Composer B's scores on her piano, and by some luck of documentary evidence we can prove that she attended a concert of Composer B's music on the very night preceding the composition of work X, which so obviously testifies to Composer B's influence (Klein, 2005: 12-13).

Klein draws his inspiration from literary criticism and urges us to explore authentic intertextual readings, "the radical opening of texts that we see in the writings of Bakhtin, Barthes, Kristeva, Derrida and others", rather than a conservative, watered-down version where the "intertext remains confined to two pieces" (Klein, 2005: 18). Klein's insight in this regard resonates with Kristeva's own thought about the concept of intertextuality, which for her was fundamentally different from studies of source and influence. In an addendum to her 2005 doctoral thesis, Jill Schostak emphasises this distinction in Kristeva's work as follows: "In fact, so keen is she to avoid the reduction of intertextuality to the traditional notions of influence, source-study and simple 'context' that, for these very reasons, she introduced the term 'transposition'" (Schostak, 2005).

Klein (2005: 12-13) makes a similar point by distinguishing the "poietic" kind of intertextual studies (i.e. studies of influence, borrowing, allusion and quotation) from the other kinds that a "radical opening of texts" should embrace, such as "esthesic intertextuality" (which emphasises the role of the reader/audience), for "transhistorical intertextuality" (which "open(s) the text to all time") alongside "historical intertextuality" (in which the text is "confine(d) to its own time"), and even "aleatoric intertextuality" ("that roams freely across time").

Yet also among scholars of what Klein calls "poietic intertextuality", new possibilities are recognised, allowing more scope for play in interpretation than the "proofs" of influence in Klein's caricature. Christopher Reynolds's theorisation of a give-and-take between conscious and unconscious modes of allusion is a case in point (Reynolds, 2003); another is Craig Ayrey's scintillating piece on the intertextual references among works by Schönberg and Berg (Ayrey, 1996). Although David Metzer's study of quotation in twentieth-century music (Metzer, 2003) also resides in the poietic domain, its focus on the domain of quotation implies a concern for the esthesic dimension,[38] and its choice of examples from both highbrow and popular culture testifies to a postmodern spirit.

Specifically, more recent "poietic" intertextuality studies tend to acknowledge and emphasise the role of the musicologist as interpreter, as meaning-constructor, rather than fact-finder. This change is registered, for example, by Ayrey:

> In the absence of proof, perhaps my interpretation of the correspondences … involves reading too much into the texts (reading one into the other)? If documentary proof were found my interpretation would be altered to become an interpretation according to the "facts" (a change of status), but an interpretation all the same, to be accepted or disputed (no change of validity) in the open-ended contest of interpretations (Ayrey 1996: 25).

The present chapter is indebted to Klein's example in its hermeneutic, meaning-generative approach to intertextuality,[39] and to Klein, Reynolds and Ayrey in its constellation of an intertextual network of which each connection is *not* underpinned by poietic proof. While Van Wyk explicitly acknowledged Peerson's *The Fall of the Leafe* as a model for the Elegia, Finzi's relationship to the same Peerson piece is not documented beyond his choice of title, and the forging of the intertextual connection, therefore, between Finzi and Peerson, as between Van Wyk and Finzi, is an act in the realm of esthesis. Similarly, while it can be demonstrated that Van Wyk sought to imbue the references to the main theme of the Rondo that he included in the Elegia with special significance, the conclusions about such content drawn here do not proceed directly from provable aspects of the poietic process, but rather from a creative esthesic interpretation that however remains grounded in the rich

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[38] This interest is shared by Raymond Knapp, and constitutes his main criticism of Reynolds's 2003 book (Knapp, 2005).

[39] Therefore I too am exposed to the criticism Klein attracted from Williams (2006: 319) for engaging in a hermeneutic project from outside the canon of that discipline. Williams specifically mentions Gadamer's *Vorurteil* as a concept that could have led Klein to more meaningful conclusions.

documentation pertaining to the poiesis. An expanded sense of poietic intertext is achieved by treating the sketches of the *Duo Concertante* as non-teleological representations of creative ideas. Crucially, however, not only the poietically-biased discursive contexts of Van Wyk's scores, sketches and notes are put to work here, but also intertexts of contemporaneous collegial aesthetics (the music of Gerald Finzi) and the South African Zeitgeist in which the receptions of a "cook" and "garden boy" constitute an unusual imagined esthesic loop to Van Wyk's authorial decisions.

The importance of the creative esthesic reading is one way in which the present chapter partakes of recent developments in the study of musical intertextuality. Another is the different gaze directed at the poiesis of the *Duo*, especially in the third "intertext" investigated here, the role of the motivic material of the main theme of the Rondo in the Elegia. In regarding Van Wyk's interaction with a musical fragment that he had composed twelve years before in the same way as his interaction with the Peerson model and Finzi's interaction with the Peerson model, an understanding of intertextuality is proposed that extends the concept to include self-influence and self-allusion. In this way, an intertextual reading may ask the same questions about the composer's relationship to his/her former self, that it does about the composer's relationships to others.

II.   Van Wyk & Peerson, 1962

Martin Peerson's *The Fall of the Leafe* (the full text is shown as Example 1) appears as item number CCLXXII in Fuller Maitland and Barclay Squire's 1899 edition of the Fitzwilliam Virginal Book.[40] It is a set of divisions[41] consisting of two four-bar phrases, each with variation. (In Example 1, the first phrase appears in bars 1-4, and the second phrase is marked "2", bars 13-16.) Each four-bar phrase can be divided into two units of two bars each, where the first moves away from the tonic (in the first instance to the relative major, in the

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[40] This is the edition that was available to Van Wyk and Finzi (Van Wyk owned the 1949 Edwards reprint of that edition). Although they are not original, I use the bar numbers of that edition for ease of reference.

[41] "A term used in the 17th and 18th centuries for a kind of ornamentation in which a melody is broken up by fast figuration" (McVeigh, 1995).

second instance to the dominant) and the second returns to it, so that the whole is absolutely regular in structure,[42] yet inventive in melody and figuration.

The Fall of the Leafe

Martin Peerson

Example 1: Martin Peerson, *The Fall of the Leafe*

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[42] Although the number of bars taken up by each of the two "original" phrases differs from that taken up by its variation, the actual lengths of the phrases do not differ: some bars contain four minim beats, while some (in the variations, where there are faster note values) contain only two.

The Fall of the Leafe also belongs to a second, often overlapping category of English keyboard music of the time: inspired by the word-painting of the contemporary madrigal, English composers sometimes gave their keyboard pieces descriptive titles and programmatic material (other examples include William Byrd's *The Bells* or John Mundy's *Fantasia* which describes a series of thunderstorms). In Peerson's piece, the falling leaf is portrayed by the two conspicuous descending scales of the first two bars, and the proliferation of trills in the first phrase may suggest its fluttering to the ground.

Van Wyk had composed the version of the Elegia played at the 1962 première under great time pressure between the end of January 1962 and (as best can be deduced from the extant sketches) the beginning of March. He had begun work on the Rondo on 17 January, on the day that he received the commission, and continued sketching for it into early February. He worked intensively on the Rondo again at the end of March and through April, although some work on this movement overlapped with work on the Elegia. The sketches for the Toccata are undated except for the first and last, but most probably date from April and May 1962, as the end of the sketch process of this movement also marked the completion of the work as a whole, an event Van Wyk recorded meticulously as "30/5/1962 10pm". The autographs must have been completed in record time, as, according to his newspaper article, Van Wyk delivered the work in early June. The process is summarised in Table 10.

Table 10: Van Wyk, *Duo Concertante,* summary of compositional process

Date	Compositional activity
17 January 1962	Commission for *Duo* received. Work on Rondo commences. Character of other movements planned.
Following up to early February	Work on Rondo continued.
24 January 1962	First sketch for Elegia according to Peerson
Following up to early March	Elegia completed.
12 February 1962	First sketch for Toccata.
24 March 1962	New opening for Rondo.
Following up to April	Continuation of work on Rondo.
April and May	Continuation of work on Toccata
30 May 1962, 10 pm	Completion of Toccata.
Early June 1962	Autographs delivered.

Van Wyk's programme notes for the *Duo* (quoted in Kennedy 1962) reveal that he thought of the Elegia in terms of a slow-movement sonata form without development. The divisions according to the first version of the piece (the one premièred by the Wallfisch Duo on 9 October 1962) are shown in Table 11.

Table 11: Van Wyk, *Duo Concertante,* Elegia, sonata form divisions

Section		Bar numbers
Introduction		1-8
Exposition	Main theme	9-21/1
	Subordinate theme	21-36
Recapitulation	Main theme (simplified)	37-45
	Subordinate theme (truncated/interrupted)	46
	Interpolation ("prophecy")[43]	46-48/2
Epilogue (repeats the introduction)		48/3-53

In his adaptation of Peerson's material, Van Wyk followed the structure of the model quite closely, so that the main theme is a recomposed version of Peerson's first four-bar phrase (bars 1-4 in Example 1), and the subordinate theme is modelled on Peerson's second phrase (bars 13-16 in Example 1). Van Wyk also follows Peerson's variation practice in the structure of each theme: both the main theme and the subordinate theme on the table above are stated once in a guise adapted strictly from Peerson, and once more in a freer version. (The subordinate theme has as its climax a third statement which incorporates Peerson's own variation.) The material of the introduction and the epilogue is taken from Peerson's variation of the descending minor scale in the first phrase (bars 5/2-6/3 in Example 1).

Van Wyk's interaction with his model is a paradoxical process through which he achieves intimacy with Peerson's material, yet also maintains (or produces) a certain distance from that material through the "distortions" his adaptation effects on the original. For the most part, Van Wyk quotes Peerson's melody note for note, retaining the original rhythm and contour. However, the sizes of some of the intervals are altered slightly so that the melody and its (new) accompaniment embody Van Wyk's harmonic idiom which in this piece shows affinities with composers like Bartók, Bloch, Stravinsky and Shostakovich.

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[43] This term and the function of the interpolation in the form are discussed below in Section VI.

Van Wyk's adaptation technique will now briefly be illustrated through a comparison of Peerson's first and second phrases with Van Wyk's recasting of that material as the main and subordinate themes of his composition.

Example 2 and Example 3 show Peerson's first phrase (transposed to C minor to facilitate the comparison) and Van Wyk's main theme respectively. (I here quote the first statement of the theme, which is the closest adaptation. It is subsequently repeated and varied, as explained above.)

Example 2: Peerson, *The Fall of the Leafe,* first phrase, transposed to C minor for ease of reference

Example 3: Van Wyk, *Duo Concertante,* **Elegia, 1962 version, bars 9-13, adaptation of Peerson's first phrase**

If Van Wyk's melody is read against Peerson's, an immediately apparent feature of Van Wyk's version is his introduction of D♭ as a substitution for C as the second and tenth tones of the melody. This distortion of a perfect octave to a diminished one may bear some affinity to what Kárpáti (1995) has called "mistuning" in Bartók's music (Kárpáti explains how this technique has its origin in *scordatura* on string instruments and refers to the "mistuning" by a semitone of octaves and fifths specifically). The major seventh/diminished octave which Van Wyk interpolates into the melody in this way is a recurring motif in the piece (for example, bar 4 of the extract similarly introduces two more statements of this interval). A

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related practice is the transposition of the second segment of the melody: it is quoted a third lower than the rest of Peerson's material.

A second salient characteristic of the adaptation is the "translation" of the diatonicism of the model to a tonality (C is clearly the tonal centre of the piece) which is expanded by the use of other modes. In this extract Van Wyk makes extensive use of the C whole-tone scale (as the bass movement) and hints at the C octotonic collection in the descending hexachord in bars 2(4)-3(3).[44] Significantly, these two modes both halve the octave symmetrically, and this objective is supported by the use of G♭ as a significant scale degree within the C-environment: G♭ is used against C at the beginning of the accompaniment; the whole tone scale pauses to repeat G♭ twice in bar 2, and the notes D♭-C♭-B♭ in the melody in bars 2(4)-3(1) fleetingly suggest G♭ major.

The second theme is modeled on Peerson's second phrase in a similar way, and to similar effect, as becomes clear when comparing Van Wyk's second theme to its source (see Example 4 and Example 5).[45]

Example 4: Peerson, *The Fall of the Leafe,* second phrase, transposed to E minor for ease of reference

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[44] I interpret the F in bar 3 as part of the trill on E.

[45] Again, I quote the first statement of Van Wyk's adapted theme rather than the repetition, which he varies freely. In this way, he appropriates Peerson's structure in which each phrase is followed by a varied repetition thereof.

Example 5: Van Wyk, *Duo Concertante,* Elegia, 1962 version, bars 20(4)-26, adaptation of Peerson's second phrase

A remarkable feature of Van Wyk's adaptation in his second theme (i.e. bars 21-26 of the

1962 version of the Elegia) is the different transposition of different segments of the original.

In the main theme, most pitches of the melody could be related to Peerson's material transposed to C minor, except for the second segment (Elegia, 1962 version, bar 11 with upbeat, modelled on Peerson's bar 2) which would relate to A♭ minor/A minor. This technique is employed again in the second theme, but more extensively (see Example 5; the melody begins in bar 21, the first full bar of the middle staff of the piano part, and continues on the piano's top staff, doubled an octave below on the bottom staff). The first melody tones correspond to Peerson's material transposed to E minor with alterations to the third and seventh tones that result from Van Wyk's casting of the accompaniment in an expanded G♯ minor, so that the melody sounds as though it begins on 3̂ rather than Peerson's 5̂. (The A♮ and D♮ thus appear as ♭3̂ and ♭5̂ in this context.) The pitches of the second segment of the melody (Elegia, 1962 version, bars 22(4)-23, see Example 5) relate to Peerson's original, bars 14(4)-15 (Example 4, third bar with upbeat), transposed to G♯ minor (perhaps to link to the tonal guise of the first segment). Van Wyk includes another brief at this point (Elegia 1962 version, bar 23(3-4), see Example 5), creating a sequence from Peerson's repeated pattern in the third bar of Example 4. The last segment (Elegia, 1962 version, bars 23(4)-24, see Example 5) is first stated as if it returns to G♯ minor, but the final note of the theme is G rather than G♯ and finally this segment is repeated a third lower (Elegia, 1962 version, bars 24(4)-25), returning to an appropriation of Peerson's pitches in E minor, so that at this point the accompaniment and the melody "meet" each other again in E minor.

Van Wyk's compositional choices in this regard were recorded on the sketches, unlike the main theme which appears in a near-final guise from the first sketches. In a sketch on a page dated 26 January and 3 February 1962 (Van Wyk, 1962b), Van Wyk planned an "ostinato" (marked as such on the sketch) made up from the opening pitches of Peerson's phrase, stated in C minor like the main theme: G-G-E♭-F-G-B♭-A♭. On this sketch page, it accompanies a statement of the opening gesture of the Elegia in the viola (see Example 6 for a transcription of the sketch and Example 7 for the opening of the 1962 Elegia).

Example 6: Van Wyk, sketch for *Duo Concertante,* Elegia, 26/1/1962 or 3/2/1962 [own transcription]

Example 7: Van Wyk, *Duo Concertante,* Elegia, 1962 version, viola part, bar 1

On the next sketch page, dated 13 February 1962 (Van Wyk, 1962c), the idea of quoting the opening in the viola is abandoned, and the ostinato is used to accompany the viola stating the second theme in longer note values. On this sketch (see Example 8), the ostinato pattern of the previous sketch is transposed to G♯ minor (note the key signature). Above it, the viola plays the second phrase of Peerson's melody on E, introducing the tonal discrepancy between the melody and accompaniment retained by Van Wyk on later versions.

Example 8: Van Wyk, sketch for *Duo Concertante,* Elegia, 13/2/1962 [own transcription]

On 2 March 1962, Van Wyk transferred the viola's melodic statement as shown in Example 8 (beginning on B, thus relating to Peerson in E minor) to the piano part and invented its homophonic accompaniment doubled at the octave, as it appears in Example 5, 1962

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version, bar 20. This accompaniment and the D♯ pedal continue to evoke G♯ minor in the final 1962 version (see Example 5), even though the ostinato shown on Example 6, with Peerson's melody stated beginning on D♯ (i.e. in G♯ minor), was scrapped at this point in the composition process.

