

# **Hendrik Hofmeyr: harmonic language of a composer and theorist**

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A minor dissertation submitted in partial fulfilment of the requirements for the degree of  
Master of Music by Composition and Dissertation

Faculty of Humanities

University of Cape Town

2015

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## Abstract

This dissertation seeks to investigate an aspect of Hendrik Hofmeyr's engagement with music through his theories of harmonic analysis and his use of expanded tonality in his compositions. The purpose of the discipline of music analysis is investigated, and analysis is compared with its sister disciplines to consolidate its vital role in relation to musical study and practice at large. The debate started in the New Musicology in the 1980s is discussed with special reference to the objectives of analysis. The current state of theoretical and analytical study that has emerged since the 1990s is established as a background from which this study takes its cue. Hendrik Hofmeyr's harmonic analytical theories are positioned within the context of this present state of analytical development. Hofmeyr's theories and analytical methods deal with harmonically ambiguous music and expanded tonality. The methods are described in detail in this dissertation, drawing information from Hofmeyr's presentation of his methods of harmonic analysis at the Congress of the Musicological Society of Southern Africa in 2005. The focus then shifts to Hofmeyr's compositional interaction with harmony. Using the methods of Hofmeyr's analytical engagement with harmony, certain complex harmonies in Hofmeyr's *Notturmo* are analysed. The purpose here is to gain a fuller insight into Hofmeyr's direct compositional interaction with harmony. Hofmeyr's harmonic treatment within the realm of expanded tonality is used as evidence of an individual voice, as something that says, "This is the work of Hendrik Hofmeyr".

## **Acknowledgements**

I would like to extend my gratitude to several people and organisations for their support throughout this study. My husband, Christopher Luyendijk, and my parents, Maria and Stuart Crankshaw, have been unwavering in their helpful and continuous support. Thank you to my supervisor Morné Bezuidenhout for providing essential criticism and guidance throughout the course of this dissertation. Thank you to Professor Hendrik Hofmeyr for spending vast amounts of time with me and communicating his knowledge in several interviews, and for granting copyright permission. The completion of this study was made possible through the generous financial support of the Oppenheimer Memorial Trust and the University of Cape Town, to whom I am sincerely grateful.

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# 1 Introduction

## 1.1 Background

Analysis as a discipline of music has been defined in numerous ways over the course of its existence. The practice has been questioned on several of levels for its role and its nature in the field of music study. The disciplines of theory and analysis have been accused of, for example, indifference to historical context,<sup>1</sup> issues of colonialism, ethnocentrism and even solipsism<sup>2</sup> – “the view or theory that the self is all that can be known to exist”.<sup>3</sup> This has led musicologists to seek out defences for studies that are purely analytical, and to search for the unique value that analysis contributes to an understanding and appreciation of music.

Hendrik Hofmeyr is currently Professor and Head of “Composition” and “Theory and Analysis” at the University of Cape Town. He is one of South Africa’s most active composers, being the most performed composer that South Africa has produced.<sup>4</sup> Hofmeyr may be regarded as a composer who takes much interest in music analysis, having formed some of his own systems that deal with harmonic analysis in particular.

The existing literature on the music of Hendrik Hofmeyr tends to view his music as formalist and traditional. An example is the view put forward by Thomas Pooley that Hofmeyr favours the old-fashioned and highly critiqued compositional approach of structural unity over any other technique, making it the primary organisational feature in his music.<sup>5</sup>

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<sup>1</sup> Joseph Kerman, “How We Got Into Analysis, and How to Get Out,” *Critical Inquiry* 7, no. 2 (1980): 314, accessed February 21, 2014, <http://www.jstor.org/stable/1343130>.

<sup>2</sup> Julian Horton, “In Defence of Musical Analysis” (Inaugural Lecture of Julian Horton, Hatfield College, Durham University, United Kingdom, February 26, 2014), accessed February, 2014, <https://www.youtube.com/watch?v=BP7Gw3mfe-U>.

<sup>3</sup> “Solipsism,” *Oxford Dictionary Online*, accessed June 21, 2014, <http://www.oxforddictionaries.com/definition/english/solipsism?q=solipsism>.

<sup>4</sup> Paula Ensor, Introduction at the Inaugural Lecture of Hendrik Hofmeyr, Baxter Concert Hall, University of Cape Town, South Africa, October 2, 2014.

<sup>5</sup> Thomas Mathew Pooley, “Composition in crisis: case studies in South African art music, 1980-2006” (master’s thesis, University of Witwatersrand, 2008), 86, accessed February, 2015, <http://wiredspace.wits.ac.za/bitstream/handle/10539/7164/1.%20Front%20pages.pdf?sequence=1>.

Thomas Pooley analyses Hofmeyr's music with the intention of finding examples of organic unity and structural unity.<sup>6</sup> He argues that Hofmeyr's approach to unity is "mechanistic", which he attributes to a "structuralist approach to composition".<sup>7</sup> Pooley asserts that the search for, and the aspiration to achieve, organic unity is "increasingly rare, almost an anachronistic index of musical value."<sup>8</sup>

However, it has become increasingly clear that musicologists, analysts and composers who were initially silenced by the purported New Musicology's debate around analysis, formalism and unity nevertheless continued to pursue those deeply rooted, so-called *passé* practices with passion.<sup>9</sup> Most of the work written in this vein during the rise of anti-formalist groups around the late 1980s to 1990s was finally published once the controversy had calmed, and reveals barely any reaction to the arguments or challenges put forward by the New Musicology.<sup>10</sup> Nonetheless, Agawu assures his readers that "it is good, solid work in an *older but no less valid* tradition of scholarship."<sup>11</sup>

Indeed, contrary to the scruples expressed by Pooley and others, a number of musical analytical theories of structure and form have transpired and flourished since the debate settled. Some of these theories have emerged even more strongly than before.<sup>12</sup> This has resulted in a sort of pluralism of philosophies of music in that several concepts, which disagree fundamentally with each other, still co-exist.<sup>13</sup>

One example of a theory grounded in tradition is found within the area of Schenkerian analysis. Scholars have continued to study and revise music through the eyes of Schenker, one of the most assiduously structuralist theorists of the pre-modernist era.<sup>14</sup> Another case is the recently formulated neo-Riemannian theory, under the umbrella of transformational

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<sup>6</sup> Pooley 2008, 92-107.

<sup>7</sup> Pooley 2008, 86.

<sup>8</sup> Pooley 2008, 87.

<sup>9</sup> Kofi Agawu, "How We Got Out of Analysis, and How to Get Back In Again," *Music Analysis* 23, no. 2-3 (2004): 267, accessed February 21, 2014, <http://www.jstor.org/stable/3700446>.

<sup>10</sup> Agawu 2004, 268.

<sup>11</sup> Agawu 2004, 267 (emphasis added).

<sup>12</sup> Agawu 2004, 268.

<sup>13</sup> Agawu 2004, 267.

<sup>14</sup> Horton 2014.

theory. William Caplin and James Hepokoski have also made headway since the debate around the value of analysis with their contributions to theories of form.<sup>15</sup> Robert Gjerdingen's "schema theory" has been a strong force in this regard.<sup>16</sup>

These are a few of the analytical endeavours that have emerged despite the attacks of the New Musicology on analysis and its purpose, and they are "alive and very well, and have as good a chance of survival as any other musicological practice."<sup>17</sup>

Hofmeyr may also be viewed as a composer and analyst who draws on traditional practices. Conroy Alan Cupido, like Pooley, searches for organic unity in Hofmeyr's music. Unlike Pooley, Cupido concludes that Hofmeyr's so-called conservativeness "has allowed him to stay true to the principles he holds dear in producing immensely beautiful, innovative, contemporary music."<sup>18</sup>

Studies that investigate Hofmeyr's harmonic usage generally do not go further than providing a general commentary on a few instances of relevant procedures. The scarcity of such studies could be the result of the recent scepticism about traditional harmonic analysis and some reluctance to review such procedures within the context of new music. Yet it is clear to those who are familiar with the analytical and compositional approach of Hendrik Hofmeyr that elements such as harmonic symbolism and expanded tonality can play a vital role.

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<sup>15</sup> See, for example: William E. Caplin, *Classical Form: A Theory of Formal Functions for the Music of Haydn, Mozart, and Beethoven* (USA: Oxford University Press, 1998); William E. Caplin, James Hepokoski and James Webster, *Musical Form, Forms & Formenlehre: Three Methodological Reflections*, ed. Pieter Bergé (Leuven: Leuven University Press, 2010).

<sup>16</sup> Horton 2014.

<sup>17</sup> Agawu 2004, 268 .

<sup>18</sup> Conroy Alan Cupido, "Significant Influences in the Composition of Hendrik Hofmeyr's Song Cycle, *Alleenstryd*" (PhD diss., University of North Texas, 2009), 42, accessed May, 2015, [http://digital.library.unt.edu/ark:/67531/metadc12110/m2/1/high\\_res\\_d/dissertation.pdf](http://digital.library.unt.edu/ark:/67531/metadc12110/m2/1/high_res_d/dissertation.pdf).

## 1.2 Research path

### 1.2.1 Research methods

Music analytical studies of Hofmeyr's works have produced several hypotheses concerning his compositional style and genre. This dissertation entails a study of his approach to harmonic analysis, with the goal to better understand his use of expanded tonality as one of his primary means of engagement with music. His system of harmonic analysis is discussed and his work *Notturmo* for solo piano analysed. In the context of the existing literature, this dissertation aims towards achieving a similar goal to that of the analytical studies already undertaken on Hofmeyr's work. The methodology, however, takes a different form. This is done by adopting Hofmeyr's theoretical analytical approach to harmony as a basis from which to draw information about the composer's aesthetic, rather than hypothesising on the basis of his works or background only.

### 1.2.2 Aims

This dissertation seeks to fulfil the following key aims:

1. to validate the discipline of analysis;
2. to communicate the procedures in Hofmeyr's analytical theory of harmony and its place within contemporary musical theory and analysis;
3. to identify expanded harmony as a characteristic of Hendrik Hofmeyr's unique style of composition and his engagement with music through his analytical and compositional interactions with harmony.

### 1.2.3 Objectives

The discipline of analysis is investigated through an evaluation of its purpose and role in music at large, and through examining its relationship with other musical disciplines. Various musicological views on the purpose and definition of analysis are discussed. Articles published in the late 1980s through to the 1990s that discuss the nature and role of analysis are examined.

Hofmeyr's analytical systems and theories of harmony are presented with a description of their terminology and methodology, with accompanying musical examples. Hofmeyr's

personal compositional and musical philosophies were examined during several interviews with the composer.

*Notturmo* is analysed in terms of expanded tonality, harmonic ambiguity and chordal structures. Existing publications on the composer are consulted to support findings in the analysis.

### **1.3 Study area limits**

As a composition student taught by Hofmeyr for several years, the author acknowledges the influence of Hendrik Hofmeyr's outlook on this dissertation. However, what is more pertinent to this study is the author's first-hand experience with and observation of Hofmeyr's interaction with harmony, through analytical and compositional procedures. The knowledge gained through having studied composition, orchestration, theory and analysis under Hendrik Hofmeyr makes for a practical and relatively strong understanding of certain approaches that he adopts. The effect of the student-teacher affiliation on this study is therefore one of expedient insight rather than bias.

Another limitation is fact that only one work composed by Hofmeyr has been chosen for analysis in this dissertation. The scope of this study is limited by the constraints of a 25 000-word requirement for a minor dissertation. Although the analysis of the particular work reveals certain pertinent instances of harmonic usage, the inclusion of more works in a larger study would provide a more extensive range of evidence of the harmonic aspects of Hofmeyr's compositions. Therefore, a complete realisation of Hofmeyr's harmonic language cannot be deduced within this dissertation. Rather, the evidence collected from studying Hofmeyr's analytical approach to harmony and *Notturmo* is used to elucidate the significance of harmonic expression in his musical aesthetic. This limitation is revisited in Chapter 6, where suggestions for further research are made.

### **1.4 Literature review**

#### *1.4.1 A critical discourse of analysis*

Joseph Kerman's "How We Got Into Analysis, and How To Get Out" is the forerunner in the influential debate on the virtues or otherwise of musical analysis in the 1980s and 1990s.

Kerman boldly challenges the concept of analysis in the American music-academic scene.<sup>1</sup> He insists that analysis is, as it stands, purely a critical angle on music. Musicologists such as Leo Treitler<sup>2</sup> and Reed J. Hoyt<sup>3</sup> are also contributors to the discussion. Many writers call for a hermeneutic aspect of study to be incorporated into analysis. Eugene Narmour relates analytical theory to performance.<sup>4</sup> Agawu draws similar associations between the two disciplines, and this comparison becomes a strong force in the legitimation of the interpretive and objective nature of analysis.<sup>5</sup> Other writers such as Ian D. Bent, Anthony Pople<sup>6</sup> and Arnold Whittall<sup>7</sup> maintain that analysis is an essential element to gaining a full understanding of a work, and that its practice is intended to implement a neutral approach to the work being studied. The views of Theodor Adorno remain relevant in the context of clarifying and justifying the practice of musical analysis as a valid musical practice in its own right, separate from that of music critics.<sup>8</sup> Agawu responds directly to Kerman in his article “How We Got Out Of Analysis, and How To Get Back In”<sup>9</sup>. This text is a valuable source of insights into the purpose and particularities of the discipline and has contributed considerably to this study. Horton provides a breakdown of different types of analytical theories in his inaugural lecture “In Defence of Musical Analysis” at Durham University. He

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<sup>1</sup> Joseph Kerman, “How We Got Into Analysis, and How to Get Out,” *Critical Inquiry*, no. 2 (1980), accessed February 21, 2014, <http://www.jstor.org/stable/1343130>.

<sup>2</sup> Leo Treitler, “To Worship That Celestial Sound: Motives for Analysis,” *The Journal of Musicology* 1, no. 2 (1982): 153-170, accessed February 21, 2014, <http://www.jstor.org/stable/763594>.

<sup>3</sup> Reed J. Hoyt, “In Defense of Music Analysis,” *The Musical Quarterly* 71, no. 1 (1985): 38-51, accessed February 21, 2014, <http://www.jstor.org/stable/948171>.

<sup>4</sup> Eugene Narmour, “On the Relationship of Analytical Theory to Performance and Interpretation,” in *Explorations in Music, the Arts and Ideas: Essays in Honour of Leonard B. Meyer*, ed. Eugene Narmour and Ruth Solie, 317-340 (Pendragon Press, 1988).

<sup>5</sup> Agawu 2004, 274-277.

<sup>6</sup> Ian D. Bent and Anthony Pople, “Analysis,” in *Grove Music Online* (Oxford Music Online), accessed June 20, 2014, <http://www.oxfordmusiconline.com/subscriber/article/grove/music/41862>.

<sup>7</sup> Arnold Whittall, “Analysis,” in *The Oxford Companion to Music*, ed. Alison Latham (Oxford Music Online), accessed June 20, 2014, <http://www.oxfordmusiconline.com/subscriber/article/opr/t114/e257>.

<sup>8</sup> Theodor Adorno and Max Paddison, “On the Problem of Musical Analysis,” *Musical Analysis* 1, no. 2 (1982): 169-187, accessed April 4, 2013, <http://www.jstor.org/stable/854127>.

<sup>9</sup> Agawu 2004.

draws connections between analytical technique and historical perceptions in music, highlighting the relationship that analysis has to the other aspects of the study of music.<sup>10</sup>

#### 1.4.2 *Criticism with regard to unity*

In the same wave of controversy surrounding analysis in the 1980s and 1990s, the principles of formalism and unity as the basis for a value judgement also came under attack.<sup>11</sup> Formalist composers have been charged with creating art that is “bourgeois”,<sup>12</sup> self-sufficient and self-directed, automatically associated with a negative stigma. Their output had little worth in the eyes of those associated with the New Musicology, who have deemed the connection of such composers to the economic and social world insignificant.<sup>13</sup>

Kerman asserts that for centuries the focus in analysis has been engaged in identifying underlying unity in music.<sup>14</sup> The foundation of organicism as a value judgement can be traced as far back as the early nineteenth century, when J.N. Forkel praised the unity found in the music of Bach. Later, E.T.A. Hoffmann addressed organicism in the music of the great German composers such as Haydn, Mozart and Beethoven with the same type of admiration.<sup>15</sup> Consequently, a large part of current musical analytical understanding and education is rooted in the concept of organic unity.

The problem Kerman raises is that analysis is still preoccupied with judging the value of a work on the extent of its organic unity or coherence.<sup>16</sup> Kerman provides some solutions by demonstrating how music from the German tradition can be analysed in a much broader context, outside that of the search for pure organicism. He does this by providing an

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<sup>10</sup> Horton 2014.

<sup>11</sup> Kerman 1980.

<sup>12</sup> Jonathan Walker, “Formalism,” in *The Oxford Companion to Music*, ed. Alison Latham (Oxford Music Online), accessed June 2, 2015, <http://www.oxfordmusiconline.com/subscriber/article/opr/t114/e2625>.

<sup>13</sup> Walker 2015.

<sup>14</sup> Kerman 1980, 312.

<sup>15</sup> Kerman 1980, 315.

<sup>16</sup> Kerman 1980, 313-314.

alternative analysis of a song from Schumann's song cycle *Dichterliebe*, while slating Schenker's simple note-reduction analysis of the same piece.<sup>17</sup>

Kerman's article forms the basis of a series of publications that deal specifically with unity in music as a focal point in analysis. During a time when the New Musicology was turning away from formalism and focusing on the aesthetic and hermeneutic aspects of music,<sup>18</sup> Kerman's anti-unity stance was welcomed. Joseph Dubiel, Kofi Agawu and F.E. Maus follow along these lines, challenging the restrictive preoccupation with unity and suggesting new ways to interpret music.<sup>19</sup> Kevin Korsyn takes the opportunity to provide new interpretations of Schenker's early work "Der Geist der musikalischen Technik".<sup>20</sup> Korsyn's article culminates in a discussion on ways to reinterpret Schenker's early writings, as well as investigating Schenker's influence on organic thought, in order to try to illuminate a profoundly contextualised path for Schenkerian studies that followed.

Alan Street writes about the potential value of challenging one-dimensional concepts of analysis. He challenges Kerman's idea that the focus on unity has created a radical conformism in music analysis and suggests a "healthy pluralism featuring freely competitive strategies" as an alternative.<sup>21</sup>

Rather than offering a solution towards achieving some degree of reconciliation between the two extremes as Kerman had suggested, Scherzinger asserts that the differences between analysis and criticism are fabricated and not worth trying to specify separately.<sup>22</sup>

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<sup>17</sup> Kerman 1980, 323-331.

<sup>18</sup> David Fallows, "New Musicology," in *The Oxford Companion to Music*, ed. Alison Latham (Oxford Music Online), accessed June 3, 2015, <http://www.oxfordmusiconline.com/subscriber/article/opr/t114/e4712>.

<sup>19</sup> See: Joseph Dubiel, "Sense of Sensemaking," *Perspectives of New Music* 30, no. 1 (1992): 210-221, accessed May 19, 2015, <http://www.jstor.org/stable/833292>; Kofi Agawu, "Mozart's Art of Variation: Remarks on the First Movement of K.503," in *Mozart's Piano Concertos: Text, Context, Interpretation*, ed. Neal Zaslaw, 303-131 (Ann Arbor: University of Michigan Press, 1996); F.E. Maus, "Concepts of Musical Unity," in *Rethinking Music*, ed. in N. Cook and M. Everist, 171-192 (Oxford: Oxford University Press, 1999).

<sup>20</sup> Kevin Korsyn, "Schenker's Organicism Reexamined," *Intégral* 7 (1993): 82-118, accessed May 5, 2015, <http://www.jstor.org/stable/40213949>.

<sup>21</sup> Alan Street, "Superior Myths, Dogmatic Allegories: The Resistance to Musical Unity," *Music Analysis* 8, no. 1-2 (1989): 88, accessed May 5, 2015, <http://www.jstor.org/stable/854327>.

<sup>22</sup> Martin Scherzinger, "The Finale of Mahler's Seventh Symphony: a Deconstructive Reading," *Music Analysis* 40, no. 1 (1995): 69-88, accessed May 5, 2015, <http://www.jstor.org/stable/853963>.

Using Derrida's deconstructive method, Scherzinger analyses the Rondo-Finale of Mahler's Seventh Symphony to demonstrate the different intentions in the analysis of "organic" music. He performs this alternative analysis to demonstrate that if there is extensive "fault" found in Mahler's work, perhaps the *actual* fault lies within the choice of analytical method used to study the music.<sup>23</sup>

These publications by Korsyn, Street and Scherzinger have denounced the notion of unity in some ways, while also offering new elucidations of works. Some have gone so far as to describe works according to their dis-unity. Conversely, Robert P. Morgan claims that these new types of analyses damage the quality and necessary information to be found in the works.<sup>24</sup> He is particularly critical of "anti-unitarian"<sup>25</sup> stances.

Korsyn, Kramer, Dubiel and Chua<sup>26</sup> responded to Morgan's 2004 article. The reactions are unanimous: Morgan has misunderstood the analyses and claims presented with regard to unity and disunity. In response, Korsyn states: "Considered historically, unity is by no means a unified, singular concept; there have been multiple and conflicting accounts of unity, of what it is and why it might be desirable."<sup>27</sup>

Van Geest provides an overview of the contexts in which the term "unity" has been used in analytical discourse.<sup>28</sup> He highlights potential challenges that arise from the diverse

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<sup>23</sup> Scherzinger 1995, 74.

<sup>24</sup> Robert P. Morgan, "The Concept of Unity and Musical Analysis," *Music Analysis* 22, no. 1-2 (2003): 7-50, accessed February 21, 2014, <http://www.jstor.org/stable/3700417>.

<sup>25</sup> Morgan 2003, 8.

<sup>26</sup> See Kevin Korsyn, "The Death of Musical Analysis? The Concept of Unity Revisited," *Music Analysis* 23, no.2-3 (2004): 337-351, accessed May 4, 2015, <http://www.jstor.org/stable/3700450>; Jonathan D. Kramer, "The Concept of Disunity and Musical Analysis," *Music Analysis* 23, no. 2-3 (2004): 361-372, accessed May 5, 2015, <http://www.jstor.org/stable/3700452>; Joseph Dubiel, "What We Really Disagree About: a Reply to Robert P. Morgan," *Music Analysis* 23, no. 2-3 (2004): 373-385, accessed May 5, 2015, <http://www.jstor.org/stable/3700453>; Daniel K. L. Chua, "Rethinking Unity," *Music Analysis* 23, no. 2-3 (2004): 353-359, accessed May 5, 2015, <http://www.jstor.org/stable/3700451>.

<sup>27</sup> Korsyn 2004, 338.

<sup>28</sup> William van Geest, "The Concept of Unity in Musical Analysis: Some Ontological Issues," (proceedings, 5<sup>th</sup> International Conference of Students of Systematic Musicology, Montreal Canada, May 24-26, 2012), accessed May 4, 2015, [http://sysmus12.oicrm.org/wp-content/uploads/2012/02/TheConceptOfUnityInMusicalAnalysis\\_SomeOntologicalIssues-1.pdf](http://sysmus12.oicrm.org/wp-content/uploads/2012/02/TheConceptOfUnityInMusicalAnalysis_SomeOntologicalIssues-1.pdf).

understandings of the concept of unity. Van Geest concludes that the analyst's use of the term "unity" must be clarified in order to produce a fruitful analysis.<sup>29</sup>

#### 1.4.3 *Methods of analysis*

At the Congress of the Musicological Society of Southern Africa in 2005, Hendrik Hofmeyr presented a paper on some of his theories of harmony with reference to Wagner's *Tristan und Isolde*.<sup>30</sup> The paper plays a vital role in describing specific categories of harmonic ambiguity typical of late-Romantic music. Part of Hofmeyr's most recent curriculum for his "Music Theory and Analysis III" classes at the University of Cape Town are also cited, as they explain his personal terminology and notation for analysis. In searching for analytical theories that are related to Hofmeyr's approach to harmony, the neo-Riemannian theory emerges as significantly illuminating. Recent theses and publications by a variety of scholars have been sourced in order to compare this contemporary style of harmonic analysis with that of Hofmeyr.

#### 1.4.4 *Literature on Hendrik Hofmeyr, composer and analyst*

The existing literature on Hendrik Hofmeyr includes analyses and criticism of his works, biographies and discographies. For the occasion of Hofmeyr's 50<sup>th</sup> birthday in 2007 *Musicus* published an entire volume consisting of an array of articles about the composer. Other publications on Hendrik Hofmeyr include several theses, dissertations, peer-reviewed articles and entries in the two largest music reference works, *The New Grove Dictionary of Music and Musicians* and *Die Musik in Geschichte und Gegenwart*.

Olga Korvink's dissertation on two of Hofmeyr's solo violin works, *Nelle Mani d'Amduscias* and *Luamerava*, analyses and discusses programmatic and idiomatic content, as well as compositional language. Here Hofmeyr's style is described as Romantic, and evidence of Eurocentrism and cross-cultural influences is explored.<sup>31</sup>

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<sup>29</sup> Van Geest 2012, 4.

<sup>30</sup> Hendrik Hofmeyr, "Sex, Lies and Specious Chords" (presentation, Congress of the Musicological Society of Southern Africa, University of Cape Town, South Africa, 2005), [paper available at WH Bell Music Library, University of Cape Town, barcode C1900812602]. The former *Musicological Society of Southern Africa* amalgamated with the *Symposium on Ethnomusicology* in 2005 to form what is presently called the *South African Society for Research in Music* (SASRIM).

<sup>31</sup> Olga Korvink, "Analysis of two solo violin works by Hendrik Hofmeyr" (master's diss., University of Pretoria, 2006), accessed January 7, 2015, [http://www.worldcat.org/search?qt=worldcat\\_org\\_all&q=olga+korvink](http://www.worldcat.org/search?qt=worldcat_org_all&q=olga+korvink).

Musical analytical studies on Hofmeyr's works include two articles by James May. His study of pitch organisation in *Alleenstryd* concludes that the techniques of systematic structuralism applied in this song cycle can be seen to have contributed significantly to Hofmeyr's "mature style".<sup>32</sup> May has also published an analysis of *The Fall of the House of Usher*, which appeared in the *Musicus* issue dedicated to Hofmeyr and focuses on the structural development of cells or motives in the piece.<sup>33</sup>

Also included as part of the Hofmeyr special issue of *Musicus* are three analytical articles of a different nature, written by Veronica May Franke, Izak Grové, and Heinrich van der Mescht. Franke draws analytical deductions from orchestral compositions and presents structural and contextual findings that are deemed "significant contributions" to 20<sup>th</sup>- and 21<sup>st</sup>-century orchestral composition.<sup>34</sup> Grové analyses tonality and aesthetic in Hofmeyr's chamber music works, with illustrated comparisons between the works of Hofmeyr and Bartók.<sup>35</sup> Analyses of Hofmeyr's art songs are presented in van der Mescht's article, which also evaluates the composer's choice of texts.<sup>36</sup>

Thomas Pooley makes a contribution to the 2007 birthday issue as well with an article that investigates organic unity in Hofmeyr's piano music.<sup>37</sup> This article forms a chapter of his subsequent Master's dissertation, "Composition in Crisis: Case studies in South African Art Music".<sup>38</sup> Although stating that his study is informed by postmodern thought, Pooley seems to resist discussing the responses to postmodern practice that have arisen since the 1990s, specifically those that react adversely to notions of unity.

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<sup>32</sup> James May, "Pitch organisation in Hendrik Hofmeyr's *Alleenstryd*," *South African Journal of Musicology* 23, (2003): 53.

<sup>33</sup> James May, "The Fall of the House of Usher," *Musicus* 35, no. 2 (2007): 90-99.

<sup>34</sup> Veronica May Franke, "Structure and context in the orchestral compositions of Hendrik Hofmeyr," *Musicus* 35, no. 2 (2007): 66.

<sup>35</sup> Izak Grové, "Hendrik Hofmeyr se kamermusiek," *Musicus* 35, no. 2 (2007): 83-89.

<sup>36</sup> Heinrich van der Mescht, "Hendrik Hofmeyr se Afrikaanse kunsliedere," *Musicus* 35, no. 2 (2007): 46-56.

<sup>37</sup> Thomas Pooley, "Organic Unity in Hendrik Hofmeyr's Solo Piano Music: research article," *Musicus* 35, no. 2 (2007): 72-82.

<sup>38</sup> Pooley 2008.

Malcolm Nay's dissertation deals with Hofmeyr's *Notturmo Elegiaco* for Piano Trio.<sup>39</sup> Nay examines the process involved in recording, producing and releasing a CD of the work, while discussing the contributions from, and involvement of, the Hemanay Trio in which he is the pianist. Some general analytical methods are employed to provide a basic overview of structure, melody, harmony and rhythmic features. The purpose of his analysis seems to be aimed towards enlightenment for the sake of performance enhancement rather than investigation of compositional technique or language. However, certain conclusions drawn from the analysis highlight some of the composer's musical values and philosophies, which have proven useful to the study at hand.

Compositional technique and influences on Hofmeyr's writing are studied from an analytical perspective in Conroy Cupido's *Significant influences in the composition of Hendrik Hofmeyr's song cycle, "Alleenstryd"*.<sup>40</sup> Along with providing an informative biography of the composer's life, Cupido discusses the composer's musical aesthetic and attitudes. Compositional process and influences in the work are presented as precursors to the analysis of each song. A full list of works and discography is included as an appendix.

Clinton Claasen's dissertation investigates *Die Stil Avontuur*, another of Hofmeyr's song cycles.<sup>41</sup> Claasen recognises connections between the text of Elisabeth Eybers and Hofmeyr's realisation of the poetry in his compositional choices. He investigates the supposed Romanticism in Hofmeyr's writing, while highlighting his employment of musical symbolism. An updated list of works is included in the dissertation.