In Van Wyk's composition, the "distortion" of intervals that work against the straightforward diatonic references of Peerson's original, the transposition at different intervals of different segments of Peerson's melody and the use of expanded tonality occur throughout. In the Elegia, the effect of these techniques is to obscure the tonal/modal functionality of the melody tones as scale degrees, and because of their resulting ambiguity, the music seems fleetingly to suggest different tonalities or modes in quick succession. Although the tonal centre is clear on the level of the movement as a whole, as well as on the level of the theme, on the level of the beat-to-beat progression of the music, the listener's perception of function and modal organisation is continuously unsettled. In this way, the music inventively presents a confused, desolate subjectivity.[46]

There is a subtly ambiguous tension to be observed here. On the one hand it finds expression as a tension between order and confusion. Van Wyk plans, in an orderly, deliberate and coherent way, the musical portrayal of confusion, desolation, and loss of belonging. On the other hand, the tension seems to articulate the gap between distance and intimacy. Van Wyk interacts intimately with Peerson's material even as he maintains a distance from that material through the musical idiom in which he recasts the music. Interestingly, at first glance it looks as though the first tension concerns the psychological subjectivity of the music and/or the composer, while the second articulates a technical issue. It would be wrong to make the leap from the *effect* of confusion to interpreting a confused, alienated, or despondent psychological state for the composer. The reverse is in fact more likely: The *effect* of subjectivity could only be achieved through carefully planned and precisely executed music-technical means, while the careful preservation of distance from the Peerson model is, to my mind, what reveals most about Van Wyk's own psychology. I hold that it speaks of the composer's tortured sense of belonging as a South African

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[46] The technique described here was one Van Wyk felt very comfortable using in compositions with elegiac connotations, and an idiom he knew to be especially effective for such expression; in my opinion, this is how we should read his statement in a SABC TV interview in 1978, "Actually, I can only write sad music."

composer of Western music, of his desire to appropriate the tradition of English music, and of his struggle for a place among those composers he so yearned to claim as his "arts-brothers".

III.   Finzi & Peerson, 1929-1945

The second intertext for Van Wyk's Elegia that I consider here is Finzi's Opus 20 Elegy for Orchestra, subtitled *The Fall of the Leaf*. In what follows I describe the genesis of this piece and reflect on its connection with Peerson's piece.

The manuscript sources for Finzi's *The Fall of the Leaf* are housed in the Bodleian Library (MS Mus c.389). As Table 12 shows, five are for piano duet, and two show Finzi's work on the orchestration.

Table 12: Finzi, *The Fall of the Leaf*, manuscript sources in Bodleian Library

Source	Date	Title
First version Marked: "1st version"; "scrapped version"	1929	Chamber Symphony. III (The Fall of the Leaf) Subtitle in different ink, informal hand Piano duet version.
Second version Marked: "2nd version"	Probably before 1934 (letter to Ferguson, see Ferguson and Hurd, 2001: 94)	III ? (crossed out) The Fall of the Leaf Eclogue for orchestra III if last mvt; II if middle This last line crossed out
Third version Marked: "Pianoforte duet version" "Third version: final 4th *("4th" crossed out)* version has 2 extra bars after 10	Probably 1940 (Boosey & Hawkes audition, see Ferguson and Hurd, 2001: 198)	The Fall of the Leaf. Eclogue for Full orchestra Gerald Finzi.
Fourth version Marked: "Pianoforte duet version" "Scrapped version no 4."	Probably 1941 (letter to Navarro, Finzi 1941)	The Fall of the Leaf. Elegy for Full Orchestra Gerald Finzi.
Copyist's score Marked: "Copyist's score from which G. F.	Probably 1942 (letter to Busch, Finzi 1942)	As before

orchestrated" *(In Ferguson's hand?)*		
Scoring draft 1 Marked: "Full score (Earlier Sketch)" *(Ferguson's hand?)*	Probably 1942-1945, cf. "during time at Ministry" (Banfield, 1997: 308)	As before
Scoring draft 2 Marked: "Final Sketch of Full Score from which H. F. completed scoring" *(Ferguson's hand?)*	Probably 1942-1945, cf. "during time at Ministry (Banfield, 1997: 308)	As before

The earliest of these is dated 1929, and its title page shows its origins as the third movement of an intended Chamber Symphony, bearing the title "Chamber Symphony III". Beneath this line of text, but in different ink and somewhat to the right, is the title "The Fall of the Leaf" in brackets. It is written in Finzi's normal hand, not the calligraphic one he used for the title proper. These characteristics make it seem probable that the subtitle was added later than the title itself. It may never be clear whether this informal bracketed text denotes the inspiration source for the piece and therefore a "working subtitle" in Finzi's mind, jotted down at an arbitrary point in the composition process when it was clear that the particular autograph was not going to be the final one, or a wholly new title chosen for the lone-standing piece, added to this early autograph to show that it belongs with Opus 20. Of course, in order to date the association, in Finzi's mind, between the musical material of this movement and Peerson's *The Fall of the Leafe,* it would be crucial to find out when the title "The Fall of the Leaf" was first appended to the movement. The first dated reference to the piece by this title occurs in a letter of 30 April 1934 from Finzi to Howard Ferguson, in which Finzi describes "trying to score 'The Fall of the Leaf' having rather a difficulty with it" (Ferguson and Hurd, 2001: 94).

The 1929 autograph (the only one which is dated) was most likely prepared for an invitation recital Finzi gave of some of his works on 20 November 1929 at Oxford University Press's Amen House (Banfield, 1997: 119). No programme has survived, but Ferguson (interviewed by Banfield, see 1997: 119) remembered that it "included the Hardy songs, the Chamber Symphony and the Grand Fantasia." Banfield explains further:

> Ferguson accompanied the baritone John Armstrong in the songs and joined Kathleen Long (who played the solo part on another piano) in the Grand Fantasia. Ferguson can neither remember whether he and Long played the Chamber Symphony as a piano duet, nor whether Finzi himself paid for the concert.

On the same day, Arthur Bliss (who according to Banfield acted as a composition "adviser" to Finzi at this stage) penned a letter to Finzi (Bliss, 1929a), which begins –

> Dear Gerald. I was very glad I was privileged to hear an hour of your music this afternoon. Listening I felt that one is musically aware of a gifted sensibility at work especially in the 1st movement played and in the first three of the songs.

This "1st movement played" is not mentioned in the remainder of the letter, which goes on to comment on the songs and on the last work on the programme (presumably the Grand Fantasia):

> The weakness of the songs as a body was in the sameness of emotion in each. You are at present harping on one string, however deliciously. The last work played gave promise of something more, something different to the somewhat nostalgic country dreaming that permeates a good deal of the rest. I was honestly much impressed by passages that had promise of a very deep and original outlook.

It seems that Finzi must have written back asking advice about one of the items, since two days later Bliss (1929b) sent him a postcard that contained the line: "Let the movement stand by itself – Elegiac Movement for Chamber Orchestra". The evidence is arguably scant, and would of course be much easier to interpret if either a concert programme or Finzi's missing letter should surface, but Banfield (1997: 119) has taken Bliss's postcard to refer to *The Fall of the Leaf*; a plausible conjecture since Finzi went on to do just that, crossing out references to the Chamber Symphony on the title page of the second version, and abandoning them by the third (see Table 12).

Banfield has guessed that the other piece from the Chamber Symphony to be published posthumously, the Prelude for String Orchestra (Opus 25), was also performed in piano duet form at this occasion. He describes the Chamber Symphony as "intended to consist of a slow Prelude, lively central movement and elegiac finale" and gives the reason for the symphony's demise that Finzi "yet again … could not conjure up the requisite fast music". However, the Prelude manuscripts in the Bodleian library's MS Mus. c.388 are marked "II" (the piece was called "Interlude" before its independence as a "Prelude"), and MS Mus. c.387 contains two manuscripts for a completed piece marked "Chamber Sym. mvt I", with the tempo indication "[crotchet] = c.84; Allegro grazioso, ma poco appassionata e animato". In its uncomfortable

draft form for piano solo, rather than a more performance-friendly piano duet, it is admittedly unlikely that this first movement would have been played at the 1929 concert, and it is possible that, as Banfield assumes, the second and third movements were played, but in reverse order – to allow for the exchange with Bliss over "the 1st movement played". Another possibility is that the third movement was played on its own as an extract from the projected symphony, and that Bliss's postcard is intended to assure Finzi that the piece is self-sufficient. What Bliss's letter and postcard with their references to an unnamed "movement" *can* indicate with relative clarity, though, is that the piece was not performed as "The Fall of the Leaf" in 1929. Yet this probable scenario does not positively establish that "The Fall of the Leaf" is associated only with the independent piece and not with the intended Chamber Symphony. The explanatory note to MS Mus. c.389 states that the Chamber Symphony was to have the title or subtitle "The Bud, The Blossom, The Berry" although this title does not appear on the surviving manuscripts. Banfield (1997: 119) understands this title as "a triptych about growth, flowering and decay, rather like *A Young Man's Exhortation*", and quotes a 1922 letter in which Finzi seemingly remembers "Bud, blossom & berry, / Hey, down-a down derry" as a folksong refrain. If this programme was part of the Chamber Symphony's conceptualisation, it is clear that "The Fall of the Leaf" fits Banfield's "decay" category, and therefore that Finzi may have turned to Peerson's piece for inspiration early on (i.e. before he abandoned the Chamber Symphony in the early 1930s).

The second manuscript in Table 12 can be dated to the early 1930s by means of the 1934 letter to Ferguson quoted above, since its title page reflects the decision to make *The Fall of the Leaf* into an independent piece with that title. It was first of all marked "III", which is crossed out. Underneath is written "The fall of the leaf", "Eclogue for orchestra" and "III if last mvt, II if middle", these last also crossed out. (There are no further clues about the idea for changing the order of the movements.)

The third version for piano duet discards the reference to the symphony, and by the fourth version the piece receives its eventual title and subtitle. These two versions can most plausibly be dated 1940 and 1941 respectively. In the beginning of 1940, Finzi and Ferguson played the duet version to Earnest Chapman at Boosey & Hawkes as an audition for publication – in a letter dated 5 February 1940 (Ferguson and Hurd, 2001: 198), Finzi thanks

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Ferguson for "having come to the rescue" to play on that occasion.[47] Basil Cameron was there incidentally and suggested that Finzi substitute an "alternative climax" for "the long rhapsodic diminuendo" (quoted in Banfield, 1997: 308). Joy Finzi's journal (quoted in Banfield, 1997: 308) records on 27 February 1940 that Finzi added the suggested climax ("a real improvement"), and the fourth piano duet version in MS Mus c.389 fits the description, just such a climax having been added about four-fifths into the piece (the details of the revisions will be discussed in the next section). There was probably more work done on the piece between these two versions, since seventeen months after Joy's journal entry, on 29 July 1941, Finzi wrote to Toty Navarro that he had "again revised & cut 'The Fall of the Leaf', & it really is finished now" (Finzi, 1941).

Howard Ferguson had actually felt that the piece needed a much more thorough revision than Cameron's "alternative climax", as a letter following the play-through to Chapman (4 February 1940, quoted from Ferguson and Hurd, 2001: 198) shows:

> I still feel that 'The Fall of the Leaf' shows signs of its chequered genesis. Nor can I convince myself that this is altogether because I happen to have inside information on the subject. However much one may know of the difficulties that a work has gone through, if that work finally reaches an inevitable shape one immediately and automatically forgets all the tentative steps that have led up to it. This I cannot do with 'The Fall'. Though I feel that so much of the material is fine, I cannot feel that the whole of it is either final or inevitable. It is not that this or that point sticks out as being unsatisfactory, but that the thing as a whole lacks the quality, which every complete work of art must have, of *seeming* to be the result of a 'single pouring out of molten metal'. Too often in 'The Fall' I feel that this little bit has had to be screwed on afterwards, or the position of that little bit slightly altered for some reason or other: so that, like Mr Dolmetsch's famous harpsichord, it buckles in the middle when you play on it, instead of staying put like the genuine, cast-frame chapter. And, in spite of what I say about 'this little bit and that little bit', I do not think that tinkering about with details is going to put the matter right. More than likely I am wrong about this; but I feel at present that what the work needs is re-living and re-thinking from beginning to end. Forgive me if this is a somewhat devastating suggestion. I would not make it if I did not think it might be worth considering.

However, Finzi's reply (Ferguson and Hurd, 2001: 198-199) shows that he did not agree with Ferguson's reservations, and the revisions from version 3 to 4 do not constitute the recomposition Ferguson advised:

> No, I don't think your feeling about 'The Fall' is due to a knowledge of the 'workings'! ... I have a feeling that it may be *constitutional* – just as with 'Dies' you thought No. 4 (The Arioso) unsatisfactory and felt equally doubtful about it after revision. Both have a wayward quality

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[47] The same letter explains the outcome of the audition: Chapman and Stein asked Finzi to score the piece and play it again "when Hawkes gets back from America". This second audition seems not to have taken place.

which offends your reason! All the same (you old devil) you came to approve of the Arioso in its place. Anyhow, I'll score 'The Fall' and hear it (if I can) and then see what I (and you) feel about it.

The last piano duet version in MS Mus c.389 is identified in Howard Ferguson's handwriting as the copyist's score from which Finzi started his orchestration (of course, he never finished it), and it corresponds structurally to the published version. It can be dated to 1942 thanks to the following passage from a surviving letter to William Busch on 16 June 1942 (Finzi, 1942):

> Is your refugee copyist free. I suggested that Tony Scott, who needed some urgent work doing, should try him. Now I want a <u>very exact</u> or good copy of the piano duet version of "The Fall of the Leaf" which is at last finished (but not scored). I know now that it <u>is</u> complete & that the previous 5 versions (stretching over 12 years!) were only sketches in various degrees of compilation. Is his work very good & what is his name & address?

Evidently, Finzi had made many revisions on draft versions which don't survive, as there are considerable differences between the fourth version and the copyist's score.

The last two surviving autograph sources are Finzi's incomplete sketches for the orchestration from which Howard Ferguson prepared the version used for the 1957 concert, published in 1958 by Boosey & Hawkes.[48] They cannot be dated with any precision, but Banfield (1997:308) states that Finzi worked on the orchestration "spasmodically during his time at the Ministry [this was 1941-1945][49] but getting it little more than half done. There is no evidence that he ever took it out of the drawer again".

For ease of orientation in the rest of the argument, the structure of the published version is summarised in Table 13, and clarified with examples below. Howard Ferguson's criticism of this work was cited at length above and centres around what he felt to be a fragmentary form rather than a unified one with long-term goal-directed movement. As will become clear below, Banfield has made related complaints and has called the work "deeply flawed" (1997: 486). Deeply flawed or no, some of this non-teleological character seems to have been intentional. For example, the published piece's division into two tonally closed halves (bars 1-

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[48] The company also published a new edition prepared by Jeremy Dale Roberts in 2001. In the editorial note to the original edition, retained in 2001, Ferguson meticulously noted the extent of Finzi's orchestration drafts: "out of 158 bars, 64 were fully orchestrated (bars 1-18, 89-113, 133-4 and 140-58), 38 were blank (bars 28-33, 35-6, 48-59, 65-9, 73-8, 83-5 and 116-19), and the remaining 56 contained indications of some sort or another, ranging from a single instrument to an almost finished score".

[49] Finzi worked in the Foreign Shipping Relations Division of the Ministry of War Transport (Banfield, 1997: 279).

89 and 90-158), each opening and closing in D minor, which contributes to Ferguson and Banfield's complaints of non-teological form, resulted from a specific revision in 1941 – before, the end of the first half and the beginning of the second had stood in the supertonic key.

Table 13: Finzi, *The Fall of the Leaf,* **structure of 1958 version**

Bars	Structural Unit	Material	Tonal Centres
0-22	A	Alternate statements of opening "antiphons" and "flute theme"	D minor; F major
23-45	B	"Rocking theme", "The Sigh", "antiphons"	D minor; A minor
45-54	B'?	"Rocking theme"	D minor; A minor
54-70	Transition: material from B	Modulatory build-up to climax	Various (E minor, E♭ major, C minor)
71-89	B'' (Climax 1)	Two statements of "The Sigh"	C minor; F major; D minor
90-108	Transition: material from A	Rhapsodic statements of "flute theme", new coda-like theme	Various (D minor; E minor; B minor) E major
109-127	B'''	"Rocking theme", "The Sigh"	C♯ minor, G♯ minor, B♭ minor
128-139	A' (Climax 2)	Minor variant of "flute theme" with descending tetrachord	F minor (cf. G♮s)
140-158	A''	Variant of "flute theme", descending tetrachord, "antiphons"	F major; D minor

The piece opens with material I have termed "antiphons" for its repetitive presentation (Example 9). These "antiphons" are alternated with the pastoral "flute theme" (Example 10). Surprisingly, they also occur in Finzi's drafted first movement (MS Mus. c.387), where they function similarly as punctuations for the ends of sections or for transitions: they were probably re-used in the third movement to forge unity in the Chamber Symphony. Example 11 shows one instance from the first movement which marks the end of a section, with the "antiphons" in the treble part of the *Allargando* bars.

Example 9: Finzi, *The Fall of the Leaf,* "Antiphons" [bars 0(4)-4(2)]

Example 10: Finzi, *The Fall of the Leaf,* "Flute theme" [bars 4(4)-9(1)]

Example 11: Finzi, draft for first movement of Chamber Symphony, bars 126-128

The end of the opening section of *The Fall of the Leaf* (i.e. bar 22) introduces another important motif in the falling tetrachord 8–7–6–5, preceded by an octave leap, in repeated cadential formulae (Example 12). These motifs, in the same configuration (1–8–7–6–5) and in similar cadential role, recur at the join in bars 138-139 (Example 13) and as one of the last gestures of the piece (Example 14). They also combine with the "flute theme" to form the melody of the second climax of the piece at bar 128 (see Example 16). Like the "antiphons", these cadential tetrachord figures had a precedent in Finzi's drafted first movement. In the first movement, exactly as in the third, they are used at sectional "joins" with the last note on the first beat of a new section, but in the first movement they are not associated with the plagal character they seem to take on in *The Fall* (in the broad sense in which a cadence like

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vii^4/$_3$–i can also be taken as a plagal gesture). Rather, they appear in the form ṣ–ṣ–ḷ–ṣ–ǝ

with a dominant implication (see bar 6 of Example 15, which shows the opening of the work).
This presentation survives in *The Fall,* bar 21 (Example 12). The figures appear twice more in
the first movement draft, once with imitation at the fifth (akin to *The Fall,* bars 20-21 –
Example 12) and once with imitation at the octave (of which more elaborate forms appear in
The Fall, bars 19-20, 138-189 and 147-152 – Example 12, Example 13 and Example 14).