Allyss Haecker has conducted a doctoral study on new choral works by South African composers over the last twenty years, relating the synthesis of European and African styles to expressions of social change. Her thesis examines the intricacies of South African musical history and identity as well as the integration of music into certain South African

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<sup>39</sup> Malcolm Nay, "Putting it Down: the Making of a CD with Special Reference to Hendrik Hofmeyr's *Notturmo Elegiaco* for Piano Trio" (master's thesis, University of the Witwatersrand, 2008), accessed March 4, 2015, <http://wiredspace.wits.ac.za/bitstream/handle/10539/7171/MALCOLM%20-%20Thesis%20-%20Final%20FOR%20PRINT.pdf?sequence=1>.

<sup>40</sup> Cupido 2009.

<sup>41</sup> Clinton Jared Claasen, "*Die Stil Avontuur: an Evaluation of Hendrik Hofmeyr's Song-Cycle with an Emphasis on the Poetry of Elisabeth Eybers*" (master's diss., University of Cape Town, 2012).

communities. Haecker analyses compositional techniques in African art songs and provides insight into musicological perspectives that have arisen in this context. Seven of Hofmeyr's choral works are studied, among works of several other South African composers, namely Peter Klatzow, Péter Louis van Dijk, Jeanne Zaidel-Rudolph and Niel van der Watt. Some comparisons are drawn between the composers concerning their different approaches to style synthesis.<sup>42</sup>

In her 2012 doctoral thesis Liesel Margrit Deppe investigates correlations between South African classical music and the South African social and political environments. She analyses works that were composed around the time of South Africa's first democratic election. The works employed for the study are all written for solo flute or small ensembles including the flute, and are drawn from a selection of nine South African composers, including Hendrik Hofmeyr.<sup>43</sup>

Some important biographical literature on Hendrik Hofmeyr includes publications by Hilde Roos, James May and Morné Bezuidenhout. Hilde Roos's thesis provides significant information about Hofmeyr's life and musical philosophies by means of interviews with the composer himself.<sup>44</sup> Morné Bezuidenhout's interview with Hofmeyr for the occasion of his 50<sup>th</sup> birthday also serves as a pertinent source of information about the composer's musical aesthetic.<sup>45</sup> James May's bibliographical article<sup>46</sup> also includes a short discography of Hofmeyr's work list at the time of his 50<sup>th</sup> birthday.<sup>46</sup>

These are the intellectual traditions within which this dissertation conducts its exploration. The sources drawn on indicate the study's points of departure in making its contribution.

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<sup>42</sup> Allyss Angela Haecker, "Post-Apartheid South African Choral Music: an Analysis of Integrated Musical Styles with Specific Examples by Contemporary South African Composers" (PhD thesis, University of Iowa, 2012), accessed March 4, 2015, <http://ir.uiowa.edu/etd/3461>.

<sup>43</sup> Liesel Margrit Deppe, "South African Music in Transition: A Flutist's Perspective" (PhD thesis, University of Toronto, 2012), accessed March 4, 2015, [https://tspace.library.utoronto.ca/bitstream/1807/32697/1/Deppe\\_Liesel\\_M\\_201206\\_DMA\\_thesis.pdf](https://tspace.library.utoronto.ca/bitstream/1807/32697/1/Deppe_Liesel_M_201206_DMA_thesis.pdf).

<sup>44</sup> Hilde Roos, "Significant Influences in the Compositions of Hendrik Hofmeyr" (master's diss., University of Stellenbosch, 2000).

<sup>45</sup> Morné Bezuidenhout, "An Interview with Hendrik Hofmeyr," *Musicus* 23, no. 2 (2007): 19-21.

<sup>46</sup> James May, "Hendrik Hofmeyr at fifty: a short biography with a worklist and discography: chronicles," *Musicus* 35, no. 2 (2007): 7-18.

## 1.5 Overview

The opening chapters deal with the context within which the study proceeds. The second chapter discusses the concept of analysis and contextualises music analysis within the musicological field. Three overarching questions are asked, namely:

- What is the definition of music analysis?
- What is the music analyst's goal?
- How does music analysis relate to its sister disciplines in music?

The sister disciplines that are referred to include the areas of performance, reception by listeners, theory, composition, style and history. Several writers are referenced for their experience as practising analysts of old and new music. Views of postmodernists and hermeneutists are contrasted with those of formalists and conservative scholars with regard to their opinions on the topics of musical analysis and musical unity. The distinction between analysts and critics with regard to intention is an important discussion in this chapter.

Hendrik Hofmeyr's contribution as an analytical theorist is discussed in the third chapter, where his own analytical theory is introduced. Musical examples demonstrate types of progressions central to the theory. The theory is described corresponding to Hofmeyr's presentation at the Congress of the Musicological Society of Southern Africa in 2005. Particular attention is given to comprehension of terminology and technical notation. Prevailing theories, both old and contemporary, form a backdrop from which Hofmeyr's theories proceed. Here, comparisons between Hofmeyr's methodology for harmonic analysis, and the recently formulated neo-Riemannian theory that is also used for harmonic analysis, are featured.

Hofmeyr's compositional philosophies are presented in the fourth chapter, along with a harmonic analysis of notable harmonic instances in his *Notturmo*, using methods of Hofmeyr's analytical theory of analysis. Correlations between the author's analytical findings in the work and the values present in Hofmeyr's theory are deduced. Labels assigned to Hofmeyr's aesthetic by other writers are discussed and his own professed philosophies are considered in the light of these labels. Interviews with the composer provide convincing substantiation. The combination of the composer's values, harmonic

usage and harmonic understanding leads the study to a consideration of his approach to music in general, and furthermore, to evidence of an individual voice.

Concluding the dissertation, central points from previous chapters are highlighted and recommendations for further research are presented.

## 2 Purpose and relevance of musical analysis

"To understand the world, we must abstract from the ineffable uniqueness of stimuli by selecting and grouping, classifying and analysing."<sup>1</sup>

It has been thirty-five years since "How We Got into Analysis and How to Get Out" was published.<sup>2</sup> During this time the disciplines of analysis and of theory have been challenged by numerous postmodern polemics.<sup>3</sup> The would-be "New Musicology" sparked what became a tumultuous debate on analysis, criticism and formalism.

Thirty-five years later the storm has calmed and what has emerged is in many ways a fresh return to former practices, in a more intense and holistic manner than before.<sup>4</sup> Even so, taking into consideration the disputes of the past, analytical studies and the formulation of new analytical theories now require justification. What follows is an attempt to define musical analysis and outline its purpose.

### 2.1 A definition of musical analysis

In order to determine the role of musical analysis, a description of the practice must be made clear. Bent and Pople define analysis as "part of the study of music that takes as its starting-point the music itself, rather than external factors."<sup>5</sup> They explain the challenges faced when trying to define analysis, explaining that the main difficulty encountered is the need to describe analysis "within its own boundaries".<sup>6</sup> Agawu suggests a similar idea, stating that "the analyst's cues come not from outside but from *within* the work".<sup>7</sup> Here

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<sup>1</sup> Leonard B. Meyer, *Explaining Music: Essays and Explorations* (Berkeley: University of California Press, 1973), 3.

<sup>2</sup> Joseph Kerman, "How We Got Into Analysis, and How to Get Out," *Critical Inquiry* 7, no. 2 (1980): 314, accessed February 21, 2014, <http://www.jstor.org/stable/1343130>.

<sup>3</sup> Julian Horton, "In Defence of Musical Analysis" (Inaugural Lecture of Julian Horton, Hatfield College, Durham University, United Kingdom, February 26, 2014), accessed February, 2014, <https://www.youtube.com/watch?v=BP7Gw3mfe-U>.

<sup>4</sup> Kofi Agawu, "How We Got Out of Analysis, and How to Get Back In Again," *Music Analysis* 23, no. 2-3 (2004): 267-268, accessed February 21, 2014, <http://www.jstor.org/stable/3700446>.

<sup>5</sup> Ian D. Bent and Anthony Pople, "Analysis," in *Grove Music Online* (Oxford Music Online), accessed June 20, 2014, <http://www.oxfordmusiconline.com/subscriber/article/grove/music/41862>.

<sup>6</sup> Bent and Pople 2014.

<sup>7</sup> Agawu 2004, 271-272 (emphasis added).

Agawu is referring to Adorno, who writes that the analyst can only grapple with the structure of a piece by allowing the music to “assert itself”.<sup>8</sup>

Adorno, on a more formal level, describes analysis as an activity concerned with “structure, with structural problems, and finally, with structural listening”.<sup>9</sup> He relates analysis to the integral activity behind the working of the notes, on a deeply musical level.<sup>10</sup> Bent and Pople explain the formal role of analysis as one that deals with musical structures and the interpretation, simplification and possible functions of those structures within a single work or group of works.<sup>11</sup>

Although analysis is at times a private study of structures,<sup>12</sup> it is notable that the discipline has gained a great deal of traction from its use by composition teachers, performers, instrumental teachers, critics and historians.<sup>13</sup> Correspondingly, the process of analysing a work provides both the performer and listener with invaluable information about the music. Were a performer to disregard analytical possibilities contained within a work, he or she would fall short of reaching his or her potential for delivering the piece of music.

Narmour maintains that analysis is an “intellectual assault on an artwork”, and that even so, performers must engage with it in order to fully realise the work. “In this enterprise, analytical theory is not only central in the education of performers but indispensable.”<sup>14</sup>

This is a vital objective of analysis: that it serves a pedagogical role. Where theory is taught to undergraduate music students, a considerably richer understanding of music is instilled. This educational role is usually entrusted to theorists, rather than to musicologists or historians.<sup>15</sup> Agawu argues that both the disciplines of performance and composition share

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<sup>8</sup> Theodor Adorno and Max Paddison, “On the Problem of Musical Analysis,” *Musical Analysis* 1, no. 2 (1982): 175, accessed April 4, 2013, <http://www.jstor.org/stable/854127>.

<sup>9</sup> Adorno and Paddison 1982, 173.

<sup>10</sup> Adorno and Paddison 1982, 173.

<sup>11</sup> Bent and Pople 2014.

<sup>12</sup> Bent and Pople 2014.

<sup>13</sup> Bent and Pople 2014.

<sup>14</sup> Eugene Narmour, “On the Relationship of Analytical Theory to Performance and Interpretation,” in *Explorations in Music, the Arts and Ideas: Essays in Honour of Leonard B. Meyer*, ed. Eugene Narmour and Ruth Solie, 340 (Pendragon Press, 1988).

<sup>15</sup> Agawu 2004, 269.

close affiliations with analysis. He insists that the use of analysis for the enhancement of performance and composition serves “the most powerful justification for its continued cultivation”.<sup>16</sup> The relationship between analysis and other disciplines of music will be discussed later in this chapter.

## **2.2 The goal of the analyst**

According to Whittall “it would be a poor analysis which did not intensify, or even transform, the aural experience of the music...”<sup>17</sup>

He maintains that the ultimate goal of the analyst is to find ways to elucidate a piece of music in a manner that enhances its potential to become better appreciated, both aesthetically and intellectually.<sup>18</sup> An analyst should strive to discover something new or interesting from within the music itself, rather than making reference to external factors. Still, there may be a crucial historical and personal context associated with the composer, in which case external factors are important and should be considered at the outset of the analytical procedure.

The greatest challenge in the world of musical analysis is the inability to measure a specific piece of music and its various components, as one would in the study of, say, physics.<sup>19</sup> In order to avoid hazy results, it is vital to focus on a particular area of inspection when conducting an analysis. The analyst is always concerned with comparing fragments of music within a work, comparing two pieces, or comparing the work to an “abstract model” which could be, for example, a certain form or a graphic representation.<sup>20</sup>

Ideally the analyst should establish a specific component of the music to study, or perform his analysis within a set of clearly defined boundaries. This component could be the score itself; an image that the composer had in mind upon creation; a specific performance; a listener’s reaction to a performance, and so on. Analytical boundaries could include limiting a study to the search for one motif; studying only melodic shape; assessing the response of

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<sup>16</sup> Agawu 2004, 270.

<sup>17</sup> Arnold Whittall, “Analysis,” in *The Oxford Companion to Music*, ed. Alison Latham (Oxford Music Online), accessed June 20, 2014, <http://www.oxfordmusiconline.com/subscriber/article/opr/t114/e257>.

<sup>18</sup> Whittall 2014.

<sup>19</sup> Bent and Pople 2014.

<sup>20</sup> Bent and Pople 2014.

listeners to a specific moment in a performance, and so forth. Analysis through any of these approaches is acceptable. In this regard, Bent and Pople maintain that “no single method or approach reveals the truth about music above all others.”<sup>21</sup>

### **2.3 The nature of analysis: subjective or objective?**

Kerman asserts that analysis and criticism go hand in hand, implying that analysis is a more subjective activity than a descriptive one. He describes the music critic’s purpose as “the aesthetic question begged”.<sup>22</sup> Kerman asserts that the objectivity that analysis strives to portray is ideology at best.<sup>23</sup> Perhaps at a fundamental level analysis does pass a value judgment whereby the analyst decides that a particular piece of music is important enough to be investigated.<sup>24</sup> One of Kerman’s strong arguments against the objectivity of analysis is that the person subjectively chooses which pieces to analyse.<sup>25</sup>

There is a part of analysis in which the analyst proposes his or her own views about the piece under examination. Analysts are bound by their age, character and culture. This affects the works they choose to analyse. The outcome of an analysis will always measure, even if unintentionally, the value of a work against an idealised set of criteria.<sup>26</sup> Certainly, over the ages there have been an extensive variety of perspectives that have arisen in science, philosophy, sociology and other areas, giving analysts different kinds of lenses through which to examine their subjects. An element of subjectivity will always be present in the interpretation of information insofar as there is a human being involved.

Indeed, analytical writing can convey a particularly critical perspective on a piece of music. Sometimes the criticism is only implied and can be easily veiled with a refined analytical approach.<sup>27</sup> However, the fundamental objectives of analytical findings are practical ones and are intended to remain as neutral as possible. Whittall argues that some of the

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<sup>21</sup> Bent and Pople 2014.

<sup>22</sup> Kerman 1980, 311.

<sup>23</sup> Kerman 1980, 314.

<sup>24</sup> Bent and Pople 2014.

<sup>25</sup> Kerman 1980, 313.

<sup>26</sup> Bent and Pople 2014.

<sup>27</sup> Bent and Pople 2014.

strongest evidence for the lack of prejudice in analysis is found in the wide variety of musical theories, analytical techniques and structural complexities involved.<sup>28</sup>

The relative roles of description-based versus judgement-based assessment is debatable in both criticism and analysis. Therefore analysis is similar to criticism in the way that its motivations can be either descriptive or evaluative. Bent and Pople state that although analysis *can* generate a value judgment, it is more *concerned* with description than with judgement.<sup>29</sup> Therefore, it is safe to say that analysis and criticism differ in terms of the *degrees* to which they employ description and judgment. A critic who is “descriptive” writes his own personal reaction to the music or performance being investigated, in order to describe his inner response or to try to recreate the mental process that the composer and/or performer would have decided on in order to deliver that music. A critic who is “evaluative”, on the other hand, assesses his reaction against a group of certain criteria. These criteria could be standards of musical value or beauty that are widely established and accepted as such, or these criteria could be certain musical standards that are shaped while the critic is listening to the music, and are likely to be informed by the critic’s life experiences. In this case, the critic’s assessment would have to rely on the belief that the entire composition or performance is flawless and intentional.<sup>30</sup>

Adorno’s stance on analysis in relation to criticism is that any valuable criticism is actually initiated in analysis. He claims that where criticism is not rooted in analysis, criticism exists as something incoherent and hollow.<sup>31</sup> Without analysis, aesthetic theories and aesthetic programmes are inconceivable, thus analysis is again acknowledged as a separate entity to criticism, but an indispensable precursor.<sup>32</sup>

This brings to light a further distinction between the two disciplines. Criticism places emphasis on the reaction of the experienced, intuitive critic who uses his knowledge to relate his reaction to his past experiences and knowledge.<sup>33</sup> Those past and present

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<sup>28</sup> Whittall 2014.

<sup>29</sup> Bent and Pople 2014.

<sup>30</sup> Bent and Pople 2014.

<sup>31</sup> Adorno and Paddison 1980, 176.

<sup>32</sup> Adorno and Paddison 1980, 176.

<sup>33</sup> Bent and Pople 2014.

experiences are his sources of data and method. The analyst, on the other hand, sources his data from different, specific components. These components are similarly pre-established yet in contrast are easily categorised. Analytical data of this kind include harmonies, motifs, dynamics, phrase markings, tonguing and bowing, articulations, certain technical and performance indications, dynamics, and timing elements.<sup>34</sup>

According to these differences between analysis and criticism, there is further evidence that we are dealing with a difference in degree of the descriptive or evaluative approach within each respective discipline, rather than with a clear-cut line of difference. For example, Bent and Pople explain that analysis shares commonalities with aesthetics and semiology in certain ways. The analyst usually avoids absorbing unavoidable prejudices into his work. Like the aesthetician, he contemplates the nature of those prejudices “in relation to definable musical phenomena”. Analysis is therefore a complex discipline that can easily be falsely defined as a purely technical activity. However, for the sake of realising a general divide between analysis and criticism, Bent and Pople describe the critic’s response as “highly informed” and based on “technical knowledge”, while the analyst’s procedures are “definable” and “technical”.<sup>35</sup>

Twenty-five years after the publication of Kerman’s article, Agawu responded. He argued that Kerman portrayed the field of music theory incorrectly, paying no attention to the objectives with which analysts concern themselves, stating, “the claim that analysis is ideology now rings hollow in part because it overlooks its own ideological bases and risks becoming mere tautology.”<sup>36</sup>

Ideally, analysis always remains open to change and only ever comes to temporary or provisional conclusions.<sup>37</sup> Despite his or her own preconceived musical ideologies, the analyst strives for an objective perspective, one that encourages and invites continuous discovery of the work.

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<sup>34</sup> Bent and Pople 2014.

<sup>35</sup> Bent and Pople 2014.

<sup>36</sup> Agawu 2004, 269.

<sup>37</sup> Agawu 2004, 270.

## 2.4 The relevance of analysis in relation to its sister disciplines

### 2.4.1 Analysis and performance

I would like to mention again the pedagogical role that analysis plays, with reference to performers. The performer's interpretation heavily influences the structural and aesthetic result of a musical performance. The performer will interpret, plan and execute the performance drawing on a variety of knowledge, including what he or she has learnt from analytical theory. Therefore, it is of utmost importance for performers to acquire analytical knowledge in order to become skilled interpreters of scores and trustworthy mediators of music.

Narmour writes that analytical theory is essential to the performance of compositions, in that the performer communicates the structural and aesthetic details of a work to the listener. Narmour insists that it is the responsibility of performers to analyse their works, "so as not only to know how to interpret, but what difference one interpretation versus another makes."<sup>38</sup>

Interpretations can differ between performers, where each performer will attempt to share with the audience his or her unique findings within the score. Does this not correlate with what analysts do? Like an analyst, each performer forms an inimitable interpretation of a score. It is only the outwards expression of that interpretation that differs between the two persons. The analyst writes and the performer sings or plays in order to express that interpretation.<sup>39</sup> Here we uncover a truth: analysis *is* a kind of performance, and more significantly, *performance is a kind of analysis*. Both disciplines study musical scores and make them their own in an effort to communicate their discoveries.<sup>40</sup>

Adorno writes that performers and analysts share the common interest of studying the "inner relationship of the work".<sup>41</sup> He explains the differences between the two: the

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<sup>38</sup> Narmour 1988, 340.

<sup>39</sup> Whittall 2014.

<sup>40</sup> Whittall 2014.

<sup>41</sup> Adorno and Paddison 1980, 171.

performer is concerned with the fundamental content of a composition, while the analyst prioritises discovering the internal structures of the work.<sup>42</sup>

It is at this point that I shall introduce the term “truth content”. Analysis, according to Adorno, also leads us to the truth content of a work. This is what Adorno considers one of the strongest justifications for analysis. He believes that the analyst can only gain access to the “truth content” of a work through grasping its technical structure. Furthermore, Adorno claims that the best way to study the “truth content” is to study masterpieces by, for example, Bach, Beethoven, Mahler and Webern, who pushed the boundaries of their times and cultures. Adorno calls such composers, in a historical sense, “origins or fountainheads”. They are those composers who have set new, larger boundaries in place for the future, making the impossible plausible or even possible.<sup>43</sup>

So, what is truth content, and how does it relate analysis to performance? Agawu explains his interpretation of Adorno’s writing as such:

“The truth content is not necessarily a literal, empirical truth but rather a dynamic, motivating truth designed partly to anchor listening in specific socio-cultural and historical moments even while – and this is the paradox of it – releasing the analyst from the dubious responsibility of having to establish the authenticity of the analysis. All of this boils down to an attitude, an ethical attitude, perhaps.”<sup>44</sup>

Adorno's view of analysis emphasises the importance of technical structure. Agawu explains that Adorno’s idea of “truth content” is best understood – and best practised – as a mode of both performance and of composition.<sup>45</sup> The composition element will be discussed later.

#### *2.4.2 Analysis and the listener*

Sharing commonalities with performance, analysis serves the purpose of aiding the listener’s experience of a piece. Analysis can bring one closer to the musical material itself,

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<sup>42</sup> Adorno and Paddison 1980, 171.

<sup>43</sup> Adorno and Paddison 1980, 171.

<sup>44</sup> Agawu 2004, 273.

<sup>45</sup> Agawu 2004, 273.

which in effect would leave the listener permanently transformed upon hearing it. In effect, analysis can provide a constant, always growing awareness of the music itself.<sup>46</sup>

Agawu cites Walter Riezler, Beethoven's biographer, who explained that the only way in which analysis will benefit the listener's experience of the music is to "confine the analysis strictly to the musical facts, and to try and explain by reference to the inner laws of music."<sup>47</sup>

Agawu also makes mention of Milton Babbitt, who has maintained that a great purpose of analysis is to feed the listener's consciousness upon hearing music. Agawu agrees with Babbitt that the focus as a listener should be an on-going process of realising new things about the music.<sup>48</sup> In this light, we can see that there is "no final state to hearing, only the latest state", and analysis surely is an ongoing, open and growing perception of the inner workings of the music.<sup>49</sup>

### 2.4.3 *Analysis and theory*

In 2014 Professor Julian Horton, President of the Society of Music Analysis, stated in his inaugural lecture at Durham University that both analysis and theory are customarily connected. He explained that both subjects are also connected historically and by nature. Even so, he noted that we must take care to differentiate the two.<sup>50</sup>

Bent and Pople also believe that both disciplines should be seen as separate entities. They assert that the laws of musical construction are shared interests between analysts and theorists.<sup>51</sup> Without denying the fact that analysis is primarily built on theory, Agawu states that much can be gained by sometimes applying a "strategic and temporary blindness to the theoretical scaffolding" on which any approach to analysis is based.<sup>52</sup>

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<sup>46</sup> Agawu 2004, 270.

<sup>47</sup> Agawu 2004, 271.

<sup>48</sup> Agawu 2004, 271.

<sup>49</sup> Agawu 2004, 271.

<sup>50</sup> Horton 2014.

<sup>51</sup> Bent and Pople 2014.

<sup>52</sup> Agawu 2004, 269.

Horton differentiates each discipline through definitions and through placement into their respective historical trajectories. For Horton, theory concerns “the abstract modelling of musical systems and practices.”<sup>53</sup> He breaks current theoretical practices down into several categories:

1. Theories of the musical system:  
Concerning modality, tonality, and serialism
2. Theories of musical form - ‘Formenlehre’:  
The theory of musical form, such as sonata form
3. Theories of musical processes:  
Thematic development; motivic development
4. Theories of genre:  
Distinguishing a symphony from a symphonic poem, for example
5. Theories of musical meaning:  
Semiology; topic theory; narrative theory
6. Theories of cognition:  
Schema theory; pitch-base theory; ideas that “mingle”; theories of “pure musical process with cognitive research”<sup>54</sup>

We do find theories that may include more than one of these categories. One such example is the theory of Heinrich Schenker. His analytical theory is both a theory of a musical system as well as a theory of form.

Horton’s definition of analysis, on the other hand, is the “investigation of design, structure, and process in musical works. It is by some estimations ‘applied theory’: the explication of music through the application of theory.”<sup>55</sup>

He further insists that theory and analysis should be their own distinguished disciplines contextually, in relation to other “sister disciplines”. For example, the historical evolutions

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<sup>53</sup> Horton 2014.

<sup>54</sup> Horton 2014.

<sup>55</sup> Horton 2014.

of theory and of analysis each contain their own specific trajectories. He explains how theory dates back to ancient times, as far back as Greek philosophy in musical thought, while analysis is a “product of modernity”. It is also notable that although theory has regularly played a pedagogical role in composition and performance, its concentrations have changed over the course of history.<sup>56</sup>

Indeed, eighteenth-century theorists such as Johan Mattheson seem to have focused on voice-leading, melodic patterns and rhetoric. Nineteenth-century theorists such as Carl Czerny focused on the idea of form. Only in the twentieth century did theorists begin to treat analysis as its own category of study. After the Nazis came to power in 1933 Schoenberg and pupils of Schenker emigrated to America. The European ideas and curricula that became a part of the American academy included theories of tonality, serialism and free atonality. By the 1980s, these concepts had also spread to the United Kingdom. It is in this way that both theory and analysis gained and spread their separate identities, where scholars “sought to both consolidate existing models, and prove their efficacy for the understanding of musical works.”<sup>57</sup>

Bent and Pople write that composition theorists can develop information that can be transformed to become principles that analysts could then use to study the relevant music. The relationship is indeed one of “mutual dependency”.<sup>58</sup>

#### 2.4.4 *Analysis and composition*

Bent and Pople describe how the analyst, through his or her dealings with the integral musical activity of a score, can uncover certain identities of a work or of a composer:

“The central analytical act is thus the test for identity. And out of this arises the measurement of amount of difference, or degree of similarity. These two operations serve together to illuminate the three fundamental form-building processes: recurrence, contrast and variation.”<sup>59</sup>

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<sup>56</sup> Horton 2014.

<sup>57</sup> Horton 2014.

<sup>58</sup> Bent and Pople 2014.

<sup>59</sup> Bent and Pople 2014.

Agawu claims that analysis must seek out the distinctive “problematic of a piece”, and must look for evidence to suggest why and how an event occurs, without becoming distracted by the compositional process.<sup>60</sup>

Agawu’s stance here reveals that if we only account for the composer’s input, we consider only one piece of the puzzle. All too often analysts have been suspected of fabrication, when asked the question, “Did the composer know that this is what he was writing?” Surely, analysis does not exist to plainly show us what has been put *into* the music. Although this discipline is more descriptive than evaluative in intent, it is common knowledge that each analysis is different from the one before it.

An interesting situation to consider is one where there is no evidence of the compositional process available. Does this affect the analyst? Insisting that criticism and analysis are inseparable, Kerman follows the words of Morgan when he proposes that in order to become true criticism (this aspiration in itself is a dubious one), analysis should try to recreate the composer’s creative process. He claims that in this way the analysis serves to better understand the composer’s intentions for all his musical choices in the work.<sup>61</sup> Furthermore, Morgan refers to Edward Cone, who defines analysis as “the elucidation of a sort of teleological organism”. Morgan insists that the definition of analysis is actually a broader one. He wishes for analysts of new music to aspire to discover the aims of the composer relative to his or her compositional awareness; to examine the consequences of the compositional system employed relative to the outcome of the work; to seek explanations for how the work relates to other music, both current and former, amongst other aspirations.<sup>62</sup>

Therefore, Morgan shows his desire to include more composer-based content in analysis. Indeed, Kerman’s article speaks highly of the need for the incorporation of hermeneutics in musical analysis.<sup>63</sup> Still, the idea that a primary goal of analysis is to recreate the exact compositional process can only leave the analyst with severely subjective results. Perhaps

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<sup>60</sup> Agawu 2004, 272.

<sup>61</sup> Kerman 1980, 331.

<sup>62</sup> Robert P. Morgan, “On the Analysis of Recent Music,” *Critical Inquiry* 4, no. 1 (1977): 36, accessed June 20, 2014, <http://www.jstor.org/stable/1343041>.

<sup>63</sup> Kerman 1980.

this is one of Kerman's problems with analysis and the proposed relationship between analysis and criticism. Perhaps this is precisely where he falls short of recognising the true aim of the analyst.

Hoyt, on the other hand, insists that it is more rational to adopt the view of Wimsatt and Beardsley, who state that a piece of art "is detached from the author at birth and goes about the world beyond his power to intend about it or control it".<sup>64</sup> Indeed this approach demonstrates the interpretive nature of analysis, similar to that of performance, as discussed above.

Of course, knowledge of the composer's intentions with reference to his music would be helpful to the analyst in general, but surely it would not provide enough ground to take the place of analysis. Again we find a parallel with performance, where no one interpretation is an exact replica of another. Hoyt points out that "if the composer were to have but one specific intention, then only one recreation would be correct."<sup>65</sup> Referring to E.D. Hirsch, Hoyt explains that even with access to a correct version of the score, and to the composer's notes, the idea that there is one interpretation of a work that is true and correct "goes beyond dogmatism".<sup>66</sup> Bent and Pople's description of analysis as the "*interpretation of structures in music*" becomes a relevant point.<sup>67</sup> We cannot possibly rely on the composer's intentions as conveying the ultimate experience or meaning of the music.

After considering the variety of suggestions and opinions stated above, a resolution of sorts may be found in the words of Whittall, as he explains the position of analysis with reference to the ever-fresh nature of the discipline: it is "an on-going activity in which an interpretation of the work in question is put together from a variety of processes and procedures."<sup>68</sup>

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<sup>64</sup> Reed J. Hoyt, "In Defense of Music Analysis," *The Musical Quarterly* 71, no. 1 (1985): 45, accessed February 21, 2014, <http://www.jstor.org/stable/948171>.