Example 12: Finzi, *The Fall of the Leaf,* bars 18(4)-23(1)

Example 13: Finzi, *The Fall of the Leaf,* **bars 138-139**

Example 14: Finzi, *The Fall of the Leaf,* **bars 147-152(1)**

Example 15: Finzi, draft for first movement of Chamber Symphony, bars 1-8

Example 16: Finzi, *The Fall of the Leaf,* bars 128-131(1)

The more energetic material and tempo at bar 23 suggests that the preceding section might have been a kind of prologue, with the actual narrative of the piece starting at this point. Indeed, the two ideas in this section (the "rocking theme" – Example 17 and "The Sigh" – Example 18,[50]) will prove to be significant, but from here onwards they are re-stated rather

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[50] So called for its occurrence in Finzi's earlier song "The Sigh" from *A Young Man's Exhortation* at the line "abide till my appointed change" – the concordance was first noted by Banfield 1997:309.

than developed, which to Banfield (1997: 308-309) has seemed a weak point of the composition:

> The initial strands of material are fragmentary and contrasting enough to have symphonic potential, but they lack vibrancy in their vestigial, pastoral cast. … [The "rocking theme" – Example 17] runs in an 'aria'-like groove that is far too short-winded for the context, for ["The Sigh" – Example 18] in the dominant follows it a mere four bars later yet is the only thing Finzi has to offer for his main climax [this refers to bars 71-89], where he states it – twice – without development or reinterpretation.[51]

Example 17: Finzi, *The Fall of the Leaf,* "Rocking theme" [bars 23-26(1)]
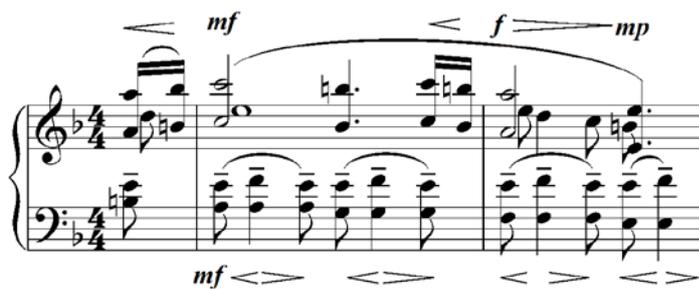
Example 18: Finzi, *The Fall of the Leaf,* "The sigh" [bars 26(4)-28(3)]

This second section (bars 23-45), in which the "rocking theme" and "The Sigh" are introduced, is interrupted, prematurely and somewhat awkwardly, by an extended version of the "antiphons" (the onset of this figure is given in Example 19).

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[51] In this quote, I substituted my own terms and examples of the thematic material for Banfield's – his text is similarly elucidated with musical examples.

Example 19: Finzi, *The Fall of the Leaf,* **bars 36(4)-38(3), treble and bass only**

This material leads into a repetition of the "rocking theme", which Banfield (1997: 309) likewise feels to be premature and awkward, sounding like "an exposition repeat, though it has left nothing pregnant behind in the meantime". In fact, Finzi had made consistent choices for the proximity of this repeat to its first appearance: in the 1929 version, the "rocking" theme is first introduced in bar 13 and stated again in bar 72; in the 1930s version, the corresponding events take place in bar 12 and 59, in the 1940 and 1941 versions, bar 23 and 71, while in the 1942 and published versions this theme stands in bar 23 and 45.

The ensuing build-up to the first climax of the piece uses some figures from the "rocking theme", its modulations taking some exciting chromatic-third-relation-based turns to arrive at the first climax in C minor in bar 71. "The Sigh" is now stated twice, once in C minor and thereafter in D minor, somewhat abruptly, perhaps because the short link entails little more than a 5-6 progression on F.

The second half of *The Fall of the Leaf* opens (in bar 90) with an improvisation-like section with a transitional character, its wandering modulations contrasting with the driving motifs of the first transition. It ends in a moving if structurally curious moment where a new coda-like theme in E major is introduced (Example 20), followed by another recapitulation-like return of the "rocking theme" and "The Sigh", this time a semitone lower than the opening. (This feature was added on the 1942 copyist's score for the first time.) Via an enharmonic change this restatement of the B section is given a kind of epilogue in B ♭ minor based on a falling minor scale (Example 21), a structural counterpart to the descending scalar "antiphons" which concluded the first B section (see Example 19).
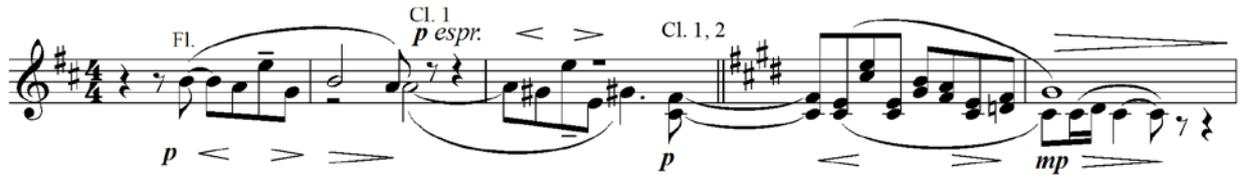
Example 20: Finzi, *The Fall of the Leaf,* **bars 103-107, treble only**

Example 21: Finzi, *The Fall of the Leaf,* **bars 120-123(1)**

The derivation of the melody in the second climax at bar 128 from the 1-8-7-6-5 figure and the "flute theme" was shown earlier (see Example 16); although this melody is stated only once, the climactic gesture is upheld through an extended dominant pedal point (bars 133-136), which, followed by the plagal cadential formulae with falling Phrygian tetrachords described above (bars 138-139 – Example 13), resolves to F major at bar 140. In this last section, a variant of the "flute theme" (the melody is given in Example 22) is accompanied by Baroque-like homophonic chords in the strings and harp.

Example 22: Finzi, *The Fall of the Leaf,* **variant of "flute theme" [bars 142-144(1)]**

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 The piece concludes with a last statement of the falling tetrachords extended to a scale with ♭∍ (see Example 14), and, in cyclic fashion, Finzi uses the opening "antiphons" as the last word (Example 23).

Example 23: Finzi, ***The Fall of the Leaf,*** **bars 152(4)-158**

Predictably, Banfield's description of the narrative sells the piece rather short:

> As for the climax, it is all over well before the half-way point, and all the epilogue fragments that are piled on in the second half of the piece can do nothing to conceal the fact that the stable door has been locked after the horse has bolted … A miniature somehow eludes capture in the first half of *The Fall of the Leaf,* for which the second half becomes a melodramatic and impotent complaint (Banfield, 1997: 309).

Yet whether one agrees with his characterisation or not, his intuition that the compositional intention was to "capture a miniature" may create an unexpected link to the role of Peerson's miniature in the compositional process. This compositional intention of creating something different from a unified, goal-directed narrative might be interpreted as manifesting itself in Finzi's interest in Peerson's piece with its historical otherness of harmonic and formal organisation.

Three significant intertextual connections can be made between Peerson's and Finzi's pieces. They comprise the musical material of (a) the descending Phrygian tetrachord, (b) the descending minor scale, and (c) the melody of Finzi's "flute theme". These intertextual connections will be discussed in detail below. Following Klein, I believe that an understanding of such connections can be productive regardless of which of the following factual scenarios is true:

1. Finzi had chosen Peerson's piece as his starting point when he conceptualised the third movement as part of the "Bud, Blossom & Berry" programme

2. The title had occurred to Finzi in the early 1930s and he consciously appropriated musical material from the piece, integrating them with his own early ideas (might this be what Ferguson means with his deriding "chequered genesis"?), or

3. The title had occurred to Finzi in the early 1930s (implying that he had heard and/or played through Peerson's piece before), but any intertextual references were unconsciously made.

The descending Phrygian tetrachord progression is an age-old elegiac trope in Western Art Music. The progression appears twice in Peerson's piece, and each appearance is, of course, repeated in the variation of that phrase.

Its "normal" form appears in Peerson's bar 13 (Example 24), with the chords i-v6-VI-V. (The G in the treble may either be understood as a passing note or as creating the chord iv6.) In this form of the progression, the last two chords outline what is commonly known as a "Phrygian" cadence.

A related progression, which starts in exactly the same way but ends up tonicising chord III instead of the "Phrygian" cadence (i-v6-VI-III6-vii°6/III-III; or, in the key of III, vi-iii6-IV-I6-vii°6-I), appears in Peerson's bars 1(4)-2 (Example 1).

Example 24: Peerson, *The Fall of the Leafe,* **bar 13, descending Phrygian tetrachord progression**

Example 25: Peerson, *The Fall of the Leafe,* **bars 1(4)-2, extended descending Phrygian tetrachord progression**

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Example 17 and Example 18 above show that both the "rocking theme" and "The Sigh", the two most important musical ideas in the piece, are underpinned by similar progressions to the ones quoted from Peerson: The "rocking theme" corresponds to the extended progression in its tonicisation of III, while "The Sigh", like Peerson's bar 13 (Example 24), has no such tonicisation – but Finzi evades the Phrygian cadence and continues the stepwise bass motion down to the tonic in the following two bars.

Of course, this progression is so ubiquitous in tonal music that the connection shown here may seem trite. Moreover, its appearance here is by no means unique in Finzi's oeuvre, as the concordance of "The Sigh" theme reminds us. However, the descending Phrygian tetrachord does pervade Finzi's *The Fall of the Leaf* in a striking way, both as a harmonic progression and a melodic motif.

The descending tetrachord has perhaps an even stronger presence in Finzi's piece as a melodic feature than a harmonic one. Its occurrences at bars 18(4)-23(1), 138-139, 128-131(1) and 147-152(1) were shown above in Example 12, Example 13, Example 14 and Example 16. The discussion of these examples also brought to light that the motif has a specific structural function: clothed in plagal-type cadences, it acts as a concluding formula to sections A, A′ and A′′ on Table 13. In addition, it occurs once in a "theme" position rather than a "closing material" position, in bar 147 (see Example 14) – interestingly, on the 1929 version this material appears as a closing formula to the penultimate section: the origin of the combination with the "flute theme" can already be seen in an inner voice in bar 20 on Example 12. The change to its structural function in the published version is the effect of the "alternative climax" suggested by Basil Cameron.

The descending scale is the definitive feature of Peerson's first phrase (see Example 1), and in this prominent position the scales serve as the only tokens of the word-painting the title seems to imply. This musical idea appears twice in Finzi's piece, and like the melodic tetrachord figure it has a concluding function – in its case, it closes sections B and B′′′. The first instance (bars 36-45) was cited in the preceding section as derivative of the antiphons; its opening is shown in Example 19. One notes that the short-long rhythm corresponds to Peerson's bar 2 (see Example 1). The second instance (bars 120-123) is shown in Example 21; its motifs originate from the "rocking theme".

Of course, the descending Phrygian tetrachord and the descending scale are connected since both are falling figures and the former is contained in the latter. Moreover, it is possible to understand the tetrachords and the equally structurally crucial "antiphons" as counterparts if the latter is understood as the onset of a *harmonic* descending minor scale and the former as the onset of the *melodic* descending minor scale.

On a more specific level, the material I have called the "flute theme" (see Example 10) clearly resembles Peerson's bar 18 (Example 26 below) in the filled-up third figures, sequential pattern of descending seconds from A to F and "short-short-long" rhythms.

Example 26: Peerson, *The Fall of the Leafe,* bars 18-19(1)

The second variant of the theme (bars 142-147, see Example 22) preserves the ascending short-short-long figures and the stepwise "middleground" movement.

A summary of all the revisions to Finzi's *The Fall of the Leaf* is shown in Table 14. From the table it is clear that the basic musical ideas of the piece were already in place in the 1929 version. When Howard Ferguson writes of "this little bit screwed on" or "the position of that little bit slightly altered", he refers to modifications to the tonal plans and the presentation of the material – but the four main ideas ("antiphons"/descending tetrachord, "flute theme", "rocking theme", "The Sigh") and their structural significance remained unchanged from the 1929 version through to the published score. The melodic tetrachord link motif and the Orientalising "antiphons" had already appeared in the drafted first movement of the intended symphony, and these ideas, together with the Phrygian tetrachord-based "rocking theme", "The Sigh" and the material of the "flute theme" and its variant, because of their shared features with Peerson's piece, may have prompted Finzi (consciously or unconsciously) to appropriate the title and/or material of Peerson's *The Fall of the Leafe*. The change of key from C♯ minor in 1929 to D minor in the early 1930s may even suggest that

Finzi had turned to Peerson's piece for inspiration during that time. It is this same version which gives the piece an emphatic division between two halves, another feature which could have been projected from Peerson. In the subsequent versions, the general trends of shortening "transitional" material (so that the piece creates a more sectional impression), and

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transposing material from other keys to the home key, may both be connected to the encounter with Peerson's piece.

Table 14: Finzi, *The Fall of the Leaf,* **revisions**

Versions	Features / Revisions
Features common to all five versions	"Antiphons" at beginning and end "Flute theme" at beginning and its variant at the end "Rocking theme" opens second section, followed by "The Sigh" - After second statement of "rocking theme", modulatory build-up to climactic statement of "The Sigh" "The Sigh" used for climaxes with fuller texture
Changed between 1929 and 1930s	- Key changed from C♯ min to D min - Material following first statement of "The Sigh" expanded - Descending scale built on "antiphons" added - One build-up to and statement of "The Sigh" in the key of iv cut - Second statement of "rocking theme" retained in C♯ minor despite change of main key, therefore in 1930s version it appears in the key of ♯vii rather than i "The Sigh" climax expanded to two statements - Emphatic division between two halves created - Second half tonal plan changed to give falling scale over pizz. chords in key of vi, not iv (because of cut) - Section just before "flute theme" variant at the end cut to leave only combined theme from tetrachords and "flute theme" - Final chord changed to iv, not i
Changed between 1930s and 1940	- Opening section expanded with repeats of "antiphons" and "flute theme" - Material following first statement of "The Sigh" expanded - Ending changed back to key of i by transposing closing antiphon
Changed between 1940 and 1941	- First climax slightly expanded - Second climax added ("Maestoso" dominant pedal in key of iii)
Changed between 1941 and 1942	- Material following first statement of "The Sigh" cut - Second statement of "rocking theme" transposed back to key of i (as in 1929 version) from key of ♯vii - Subsequent modulation shortened and altered to give climactic statements of "The Sigh" in keys of ♮vii and i instead of i and ii - Second half opens in key of i rather than ii - Return of "rocking theme" and "The Sigh" in the key of ♯vii added just before falling scale over pizz. chords

Whereas for the Van Wyk/Peerson encounter I identified tensions between order and confusion and between distance and intimacy, in respect of the Finzi/Peerson encounter one finds that the latter polarity again assumes importance. Whereas in the Van Wyk/Peerson relation the intertextual engagement was intimate and the harmonic idiom far removed, the

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opposite applies here: the harmonic idiom is close and the intertextual connection distant. Finzi's approach to the Peerson text can only be described as an indirect, evocative, elusive form of reference in which the connections are rather abstract. Ferguson, as we have seen, thought that the connection existed only in the title. Although I have shown that I think that there is some connection of musical content as well, the intertextual connection remains slack. This crucial difference in the intimacy/distance polarity with regards to Van Wyk and Finzi's interactions with their model can contribute a vital insight into our understanding of Van Wyk's work, and I shall return to this argument in the concluding section.

IV.   Van Wyk & Van Wyk, ca. 1950, 1962-1976

The third and last intertext I shall introduce in this chapter is the compositional idea identified by Van Wyk as a "prophecy" on his first sketch for this concept. The technique in question concerns the insertion of a reference to the main theme of the Rondo, the last movement of the *Duo Concertante,* interrupting the recapitulation of the second theme. Van Wyk explained this technique in the newspaper extract quoted below. He uses the word "prophecy" here to denote a different intra-opus motivic reference which shall be clarified later. It is the last words of the extract ("inserting the main theme of the Rondo") that concerns me first:

> The central Elegia, bleak and despondent, rises to a passionate climax before the even bleaker recapitulation; the concluding Rondo is as gay and light-hearted as the Elegia is pessimistic and despairing. I have tried to unify these extremes of feeling in various ways: by building all the main themes around my favourite intervals – the 2nd, 4th, 7th, 9th and 10th –; by making the Toccata [the first movement] end with a prophecy of the Elegia's beginning, and by inserting the main theme of the Rondo at one of the darkest moments of the Elegia (Van Wyk quoted in Kennedy, 1962).