<sup>65</sup> Hoyt 1985, 45.

<sup>66</sup> Hoyt 1985, 45.

<sup>67</sup> Bent and Pople 2014 (emphasis added).

<sup>68</sup> Whittall 2014.

#### 2.4.5 Analysis and style

We often find a divide created between formal and stylistic analysis. Bent and Pople view the analyst's intent to distance him- or herself from stylistic consideration as a redundant effort. From one approach, any given fragment of music can be considered as representing a certain style. At the same time, the way in which one goes about stylistic analysis is ultimately the same process of "resolving structures into elements", as we would follow in formal analysis.<sup>69</sup> Indeed, Treitler criticises analysis for not including the context of style in analysis.<sup>70</sup>

Hoyt raises the importance of differentiating style from style history and characteristic style. "Style history" refers to the analysis of music in its historical context. "Characteristic style" refers to the employment of particular structures or forms, which can also hold extra-musical significance. He writes that style comprises "style history" and "characteristic style".<sup>71</sup> Therefore, Hoyt is justifying a wider scope for, and a more contextualised approach to, analysis and hence supporting Treitler's view.

#### 2.4.6 Analysis and history

The symphony was a politicised genre in the late 19<sup>th</sup> century in Vienna.<sup>72</sup> Wagner had a lot to say about the symphonies of Brahms, his colleague also living in Vienna.<sup>73</sup> Searching for a possible reason for Wagner's attitude, Horton conducts a motivic analysis of Brahms's 3<sup>rd</sup> Symphony. He shows how Wagner's criticism of the 3<sup>rd</sup> symphony can only be fully understood by studying both its historical context as well as the theoretical and analytical implications of the specific compositional techniques that Brahms employed. A composer's or musicologist's critique of a work may never be understood without knowing both the context of compositional fashion of the time, and the structural musical details of the work in question. Horton outlines Brahms's use of excessive motivic development as an

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<sup>69</sup> Bent and Pople 2014.

<sup>70</sup> Leo Treitler, "To Worship That Celestial Sound: Motives for Analysis," *The Journal of Musicology* 1, no. 2 (1982): 153-170, accessed February 21, 2014, <http://www.jstor.org/stable/763594>.

<sup>71</sup> Hoyt 1985, 39.

<sup>72</sup> Jan Larue, Eugene K. Wolf, Mark Evan Bonds, Stephen Walsh and Charles Wilson, "Symphony," in *Grove Music Online* (Oxford Music Online), accessed June 24, 2015, <http://www.oxfordmusiconline.com.ezproxy.uct.ac.za/subscriber/article/grove/music/27254pg2>.

<sup>73</sup> Horton 2014.

imperative part of the compositional process. The primary compositional technique that Brahms used would have had an immense impact on how other composers, such as Wagner, would have received the piece at the time. Horton claims that in the absence of an analytical investigation of motivic development in the score, “the historical discourse is, in a vital sense, beyond a true understanding.”<sup>74</sup>

To realise any compositional technique, theoretical analysis must come to the fore. Only then is the work fit to be fully appreciated in its historical context. “The argument about technique is similarly an argument about cultural politics. They can’t be disentangled.”<sup>75</sup> This is an example of the integral relationship between the analytical application of theory and its role in explaining cultural political discourse. Analytical knowledge undoubtedly has a major part to play in understanding the reception history of a piece of music.

## **2.5 Conclusions about the discipline of analysis**

It is apparent that analysis plays a pertinent role in relationship to other musical practices. In acknowledging its numerous functions, it becomes evident that analysis seems irreplaceable because of the significant way it informs performance, criticism and an array of musicological studies.

Perhaps Horton describes this most effectively: “In brief, musicology without analysis is the study of discourse about music but not the study of music.”<sup>76</sup>

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<sup>74</sup> Horton 2014.

<sup>75</sup> Horton 2014.

<sup>76</sup> Horton 2014.

### 3 Hofmeyr's harmonic analytical theories

Hendrik Hofmeyr has developed an analytical system by which ambivalent harmonies can be categorised into different types of chords, according to their resolutions. Developing an understanding of this system and his harmonic theories may be helpful in gaining a better understanding of his approach to composition.

#### 3.1 Hofmeyr's theories in context

The analysis of harmony has been explored in the past from a wide variety of perspectives. These include studies by theorists such as Ernst Kurth in the field of Gestalt psychologies, and Alfred Lorentz, who developed leading-note, graphic and tabular techniques.<sup>1</sup> Both Schenkerian and Riemannian theorists have set the stage from which many analysts of harmony take their cues. Yet Hofmeyr has identified the need for a comprehensive theoretical system of harmony and expanded tonality that can provide access to significant information about the particularities of harmonic ambiguity. Late-Romantic music is saturated with constantly ambiguous harmonies that can create tonal instability. Older analytical systems such as Schenkerian analysis struggle to describe the ambiguous harmonic relationships in an expanded tonality or modality, and might only be able to assign broad terms to musical events that may have significant meaning and information about the composer's harmonic usage. For example, Schenkerian analysts assign labels such as "auxiliary modulation" and "illusory keys of the foreground" to certain musical activities where tonic chords or cadences do not occur and where keys might not be strongly established.<sup>2</sup>

Hofmeyr's system aims to go further than previous traditional harmonic analysis. In music of the late nineteenth century, however, harmonic progressions can be highly complex and can hold significant expressive meaning. Hofmeyr's theory attempts to explicitly discern *types* of

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<sup>1</sup> Ian D. Bent and Anthony Pople, "Analysis," in *Grove Music Online* (Oxford Music Online), accessed June 20, 2014, <http://www.oxfordmusiconline.com/subscriber/article/grove/music/41862>.

<sup>2</sup> Carl Schachter, *Unfoldings: Essays in Schenkerian Analysis*, ed. Joseph Nathan Strauss (New York: Oxford University Press, 1998), 151.

harmonic progressions and to account for the way that chords relate directly to each other in terms of their resolutions.

Hofmeyr shares with neo-Riemannian theorists the concept of investigation of specificity of chordal resolutions, and an interest in the voice-leading particularities of frequently modulating chord progressions abundant in late-Romantic music. Both theories address the specificity of relationships between any two chords in highly vacillating contexts. However, the respective methods adopted, and outcomes attained, are vastly different.

The neo-Riemannian theory has become popular in formalist circles, and is currently a strong force in the realm of harmonic analysis. This theory is one of the new formalist endeavours that have thrived since 1990.<sup>3</sup> Neo-Riemannian analysts describe relationships between successive harmonies in terms of the way in which the intervals of a chord are “transformed” to create the next chord. These transformational relationships are primarily identified as parallel, relative or leading-note transformations. Laura Felicity Mason describes how David Lewin’s interpretation of this transformational theory views triadic relationships between chords without drawing on the context of a key, a scale or a tonic centre. This is fundamentally different from traditional Schenkerian or Riemannian analysis whereby triads are described with reference to a key.<sup>4</sup> Therefore, phrase structure and cadences are not considered and there is no regard for a principal tonic. Instead, instances of harmonic voice-leading are viewed as “elements of finite mathematical groups.”<sup>5</sup> This gives rise to further application of the neo-Riemannian theory to atonal chordal constructs, whereby the absence of a key or diatonic system allows the theory to reveal the non-diatonic aspects of triads.<sup>6</sup> The neo-Riemannian theory, being formalist in nature, values and is driven by the search for a complete systemised order to be found in harmonically complex music. Consequently, progressions that sound interesting and ambiguous to a listener

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<sup>3</sup> Kofi Agawu, “How We Got Out of Analysis, and How to Get Back In Again,” *Music Analysis* 23, no. 2-3 (2004): 268, accessed February 21, 2014, <http://www.jstor.org/stable/3700446>.

<sup>4</sup> Laura Felicity Mason, “Essential Neo-Riemannian Theory for Today’s Musician” (master’s thesis, University of Tennessee, 2013), accessed March 5, 2014, [http://trace.tennessee.edu/utk\\_gradthes/1646](http://trace.tennessee.edu/utk_gradthes/1646).

<sup>5</sup> Edward Gollin, “Neo-Riemannian Theory,” *Zeitschrift der Gesellschaft für Musiktheorie* 2, no. 2-3 (2005): 153, accessed June 20, 2015. <http://storage.gmth.de/zgmth/pdf/520>.

<sup>6</sup> Mason 2013, 14-15.

appear, on paper, to be a commonplace occurrence.<sup>7</sup> Neo-Riemannian theory is not concerned with tonality as much as it is with the transformation from one chord to the next, and does not give any consideration to the fact that late-Romantic music uses triads for expressive means.<sup>8</sup>

The primary difference between Hofmeyr's approach and that of neo-Riemannian theorists is that Hofmeyr seems to consider the affect of harmonic change on the listener (applying labels such as "deceptive" or "apparent"<sup>9</sup> to certain chords) and it is therefore a more directly accessible approach to interpreting the music when compared to the mathematical deductions of the neo-Riemannian theory. Hofmeyr's approach shows interest in the *sound* of the music being analysed, defining chords as those which "sound like"<sup>10</sup> certain harmonies but which are spelled, or resolve, differently to what their sound may imply. Hofmeyr's approach is concerned with explaining the specific ways in which harmony can be used to fascinate and elude the listener.<sup>11</sup> His theory considers the backdrop of a key or tonality to be vital to fully realising the music's intention, explaining harmonic relationships in terms of their particular type of ambiguity in words rather than in mathematical groups.

What follows is a description of Hofmeyr's theories of harmony and expanded tonality and the system of analysis that he employs accordingly. The intention here is to shed light on a certain area of his approach to music: one that, although finding its roots in traditional practices, is not concerned as much with coherence as it is with expression and symbolism; one that uses structure to support the communication of the underlying musical intentions immersed in the harmonic content.

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<sup>7</sup> Steven Rings, "Riemannian Analytical Values, Paleo- and Neo," in *The Oxford Handbook of Neo-Riemannian Music Theories*, ed. Edward Gollin and Alexander Rehding (New York: Oxford University Press, 2011), 499-500.

<sup>8</sup> Richard Cohn, "Maximally Smooth Cycles, Hexatonic Systems, and the Analysis of Late-Romantic Triadic Progressions," *Music Analysis* 15, no. 1 (1996): 12, accessed April 2, 2014, <http://www.jstor.org/stable/854168>.

<sup>9</sup> Hendrik Hofmeyr, "Sex, Lies and Specious Chords" (presentation, Congress of the Musicological Society of Southern Africa, University of Cape Town, South Africa, 2005), [paper available at WH Bell Music Library, University of Cape Town, barcode C1900812602].

<sup>10</sup> Hofmeyr 2005, 3-9. See 3.3.3, "Categories of ambiguity"

<sup>11</sup> Hofmeyr 2005, 2.

### 3.2 Development of a methodology

Hofmeyr has grappled with expanded tonality for years as in, for example, his Master's dissertation on Fauré's harmony and in his own compositions.<sup>12</sup> Returning to South Africa from Italy in 1992, he took up a lecturing position at the University of Stellenbosch. While planning undergraduate curricula for theory courses, he struggled to find an existing concise method for teaching the harmonic analytical aspect of late-Romantic music to his students despite his familiarity with the medium.<sup>13</sup> Besides Arthur Wegelin's reference to the idea of classifying certain chords in *Praktiese Harmonieleer van die Chromatiek*, Hofmeyr found the subject of harmonic usage in late-Romantic music to be "woefully under-investigated".<sup>14</sup>

Music composed in the nineteenth century gave rise to chromatic harmonic progressions notorious for their ambiguity. Changes in industrial, political and social environments resulted in certain effects on music written at the time. Often these changes were articulated in the form of "bold modulations, innovative chord progressions, dissonance and resolutions and, in general, much less preparation for abrupt changes".<sup>15</sup>

Hofmeyr examined music of the late-Romantic era, studying the details of the harmonic compounds that deceive the ear into expecting certain resolutions. What he found was that harmonies are often built of notes that are not part of the key of the passage. "Some of them really were chords, while some were combinations of chord notes and non-chord notes."<sup>16</sup> These types of compounds have many different ways in which they can potentially function.

The roots of Hofmeyr's harmonic theory can be traced back to the traditional usage of 6/4 chords (the cadential, passing and auxiliary 6/4s) in tonal music. These chords result from vertical compounds which sound like chords, but can be regarded (and are traditionally treated, if not figured) as combinations of chord notes and non-chord notes. He calls these

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<sup>12</sup> Hendrik Hofmeyr, interview by the author at the South African College of Music, University of Cape Town, June 9, 2015.

<sup>13</sup> Hofmeyr, interview by the author, June 2015.

<sup>14</sup> Hofmeyr 2005, 2.

<sup>15</sup> Flor Aceff-Sánchez, Octavio A. Agustín-Aquino, Janine du Plessis, Emilio Lluís-Puebla and Mariana Montiel, *An Introduction to Group Theory with Applications in Mathematical Music Theory* (2009), PDF e-book, accessed May, 2015, <http://bookboon.com/en/an-introduction-to-group-theory-ebook#download>.

<sup>16</sup> Hofmeyr, interview by the author, June 2015.

“apparent” chords.<sup>17</sup>

Examining harmonically rich music of composers such as Fauré and Wagner, Hofmeyr added to the idea of the “apparent” chord to arrive at a complete categorisation of ambiguous harmonic usage. These ideas formed the foundation of a full methodological investigation into the specificity of harmonic structures.

Using harmony to create ambiguous musical gestures, composers often exploit the diatonic interpretation of a progression, and then exploit the possible chromatic interpretations of the same progression, or vice versa.<sup>18</sup> This allows room for a vast variety of musical experiences, with endless varieties of harmonic resolutions available to the composer to use and exploit as he or she wishes. This can serve as an infinitely malleable expressive medium.

### **3.3 Hofmeyr’s analytical system**

Hofmeyr’s theory of harmony and expanded tonality calls for the investigation of the specificity of complex and ambiguous harmonic structures. It may provide a welcome encounter for Bent and Pople, who claim that “in the case of harmonic analysis, the range of meanings is such that no contemporary synoptic description of it as a ‘method’ can properly be offered: only its history retains a degree of integrity.”<sup>19</sup>

Even though the theory plays a remarkably enlightening role in the analysis of music of the late nineteenth century, the scope of this method can and does extend to music written outside the nineteenth century. It encompasses music that is written in an “expanded tonality”,<sup>20</sup> which includes tonality, standard modality, artificial modes and atonal modes.<sup>21</sup>

The analytical application of this theory proceeds on the score, within a tonal system that is determined by the analyst. The resolution of any particular chord or compound is the main factor in determining its nature and its type of ambivalence. Therefore, harmonic

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<sup>17</sup> Hofmeyr 2005, 3.

<sup>18</sup> Hofmeyr, interview by the author, June 2015.

<sup>19</sup> Bent and Pople 2014.

<sup>20</sup> Hofmeyr, interview by the author, June 2015.