The allusion to the main theme of the Rondo (reproduced on Example 27 below) at "one of the darkest moments of the Elegia" functions as a dramatic intrusion into the formal process of the piece (see Example 28 below). It breaks up the recapitulation of the second theme in bar 46 with three statements of the opening gesture of the Rondo, the first two incomplete (one on piano, one on viola), and the last (in the piano part) completed with the ascending interval as well. Rather than the rest of the second theme, the epilogue follows, so that the intrusion seems to have had an effect on the course of the formal narrative itself.

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Example 27: Van Wyk, *Duo Concertante,* **main theme of Rondo, 1962 version (piano part, bars 4-7)**

Example 28: Van Wyk, *Duo Concertante,* **Elegia, 1962 version, bars 46-54, "Prophecy" moment up to end**

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This feature had been planned on an early sketch and identified as a "prophecy", before the composition process had been completed up to the moment of the intervention (see Figure 20, Van Wyk, 1962a), where the material of the "intrusion" in bars 46-48 is already recognizable (here the word "prophecy" appears in Afrikaans as "profesie").
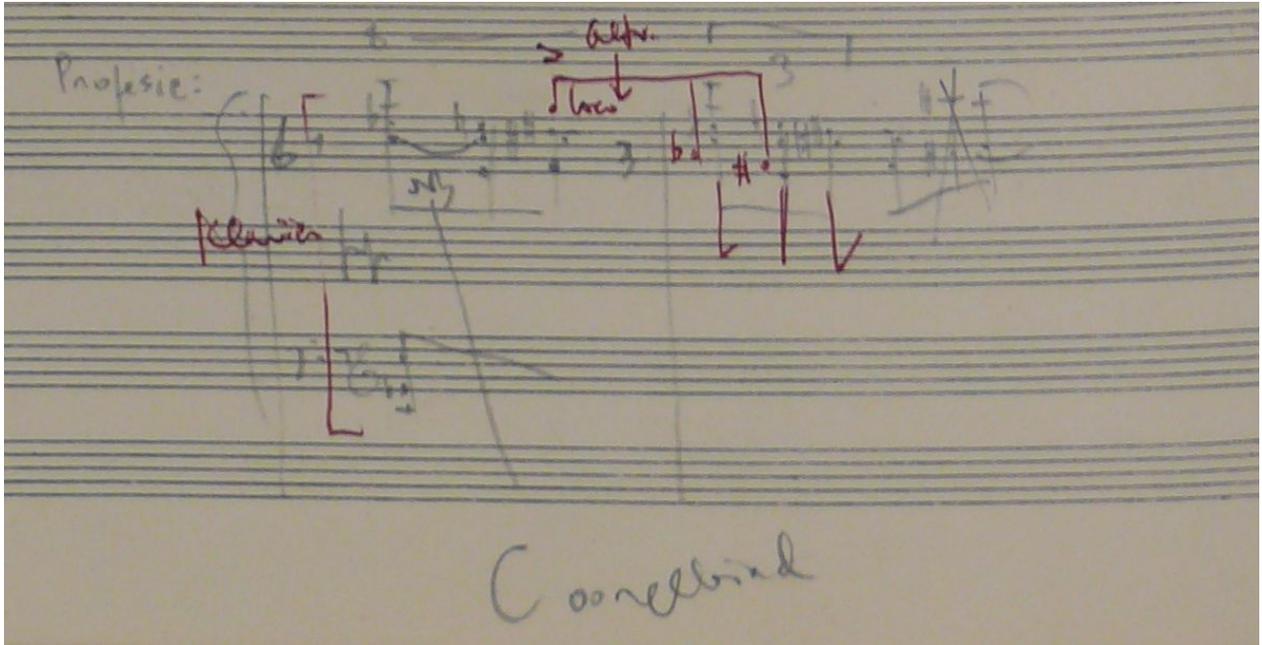
Figure 20: Van Wyk, early sketch for Elegia, probably end January 1962

The function of this "prophecy" moment as a dramatic interference in the form described above suggests that Van Wyk intended a particular extra-musical meaning through this allusion, especially when read in the context of the quoted programme note, in which the reference to the "gay, lighthearted" Rondo at a "dark" moment in the "bleak" recapitulation seems highly significant.

Van Wyk undertook a revision of the entire *Duo* between 1967 and 1976, and as I shall show below, the significance of the "prophecy" feature in the piece was one of the aspects that he worked on most intensively. The revision process is summarised below in Table 15.

Table 15: Van Wyk, *Duo Concertante,* revisions, 1967-1976

Date	Compositional activity
28 February 1967	Revision of opening of Toccata.
March, April 1967	Further revision of Toccata.
16 March 1967	Elegia, "prophecy", link of Elegia and Rondo.
April, June, July 1967	Sporadic alterations to Elegia, "prophecy".
August, September 1967	Revision of Toccata.

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September, October, November 1967	Revision of the Rondo and the "prophecy" feature.
December 1967	Revision of Toccata.
October 1972	Revision of Toccata
August 1973	Revision of Toccata and "prophecy" moment in the Elegia.
October 1973	Revision of Toccata
July & August 1975	Revision of opening of Toccata.
February 1976	Revision of opening of Elegia.
May, June, July 1976	Revision of the Elegia and the Rondo.
August 1976	Revision of Rondo, one alteration to "prophecy" moment, further revision of the link between the Elegia and the Rondo.

The prominence of the "prophecy" moment in Van Wyk's revision of the *Duo* between 1967 and 1976 testifies to his desire to imbue it with "extra-musical" meaning. He changed the expressive directions for this little declamation no less than five times and twice added an extra statement of the motif, summarised below:

- 1962 version: *Più mosso, molto espressivo, con desiderio*
- March 1967: viola part marked *Glissando, piangendo*
- April 1967: Crescendo and decrescendo added, previous indication removed
- June 1967: Extra statement of the motif added in viola part
- November 1967: viola part marked *Pizz., deliberato, non arp.,* extra statement added
- August 1973: viola part marked *molto espressivo, dolente,* piano part marked *f, appassionato*
- August 1976: *Appassionato veemente, impulsivo*

The expressive directions themselves speak of the content Van Wyk wished to confer on the "prophecy": most of them signify a lack or loss of some kind. *Con desiderio* articulates desire for something to satisfy an absence or lack, *piangendo* and *dolente,* grief, *impulsivo,* lack of direction, while the alternative indications for the same material of *molto espressivo, deliberato* and the unusual, and therefore remarkable, *appassionato veemente* communicates something of the frustration of a composer whose musical material would not hold all the content he strove to pour into it.

The other striking feature of Van Wyk's revision can also ultimately be interpreted as relating to the "prophecy" moment, namely the revision to the end. In the 1962 version, the "epilogue" unfolds over a completely static sonority in the piano comprised of C, G and D. C remains the clear tonic in the texture, and Van Wyk ends the viola part on D, which in context sounds like a "stuck" passing note on its way to C. The effect of the open fifths and the failed resolution to C is one of emptiness and resignation (see Example 28). This was a type of ending Van Wyk wrote more often than any other; on this occasion, however, he sought to transform it into a "happy" ending. Through the course of the revision, Van Wyk expanded the last three bars of the 1962 piece into a leisurely descending scale which resolves the viola's final D to an E, and filled out the austere open fifths of the piano part into a lush I9 chord (see Example 29).

I maintain that this change may be linked to the significance of the "prophecy" to the piece. The sketches reveal a special concern for continuity between the Elegia and the Rondo. Within the first month of the 1967 revision Van Wyk makes a sketch on which there is a long verbal note with possibilities for allowing the Rondo to follow the Elegia without a break (thinking about how to give the violist time to remove the damper etc.), and many later sketches work out a smooth link between the two movements, eventually transposing the beginning of the Rondo to C major, the home key of the Elegia, for example.

I believe that this revision was construed to turn the "prophecy" moment in the Elegia into the turning point both of this piece and the *Duo* as a whole – to emphasise its importance by giving it an even more tangible effect on the rest of the narrative than it had in the original.

Example 29: Van Wyk, *Duo Concertante,* **Elegia, 1976 version, bars 48-67, "Prophecy" moment up to end**

It should be emphasised that the significance of the "prophecy" moment is not merely a prediction of "happy music" to follow in the last movement. The degree of technical, rhetorical importance attached by the composer to this particular Rondo theme reference far exceeded a simple allusion or a tweak towards motivic unity in the work. There are two other occasions where the word and a related one is used to denote such "tricks". When he wrote, in the newspaper chapter quoted above, that he had made "the Toccata end with a prophecy of the Elegia's beginning", he was describing a composition-technical fine-tuning, a quotation to forge greater motivic unity in the work. We can interpret in the same way the word "voorbode" (premonition) that appears on a sketch page marked 3 and 4 August 1975, on which he inserted a small allusion to the Rondo opening motif in the Toccata introduction.

The "prophecy moment" reference to the Rondo, however, held much more meaning for Van Wyk than these simple intra-opus allusions, and his preoccupation with it is clear from the sketch documents as I have shown. The Rondo theme to which the "prophecy" refers had

specific connotations for Van Wyk, recorded in two newspaper chapters;[52] these associations can serve as a starting point for probing further the content that this musical fragment assumed for Van Wyk in the composition process of the *Duo*.

The Rondo theme predated the composition of the *Duo* by several years:

> [The main theme of the Rondo] occurred to me at least 12 years ago, one afternoon on a bus in the 'Buitenkant' [a street in Cape Town], a light-hearted melody that, to me, has always meant joy-after-sorrow. I immediately brought it to the fore in the first enthusiasm to deliver a good work and extricate myself from the knot in which the other work had tied me up (Own translation from Van Wyk 1962d).

This "other work" was a cycle of settings of the poetry of C. Louis Leipoldt (1880-1947), explained at the beginning of the same chapter:

> The commission [for the *Duo Concertante*] came at a time when I had got stuck on another commission for the SABC – a Leipoldt cycle for a cappella choir. And this new commission was a challenge that could perhaps prove just the thing to wrest free the wheels from the mud of doubt.

The first quotation allows us to construe the content of the theme as an expression of cheerfulness, while the qualification "after sorrow" aligns it to an idealist "hope springs eternal in the human breast" brand of faith, which is affirmed by the humanist universalism, conflated with faith in the universal appeal of music, which Van Wyk articulates in the following quote from Kennedy 1962:

> 'I only know', he writes, 'that I have carried this tune[53] about with me for many years, trying to find a suitable opportunity for using it; but I played it once in a house in Pretoria where I am a frequent visitor and this tune is the only one that managed to silence the chatter of the cook and the garden boy in the adjacent kitchen and which caused them to come nearer and listen.'

Yet Van Wyk's repeated allusions to the problems with the composition of the Leipoldt work permit a further interpretation of the Rondo theme. His two images are particularly revealing: a) the composition has got him tied up in a knot, and b) he is stuck like a vehicle in mud,

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[52] They are the chapter in *Die Burger* announcing the concert and that in the *SAUK Bulletin* advertising the broadcast of the concert. The latter quotes the composer, citing the programme notes to the Cape Town prèmiere. Unfortunately the original programme notes are lost, and so are Van Wyk's notes for a lecture he presented on the work before the Stellenbosch première of the work in which he explained his adaptation of the Peerson material. This lecture is referred to in a review ('Duo Concertante', 1963).
[53] Kennedy seems to interpret "this tune", described as "folkish or rustic", to refer to the Rondo's *second* theme, but a comparison with the Afrikaans counterpart chapter in the *SAUK Bulletin* makes it seem more likely to be referring to the main theme.

where that mud is "the mud of doubt". He hopes that the commission will provide a way out ("wrest free the wheels"), and in this "enthusiasm to deliver a good work and extricate [himself] from the knot etc." the Rondo theme immediately springs to mind.

I propose that the Rondo theme may signify Van Wyk's faith in his own abilities as a composer, a way to combat his renowned self-doubt. This self-doubt lurks under the surface of his *Die Burger* chapter (see Section I), in which he writes in an apologetic tone that he had used Peerson as a model for the Elegia because he "had no suitable theme", then defends the practice of the use of a model at length. Van Wyk's self-doubt was often made explicit in his correspondence (see Muller, 2008b) and resulted in continuous, if never radical, revisions of his compositions. It was psychologically debilitating, and this insight helps us to understand why Van Wyk sought affirmation by emphasising the out-of-the-blue inspiration of the Rondo theme (on the bus) and its association of spontaneous music-making at his friends' house in Pretoria.

This interpretation, however, is coloured by the long *Wirkungsgeschichte* of Van Wyk's pronouncements about his own self-doubt, through the subsequent reception of his music and the construction of his image as a composer. The material affords a second interpretation – that the Rondo theme may have signified for Van Wyk a connection to ordinary life, as opposed to the political high-art baggage of the Leipoldt work, a beacon of the normality of every-day life vs. the artifice of art and the stifling cultural politics of the day. If the "prophecy" is a vision of another reality that frees him from what had tied him down (the Leipoldt work), that other reality may be another, more universal ordinariness than the daily reality of his own life, of which he finds a glimpse on the bus and in the participation of the cook and the gardener in his music. Perhaps what Van Wyk really missed (think of *con desiderio, piangendo* etc.) was the spontaneity of simply being, singing with an own voice that is intelligible to the cook and the gardener, not the Leipoldt voice – all the while knowing that this other reality can only ever be a vision, that his intellectual artist identity *is* his only authentic voice. That this was so is illustrated by the fact that the completed Rondo is just as much a composition of high art as the Leipoldt cycle, and the contention here is not that the Rondo is popular or lowbrow music. However, it is plausible to suggest that the main theme of the Rondo signified for Van Wyk a groundedness in every-day life, because the theme was associated in his mind with the memories recounted here.

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Van Wyk's prophecy might constitute a vision of a reality in which he would not have to choose between Leipoldt and the garden boy. The colonial situation always entails catch-22 choices: Calvinia or London, cosmopolitan or parochial? He longs for a situation where the world order that set those choices in front of him were different, a reality where those choices are not necessary. He postulates a reality where ordinariness is not in tension with high art, a vision of South African composition at home in South Africa.

V.   Conclusion

As Klein and other scholars of musical intertextuality have argued in the last fifteen years, for musicology to take up intertextuality studies in an authentic way must entail venturing beyond tracing influences and allusions. Klein (2005) has characterised this challenge as a move away from strictly "poietic" intertextual relationships to include "esthesic" investigations (as one of a range of non-poietic kinds of intertextuality). The present chapter has responded to that challenge by exploring intertextual relationships established as an esthesic act of interpretation (such as the relationship between Finzi and Peerson, and the comparison between Finzi's and Van Wyk's intertextual dialogues with Peerson).

More generally, as was observed in the introduction, the field of musical intertextuality has been characterised by the same movement away from positivist methodologies that musicology has witnessed since the early 1990s, and therefore, also in studies that probe poietic intertextual relationships, the nature of the questions are markedly different from the earlier influence-type studies. In this chapter, the intertexts that derive directly from the poietic documents are Peerson's *The Fall of the Leafe* and Van Wyk's own Rondo theme. The manner in which they are interrogated, however, extend far beyond poietic questions, ultimately constructing a creative esthesic interpretation of Van Wyk's interaction with them. In this process, Van Wyk's allusion to a theme he had composed himself twelve years before is considered in the same way as his use of the Peerson model, in each case with the objective of understanding Van Wyk's musical interaction with the intertext as well as his relationship to the "extra-musical" dimensions that the intertext may have held for him.

Privileging three intertexts in this chapter, intertexts of which the argued rather than obvious relevance derives from Klein's expanded theoretical sense of intertextuality, has allowed non-linear and submerged meanings to emerge from Van Wyk's *Duo Concertante*. Van Wyk's

position as a colonial composer especially is given empirical substance by a reading of these intertexts.

In his observation on Van Wyk's identification with the Romantic piano music he emulated in his juvenilia, Muller has written as follows:

> The unique colonial dynamic derives from the fact that, for Van Wyk, this was not a past he was born into and could accept for granted; it was one he had to lay claim to (Muller, 2008b: 62).

As stated at the beginning of this chapter, it is exactly this kind of insight that might benefit from closer reading of Van Wyk's music and its intertexts. The differences between Van Wyk's and Finzi's intertextual engagement with the same model betray their different points of departure in entering into dialogue with the historical document. Finzi's point of departure is one of identification with the Peerson text. He situates himself close to the music, which is why he can point to it in passing. Van Wyk's point of departure is one of distance from the text, and that is why he must fashion a closer reading of the text. Because both composers wrote contemporaneously, the differences in their strategies of engagement could be read as indicative of their different senses of place.

This "sense of place" may be interpreted in two ways. First, it could pertain to Van Wyk's and Finzi's positions vis-à-vis the English musical establishment, and second and relatedly, to their physical life-worlds: while Finzi was assured of his place as an English composer, Van Wyk, as a colonial outsider, was not. Finzi's composition and compositional process testify to his rootedness in the English culture and landscape (one recalls that it was to have been one movement of a symphony entitled *The Bud, the Blossom and the Berry*, referencing a half-remembered song refrain). When Van Wyk wrote the *Duo Concertante,* he wrote from the periphery, and he wrote for a place in the tradition of great composers of Western music.

The argument constructed on Van Wyk's "prophecy" intertext also leads to possible conclusions about the existential agonies that come with being an English-educated composer from and in South Africa. Such socio-political situations sometimes intrude forcibly into the aesthetic choices of individuals, so I argue, in ways that don't allow the untroubled coexistence of all the aspects of a composite personal or aesthetic identity.