<sup>21</sup> Conroy Alan Cupido, “Significant Influences in the Composition of Hendrik Hofmeyr’s Song Cycle, *Alleenstryd*” (PhD diss., University of North Texas, 2009), 11, accessed May, 2015,

[http://digital.library.unt.edu/ark:/67531/metadc12110/m2/1/high\\_res\\_d/dissertation.pdf](http://digital.library.unt.edu/ark:/67531/metadc12110/m2/1/high_res_d/dissertation.pdf).

ambiguities are addressed in the context of a key or a mode, and in context of the succeeding resolution. With reference to Horton's six categories of theoretical practice covered in Chapter 2, the theory to be explored here can be categorised as a theory of the “musical system”.<sup>22</sup>

In a lecture given at the congress of the Musicological Society of Southern Africa in 2005, Hofmeyr delivered a paper on his theory of harmony and expanded tonality. In this paper, which focuses on Wagner's *Tristan und Isolde*, Hofmeyr notes that harmonic ambiguity “is the source and *raison d'être* of all the seemingly bewildering chromaticism of the score. While the latter has been the subject of much investigation, the former has been sadly neglected, partly through a lack of vocabulary to classify its manifestations.”<sup>23</sup>

The following sections aim to outline the vocabulary and workings of this theoretical system, drawing on both Hofmeyr's paper presented at the congress and his descriptive notes from his curriculum for the “Music Theory and Analysis III” classes at the University of Cape Town. Both documents are attached as appendices at the end of this dissertation.

### 3.3.1 Terminology

Hofmeyr uses the words “diatonic”, “chromatic”, “tonal” and “altered” when referring to certain notes within a chord or compound.<sup>24</sup> Music that is “diatonic”, whether a single note, an interval, a chord or compound, or a whole section of music, is made up only of notes that are found within any particular unaltered key signature. A diatonic scale may be described as any 7-note scale, within an octave, using only the white notes on the piano or a transposition of them. Therefore, the major scale and all the “church” modes are diatonic.<sup>25</sup>

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<sup>22</sup> Julian Horton, “In Defence of Musical Analysis” (Inaugural Lecture of Julian Horton, Hatfield College, Durham University, United Kingdom, February 26, 2014), accessed February, 2014, <https://www.youtube.com/watch?v=BP7Gw3mfe-U>.

<sup>23</sup> Hofmeyr 2005, 18.

<sup>24</sup> Hendrik Hofmeyr, “Late-Romantic Harmony,” in *Music Theory and Analysis III* (paper presented as part of the Music Theory and Analysis III undergraduate curriculum, South African College of Music, University of Cape Town, South Africa, 2015), 1.

<sup>25</sup> Hofmeyr 2015, 1; Jonathan Dunsby, “Diatonic,” in *The Oxford Companion to Music*, ed. Alison Latham (Oxford Music Online), accessed June 1, 2015, <http://www.oxfordmusiconline.com.ezproxy.uct.ac.za/subscriber/article/opr/t114/e1934>.

Musical elements that are said to be “chromatic” fall *outside* the diatonic realm. For example, although the harmonic minor scale is an all too familiar key or “tonality” to the Western classical musician, the 7<sup>th</sup> scale degree that is raised by one semitone represents an alteration to the “diatonic” scale, and creates the possibility of introducing “chromatic” elements into the diatonic system.<sup>26</sup> All augmented and diminished intervals are chromatic, except for the interval of 6 semitones (also known as the half octave), which is present in the diatonic system and can be identified as an augmented 4<sup>th</sup> or diminished 5<sup>th</sup>.<sup>27</sup>

“Tonal” elements are those found within a tonal system, or key, in which much of traditional Western classical music is written. These tonalities include the major scale, the harmonic minor scale, the ascending and descending melodic minor scale, the major-minor scale and the minor-major scale (which is also the ascending melodic minor scale).<sup>28</sup>

An “altered” note or chord is one that is foreign to any chosen tonality or key, whether the chosen system is diatonic or not. Therefore the aforementioned raised 7th degree is regarded as altered in relation to the diatonic scale, but as unaltered in the harmonic minor, while also having a chromatic, non-diatonic status.<sup>29</sup> Hofmeyr demonstrates the full range of unaltered quartads available within tonal systems. They can be built on the seven degrees of the harmonic minor scale as follows:

Musical example 1: Unaltered quartads<sup>30</sup>

The image shows a musical staff with a treble clef and a key signature of one flat (B-flat). Seven chords are written as quartads (groups of four notes) on the staff. Below each quartad is a label: I<sup>7</sup>: minor-major, II<sup>7</sup>: half-diminished, III<sup>7</sup>: augmented, IV<sup>7</sup>: minor, V<sup>7</sup>: major-minor, VI<sup>7</sup>: major, and VII<sup>7</sup>: diminished.

In music from the eighteenth and nineteenth centuries, some altered chords make regular appearances, and have accordingly been given specific names. Examples are the Neapolitan 6<sup>th</sup>, French 6<sup>th</sup> and German 6<sup>th</sup> chords.

<sup>26</sup> Hofmeyr 2005, 3.

<sup>27</sup> Hofmeyr 2015, 2.

<sup>28</sup> Hofmeyr 2015, 2. The major-minor scale is a harmonic minor scale with a raised third degree; the minor-major scale is a major scale with a lowered third degree. These are English terms translated from the German “Durmoll” and “Molldur”.

<sup>29</sup> Hofmeyr 2005, 3.

<sup>30</sup> Hofmeyr 2015, 1.

Hofmeyr provides examples of defining certain scales and chords using terms described above.

- Major key and descending melodic minor scale: Tonal and diatonic.
- Harmonic minor, major-minor, minor-major keys: Tonal but not diatonic as they all contain chromatic elements.
- Dorian, Phrygian, Lydian, Mixolydian and Locrian modes: Diatonic but not tonal.
- Aeolian mode: Diatonic but not tonal, except when used as the descending melodic minor.
- The German 6<sup>th</sup> is altered and chromatic. In reference to the key of C minor, the German 6<sup>th</sup> contains an altered F, raised to F $\sharp$ . The chord is chromatic because it contains chromatic intervals.
- The diminished quartad on VII in the harmonic minor is chromatic, but not altered. It is chromatic because it contains a diminished 7<sup>th</sup>. However, it is not an altered chord because all of its components fall within the tonality of the harmonic minor scale.<sup>31</sup>

In order to name degrees of a scale, and chords that are built on those degrees, Hofmeyr uses terminology from traditional harmonic practices. In ascending order from the first note of a 7-note scale, the following terms are used, in order from 1 to 7: Tonic; Supertonic; Mediant; Subdominant; Dominant; Submediant, and Leading note.<sup>32</sup>

Hofmeyr explains that “perfect” triads are those that “lie within a perfect 5<sup>th</sup>”.<sup>33</sup> Therefore, “imperfect” triads include the augmented, diminished, doubly diminished (diminished 3<sup>rd</sup> and a diminished 5<sup>th</sup>), and hard-diminished (major 3<sup>rd</sup> and diminished 5<sup>th</sup>) chords.<sup>34</sup>

Hofmeyr uses the terms “quartad” and “seventh” very specifically to indicate a chord of 4 notes, built up in 3rds, and an interval, respectively. Hofmeyr cautions his students not to use the term “major seventh” when referring to a major chord that contains an added note which creates an interval of a major seventh with the root. The correct term for such a

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<sup>31</sup> Hofmeyr 2015, 2.

<sup>32</sup> Hofmeyr 2015, 1.

<sup>33</sup> Hofmeyr 2015, 1.

<sup>34</sup> Hofmeyr 2015, 1.

chord is a “major quartad”. Using Hofmeyr’s terminology, the commonly used chord called the “dominant seventh” is properly defined as a “major-minor quartad”, since not all dominant sevenths are major-minor quartads, and not all major-minor quartads are dominant sevenths. This enables a distinction between the *form* and *function* of harmonic compounds.<sup>35</sup>

### 3.3.2 Figuring

There are some basic figurings and rules that are of importance to Hofmeyr’s method. Most of the tools employed are closely related to traditional harmonic analysis. It is necessary to map out all of these details so as to keep true to the underlying intent of the theory: using analytical methods to gain a greater appreciation of the specificity of the harmonies under examination.

#### 3.3.2.1 Keys

An uppercase letter is used to indicate a major key, and a lowercase letter indicates a minor key. A colon mark always follows the letter of the key, before the figuring of any harmony is stated. The uppercase letter should be placed underneath the staff, preferably vertically in line with the key signature, or vertically in line with the modulatory chord when a modulation takes place. Where a modulation occurs, the new key is stated by its letter name and colon on the same line as the previous key’s figuring. In the case of a pivot-chord modulation, the figuration of the pivot-chord in the new key is figured just underneath its figuration in the old key. The new key’s letter name is placed just before its figuration of the pivot-chord.<sup>36</sup>

#### 3.3.2.2 Chord functions

Simplified Roman numerals are used to indicate chord function, regardless of the chord’s quality as a major, minor, diminished or augmented chord. For instance, “I” should be used rather than “I” or “i”.<sup>37</sup> The result is that any chord’s function is considered independently from its quality as defined by its intervallic structure, which in late-Romantic harmony is frequently altered. Alteration is indicated separately (see below).

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<sup>35</sup> Hofmeyr 2015, 1.

<sup>36</sup> Hofmeyr 2015, 3.

<sup>37</sup> Hofmeyr 2015, 3.

The effect of a tonality or modality on the quality of a chord built on any degree of the scale can be observed in the examples in Table 1.<sup>38</sup>

Table 1: Examples of the affect of different tonalities on chordal qualities

		Tonality or modality employed						
		Major	Minor	Major-minor	Minor-major (or ascending melodic minor)	Aeolian (or descending melodic minor)	Phrygian	Dorian
Quality of chordal functions	I	Major	Minor	Major	Minor	Minor	Minor	Minor
	II	Minor	Diminished	Diminished	Minor	Diminished	Major	Minor
	III	Minor	Major	Minor	Augmented	Major	Major	Major
	IV	Major	Minor	Minor	Major	Minor	Minor	Major
	V	Major	Minor	Major	Major	Minor	Diminished	Minor
	VI	Minor	Major	Augmented	Diminished	Major	Major	Diminished
	VII	Diminished	Diminished	Diminished	Diminished	Major	Minor	Major

### 3.3.2.3 Inversions

Uppercase letters are used to symbolise inversions of chords. “B” symbolises the first inversion; “C” the second inversion; “D” the third inversion, and so on. Where no letter is present, root position is implied. The letter of inversion is placed underneath the Roman numeral.<sup>39</sup>

<sup>38</sup> This table is not part of the congress paper or curriculum notes, but has been compiled by the author.

<sup>39</sup> Hofmeyr 2015, 3.

### 3.3.2.4 Altered notes

All altered notes must be indicated in the analysis.<sup>40</sup> As mentioned previously, an altered note is one that deviates from the key, not the key signature or tonality. Hence in the key of C harmonic minor, where V is a major chord, no alterations are present. Even though the chord incorporates B natural, which deviates from the B  $\flat$  in the key signature, the B natural does not deviate from the harmonic minor tonality. Where alterations do occur, they are symbolised using “ $\flat$ ” for a lowered degree and “ $\sharp$ ” for a raised degree. They are written on the right-hand side of the Roman numeral and followed by the number of the degree (measured from the root of the chord) of the altered note.<sup>41</sup> In the case of a chord that contains a root which is altered, the alteration is also indicated on the right-hand side of the Roman numeral just like any other alteration, as “ $\sharp 1$ ” or “ $\flat 1$ ”.

Musical example 2: Notation of chord inversions and altered notes in a German 6th progression<sup>42</sup>



C: VII <sup>$\flat 7$</sup>  <sup>$\sharp 3$</sup>       V      I  
B  
of V

In example 2 the first chord is a quartad with F sharp as its root. The F sharp is diatonic in the dominant key (G major). Therefore the root of the chord is not altered, and is figured according to the key from which it is borrowed.

<sup>40</sup> Hofmeyr 2015, 3.

<sup>41</sup> Hofmeyr 2015, 3.

<sup>42</sup> This example has been created by the author.

Hofmeyr uses the term “borrowed” function for what are often called “secondary” functions, as he prefers to use the term “secondary” as complementary to “primary” in the description of chords of the key. This means that what is often called a “secondary dominant” becomes a “borrowed dominant”. Borrowed functions should be figured as such, rather than merely as altered chords in the home key. Thus “V of V” is preferable to “II #3”.<sup>43</sup>

Hofmeyr maintains the following “Golden Rule” for determining the correct spelling and figuration of altered chords:

“The altered note must lie a diatonic step away from the nearest note in the perfect triad of resolution (or in the perfect triad from which the chord of resolution is derived). When the triad of resolution is imperfect, altered, or replaced by a borrowed chord, first reduce it to the expected perfect triad in the home key before applying the Golden Rule.”<sup>44</sup>

However, this rule does not apply to instances where a Neapolitan 6<sup>th</sup> resolves to V:

Musical example 3: Resolution of Neapolitan 6<sup>th</sup> chord<sup>45</sup>

C:  $\flat$  II      V<sup>7</sup>      I  
B

In this case, the altered note (D  $\flat$ ) lies closest to the D in the triad of resolution, and would have to be respelled as C $\sharp$ , but traditionally it moves instead by an augmented second to B,

<sup>43</sup> See “Altered chords proper to foreign keys” in 3.3.3 *Categories of ambiguity*.

<sup>44</sup> Hofmeyr, 2015, 6.

<sup>45</sup> This example has been created by the author.

before resolving with a step in the opposite direction. This is virtually the only case where Hofmeyr's rule does not apply.<sup>46</sup>

### 3.3.2.5 *Added and omitted notes*

In the realm of late-Romantic harmony, and even more so with expanded tonality, notes can often be added to or omitted from triads. These affect the sound of a chord, possibly for the sake of a specific colouration of the chord, or as a symbolic or expressive device.

Hofmeyr addresses the figuration of these occurrences as follows:

- One of the most common added notes in late-Romantic harmony is the added 6<sup>th</sup>. Being an "added" note, it does not replace any chord notes, and should be figured as +6 after the Roman numeral.
- Triads, quartads and quintads that comprise all the chord notes are figured regularly because they don't contain any omissions. For example, the dominant triad, quartad, and quintad will be figured as V, V<sup>7</sup>, and V<sup>9</sup> respectively.
- When dealing with sextads or septads, the 7<sup>th</sup> is assumed to be in the chord. The 9<sup>th</sup>, however, is not assumed and if it is present in the chord, it should be indicated in the figuring.
- When notes are omitted, they should be indicated with a minus sign (-) followed by the number of the degree that has been omitted.
- The 3<sup>rd</sup> degree in the sextad built on V (the so-called V<sup>11</sup>) is typically omitted, and does not require figuring. This is because the addition of the sixth chord note, which is the 11<sup>th</sup> degree from the root, replaces the third in the chord.
- The 5<sup>th</sup> degree in the septad built on V (the so-called V<sup>13</sup>) is typically omitted and does not require figuration. This is because the addition of the seventh chord note, which is the 13<sup>th</sup> degree from the root, replaces the fifth in the chord.<sup>47</sup>

### 3.3.2.6 *Non-chord notes*

Accented non-chord notes are indicated by writing the number of their degree within the chord on the right-hand side of a chord's Roman numeral. Alteration is again indicated by a

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<sup>46</sup> Hofmeyr 2015, 6.