Perhaps, then, Van Wyk's prophecy evokes a place where he could be the kind of composer Finzi must have seemed to him: where he, too, could enjoy an effortless intimacy with a

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tradition, where he could be within the tradition and interact with it in an unfraught way, without having to shadow models, where his compositions could occupy a natural (rather than naturalised) place in the country where he wrote them.

Having set out to engage empirically and analytically Stephanus Muller's observations on Van Wyk's intertextual references as indicative of his (post)colonial alienation, this chapter presented a detailed account of three specific intertexts of the Elegia from the *Duo Concertante*. The interpretation of those intertextual relationships constructed here contributes to an enriched understanding of Van Wyk's compositional identity, his creative process and his oeuvre.

4

Redeeming the Individual: A post-Holocaust Critique of the *Missa in illo tempore* (1945-1979)

The desire to keep silence and the desire to speak became deeper; and only artistic expression … could attempt to bridge those two difficult imperatives (Appelfeld, 1988: 89).

I.   A Mass in that Time: Contextual Exploration

The first idea for Arnold van Wyk's (1981b) *Missa in illo tempore* ("Mass in that time") was written down by the composer on 17 March 1945: the tritone-dominated opening of the Agnus Dei, clearly recognisable in the finished work (see Figure 21 for the 1945 sketch, Van Wyk, 1945k, and Figure 22 for the corresponding music in the printed version). The fact that this particular inspiration occurred "towards the end of the Second World War" held great significance for Van Wyk; he mentioned it on the notes that accompanied the premiere and the LP release, and expanded on the same fact during a talk he gave about the work at a National Music Conference and Festival hosted at the University of the Witwatersrand in Johannesburg in 1981, two years after the first and only performances the work would ever receive (Van Wyk, 1981a):

> The composer is not responsible for how and when and in what order ideas come to him, but I like to think that there is a certain significance in the fact that in 1945 I already sketched the first theme of the Agnus Dei – that's towards the end of the … Second World War – because the last words of the Agnus Dei is a prayer for peace.

On programme notes and at the Johannesburg event, Van Wyk formulated his intentions regarding the content of the work as follows:

> The mass and its appellation "in that time" … could then … not incorrectly be seen as a work in which I give my reaction to the world as it was in 1945 and as it was in 1979 when the mass was finally written.

Furthermore, Van Wyk mentioned the alternative titles he considered for the work ("Mass for the poor" and "Mass in a time of tribulation") as evocative of his intention to compose a piece that responds to worldwide human suffering.

I read the composer's reference to "worldwide" suffering as evidence of a clear intent to endow the work with universal significance, a notion I shall revisit later in this chapter. Of more immediate concern, however, is that the invocation of "suffering" references two particular situations, namely the Second World War (during which time Van Wyk lived in London and participated in its civilian war effort, and where, as we have seen, the mass was first conceived of) and apartheid South Africa in the late 1970s, where Van Wyk completed the mass as a commissioned work for the Stellenbosch Tercentenary Festival. Van Wyk seemed to regard his offering of a Catholic mass in response to that commission as a distinct political statement, an anti-apartheid gesture. During the 1981 talk, he quoted a section from

the letter of acceptance in which he defended his choice of writing a lamenting Catholic mass for the Tercentenary Festival of an important centre of Afrikaner culture: "With matters being what they are in South Africa and all over the world, perhaps we shouldn't be celebrating too vociferously" (Van Wyk, 1981a).

Figure 21: Van Wyk, first sketch for *Missa in illo tempore*

Figure 22: Van Wyk, opening of Agnus Dei from *Missa in illo tempore*

While existing studies of Van Wyk's mass all regard these explanatory comments of the composer as important reference points,[54] none offer rigorous theoretical consideration of the ethical context of the work. Conducted at a time when the autonomy of music had not yet been challenged by more socially aware approaches, the early studies by Viljoen and Geldenhuys seek to demonstrate the structural unity of the work. The later studies of Smith and Muller show a greater concern to read the piece as a socio-political statement. Smith affirms Van Wyk's statements about the work, while Muller constructs an interpretation by means of Adornian dialectical critique. Viljoen's recent revisiting of the mass has a methodological thrust and presents Van Wyk's work by way of example only, offering no further exploration of the kind proposed in this chapter.

In the Introduction to this thesis I described current South African musicology as grappling with a critical re-engagement with the music of the apartheid era, a state of affairs that has given rise to a number of acrimonious debates within the discipline locally. Precisely because of this context, it is opportune to consider the ethics/aesthetics entanglement of South African works created quite specifically as responses to events of suffering and trauma. Not only may such considerations contribute to what has become an urgent debate in South Africa (one with many potential interfaces with music and social contexts elsewhere), but it may also contribute greater hermeneutic clarity and theoretical incisiveness to the study of Van Wyk's mass. Through self-declaration, Van Wyk's mass imposes a more prominent and urgent ethical dimension to aesthetics than do works that lack such a clear statement of intent. This ethical dimension, I hold, forms an important part of constructing an interpretation of Van Wyk's mass in post-apartheid South Africa.

The body of scholarship that has grappled with the ethical content of aesthetics most profoundly and consistently is related to the production and interpretation of post-Holocaust art. Questions that have been considered extensively in that field, and that I regard as appropriate to the present discussion, are questions of how (and indeed whether)

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[54] The earliest studies are those of Jolena Geldenhuys and Martina Viljoen, which focus on intervallic symbolism (Geldenhuys, 1981) and on word-tone relations in the work (Viljoen, 1984). Martin Smith included the work in his master's study on the symbolism of death in Van Wyk's Five Elegies (1991), Stephanus Muller discussed the Mass in his 2000 doctoral dissertation, *Sounding Margins: Representations of White South Africa* (2000), interpreting it as Adornian immanent cultural criticism, and Martina Viljoen has revisited the analyses of Muller, Smith and her own earlier work in a paper delivered to the South African Society for Research in Music in Grahamstown in 2011 (Viljoen, 2012).

works of art may take human suffering as their subject while respecting such suffering adequately, what the social responsibility of such art might be, as well as what kind of scholarly inquiry constitutes a responsible critique of such art.

Immediately, however, this comparison presents a conundrum: Can Holocaust-related discussions and artistic responses be extended (ethically and theoretically) to other contexts? The debate concerning the "uniqueness" of the Holocaust is too broad to summarise adequately here.[55] It is clear that if the Holocaust represents a singular evil, as has been argued by numerous artists, philosophers and historians,[56] the aesthetics and – importantly – the ethics of art that responds to the Holocaust cannot be meaningfully and productively compared to artistic responses to other contexts of suffering. Michael Rothberg (2004: 1233) has summarised the "dangers of the uniqueness discourse" in two points: first, "it potentially creates a hierarchy of suffering (a morally offensive result)", and second, it "removes suffering from the field of historical agency (a morally and intellectually suspect result)". In the preface to the third edition of his book *Is the Holocaust unique?*, Alan Rosenbaum observes that "the center of gravity for the once-intense debate about the overall arguable claim for the significant uniqueness of the Holocaust may gradually but perceptibly be shifting", so that "a comparative view seems to be emerging as the dominant one" (Rosenbaum, 2009: 21).

If Rothberg's analysis of the moral implications of the "uniqueness" discourse is accepted, and if Rosenbaum's observation of the emerging consensus in the "uniqueness" debates towards a "comparative" view is correct, then it may be posited that claims concerning the "uniqueness" of the Holocaust are ultimately untenable. In this chapter, I am assuming this point of departure in order to enlist and operationalise the accumulated epistemological, ethical and aesthetic perspectives from literature and art that have emerged from the Holocaust and could be instructive in different contexts.

I cannot do so, however, without imposing a caveat. The "different context" proposed here for instructive application of insights connected with the criticism of Holocaust art, is the context of apartheid South Africa. In doing this, I do not mean to imply that apartheid and

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[55] The question was central to the German "Historikerstreit" in the 1980s, which alone has engendered a wealth of documentation. Rosenbaum, 2009, provides a starting point to more recent perspectives.
[56] E.g. Elie Wiesel, Claude Lanzmann, Jürgen Habermas, Steven Katz, Emil Fackenheim.

the Holocaust are related or similar events in terms of their origins, objectives or methods. There is a large body of scholarship that has considered such comparisons of apartheid and the Holocaust,[57] and the present project is not meant to form part of that discourse. However, I do mean to argue that (a) both contexts constitute events of trauma, suffering and violence, (b) that therefore the *ethical* dimension of the artworks that respond to both events is especially prominent and urgent, (c) that therefore the criticism that responds to such artworks is compelled to investigate them in the context of ethics as well as aesthetics, and (d) that the scholarship on the ethics and aesthetics of Holocaust art offers insightful theoretical work in this regard.

Post-Holocaust Ethics and Art (1): Adorno's Double Imperative

According to Michael Rothberg (2000: 25), this approach was inaugurated by Theodor Adorno in an essay written in 1949[58] and that has become famous for an aphorism often quoted and misquoted in relation to the Holocaust and art. "While much was already known about the Holocaust through such sources as journalism, memoirs, and the Nuremberg trials," Rothberg explains, "Adorno's comments were the first to suggest the impact of the events on literature, philosophy, and art. Drawing on Walter Benjamin's insight that '[t]here is no document of civilization which is not at the same time a document of barbarism', Adorno provocatively proposed that '[t]o write poetry after Auschwitz is barbaric'" (Rothberg, 2000: 25).

Throughout the subsequent debates on Holocaust art, Adorno's thought continues to exert an inescapable influence. Irving Howe has even stated that he could not "think of another area of literary discourse in which a single writer has exerted so strong, if diffused, an influence as Theodor Adorno has on discussions of literature and the Holocaust" (1988: 178). His influence is particularly strong in the strand of the debate that concerns the present study, namely the "ethics of representation" in Holocaust art. This debate has filled many

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[57] A widely read work that assumed such a comparison was Asmal, Asmal & Roberts's *Reconciliation through Truth* (1996). The reviews of the book provide additional bibliographies of comparisons of apartheid and the Holocaust – see, for example, the reviews by Adam (1997) and Sarkin (1999). The latter helpfully summarises the controversy that arose around the book in the public press. A more recent study that addresses the topic of apartheid and the Holocaust is that by Shirli Gilbert (2010).
[58] Translated as "Cultural Criticism and Society", in *Prisms* (Adorno, 1983).

monographs and edited volumes.[59] Its central question concerns the tension between two irreconcilables: on the one hand, the ethical imperative to respect the suffering of victims, which prohibits certain forms of representation of the Holocaust. On the other hand, there is the equally strong ethical imperative to remember the event so as to prevent its recurrence, which necessitates its representation.

These two conflicting imperatives were already voiced by Adorno in his essay "Commitment" from *Notes to Literature* (Adorno, 1965/2003: 252):

> The abundance of real suffering tolerates no forgetting; … But that suffering, … also demands the continued existence of the very art it forbids; hardly anywhere else does suffering still find its own voice, a consolation that does not immediately betray it. The most significant artists of the period have followed this course. … The so-called artistic rendering of the naked physical pain of those who were beaten down with rifle butts contains, however distantly, the possibility that pleasure can be squeezed from it. The morality that forbids art to forget this for a second slides off into the abyss of its opposite. The aesthetic stylistic principle [or, as in Elaine Martin's (2006) translation, the "principle of aesthetic stylisation"] … make[s] the unthinkable appear to have had some meaning; it becomes transfigured, something of its horror removed. By this alone an injustice is done to the victims, yet no art that avoided the victims could stand up to the demands of justice.

In this passage, Adorno begins by stating the two imperatives of remembering (which "demands the continued existence of art") and of respect (which "forbids that very art"). He then goes on to complicate the two imperatives. On the one hand, he explains why the imperative of respect "forbids" the "artistic rendering" of violence (because such an artistic rendering bestows meaning on the violence and gives an aesthetic pleasure to the consumer of the art). This is why he holds that "the morality that forbids art to forget this [i.e. the atrocity of the violence] slides off into the abyss of its opposite [i.e. becomes immorality, by aestheticising the violence]". It is therefore impossible to produce art in accordance with the obligation to remember without "doing an injustice to the victims". On the other hand, Adorno asserts that even though this statement seems to call for silence in the face of the atrocity, so as not to do this "injustice to the victims" by aesthetisising the suffering, the same "demands of justice" also require art to grapple with the problem of finding a respectful response to the suffering, since not to do so would constitute an equally unjust "avoidance" of the victims.

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[59] See, for example, Friedländer, 1992, LaCapra, 1994, Lang, 2000, Rothberg, 2000, Young, 2000, Kaplan, 2007, and Spargo & Ehrenreich, 2010.

Some authors have reacted to Adorno's writings by reading the "after Auschwitz" statement literally and hence voicing an extreme scepticism about the enterprise of art itself. Geoffrey Hartman, for example, has written that "Adorno's doubt concerning the representability of the Holocaust ... threatens to disqualify all art, insofar as it comes after Auschwitz" (Hartman, 1994: 136). For Hartman, the dilemma of art after Auschwitz is that "nothing is exempt from being integrated at the level of art" – in this connection he refers once more to Adorno's "principle of aesthetic stylisation", and the inescapability of this process leads Hartman to express "a renewed doubt about art and culture" (Hartman, 1994: 137).

In general, a younger generation of Holocaust scholars are more inclined to prioritise the imperative of remembering, as they did not experience the event and are necessarily dependent on some form of representation to confront the Holocaust at all. Stepping away from the earlier urgency of the representation debate, they develop a new vocabulary, introducing concepts such as "postmemory" (the term used by Marianne Hirsch), or "received history" (James Young) to describe their position vis-à-vis the Holocaust. Naomi Mandel, for example, has argued that the contemporary persistence of the "rhetoric of the unspeakable", which she traces explicitly to Adorno, may in fact mask an unwillingness to grapple with the event adequately, a desire to "eradicate ... by distancing the Holocaust from contemporary culture, ... our responsibility toward, and even our complicity with, what has been deemed beyond the range of human thought" (Mandel, 2001: 206). Mandel's argument therefore casts the tradition of post-Holocaust thought that would forbid the representation of suffering out of respect for the victims as a deeply unethical stance, since it may disguise a denial of responsibility toward the event. Such a sentiment would be unthinkable to Adorno's generation, for whom the imperative of respect was sacrosanct.

In an argument that would have been equally unthinkable to Adorno's generation, Brett Ashley Kaplan has undertaken a revaluation of aesthetically pleasing Holocaust representations, arguing that they may, *through* their beauty, aid memory (Kaplan, 2007).

Post-Holocaust Ethics and Art (2): James Young's Antiredemptory Aesthetic
Because of his endeavour to formulate an ethics of representation that answers to both imperatives, Berel Lang has become an important figure in the representation debate. In his book *Holocaust Representation: Art within the Limits of Ethics and History,* he argues for representations that reflect the violence of their subject within their very forms, taking the

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ethical stance that the "identifying features of the Holocaust – what makes it distinctive historically and morally … should … limit or even close out certain possibilities to the artist while opening the way to others" (Lang, 2000: 5).

This argument, in fact, seems to touch on some measure of consensus in the debate: when confronted with a horror of the magnitude of the Holocaust, morally responsible artists tend to invent modes of representation that bear within their fabric a certain brokenness, a gesture towards the inadequacy of any and every form of art that seeks to represent an event as traumatic as the Holocaust:

> The associations of traditional forms – the developmental order of the novel, the predictability of prosody, the comforting representations of landscape or portrait in painting – are quite inadequate for the images of a subject with the moral dimensions and impersonal will of the Holocaust. Thus the constant turning in Holocaust images to *difference:* to the use of silence as means and metaphor, to obliqueness in representation that approaches the abstraction of abstract painting without yet conceding its goals, to the uses of allegory and fable and surrealism, to the blurring of traditional genres not just for the sake of undoing them but in the interests of combining certain of their elements that otherwise had been held apart (Lang, 2000: 10).

The fact that there are so many formulations of this insight testifies to its pervasiveness. Already for Adorno, the work of Paul Celan and Samuel Beckett constituted examples of an "anorganic" art that could confront post-Holocaust reality (Rothberg, 2000: 46). Michael Rothberg commends the literary work of Charlotte Delbo as an example of "traumatic realism" (Rothberg's own concept of ethically committed Holocaust representation) because "[i]t forswears the temptation of the grand narrative in order to foreground the scraps of the concentrationary universe and the disruptions of genocide: a stuffed bear left behind, a letter gone awry, a broken clock" (Rothberg, 2000: 177). Rothberg's reference to the "temptation of the grand narrative" is an indication of the alignment of his interpretation of Delbo's practice with postmodernist thought, especially through the contribution of Jean-Francois Lyotard. Indeed, the implications of such an alignment constitute a recurring theme in recent surveys of Holocaust representations. Kaplan (2007: 5), for instance, identifies Lyotard as a leading exponent of a group "who oppose narrative modes of representation in favour of allusive, oblique, and broken models".

> Rather than encouraging forgetting through the facile closure promised in some representations, Lyotard and [Geoffrey] Hartman argue that to avoid forgetting one must always allow the rumble of the past to persist through fragmentation and disruption.

Kaplan's description might just as well have been formulated to describe the historiographical technique of Saul Friedländer, who proposes that the historian allow the interruption of the historical narrative with commentary that "should disrupt the facile linear progression of the narration, introduce alternative interpretations, question any partial conclusion, withstand the need for closure" (Friedländer, 1992: 53). Friedländer's rationale is based in his differentiation between "deep memory" and "common memory"; the former represents the inassimilable traumatic experience that resists integration or closure, while the latter is a more superficial and shared mode of memory on the level of which such integration or closure is in fact possible. Friedländer's view is that if the historian were to represent the Holocaust in the form of a neat, cause-and-effect-style narrative, such a representation would operate only on the level of common memory, to the exclusion and denial of deep memory: "Closure in this case would represent an obvious avoidance of what remains indeterminate, elusive and opaque" (Friedländer, 1992: 52). James Young (2000: 5) has interpreted Friedländer's argument as "a narrow call for an aesthetics that devotes itself primarily *to* the dilemmas of representation [Young's emphasis], an antiredemptory history of the Holocaust that resists closure, sustains uncertainty, and allows us to live without full understanding", and has reinterpreted and extended this formulation of an "antiredemptory aesthetic" to become an umbrella term for various forms of Holocaust representation discussed in his book *At Memory's Edge*. Here he locates the "core" of this aesthetic in the "refus[al] to assign singular, overarching meaning to either the events of the Holocaust or our memory of them" (Young, 2000: 10). Although the succinct coinage "antiredemptory aesthetic" is unique to Young, the rejection of redemptory gestures in Holocaust representations is pervasive in post-Holocaust aesthetics and their inappropriateness is argued, apart from Friedländer, by such influential authors as Dominick LaCapra (2000) and Lawrence Langer (1991).

Young's articulation of the rejection of "singular, overarching meaning" performs yet another invocation of Lyotard's "incredulity toward metanarratives" (Lyotard, 1984: xxiv), highlighting the close connection of postmodernism with post-Holocaust aesthetics.[60] This connection

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[60] This observation applies to aesthetics, although within historiography the poststructuralist insistence on the arbitrariness of the connection between language and the real has seemed to some to represent a morally reprehensible relativism especially as far as the historiographical representation of the Holocaust is concerned. In this regard see Rothberg, 2000: 100-104 and Dintenfass, 2000.

might be characterised more specifically as a turning-away from the Universal both theoretically and ethically, since the Universal becomes aligned with metanarrative and with Fascism. Paul Eisenstein (1997: 325) summarised the connection by stating that "[f]or thinkers from Adorno to Derrida to Lyotard, the foregrounding of the particularity of subject position, the refusal (or endless deferral) of identity between Particular and Universal, forms the very basis for an ethics that would make another Auschwitz impossible. The refusal or endless deferral of the point of nondifference is, for such thinkers, part and parcel of an antifascist ethos". As the "Never Again!" imperative reverberates through post-Holocaust thought, post-Holocaust aesthetics vigilantly deconstructs every Universal as a dangerous, megalomaniacal Particular. In the postmodern world, only the dismantled Particular may be postulated.

This is the context in which Friedländer's call for a closure-withholding commentary, Young's "antiredemptory aesthetic", Rothberg's "traumatic realism", as well as many other definitions of ethical Holocaust representation should be understood. As a concluding example, the influential Holocaust scholar Dominick LaCapra asserts that "the role of the historian is not a full identity but at most a subject-position that should be complemented, supplemented, and even contested by other subject-positions (such as critical reader and intellectual)" (LaCapra, 1994: 10).[61]

The question that James Young (taken here as representative of some measure of scholarly consensus) would have the scholar ask of the post-Holocaust artwork, is therefore: Does it embody an antiredemptory aesthetic? Implied in this question is the notion that an antiredemptory aesthetic is characterised by the rejection of the Universal in favour of the Particular, an understanding that endows the antiredemptory aesthetic with an ethical approach and thus leading to the inevitable conclusion that a redemptory aesthetic would be a profoundly unethical artistic reaction to situations of extreme suffering.

There is no doubt that a direct transferral of this ethical/aesthetic consensus to Arnold van Wyk's *Missa in illo tempore* would lead to a thorough indictment thereof. The work is patently redemptory in gesture; aside from the obvious fact that the work is a setting of the Catholic mass, the most immediately apparent illustration of redemption is the motion from

[61] The connection between this statement of LaCapra's and the privileging of the Particular over the Universal is made by Eisenstein, 1997: 326.

the diminished triad B-D-F to the major triad B-D♯-F♯ which frames the entire structure.[62]

Moreover, the yearning for the Universal and the desire to transcend the Particular are conspicuous in almost every statement and choice the composer ever made about the work.

While the "refusal or endless deferral of the point of nondifference" between the Particular and the Universal as the cornerstone of the postmodernist ethos seems clear-cut,[63] I shall argue in this chapter that the concepts of the Particular and the Universal are differently charged and hold different values at the margins of European culture and experience than they do in and at the centre, and that therefore the ethical criticism of the gesture towards the Universal in a colonial artwork such as Van Wyk's mass is not the obviously appropriate response to it. In Section II, I shall elucidate the redemptory aesthetic of Van Wyk's mass through a structural interpretation. In Sections III and IV I shall return to the scholarship of post-Holocaust art and to the music of the *Missa in illo tempore* in order to formulate critical alternatives to Young's question; alternatives that can more productively interrogate Van Wyk's mass as a reaction to "world conditions" in 1945 and to apartheid South Africa in the late 1970s.

II.   Yearning for the Universal: Structural Interpretation

The relationship between music and the meanings it holds for its listeners is a mysterious one and a seemingly inexhaustible topic for musicological discussion. Surely few expositions of these difficulties match the clarity of Nicholas Cook's now classic article "Theorizing musical meaning" (2001). In that analysis, Cook divided interpretations of musical meaning into two groups: ones that view musical meaning as inherent in the musical structure, and ones that view musical meaning as socially constructed. Cook ultimately brokers a compromise in the idea of music holding the *potential* for meaning within its structure, which becomes *actualised* according to the context in which the music is heard.

Another bipartite division of musical meaning, and one that is especially pertinent to the present study, was developed by Vera Micznik in the context of musical narrativity (Micznik, 2001). Micznik distinguishes between *syntactic* and *semantic* levels of musical meaning,

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[62] This observation was also made by Viljoen (Eenheidsaspekte in Van Wyk se "Missa in illo tempore", 1984: 120).
[63] See, for example, Alison Moore's scathing criticism of Gorecki's Third Symphony as a Holocaust representation that tries to pass off particular nationalist and Catholic responses as universal (Moore, 2011).

where the syntactic level refers to the purely musical relationships of motives, themes, tonal plans, background structures and so on, while at the semantic level musical formations are read additionally as referring to content outside of the music itself.

Micznik's analysis is inspired by Barthes's distinction between *denotive* and *connotive* meaning in literature or myth, and appropriates his theory on the function of these two modes of meaning on two different levels of signification. At the level of denotation, which corresponds to Micznik's syntactic level, "relationships between the signified and signifier are one-to-one and explicit", but at the next level of connotation or semantic meaning, "the entire signs of the first system become the signifiers, which get attached to various other signifieds, creating an infinite chain of referential, associative meanings that can be said to lie implicitly within the first, denotive level" (Micznik, 2001: 211).

In terms of an articulation with Cook's model, this explanation situates Micznik's theory in the group that views musical meaning as inherent in the musical structure, albeit implicitly. Cook's criticism of this group of theorists holds that they do not actually progress beyond their structural interpretations although they purport to do so. Rather, for Cook, they simply re-express their structural interpretations in emotional terms, or attach expressive meaning to their structural interpretations "at the last moment" (Cook, 2001: 175). The relationship between the structure and the meaning remains, therefore, fundamentally untheorised. On this point, Micznik actually approaches Cook's own marriage of inherent and socially constructed meaning by first conceding that "it is rather difficult to show how music can convey semantic input or, in other words, how musical formations can represent or stand for ideas other than musical". She then explains that such meanings come into being through intricate intertextual connections that include convention (i.e. socially constructed meaning in Cook's model) and that their interpretation requires historical, contextual knowledge (Micznik, 2001: 210).

The reason why I have described Micznik's distinction between syntactic and semantic meaning as especially pertinent to this study is that Van Wyk seems particularly conscious of both kinds of meaning in the statements he made about the composition, and the distinction between these two levels will prove hermeneutically insightful. In his programme note for the premiere, the composer mentions the maintenance of coherence as one of the principal challenges associated with setting the text of the mass. For Van Wyk, the

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compositional danger was that the music could degenerate into a "succession of disconnected musical phrases" (Van Wyk, 1981a).

His explanations (in the programme note and in his lecture at the National Conference and Festival) of how he solved these problems address both syntactic and semantic levels of signification. He mentions that he tried to maintain tonal stability by writing longer beginning and concluding "paragraphs" for each of the five parts (i.e. employing syntactic solutions), by using the same theme for conceptually related phrases of the text (i.e. syntactic and semantic solutions), and by using certain "core" intervals throughout, also employed to connect clauses of the text that Van Wyk understood as expressing related content. Therefore the core intervals function at both syntactic and semantic levels of signification: syntactically they create motivic unity and cross-references, and semantically they point beyond the work since they add a hermeneutic layer of meaning to the work, the content of which is Van Wyk's interpretation of the mass text.

Of these "core intervals", Van Wyk singled out the tritone (which he associated with "human misery, the plea for the divine alleviation of that misery, sin and suffering"), and the minor seventh (which he associated with the "gentle, trusting, ethereal or exalted moments of the mass") (Van Wyk, 1979). In her article completed in consultation with Van Wyk, Geldenhuys adds the interval of the perfect fifth, which she describes as used for portions of the text where God is addressed (Geldenhuys, 1981: 23). In addition to intervallic symbolism (to which she contributes the identification of the rising fourth for the concept of glorification), Viljoen highlights the symbolic use of keys, mentioning, for example, that C major is associated with text phrases concerning God the Father while E♭ major is used for texts about God the Son, and a F♯ major chord seems to indicate the concepts of Heaven or peace. In her explanation of the use of such techniques in the mass, Viljoen already distinguishes between semantic and syntactic meaning (although she stops short of using these concepts), when she emphasises that the "core intervals" function both to create motivic unity and to add symbolic meaning (Viljoen, 1984: 116).

While the motivic cross-references outlined above admittedly contribute to the syntactic level of meaning, the most salient constitutive elements of the musical syntax are in fact the dimensions of harmony and voice leading. The Kyrie has as its background structure the

transformation of the diminished triad B-D-F to the major triad B-D♯-F♯ (see Figure 23). As such, it encapsulates the narrative of the entire work, since the Agnus Dei also has the B major triad as its goal. These two outer movements of the mass were the ones on which Van Wyk worked during the War and throughout his career, while the three inner movements were completed in response to the commission from 1977 onwards (Van Wyk, 1979). The outer movements are clearly constructed in dialogue with each other: both begin with an outlined diminished triad – indeed the Kyrie opening is a free inversion of the Agnus Dei opening (Van Wyk, 1981a) – and both attain a B major chord that comes across as an "answer" to the diminished triad in each case. In the Kyrie, as stated above, the proximity of the tones conveys the effect that the diminished triad is transformed into the B major triad, and in the Agnus Dei the resolution is plagal: the tritone E-A♯ is not treated as part of a dominant chord, but the A♯ is interpreted as a neighbour to B over a subdominant chord.

Figure 23: Van Wyk, *Missa in illo tempore,* Kyrie, middleground graph

The transformational character of the diminished triad into the B major triad in the Kyrie warrants further attention. As shown on Figure 23, the resolution to B major happens in bar 70, and is achieved through sleight-of-hand in the voice leading: locally, the diminished seventh chord C♯-E-G-B♭ with an expected resolution to D major is reinterpreted as A♯-C♯-E-G in first inversion, resolving to I6 of B major. The move to B major is thereby accomplished, and the subsequent perfect cadence in that key has the character of a dénouement rather than a definitive arrival. The longer-term voice leading of the resolution to B major is even more surprising, the previous well-established chord having been that of B♭ major in bar 60. The resolution to B major therefore retrospectively transforms the B♭

major chord into an A♯ major one, or a chromaticised leading-note triad in B major. This "re-clothing" of the F and the D from the opening chord as E♯ and Cx respectively is the hinge on which the extraordinary transformation of the B diminished triad into the B major triad ultimately turns.

This transformation effect is echoed in the Agnus Dei, which also contains in its middleground structure a B♭ minor triad (bar 27) which in the background structure comes to be interpreted as an A♯ minor one, assuming a leading tone function.

Figure 24: Van Wyk, *Missa in illo tempore,* **Agnus Dei, middleground graph**

The procedure of de-emphasising the perfect cadence, described in the Kyrie above, is repeated in the Agnus Dei. This time Van Wyk chooses the plagal cadence as an alternative concluding structure. Indeed, as is shown in Figure 24, while on a more local level its concluding cadence is plagal (see the progressions from bars 35-45, and even more locally, bars 44-45), in fact the entire Agnus Dei can be reduced to a plagal cadential structure.

The compositional choices Van Wyk made about the framing movements of his mass lend a profoundly non-teleological character to the syntactic meaning of the tonal processes of the work as a whole. Because B major is already attained at the end of the first movement, the tonal outcome of the piece is never in doubt. Just as the B major first-inversion chord attained in bar 70 renders the perfect cadence in B major a mere formality, so the shining wide-spaced B major sonority at the end of the Kyrie confirms that the ending is not in doubt but only remains to be confirmed at the end of the Agnus Dei. This non-teleological musical plan is perfectly supported by the undervaluing of the perfect cadence in both the

Kyrie and the Agnus Dei, in the latter case with the substitution of the plagal cadence. It is an option that can be read as a deliberate choice against the post-Beethovenian "Durch Kampf nach Sieg" tonal narrative, and one that will be further interpreted contextually in the next sections.

Just as the two outer movements are clearly conceptualised as counterparts (both outline a movement from dissonance to consonance from a tritone to a B major chord), so the three inner movements share certain structural characteristics. Unlike the outer movements, they begin and end in consonance. Like the outer movements, however, they show a marked absence of the traditional polarity between tonic and dominant. In the three inner movements, this absence results in background structures that seem to prolong the tonic without any pointed "there-and-back" harmonic motion. This aspect of their background structures reinforces the non-teleological character of the overall structure of the work.

Figure 25: Van Wyk, *Missa in illo tempore,* Gloria, middleground graph

In the Gloria, the traditional role of the dominant in the background structure is virtually non-existent, since the fundamental line here takes the form of a chromatically filled-in tetrachord from 8̂ to 5̂ only (see Figure 25). The fact that the fundamental line does not descend beyond 5̂ has the effect that what would have been the "structural cadence", the perfect cadence at bars 161-163, is radically undervalued in terms of the structure.

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Figure 26: Van Wyk, *Missa in illo tempore,* **Credo, middleground graph**

The background structure of the Credo shows the pervasive use of mixture elements, especially the ♭3 that is prolonged for most of the movement in the top voice. The use of the chords ♭III and ♭VI is so extensive as to almost obscure the listener's awareness of the tonic.

In the concluding "Amen", a Baroque-inspired contrapuntal setting that is an especially moving passage in the mass, the cadences in A♭ major (bars 188-190) and E♭ major (bar 202) both sound as if they could signal the end of the movement. Both cadences namely occur over momentary descents in the middleground soprano (see Figure 26), so that a concluding clause in either A♭ major or E♭ major would probably not have sounded out of place.

Belatedly, however, the top voice returns to the ♭3 it has been prolonging for almost all of the movement and leads it via 2 and 1 to its close in C major. With a length of five bars, the structural dominant prolongation here is the longest in the entire mass, and yet as I have argued here, it does not represent the focus of the tonal narrative of the movement at all. The music ends in C major (seemingly almost incidentally, because it started out in that key), but the harmonic functions of C major are not the directing forces of the Credo. With those harmonic functions annulled, the music seems to assume a kind of wandering tonality that, coupled with the archaic musical elements (plainchant-like melodic lines and counterpoint) create associations that are pre-tonal and pan-tonal at the same time, and therefore come across as somehow *outside* tonality.

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Figure 27: Van Wyk, *Missa in illo tempore,* **Sanctus, middleground graph**

The background of the Sanctus shows a prominent ᵃ3̂ supported by the mixture chords of ᵃIII

and ᵃVI, as was the case in the Credo. The most salient feature of the background of the

Sanctus, however, is the fact that its structural tonic is almost completely replaced by I6, as

shown in Figure 27: the initial tonic is in first inversion, and although the movement ends in

root position, the structural cadence also resolves to I6 (bar 140). This technique

considerably weakens the harmonic function of the tonic in the background structure. In this

way, the background structure of the Sanctus supports the observations made above on the

non-teleological harmonic processes in the Gloria and the Credo.

If one were, in the light of these observations, to pose James Young's question of Arnold van

Wyk's mass – *i.e. does it embody an anti-redemptory aesthetic?* – the answer would certainly

be "no". The semantic significance of the syntactic move from dissonance to consonance that

supports the structure of the two outer movements as well as of the work as a whole, clearly

indicates an emphatic redemptory message. Moreover, the work clearly does not, as

Friedländer expects of anti-redemptory art, privilege the Particular over the Universal: its

carefully-constructed tonal and structural plans that signal syntactic unity, its symmetrical

form, its affirmation of its religious content in its semantic use of symbolic intervals, its

programme notes that characterise it as a reaction to "world conditions", all communicate a

commitment to the Universal.