<sup>47</sup> Hofmeyr 2015, 3.

“b” for a lowered note and a “#” for a raised note.<sup>48</sup>

The resolutions of accented non-chord notes must also be indicated in the figuring. Hyphens are used to indicate movement between non-chord notes and their notes of resolution. Where the root note is the resolution, it is always figured as “2-1” when approached from above, and as “7-8” when approached from below. The seventh of a chord is usually approached from below: “6-7”. However, where a seventh is approached from above, the 7<sup>th</sup> is indicated in brackets: “(7)”, as it can usually be regarded either as a part of the chord, or as an unaccented non-chord note. The figuring “8-7” would create the erroneous impression that the tonic note, an octave higher, is a non-chord note.<sup>49</sup>

One can most easily determine which notes belong to a chord and which are non-chord notes by determining the root position of the chord. In triadic harmony the root position can be ascertained by building the chord in thirds. If a note that is present cannot function as a chord note, that is, the root, third; fifth or seventh, or as a triadic extension (ninth, eleventh, thirteenth)<sup>50</sup> of that chord, then it is a non-chord note.

Musical example 4: Notation of altered and non-chord notes in a German 6th progression<sup>51</sup>

C: VII<sup>b7</sup><sup>b3</sup>      V      |<sup>4</sup> - 3  
B  
of V

<sup>48</sup> Hofmeyr 2015, 4.

<sup>49</sup> Hofmeyr 2015, 4.

<sup>50</sup> See 3.3.2.5.

<sup>51</sup> This example has been created by the author.

In the second bar, C major is clearly stated, which exposes the F as an accented non-chord note. The F resolves to E, the third in the triad of C major, later in the bar. In some cases, what seems like a non-chord note could actually function as an added tone, for the sake of coloration. This is popular in jazz, which often employs an added 6<sup>th</sup>, 4<sup>th</sup> or 2<sup>nd</sup> degree. Ultimately, the resolution or non-resolution of what appears to be a non-chord note is what affects the role of that note.

Sometimes a progression can be figured in more than one way. This would be a result of a chord facilitating more than one “correct” spelling. In this case Hofmeyr advises the analyst to either indicate all of the possibilities, or only the strongest progression. The strongest root movement determines the strongest progression. Hofmeyr maintains that the listener favours a stronger progression.<sup>52</sup> Table 2 demonstrates levels of strength in root movement from strongest to weakest.

Table 2: Levels of strong and weak root movement:<sup>53</sup>

<b>STRONG:</b>	<b>4 ↑</b>	<b>3 ↓</b>	<b>2 ↑</b>
<b>WEAK:</b>	<b>4 ↓</b>	<b>3 ↑</b>	<b>2 ↓</b>

Strong progressions resolve easily onto any beat of the bar, while weak progressions are usually found to resolve onto weak beats. There are exceptions to certain root movements in terms of their hierarchy. For example, movement down a 4<sup>th</sup> is strong when the tonic is involved, as in I-V and IV-I. In fact, all movement involving I is regarded as strong.<sup>54</sup>

The analyst is called to study resolutions of all chords, and especially the resolutions of any non-chord notes, in order to determine the role of each note in the chord and the correct spelling of a chord. By ensuring the correct spelling, the analyst is able to establish the identity and function of the chord, apply numeral figuring to it and categorise its ambiguous nature.

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<sup>52</sup> Hofmeyr 2015, 4.

<sup>53</sup> Hofmeyr 2015, 4.

<sup>54</sup> Hofmeyr 2015, 4.



the B and D resolve downwards to A $\sharp$  and C $\sharp$  respectively, which creates a dominant triad on F $\sharp$  in root position. With this resolution in mind, and considering the approach to the dominant note in the bass from the tonic chord in bar 1, this second bar is most accurately figured as V with the non-chord note B resolving to A $\sharp$  (4-3) and the non-chord note D resolving to C $\sharp$  (6-5). Hofmeyr explains: "The traditional figuration of the chord as Ic or I 6/4 causes confusion, as it erroneously implies harmonic syncopation, something which Bach ... would have been careful to avoid."<sup>58</sup>

## 2. Borrowed chords (Altered chords proper to foreign keys)

Borrowed chords momentarily imply the possibility of a modulation which is negated by the subsequent resolution in the home key. These include borrowed dominants, Neapolitan chords, etc. The harmonic ambivalence of this type of ambiguous chord can be enhanced through the use of non-chord notes that are proper to the foreign key implied by the altered chord.<sup>59</sup>

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<sup>58</sup> Hofmeyr 2005, 4.

<sup>59</sup> Hofmeyr 2005, 4.

Musical example 6: An altered chord proper to a foreign key, with added notes to enhance its foreign appearance <sup>60</sup>

Liszt, Sonata in B minor, bars 415-418

6(a): Original notation in Liszt's score

1

F #: V<sup>2</sup> - 1

(IV in G major?)

F #: V<sup>2</sup> -

What seems like an arbitrary chord borrowed from G major, the C major chord in bar 4 does not function as a C major chord. Note the use of non-chord notes from the key of G major to enhance the G major façade.

6(b): Functional notation according to Hofmeyr

F #: V<sup>2</sup> - 1

#5

VII #3

B  
of V

F #: V<sup>2</sup> - 1

7  
-5  
-3

Rather than functioning in the same way that it is written, the C major chord functions as a borrowed chord (VII of V) with alterations (#3 and #5), in the home key of F# major. The chord should be respelled as a B# major chord, and figured as such.

<sup>60</sup> Hofmeyr 2005, 5.

Liszt has notated the altered notes in the most practical way for the sake of comfortable reading for the performer. Hofmeyr’s analysis of the excursion into the foreign key reveals the correct spelling of the notes for the sake of understanding functional relationships and voice-leading between the altered chord and its resolution.

### 3. Enharmonically invertible chords

Hofmeyr describes these chords as “chords of which versions built on different notes yield the same pitch class sets. This quality is a function of the modular structure of the chords”.<sup>61</sup> There are only three cases of these chords that exist: the diminished quartad, augmented triad, and the hard-diminished quartad, although the *Petrushka* chord belongs to the same category.

Musical example 7(a): Diminished quartad (with intervallic modules of 3 semitones)<sup>62</sup>

The diminished quartad is a helpful tool for modulations to keys 3 or 6 semitones away from the home key. In the above example the chord in the first bar can be used to modulate directly to F minor, D minor and B minor.

Musical example 7(b): Augmented triad (with intervallic modules of 4 semitones)<sup>63</sup>

Augmented triads can serve a modulatory function between keys that lie 4 semitones apart.

<sup>61</sup> Hofmeyr 2005, 5.

<sup>62</sup> Hofmeyr 2005, 6.

<sup>63</sup> Hofmeyr 2005, 6.



The following three types of ambiguous compounds are chromatic in structure, but sound diatonic.

#### 4. Deceptive chords

A deceptive chord is a chromatic chord which sounds like a borrowed diatonic chord. As with borrowed chords, the harmonic ambivalence of a deceptive chord can be enhanced through the use of non-chord notes proper to the foreign key.<sup>66</sup>

Musical example 8: (a) German 6th, (b) Doubly-augmented 4th, (c) Diatonic equivalent<sup>67</sup>

The image shows three musical examples on a single staff in treble clef. Example (a) is a German 6th chord in C major, consisting of notes B, C, D, E, F, G. Example (b) is a doubly-augmented 4th chord in C major, consisting of notes C, D, E, F, G, A. Example (c) is a diatonic equivalent in D minor, consisting of notes D, E, F, G, A, B. Below each chord is its theoretical label: (a) C: VII<sup>b3</sup> of V, (b) C: #II<sup>#3</sup>, and (c) D<sup>b</sup>: V<sup>7</sup>.

In the above examples each chord sounds like a dominant quartad in the key of D<sup>b</sup>. However, depending on its resolution, this chord can be respelled as a chromatic construct in other keys. Example (a) demonstrates how the chord can be spelled as VII of V (with alterations <sup>b</sup>3 and <sup>b</sup>7) in first inversion, in C major. This is commonly known as the German 6<sup>th</sup> chord. The same dominant quartad can also function as a doubly augmented 4<sup>th</sup> chord in C major. In this case it functions as a #II (with alterations #3 and <sup>b</sup>5 and an added seventh), in second inversion. Although the German 6<sup>th</sup> chord and the doubly augmented chord sound the same, the former resolves smoothly to a dominant chord on G, which can then resolve to a C major or minor tonic. The doubly augmented 4<sup>th</sup> chord functions in the major key only, where the D# resolves to E natural. This chord commonly resolves to the tonic in first inversion, which can then resolve to the dominant, creating a cadential 6/4 progression.

<sup>66</sup> Hofmeyr 2005, 7.

<sup>67</sup> Hofmeyr 2005, 7.

## 5. Double-degree chords

Double-degree chords are deceptive chords that comprise two different versions or alterations of the same note name.

Musical example 9: Double-degree chord sounding like  $V^9$  in  $A \flat$  but resolving in  $D$ <sup>68</sup>

Gershwin, *A Woman is a Sometimes Thing*, bars 31-32

8(a): Gershwin's spelling

8(b): Functional spelling

$\flat 7$   
 $\# 3$   
 $D: VII^{\flat 3}$        $I$   
 $B^{1*}$

The voice-leading present in the score dictates the correct spelling of the chord. In the score the chord is spelled as a  $V^9$  chord on  $E \flat$  ( $E \flat$ ,  $G$ ,  $B \flat$ ,  $D \flat$ ,  $F$ ). In this progression, the  $E \flat$  resolves downwards by a minor  $2^{nd}$  to a  $D$ . The  $F$  natural resolves up by one semitone, to an  $F \sharp$ . This interval is an augmented unison, which is not a diatonic interval. In the light of Hofmeyr's Golden Rule (the altered note must lie a diatonic step away from the nearest note in the perfect triad of resolution or in the perfect triad from which the chord of resolution is derived),<sup>69</sup> the  $F$  natural should be respelled as  $E \sharp$ , which resolves up a minor  $2^{nd}$  to the  $F \sharp$ . The  $B \flat$  resolves downwards to  $A$ , and the  $G$  to  $F \sharp$ . The  $D \flat$ , however, resolves to  $D$  natural, creating another augmented unison interval. The correct spelling in terms of Hofmeyr's theory would be to respell the  $D \flat$  as a  $C \sharp$ , which resolves upwards by a minor  $2^{nd}$  to  $D$  natural.

The newly spelled notes can be stacked in thirds as follows:  $C \sharp$ ,  $E \flat$ ,  $E \sharp$ ,  $G$ ,  $B \flat$ . Since this chord resolves to a  $D$  major chord, it functions as  $VII$  with alterations. The presence

<sup>68</sup> Hofmeyr 2005, 8.

<sup>69</sup> Hofmeyr, "Late-Romantic Harmony – Definitions," 2013, 1.



as a borrowed chord, V of V in second inversion (with an altered  $\flat 5$  and a non-chord note  $\sharp 6$  resolving to 7), and it resolves to V. It is spelled correctly in the score for its functional resolution. The following example is a simplified reading of the functional resolution of the chord.

10(ab): Functional resolution, extracted from Wagner's notation <sup>73</sup>



As can be seen above, the  $G\sharp$  is an accented non-chord note, a “decoration” of A, which is the seventh degree of the chord.<sup>74</sup> Once the  $G\sharp$  resolves to A, a typical French 6<sup>th</sup> progression takes place. Still, for most of the bar the listener is exposed to a chromatic compound which *sounds* like a half-diminished chord, but which consists of three chord notes and a non-chord note, making it a specious chord.

One should be careful not to mistake the D natural in the second bar as an “incorrect” resolution of the  $D\sharp$  according to the Golden Rule. The D natural is an added 7<sup>th</sup>, a note added to the triad of resolution. Hofmeyr calls this an “irregular melodic resolution”, stating that it is “common for a borrowed leading note to resolve irregularly to the 7<sup>th</sup> in the chord of resolution.”<sup>75</sup>

Hofmeyr demonstrates how later in the score this chord, which sounds like a half-diminished chord, does in fact function as such, resulting in a different, diatonic resolution in the key of E flat minor:

10(ac): Diatonic resolution of the *Tristan* chord, bars 101-103 <sup>76</sup>



e $\flat$ :

II<sup>7</sup>

VII<sup>6-7</sup>  
B

In this case the half-diminished is treated as a diatonic chord, II<sup>7</sup> in E $\flat$  minor, and is respelled accordingly. Wagner maintains the ascending line in the treble clef and resolves the chord to VII<sup>7</sup> in E $\flat$  minor.

Wagner's *Tristan* chord is notorious for its "revolutionary" specious character, yet Schumann had already used the same kind of ambiguity in his works.<sup>77</sup>

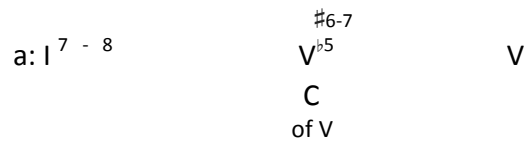
10(b): Schumann, *Lied der Braut*, bars 1-2 (transposed)<sup>78</sup>

A: I                      V<sup>6-7</sup>  
                                    C  
                                    of V

<sup>77</sup> Hofm

<sup>78</sup> Hofm

10(c): Schumann, Cello Concerto (piano reduction), bars 11-12 <sup>79</sup>



In both examples above there is a half-diminished chord that functions speciously, evolving into a French 6<sup>th</sup> and then resolving to V. Example 9(b) has been transposed for sake of making easy comparisons between the three specious progressions in this section.

### 3.4 Conclusions about Hofmeyr's system of harmonic analysis

Hofmeyr's system embraces familiar terminology such as the "Neapolitan sixth" and the "German sixth", and makes use of Roman numerals to figure chords. In this way the theory remains largely grounded in traditional harmonic practices. However, Hofmeyr is not afraid to criticise and reinterpret traditional notation and interpretation of functions. The modification of the conventional notation of the cadential 6/4 progressions is an example of this. The notation of the specificity of voice-leading and the examination of the type of ambiguity deliver new potential for traditional analysis. This approach reflects an attitude of inclusivity: embracing the traditional, comfortable and recognised practices, while conversely working innovatively towards both the advancement of the discipline and furthering our understanding of the music.

The system is limited in that it cannot be applied to atonal music. While it was designed to explain the complexities of late-Romantic music and expanded tonality, it can be applied to any functionally conceived tonal music. What makes this system unique is its ability to be applied across tonalities and modalities, without altering its fundamental rules.