Crucially, however, Van Wyk chooses to present the redemptory narrative in a way that runs

counter to the post-Beethovenian tradition. Within that musical tradition, redemptory

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narratives are intimately bound up with the "Durch Kampf nach Sieg" structural plan. As Darcy observes in an article about Mahler's Sixth Symphony:

> At its most basic level, this narrative trajectory [i.e. the "victory-through-struggle paradigm so important to the nineteenth-century symphony"] entails the "redemption"—the drive toward a metaphysical *Erlösung*, to use a term with appropriately Wagnerian resonances—of an initially troubled beginning out of the minor mode into the major at the end (Darcy, 2001: 49).

Redemption in this paradigm is therefore equivalent to *victory*. (Indeed, Darcy goes on to show how Mahler sets up such a narrative that fails to attain redemption/victory, communicating, for Darcy, nihilism.) Van Wyk, on the other hand, chooses to portray redemption *without* victory. The perfect structural cadence is underemphasised throughout, as illustrated above. In the Agnus Dei, the tonic-dominant relationship is emphatically replaced with plagal motion. Also as I have shown above, the background structures of the three inner movements share a profoundly nonteleological quality. All of these characteristics create the effect that the arrival on the tonic, the attainment of "redemptive space" to borrow Darcy's term, is deliberately not equated with "triumph over adversity", and therefore rather with resignation, with humility, with compromise and even, perhaps, with pacifism.

To summarise the argment thus far: Reading strategies of the *Missa in illo tempore* could, following Young's anti-redemptory aesthetic, demonstrably arrive at an understanding of the work as ethically problematic by illustrating the redemptory implications of its form and rhetoric. A second strategy, demonstrated above, could be to qualify the redemptory aesthetic of the work and thereby argue its ethical probity.

Neither of these possibilities is convincing, I believe that the commitments to a redemptory aesthetic and the Universal in this work do not stem from a deficiency in Van Wyk's moral sensibility, and that such a reading would be a gross misinterpretation of the aesthetics of the mass. As I have indicated in Section I, I consider Young's question to be ultimately inadequate, since it does not allow interrogation of the values of the Universal and the Particular in the discourse and context of the work, choosing instead to favour the Particular over the Universal as the only ethical choice. This problem is acutely illustrated with the inversion of the functions of the Particular and the Universal that accompanies cultural production from outside the centres of European power. Van Wyk's mass injects into this logic of the centre to the problem of the colonial.

III.   Trapped in the Particular: Post-colonial Reflection

Arnold van Wyk's mass was something of a life project. As was shown in Section I, he had begun the work in 1945, towards the end of the Second World War that had prevented him from returning to South Africa after his studies at the Royal Academy of Music as he originally intended. The first inspiration was the Agnus Dei theme, and in 1949 he started work on the Kyrie. As far as can be ascertained from extent sketches, he returned to work on these movements in 1957, 1959, 1968 and 1969 (there are also undated sketches), while the three inner movements as well as the final versions of the outer parts were completed in response to the commission in 1977-1979.

As was explained at the onset of this chapter, the two most important contexts for the composition of the work can be located chronologically as 1945 (WWII) London and late 1970s (apartheid) Stellenbosch. Both of these contexts, and Arnold van Wyk's entanglement in them, can be shown to have contributed to the yearning for the Universal and the desire to transcend the Particular that are so palpable in the mass.

In Chapter 1 I have shown how Arnold van Wyk's situation as a colonial subject travelling to London in the late 1930s to study composition was at odds with the cultural shift identified by Jed Esty as taking place in English arts at the time: English culture was making a transition from a self-image as metropolitan centre to a more rural identity, resulting in art that was directed away from a universal subjectivity and towards a culture-bound particularity. Van Wyk, as I argued there, was making the same transition in exactly the opposite direction, from the margin of the Empire to its centre, from the rural to the metropolitan, and from the culture-bound particularity of South Africa to the universal subjectivity of the music tradition with which he sought to connect. This perspective makes it easier to understand why Van Wyk reacted to his experience of the Second World War not by writing a work about particular suffering, but a work about universal suffering, a work designed to show in music how barriers may be transcended, how suffering is common to all humanity, and to articulate on behalf of all humanity a plea for the alleviation of suffering, for peace.

If the perspective of WWII London as a generating context of the mass encourages this insight, then the perspective of apartheid South Africa cannot but confirm that insight in the strongest possible way. The apartheid system, if understood as a systematic denial of the shared humanity of all races, shows how the Particular, in the guise of particularism, may

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assume a menacing aspect very different from the (positively embraced) conceits of humility and fragmentation described as occupying the thought of Leotard and others. It is in this context, a life trapped daily in the stifling Particular, one can venture, that Arnold van Wyk longed to remind himself and his fellow South Africans of the scarcely-possible Universal. This is no fanciful reading: the composer expressed this sentiment almost in as many words when he was at pains to stress the cosmopolitan nature of the premiere in his 1981 lecture about the work, recounting how a "Roman mass by an Afrikaans composer was performed in a Dutch Reformed church before a mixed audience", and concurring with reviewer Stefans Grové that this aspect of the premiere represented "a breakthrough in some sort of way" (Van Wyk, 1981a). It is also no accident that in both contexts outlined here Van Wyk turned to setting a Catholic mass, and setting it in Latin: it is a powerful symbol of universality as the very term "catholic" suggests, and from a colonial perspective it represents Western culture as a whole – the collective, the shared, the democratic.

My argument is that from a colonial vantage point, the identification of the Universal with Western culture should not *de facto* be interpreted as the oppressive act that it would have been, had it been initiated and imposed from the centre. The remove from the centre that is the point of reference for the colonial subject encourages an identification of the centre with the Universal, with shared culture, with the desire to connect, to take part. In the post-Holocaust philosophy of the centre, however, we have seen that every Universal is unmasked as a domineering version of a Particular, a dangerous myth that must be shunned. Friedländer and Lyotard warn us against the danger that the Universal will absorb and drown out the Particular, which for them is the underlying principle of fascism. I want to argue that for Van Wyk in Stellenbosch, especially during apartheid, the greater danger was that every possibility of the Universal could degenerate into endless and endlessly irreconcilable particulars. It follows that when the aesthetics of the centre connects the Universal with fascism, it would be inappropriate to transfer such aesthetics to colonial responses, since the colonial position is enabling of an epistemology in which the concepts of both Universal and Particular are differently charged.

Post-Holocaust Ethics and Art (3): Michael Rothberg's Materialist Critique

The means for a critical post-Holocaust aesthetics that does allow the theoretical mobility for observations on reversal of the valencies of the Universal and the Particular in colonial art

may be found in a deeper, more rigorously contextual consideration of Adorno's so-called "dictum" about the barbarity of poetry after Auschwitz, and especially in re-embedding that statement into the dialectics of his arguments.

Understandably, most scholars who take part in the representation debate feel compelled to react to Adorno's statement in some way. Some quote his later statement from *Negative Dialectics:* "Perennial suffering has as much right to expression as a tortured man has to scream, hence it may have been wrong to say that after Auschwitz you could no longer write poems" (Adorno, 1973: 362), describing this as a "change of heart" (Kaplan, 2007: 22), but such an interpretation does not do justice to the dialectic of Adorno's thought. For that reason I have found Elaine Martin's (2006) and Michael Rothberg's (2000: 25-58) thorough explications of Adorno's statement within the context of his thought insightful. Both of these authors show that Adorno should not be read as prohibiting art after Auschwitz. Martin's short article centres on the dialectic character of Adorno's arguments, paraphrasing the two paradoxical imperatives referred to above: "post-Shoah art is not permissible but simultaneously indispensable" (Martin, 2006: 11). Rothberg's more extended argument situates Adorno's Auschwitz pronouncements in his entire output, additionally drawing on Bakhtin's concept of the "chronotope" to explain the significance of Adorno's invocation of "Auschwitz". An important contribution of Rothberg's is his recuperation of the materialist import of Adorno's logic:

> Instead of seeking in Adorno the reflection of a historical break called "Auschwitz", we might understand him as producing a series of concepts ... [that can help] structure the field out of which the agency to alter the parameters of the present must emerge (Rothberg, 2000: 56).

This recuperation then allows him to point to a new significance of Adorno's thought for post-Holocaust art criticism, namely

> to shift this terrain from what remains a primarily *moralizing* discourse to a *materialist* and *ethical* critique. In other words, instead of evaluating a work's "decorum" according to principles assumed to adhere in the event itself, we can recognize our ambiguous distance from the event and inquire into the relationship a work establishes between the past it mobilizes and its contemporary context (Rothberg, 2000: 57).

In this passage, Rothberg urges aesthetic criticism to move beyond questions like "does this representation respect the suffering of the victims?". Rather, he explains, responding to the complexity of Adorno's thought, aesthetic criticism should ask broader questions about the nature of the relationship between art and society, about the ability of art to contribute to a

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society changed for the better. Rothberg's argument here ties in with his opinion on the non-uniqueness of the Holocaust: Inspired by Adorno, he seems to be reminding his readers that post-Holocaust ethics and aesthetics should be about *more* than just the Holocaust. When Rothberg distinguishes between a "moralizing discourse" and a "materialist and ethical critique", I understand him to be drawing a distinction between a narrower critique ("is this work appropriate as a representation of the Holocaust?") and a broader critique ("what does this work say about, or say to, the society from which it springs?"). In this way, he brings the Marxist strain of Adorno's aesthetics to the surface, and contextualises Adorno's statements about post-Holocaust art in the wider discursive realm of his social critique.

Taking up Rothberg's more productive question – *What does this work say about, or say to, the society from which it springs?* – and applying it to Van Wyk's mass, we return to the contexts most intimately connected with this music: London in 1945, and Stellenbosch in 1977-1979. In the former context we encounter the colonial-born composer's experience of the Second World War; in the latter the white Afrikaner's reaction to apartheid. As argued above, I think that each of those contexts in its own way encouraged the yearning for the Universal as Van Wyk articulated it in the mass. In the first instance, Van Wyk's desire as a colonial subject to connect with the culture of the centre translates into an identification of the Universal with that central culture and the Particular with the colony. In the second instance, the divisive system of apartheid intensifies the longing for the Universal, and indeed, as we have seen, Van Wyk understood the universal aspects of the work and its premiere as implicit criticisms of apartheid.

If a reconsideration of Adorno's dialectical thought can point to the inappropriateness of insisting on the antiredemptory aesthetic as the *only* ethical choice (as happens in the work of James Young and others), I propose here that contemporary scholarly reactions to music of the apartheid era should similarly be interrogated in the light of the more subtle ethical implications of Adorno's work.

Post-Holocaust Ethics and Art (4): Adorno and Post-Apartheid Criticism in Durrant

As early as 1999, Samuel Durrant felt the need to speak out against the "influential neo-Marxist dismissal" of the work of J. M. Coetzee, a stance that "criticized the novels for failing to represent the material conditions of apartheid, for their perceived 'revulsion' from history"

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(Durrant, 1999). In his article, Durrant joined ranks with "critics such as Attwell and Susan Van Zanten Gallagher [who] have endeavored to rehistoricize Coetzee's fiction by emphasizing its discursive relevance to the time and place in which the novels were produced" (Durrant, 1999: 431).

The simplistic "neo-Marxist dismissal" of all non-activist white apartheid art is precisely the sentiment that informs present-day musicological "dismissal" of Arnold van Wyk's music, which I intend to interrogate here by using and building on the arguments outlined in Section III. In making this concluding argument, I shall return to Durrant's article to trace how his defence of Coetzee's art proceeds from the same Adornian dialectics that I invoke here as an appropriate ethical understanding of and response to Van Wyk's *Missa in illo tempore*.

In musicology, the blanket dismissal (and indeed condemnation), of non-activist apartheid art music finds its most recent expression in an article entitled "'Never the twain shall meet' : Africanist art music and the end of apartheid" by Thomas Pooley. Although the main focus of his article is the music of the 1980s and 1990s when and older generation of South African composers had been superceded in prominence by their successors, his exposition of "art music during apartheid" names Stellenbosch-based Hubert du Plessis (1922-2011) and Arnold van Wyk specifically:

> [T]he degree to which composers were complicit in the machinations of apartheid is complex. Due to their reliance on state funding, and close association with segregated academic institutions that taught Western art music as the norm, it can be argued that they reinforced the Eurocentrism of apartheid cultural policy. This does not mean that they accepted these policies *tout court*. How are we to interpret Hubert du Plessis's *Slamse Bielde* [sic] (1959), for instance, or other songs that draw on Cape Malay music and texts? These works seem to undermine the view of a monolithic apartheid 'music'. Stephanus Muller has argued that one of the most celebrated composers of the apartheid era, Arnold van Wyk (1934-1984 [sic]), contested the segregation and censorship of apartheid through, for example, musical 'silences' in his *Missa in illo tempore* (1979). ... The relative autonomy of apartheid-era art music was ... a function of its value as symbolic capital for the state; its 'silences' were a condition of its support (Pooley, 2010/11: 49-50).

This extract exhibits a tension between the many disclaimers and the denunciatory gist of Pooley's main argument. He acknowledges (a) that the degree of composers' complicity with apartheid is "complex", (b) that composers, even if they accepted state funding, did not necessarily agree with apartheid policies (his admission that Stephanus Muller has "argued persuasively" that Arnold van Wyk's "ambivalence and discomfort towards the establishment was real" is relegated to a footnote), and (c) that works exist in which white art music

composers "undermine the view of a monolithic apartheid 'music'". Yet, rather than paving the way towards a more differentiated understanding of "art music under apartheid", these observations remain "disclaimers" within Pooley's broader argument that dismisses music by such "complicit" composers as unethical. The heroic protagonists of Pooley's narrative are the "cross-over" popular music artists, whose music displays a "syncretism" described by David Coplan as "driven by a revolutionary impulse" (Pooley, 2010/11: 47). Kevin Volans, whose *African Paraphrases* were designed to serve a "politically subversive agenda", also escapes apartheid contamination (2010/11: 52). Not so fortunate are Stefans Grové (*Music from Africa* series), Hans Roosenschoon (*Timbila*) and Peter Klatzow (*Tintinyane, God Bless Africa, Songs of an Exile, Mass for Africa*), whose music is described as displaying "the political pragmatism of establishment composers at the end of apartheid" (Pooley, 2010/11: 65). The difference between exercising acceptable or questionable aesthetic agency in Pooley's narrative is located in the "ethos and politics" of his protagonists: "In art music … 'African elements' came to have a less 'critical' agenda [than in popular music] and embodied a very different ethos and politics to 'cross-over' pop" (2010/11: 47). Volans, then, represents the single art music composer mentioned in the article who is exempted from the charge of what amounts to political opportunism. This exemption is granted for three reasons: (a) he had composed his *African Paraphrases* earlier than Grové, Roosenschoon or Klatzow incorporated African elements into their music, (b) the compositions are based on transcriptions of African materials and therefore "pay homage to the *practice* of 'traditional' musicians" (Pooley, 2010/11: 52), and (c) his efforts were not well received at the time, referencing the trope of moral justification as a result of suffering for one's political convictions. With regard to the latter point, Pooley quotes Volans as saying that he was "practically boycotted for [his] involvement with black music" and states that this marginalisation "prompted his departure from South Africa in 1985" (2010/11: 52). In this way Volans is portrayed as having gone into exile because of his political convictions and actions.

However, Pooley's vindication of Volans makes it clear that his identification of acceptable aesthetic agency hinges on political positioning vis-à-vis the establishment just as much as on approaches to musical material. In this regard he writes that "[t]he consequences of [Volans's] musical *and political* convictions were serious" (my emphasis). Agreeing with

Martin Scherzinger that in his *Africa Paraphrases* Volans "dares to image, one might say, a then-impossible sound of post-apartheid South Africa" (Pooley, 2010/11: 52), he nevertheless dismisses Winfried Lüdemann's article about Arnold van Wyk's *Primavera* which had advanced exactly the same argument:

> Composed more than forty years ago, i.e. even before the Republic of South Africa had come into being, [*Primavera*] envisions an approach to cultural difference that was in strong contrast to the one that was taking shape at the time and that we know as apartheid. It does not 'separate' the individual elements and 'develop' them on their own, but integrates them into a whole without destroying their respective identities (Lüdemann, 2006/2007: 101).

The most interesting observation in "Africanist art music and the end of apartheid", though, and the one that will here prompt a re-interrogation of Adorno's negative dialectics, is Pooley's disdain of "autonomous" art. This is made plain when he writes that the "relative autonomy of apartheid-era art music was [explained as] … a function of its value as symbolic capital for the state". The argument is made that such resistance to apartheid ideology as Arnold van Wyk offered in his *Missa,* and such African references as appear in his *Primavera* "did not matter … because they would remain, in any case, hidden" (Pooley, 2010/11: 50). Conversely, "Volans's music shook the ideology of apartness that underpinned the notion of a Eurocentric 'music' in South Africa: that it was autonomous from social and political comment and content" (2010/11: 53). If their music did not proceed from an activist anti-apartheid stance, then, "establishment" composers were guilty of the crime of believing art to be autonomous. Only music that expressed a "direct challenge to apartheid doctrine", music that declared itself as part of a broader anti-Establishment stance, could provide composers with an alibi that they were not guilty of racist-nationalist thinking.

This stark moralising view does not recognise the problems inherent in the concept of autonomous art; nor does it allow the multi-valency of expression available to "committed" art during the apartheid era. As I have indicated above, Van Wyk intended his mass as an anti-apartheid gesture, and framed it as such in his contributions to its reception. However, the composition does not present the same kind of "direct challenge" that Pooley admires so much in the music of Kevin Volans. Instead it maintains a greater distance from the social reality it critiques than a strict neo-Marxist position will allow or recognise as ethical but, as Adorno has shown, it is possible, and indeed necessary, to develop more nuanced theorisations of the ethics of art in the face of suffering.

In the passage from "Commitment" quoted above, Adorno argues that "the abundance of real suffering ... demands the continued existence of the very art it forbids" because art is the only medium that allows suffering to "find its own voice, a consolation that does not immediately betray it". He continues, however, to say that art that attempts to allow suffering such a voice engages in a perilous risk because the morality that terrorises art *only* with the imperative of remembering "slides off into the abyss of its opposite" (i.e. immorality) by aestheticising the suffering it seeks to remember. In order to maintain the moral imperative of respect, Adorno implies, art should maintain a degree of autonomy. It is then precisely this autonomy that can endeavour to offer suffering "a consolation that does not immediately betray it".

This view is also held by Durrant, whose article on J. M. Coetzee's novels I have quoted earlier:

> Without wishing to posit a historical equivalence between the Shoah and apartheid, I would argue that Coetzee's art seeks for itself the task of bearing witness to "the abundance of real suffering" engendered by apartheid ... . Adorno goes on to point out, however, that such an art cannot help but betray its intentions, in its translation of that which it seeks to remember into art. ... It should now be clear that Coetzee insists on the autonomy of art in order to retain the possibility of bearing witness to a history of suffering without betraying it. Confronting the ethical problem of aestheticization head-on, Coetzee attempts to arrest the slide from remembrance to forgetting by refusing to translate such a history, by representing it as untranslatable (Durrant, 1999: 434).

Durrant supports his argument by referring to another section from the "Commitment" essay which I have not discussed in this chapter, in which "Adorno argues, taking Bertolt Brecht as his exemplum, that 'committed art' (that is, art directly committed to a political cause) is always 'poisoned by the untruth of [its] politics'" (1999: 433). Durrant goes on to explain the nuanced nature of the autonomy of art that Adorno advocates:

> This is not to say that a work of art cannot contain a political message, but that this message has to be understood first and foremost within the work of art itself, as the sum – or, to use the Marxist term, the "totality" – of its internal relations (1999: 433).

True to the dialectics of this mode of autonomy, then, Durrant asks (and by implication asks his readers to allow the question): "Have Coetzee's novels merely afforded what one critic has described as a welcome respite from the day-to-day realities of apartheid? Or have they instead provided some way of working through the history from which they appear to abstain?" (1999: 433).

Returning to the *Missa in illo tempore*, I want to suggest that *through* its universalising gestures this work responded to the contexts of suffering that Van Wyk encountered in WWII London and apartheid Stellenbosch. It did so by attempting to offer a consolation, a vision of a peace not attained through victory and oppression but through resignation and compromise. In answer to Rothberg's question about the relation of the work to society, I argue that the work reveals a colonial epistemology that inverts the values assigned to the Universal and the Particular respectively in or by the centre, and that the work takes an anti-apartheid stand precisely through its poignant invocation of the Universal. It is a work that, despite being commissioned for a celebration of European culture in Africa, resisted all self-congratulation and instead reminded the (mixed race) audience of the universality of shared humanity. In this way, Van Wyk's mass might be grouped with Coetzee's novels in Durrant's (1999: 436) description of intent and message: "In anticipation of the end of apartheid, they labor, as Derrida would say, 'in memory of the hope' of a just future". Van Wyk's entreaty to his fellow South Africans to re-recognise the shared humanity of all races, to yearn together for world peace and the wellbeing of all people, could also form the basis of the construction of an interpretation of the work in present-day South Africa.

IV.   Yearning for the Particular within the Universal: Deipetal Contemplation

The argument advanced above would be, in my opinion, more tenable than the hypothetical answer to James Young's question outlined at the end of Section II, since it accords a dignity to the contents and contexts of the work that would not be possible by employing a more narrowly moralising model of critique. But there is another dimension to the *Missa in illo tempore* not addressed by Rothberg's question any more than by Young's, namely its portrayal of Van Wyk's personal longing for the Divine. This is a dimension of the work that is hardly accessible to academic probing, and definitely beyond the reach of a materialist critique. The limits of the latter are reached at the level of social meaning viewed as the final determinant of reality and of history. Van Wyk's mass insists, I hold, that there is a residue of meaning beyond the social. This surplus meaning, referenced by important concerns of the mass like forgiveness and the finding of peace, is not located or engaged with socially. Van Wyk eschewed a collective belief in God – he took no part in institutionalised religion – but

the mass bears undeniable evidence of a highly individualised and tortured spiritual awareness. In a letter to Freda Baron dated 11 February 1945, Van Wyk writes:

> I don't know whether I believe or not. But there is something I sense & with which I can converse – but only when I'm happy & calm. I imagine the Something I talk to to be the embodiment of all that is good in the world, and when I'm happy, I perceive a miraculous symmetry about the whole business of living – or rather of life. All the good & clean things of the world somehow become concentrated into a whole, or gathered into one hand or – if you'll have it so – even become corporate & I find I can become in tune with all this. Perhaps that is God. I don't know & I cannot talk about it clearly. But my happiness is definitely shared with a superior being; - when I'm miserable, it hides its face and I suffer alone (Van Wyk, 1945a).

Pace the discomfort of academic discourse with a vocabulary of spiritual meaning directed at the soul in search of God, it is exactly this vocabulary that is indispensable to a musical hermeneutics of Van Wyk's mass. It constitutes the mechanism through which the Particular balances the Universal in the intricate signification of the work. In this last, most intimate aspect of its semantics, the mass points away from the shared subjectivity that has been so important to the discussion hitherto, and towards a personal and private subjectivity instead.

Post-Holocaust Ethics and Art (5): Aharon Appelfeld's Redemption of the Individual

Aharon Appelfeld, a Holocaust survivor who felt the moral force of Adorno's double imperative keenly, expressed it as the conflict between the "desire to keep silence and the desire to speak". The awareness of this tension led him to develop his own oblique form of Holocaust representation: a technique of "literary nonexpression", described by Lawrence Langer as "a stylized tension [between the two desires] that invaded the very vocabulary of his fiction ... [and] became one of the emblems of his art" (Langer, 2002: 78).

Appelfeld's thought enables the connection I am seeking to establish here: the ability to interrogate the Particular *within* the Universal, to address the Particular in a non-Lyotardian way that does not insist on the "refusal or endless deferral of identity between Particular and Universal" (to return once more to Eisenstein's formulation). In Appelfeld's thought, post-Holocaust art is necessary because it can confer dignity on the particularity of individual suffering (Appelfeld, 1994: 22-23):

> We say the word "Holocaust," and great concepts immediately occur to us: God, destiny, reward and punishment – the essence of metaphysical speculations. But literature, even if it wishes to shout out and shatter the firmament, must first obey a practical imperative: it must deal with the individual, the individual whose father and mother gave him a name, taught him their language, gave him their love, and endowed him with their faith ... All true art tirelessly

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teaches that the whole world rests upon the individual. … When people challenge me and ask what is the place of art in that sphere of death and horror, I reply: who can redeem the fears, the pains, the tortures, and the hidden beliefs from the darkness? What will bring them out of obscurity and given them a little warmth and respect, if not art? Who will take that great mass which everyone simply calls the "dreadful horror" and break it up into those tiny, precious particles? … art constantly challenges the process by which the individual person is reduced to anonymity.

The last moment of my interpretation of Arnold van Wyk's mass centres around the idea that the *Missa in illo tempore,* and indeed the present reading of it, fulfil precisely the role described by Appelfeld. As an articulation of Van Wyk's most personal belief, the work, in addition to the other meanings developed above, resists his "reduction to anonymity" and becomes interwoven in a story of personal redemption.

In concluding this chapter, then, I pose Appelfeld's implied question to the *Missa in illo tempore*: *What does this work say about the individual?* In proffering an answer, I return to the earlier analytical observations. In my analysis of the Kyrie conducted in Section II, I described the remarkable transformation of the diminished triad B-D-F to the B major sonority B-D♯-F♯ through the enharmonic re-interpretation of B♭ as A♯ in the middleground, and in the foreground the surprising resolution of the leading-tone seventh chord of D major/minor to a B major chord in first inversion. Since this transformation entails two musical procedures that are wholly unexpected and that help the music to attain the "redemptive space" of B major, I read the musical transformation in the light of my redemption hypothesis as a portrayal of divine intervention, a miracle.

Whereas in the Kyrie the movement from dissonance to consonance is effected through a "miracle", in its companion piece, the Agnus Dei, the resolution of the tritone to attain B major happens through the plagal motion E to B. The plagal cadence was interpreted in Section II as a deliberate alternative choice to the authentic. Here this view may be supported by quoting Margaret Notley's argument on Brahms's use of plagal harmony as the "other" of authentic harmony:

> Because of its differences from the norms of the authentic subsystem, plagal harmony … can suggest qualities or states not easily conveyed in tonal music through harmonic means: otherworldliness, distance, timelessness, possibly even alienation. In these instances, plagal harmony appears in a strong sense as the other of authentic harmony, perhaps of common-practice tonality itself (Notley, 2005: 95).

Notley's poetic associations with plagal harmony are particularly instructive to the way the plagal cadence is harnessed in Van Wyk's music, and in my reading I want to put to work especially the words *otherworldliness* and *timelessness*. I argued above that the attainment of B major already at the end of the *first* movement of the mass results in a nonteleological tonal narrative, since the music reveals the end of its story at its beginning. The turning-away from a teleological narrative that only attains its goal at the end allows the interpretation that this music is concerned with the timeless, the outside-of-time, in short, the eternal rather than the temporal. As Notley goes on to explain, in a sentence that connects the ideas of *otherworldliness* and *timelessness*:

> Unlike authentic harmony, [plagal harmony] does not suggest orientation toward a goal but rather calls to mind something along the lines of, in Riemann's words, "long-gone centuries and distant realms." (Notley, 2005: 129)

Whereas for Riemann and Notley plagal harmony suggests a distance from time and place, Van Wyk's plagal gesture references the metaphysical and eternal.

These same effects of timelessness and otherworldliness are achieved in the Gloria, the Credo and the Sanctus through their background structures in which the strong dominant-tonic pull of tonality is weakened, creating a mystic music that enhances the portrayal of eternity as I have interpreted it in the outer movements.

In addition to the concern with the eternal/Eternal conveyed by the pre-emptive revelation of B major at the end of the Kyrie, this conceit may also be understood as an eschatological reference. The importance of eschatology in the semantic meaning of the work is supported by the text Van Wyk chose to emphasise through reiteration, something the composer had intimated in his 1981 lecture (Van Wyk, 1981a) quoted earlier. The effect of the reiteration of sections of text is most noticeable in the Gloria and the Credo. Here the music has to carry very long texts and consequently most of the text is declaimed only once. The words that receive reiterative emphasis in the Gloria are "Gloria", "bonae [voluntatis]", "laudamus", "glorificamus", "gratias agimus propter magnam gloriam tuam", "Deus Pater omnipotens" and "Cum sancto Spiritu in gloria Dei Patris, Amen". With these choices Van Wyk seems to have wished to emphasise texts that proclaim the glory and fatherhood of God, and the extended setting of the single word "Amen" in which that word receives forty-six separate entries (not counting simultaneous ones in different voice groups) may be understood on

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the one hand as a personal affirmative response of faith in God, but also, because it of its associations as a concluding word for prayers, as a reference to the end of all things, to eschatology. The words emphasised in the Credo support such an interpretation, and add within the concept of eschatology a special focus on the aspects of the resurrection of the dead and eternal life: the repeated texts include "resurrexit", "expecto [resurrectionem mortuorum]" and "et vitam venturi saeculi, Amen". The repeated word "unum" in the Credo may show Van Wyk's commitment to the Universal as interpreted in Sections II and III, resting ultimately on a belief in God. Finally, the incarnation of Christ is affirmed by the repetition of the words "et incarnatus est"; the conceptually related phrase "et homo factus est" is set only once, but is off-set with a poignant 16-part homophonic harmonisation, the only use of that texture in the work. Van Wyk referred to this moment in the work specifically in the context of his remark on text repetition, saying that although the phrase is set only once he intended to emphasise it through textural means.

In addition to the concepts of eternity and eschatology that I have interpreted as part of the semantic meaning of the mass, the plagal cadences in the Agnus Dei may be read as indicating resignation and peace, diametrically opposed to the "victory" that would have been communicated by an authentic cadence. Moreover, because in both the endings of the Kyrie and the Agnus Dei the B major sonority is attained through background structures that do not proceed according to tonal "logic", the semantic content of that B major chord comes to outweigh its syntactic role as tonic. In the present reading, this observation is connected with the expression of faith that brings human suffering before God in the belief that in the end all will be well, without being able to foresee how such an outcome might be achieved. The narrative of Van Wyk's mass may then be characterised, in addition to its other meanings, as a statement of a profoundly personal metaphysical and eschatological hope for the future. This hope for the future, my reading suggests, acknowledges the need for Divine intervention for its attainment. It is a hope that hinges on a miracle. In the light of this interpretation, I read the "prayer for peace" at the end of the Agnus Dei (that held such special meaning for Van Wyk), as much as a prayer for personal peace as for world peace. Venturing one step further, I want to suggest that the *Missa in illo tempore* seems to indicate that Van Wyk had at last found this peace.

Admittedly, this reading risks overstepping that critical boundary between an interpretation of the art work and an interpretation of the artist, the narrator and the author, art and life. But if it is a transgression too far, it is nevertheless a necessary one. At the end of Leo Tolstoy's *Anna Karenina,* one of the protagonists, Levin, is portrayed as having found a "profound personal peace" in an embrace of spiritual truth much like my reading of the end of Van Wyk's mass:

> [B]e it faith or not – I don't know what it is – through suffering this feeling has crept … imperceptibly into my heart and has lodged itself firmly there. … My life now, my whole life, independently of anything that may happen to me, every minute of it is no longer meaningless as it was before, but has a positive meaning of goodness with which I have the power to invest it (Tolstoy, 1878/2009: 853).

Translator Rosemary Edmonds, following Fyodor Dostoevsky's response to the book, finds that "Levin's newly-found peace is not altogether convincing … It is a desired rather than an achieved state, and the relapse into doubt, one feels, is not far off" (Edmonds, 1978/2009). Overstepping the line between author with character, she writes that "Levin is a faithful reflection of Tolstoy himself", and thereby projects her interpretation of a "desired rather than an achieved state" onto the author. In making a distinction between a "desired" and an "achieved state", however, Edmonds resists granting Levin/Tolstoy the redemption of my narrative. Perhaps she is wise to do so.

In an interview conducted while he was completing the mass, Van Wyk articulated the desire to portray "serenity" in his music:

> If you asked me what work I would have liked to write, or would have liked best to write, then I would mention to you a work like the Beethoven Piano Concerto [it is not clear which one he means], or the Violin Concerto, also by Beethoven. If I could write that stuff, discover that serenity, but I cannot. I can actually only write … sort of sad music, you know (own translation from SABC, 1978).[64]

In an earlier interview, this desire was also implicitly connected to the endings of compositions:

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[64] "As jy vir my vra watter werk ek graag sou wou geskryf het, of die liefste wou geskryf het, dan sal ek vir jou 'n werk noem soos die Beethoven Klavierconcerto, of die Vioolconcerto, ook van Beethoven. As ek daai goed kon skryf, daardie sereniteit ontdek, maar ek kan nie. Ek kan eintlik maar net, soort van hartseer musiek skryf, jy weet."

> I think there is a pessimistic tone to my compositions and I would like to get away from it, but
> I don't easily write jolly finales (own translation from SABC, 1972).[65]

It comes down then, to a sense of endings. Whose peace is portrayed at the end of the mass? Van Wyk's spiritual peace, so near to the end of his life? Or is the source of Van Wyk's own desire to compose a positive vision of the end a narrativising, aestheticising, redemptory impulse that reaches beyond the composer to this writer? To personal hopes and desires shared more universally? Having prised the critical perspective on Van Wyk's work from the chains of social responsibility, the critical enterprise of a large part of this dissertation is tantalisingly thrown into doubt at this concluding point. How real is the colonial epistemological longing always to connect to a distant centre that no longer exists? Perhaps there is only the "I" and a yearning from deeper in the soul of this "I"? It is the question for all ends.

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[65] "Ek dink daar's 'n neerslagtige grondtoon in my werk en ek wil 'n bietjie wegkom daarvan, maar ek skryf nie maklik "jolly" eindbewegings nie."

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