The most significant aspects of the system of harmonic analysis that Hofmeyr has developed have been described in this chapter. This knowledge can be used to examine more closely Hofmeyr's approach to music written in the language of expanded tonality. Investigating his analytical approach may help gain an enhanced understanding of his musical aesthetic in

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<sup>79</sup> Hofmeyr 2005, 10.

general. Hofmeyr's theory of expanded tonality can be associated with the emergence of scholarly work that remains largely independent of the dry structuralist approach of neo-Riemannism and of the sociological preoccupations of the self-appointed "New" musicologists. Hofmeyr's theory can be seen as a fresh, contemporary and more intense version of an older but "no less valid" engagement with the semantics of harmonic functionality.<sup>80</sup>

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<sup>80</sup> Agawu 2014, 267.

## 4 Hofmeyr's compositional approach in context of his harmonic theories

Hendrik Hofmeyr is a contemporary composer and his opinions about what has been put into his music are easily accessible. Nevertheless, it is of great importance for analysts and musicologists to continue searching and researching works of art and methodologies associated with art. Part of the aim of analysis is to find different, perhaps enhanced, ways of accessing information from the object under consideration despite what its creator meant for it to be or in which way the creator meant it to be received. As Julian Horton states, “without theory, we have no specialised language with which to grasp music’s ephemeral, but nonetheless, shared materials. And without analysis, we have no way of demonstrating how those materials become music.”<sup>1</sup>

The intention here is not to use Hofmeyr’s theory of harmony in order to figure out his compositional *process*. Rather, the aim is to gain a better understanding of the composer’s *engagement* with music in general, in other words, a better understanding of what he deems necessary and important in music. Narmour’s point comes into focus again, namely that musicians must “acquire theoretical and analytical competence”, so that they are enabled to approach music with a more holistic awareness of the content.<sup>2</sup> Perhaps Hofmeyr, through explorations into expanded tonality, has developed a compositional approach that encompasses to some degree a similar set of techniques to those that he has identified in his harmonic theory. The converse could also apply, namely that Hofmeyr’s crafting of music has lead him to approach harmonic analysis in this unique way. Hofmeyr the composer writes primarily in the language of expanded tonality.<sup>3</sup> Accordingly, what is worth pursuing at this point is his appreciation of the intricacies of harmony and tonality

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<sup>1</sup> Julian Horton, “In Defence of Musical Analysis” (Inaugural Lecture of Julian Horton, Hatfield College, Durham University, United Kingdom, February 26, 2014), accessed February, 2014, <https://www.youtube.com/watch?v=BP7Gw3mfe-U>.

<sup>2</sup> Eugene Narmour, “On the Relationship of Analytical Theory to Performance and Interpretation,” in *Explorations in Music, the Arts and Ideas: Essays in Honour of Leonard B. Meyer*, ed. Eugene Narmour and Ruth Solie, 340 (Pendragon Press, 1988).

<sup>3</sup> Hendrik Hofmeyr, interview by the author at the South African College of Music, University of Cape Town, March 24, 2015.

that is apparent in his oeuvre. This may provide evidence for identifying a distinctive compositional identity.

#### **4.1 Harmony in *Notturmo***

This chapter will draw attention to some notable instances where Hofmeyr's harmonic usage calls for a closer examination in *Notturmo* for solo piano. A full score is attached at the end of the dissertation as Appendix C.

Pooley states that *Notturmo* is written in the realm of expanded tonality, "but taking it further than Fauré". He notes the infrequent appearance of "conventional" cadences.<sup>4</sup> This work indeed evinces familiarity with Fauré, notably with the 3<sup>rd</sup> Nocturne; both works feature, as second musical idea, a theme in the left hand in the piano's mid range against broken-chord texture in the right hand. The piece is highly colouristic, making use of added chord notes for embellishment. Harmonic changes are ambiguous and often elongated over several beats or bars. Enharmonic spellings of functional notation appear throughout the score. This provides a more readable score for the performer.

The work begins in the key of G# minor. There are reasons other than the key signature that imply this key. Firstly, the first three bars contain a chord built on a G# pedal. At first glance, the presence of the E suggests chord VI. However, the G# pedal extends over 3 bars, which provides considerable stability for the tonic chord. Secondly, the entrance of the melody in bar 3 can be very comfortably played over a full G# minor chord. The combination of the melody and continuous bass note in bars 1-3 strengthens the G# minor impression. Thirdly, the G# pedal lasts for three full bars and then moves down one semitone in the fourth bar. In bar 5 the G# pedal is reinstated. If one looks at these five bars, the bass movement may simply imply three bars of a tonic function, one bar of a dominant function, and then back to the tonic. Fourthly, the harmony that spans the opening bars can be interpreted as a G# minor compound. It does not include the third of a G# minor chord but rather, the third is replaced by the second. Hofmeyr has stated that he

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<sup>4</sup> Thomas Mathew Pooley, "Composition in crisis: case studies in South African art music, 1980-2006" (master's thesis, University of Witwatersrand, 2008), 94, accessed February, 2015, <http://wiredspace.wits.ac.za/bitstream/handle/10539/7164/1.%20Front%20pages.pdf?sequence=1>. (emphasis added).

favours the inclusion of the second as a note for coloration.<sup>5</sup> Still, as Agawu has suggested, the compositional process and the composer's intentions should not distract the analyst, and furthermore, the composer's input is only one lens through which to view the work.<sup>6</sup> Therefore this potential G# minor compound needs further scrutiny.

At the outset the notes G#, A#, D# and E are present. As a chord or compound built on G#, this could be a G# minor chord where the third is replaced by the second degree (A#), or where the third degree is omitted and the A# functions as a 9<sup>th</sup> extension. The omission of the third, whether replaced by the second degree or not, does point towards a sense of uncertainty or mystery, typical of contemplative "night music". As a chord built on G#, the E functions as an added minor 6<sup>th</sup>, creating a minor 2<sup>nd</sup> interval against the 5<sup>th</sup> degree of the chord. This is a distinctive interval in Hofmeyr's work, one that Malcolm Nay associates with "grief" in *Notturmo elegiaco*.<sup>7</sup> Here a similar connotation of nostalgia is suggested, implied by the title of the piece at hand. The combination of the added (minor) 6<sup>th</sup> and 2<sup>nd</sup> chord notes with the omitted notes over the G# bass contribute to the display of the dark charm obtainable within a minor tonality. Malcolm Nay also comments on Hofmeyr's use of "added-note" chords and "lush quartal harmonies" used to add flavour to textures.<sup>8</sup> Perhaps this added 2<sup>nd</sup> degree can be seen as a substitute for the 3<sup>rd</sup> degree.

This G# compound may also be interpreted as a structure built of fifths, which is significant in that it also appears to relate to Hofmeyr's individual stylistic expression. James May's analysis of *Alleenstryd* comes into focus at this point. May discovers Hofmeyr's extensive use of quintal and versions of quartal harmony throughout the song cycle, demonstrating that variations of the quintal compound at the opening of the work "generate most of the

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<sup>5</sup> Hendrik Hofmeyr, interview by the author at the South African College of Music, University of Cape Town, July 28, 2015.

<sup>6</sup> Kofi Agawu, "How We Got Out of Analysis, and How to Get Back In Again," *Music Analysis* 23, no. 2-3 (2004): 272, accessed February 21, 2014, <http://www.jstor.org/stable/3700446>.

<sup>7</sup> Malcolm Nay, "Putting in Down: the Making of a CD with Special Reference to Hendrik Hofmeyr's *Notturmo Elegiaco for Piano Trio*" (master's thesis, University of the Witwatersrand, 2008), 45, accessed March 4, 2015, <http://wiredspace.wits.ac.za/bitstream/handle/10539/7171/MALCOLM%20%20Thesis%20%20Final%20FOR%20PRINT.pdf?sequence=1>.

<sup>8</sup> Nay 2008, 46.

musical material and symbols throughout the cycle". In both *Alleenstryd* and *Usher*, the same compound is used to signify an embellished I in the minor.<sup>9</sup>

In this light, the opening harmony can be interpreted as either a chord with added notes or a quintal structure, as notated in a simplified form below:

Musical example 11: Opening harmonic structures in *Notturmo*

(a) Notated as a tonic with added notes (b) Notated as a quintal construct

$g \#:$                        $\begin{matrix} +6 \\ -3 \\ | +2 \end{matrix}$      $\begin{matrix} 13 \\ 9 \\ | -3 \end{matrix}$

The compound can be further arranged as a triadic construct built on E. This would be constructed from the bass as E, G #, D # as an added major 7<sup>th</sup>, and A # as the augmented 11<sup>th</sup>. The fifth would be omitted in this case. The interval of a major 7<sup>th</sup> that is created in this arrangement is heavily significant in the works of Hendrik Hofmeyr. The composer favours this interval for its sounding beauty, especially within minor sonorities.<sup>10</sup> However, taking into account the G # pedal and the root movement, and the other evidence given above for the G # minor tonality, it is safe to say that this piece begins in G # minor.

With the key now established, the succeeding bars can be investigated. Bars 4-5 demonstrate complex harmonic embellishment around a simple chordal progression. Present here is a blues-type progression in G # minor: the dominant 7<sup>th</sup> chord with an added flattened 10<sup>th</sup> resolves downwards to form a dominant 9 chord, followed by a final resolution to the tonic in bar 5. The root of the dominant chord occurs only in the second half of the bar, when the flattened 10<sup>th</sup> resolves to the 9<sup>th</sup>.

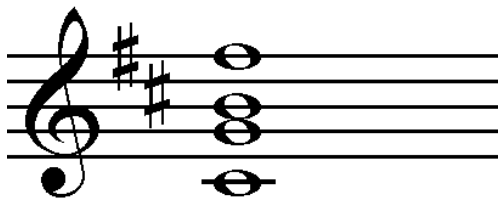
<sup>9</sup> James May, "Pitch organisation in Hendrik Hofmeyr's *Alleenstryd*," *South African Journal of Musicology* 23, (2003): 44.

<sup>10</sup> Hofmeyr, interview by the author, July 2015.

The chord in the first half of bar 4 appears to be, and sounds like, an 11<sup>th</sup> chord on II in B minor or on VII in D major. It is in fact notated in the score with a G natural as the pedal bass. However, the following bar reinstates G<sup>#</sup> minor. This swift return to the home key implies that the apparent 11<sup>th</sup> chord is proper to a foreign key. To investigate the foreign chord further and determine its true ambiguous nature, one should determine the correct spelling for the chord.

If the chord were to function as a chord on C<sup>#</sup>, it would be notated as follows:

Musical example 12: Diatonic spelling of a deceptive chord in the first half of bar 4 of *Notturmo*



D: VII<sup>11</sup> or b: II<sup>11</sup>

This chord contains both F<sup>#</sup> and C<sup>#</sup>, G natural and B natural, implying a half-diminished chord with an added 11<sup>th</sup>, built on II in B minor or on VII in D major. As a result of its deceptive nature, the chord does not function according to how it sounds. The G natural in the score resolves to a G sharp, which is not a diatonic interval but an augmented unison.

In order to notate its true status, the G natural must be enharmonically spelled as F double-sharp:

Musical example 13: Simplified functional notation of bar 4 of *Notturmo*

g #: V<sup>-5</sup> (B) - 9 1 I

In this spelling of the ambiguous chord F double-sharp functions as the leading note, resolving upwards to G#. There is a non-chord note,  $\flat 10$  (F#), that resolves to 9 (E), and an added 13<sup>th</sup> as a triadic extension (B). The 13<sup>th</sup> could also function as an added 6<sup>th</sup>, in the same way as the added 6<sup>th</sup> of the tonic chord in bars 1-3 does. The absence of the D# root in the first half of the bar contributes to the spurious identity of this chord. The chord associates best with Hofmeyr's description of a "deceptive" chord – a chord that sounds (and can be spelled) as though it belongs to a foreign key. However, unlike borrowed chords, it is constructed chromatically. The deceptive chord occurs because of the absence of the root note, D#, which is introduced later. Up until the introduction of the D#, the music deceives the listener and analyst into thinking it is in B minor or D major.

The deceptive chord in bar 4 and its resolution can be seen as an advanced adaptation of the procedure at the start of Liszt's *Il penseroso*, which, in Hofmeyr's analysis of the passage, moves from a C#-minor I to an incomplete V 13<sup>th</sup>, V 13/9/-7/-5/-1 (A-B#-E), sounding initially like a drop to the minor triad on VI. The function of the second chord becomes clear when Liszt adds first an F# and then a G# in the bass, converting it into a full V 13<sup>th</sup>.<sup>11</sup>

Musical example 14: Hofmeyr's analysis of the opening bars of Liszt's *Il penseroso*

13  
 9  
 -7  
 -5  
 c#: I V-1 (6 - 5)  
 (7)  
 (1)

In the case of *Notturmo* the two adjacent chords (see Example 11 and 12) are identical in structure, if regarded as quintal compounds (G#-D#-A#-E and B-F#-C#-G) lying three

<sup>11</sup> Hendrik Hofmeyr, interview by the author at the South African College of Music, University of Cape Town, June 9.

semitones apart. As in the Liszt example, the chord is later “explained” by the addition of the missing notes. In fact, what sounds like the C# half-diminished quartad in *Notturmo* stands in the same relation to the G# tonic chord as the half-diminished on F# suggested by Liszt does to its C# tonic chord.<sup>12</sup> This type of progression is also exploited by Wagner in the *Tarnhelm* motif, where the second chord is also treated first as specious and then as a real chord.<sup>13</sup>

All three of the examples above are in fact instances of what Hofmeyr describes as "double deception": A chord which at first appearance sounds simply borrowed from a remote key, turns out to be a complex specious compound; no sooner has the listener accepted this, than the chord is reused as a *real* borrowed chord.<sup>14</sup> It is no wonder that Hofmeyr is highly critical of the tendency in neo-Riemannian theory to regard complex progressions such as the above examples as "non-functional", since he believes that this misses the point of "the complex interaction of mystification and revelation" made possible by the conscious application of functional principles in expanded harmonic practice.<sup>15</sup>

Simultaneous with the resolution of the non-chord note in the second half of the bar in *Notturmo*, the melody poses the suggestion of a stable resolution just before resting on the D# quaver. The sounding of upper and lower leading notes of D# contribute to this illusion. This anticipation of a resolution occurs partly because the D# is in fact the root of the chord in this bar, and does not appear until the second half of the bar, as shown in the example above. The tension of the dominant chord with the leading note in the bass, coupled with an illusory melodic line, leads us to believe that a cadence point is to arrive at the second half of the bar. Conversely, there is no cadence at this point. In fact, the D# is made to sound like a non-chord note "resolving" to C# in the melody and to E in the bass. A cadence occurs only in bar 5, where the tonic chord of G# minor is stated. This is an example of a simulated cadential point created by an illusory harmonic progression.

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<sup>12</sup> Hofmeyr, interview by the author, June 2015.

<sup>13</sup> Hofmeyr, interview by the author, June 2015.

<sup>14</sup> Hofmeyr, interview by the author, June 2015.

<sup>15</sup> Hendrik Hofmeyr, interview by the author at the South African College of Music, University of Cape Town, March 4, 2015.

This tonic chord in bar 5 is identical to bar 1. An added 6<sup>th</sup> is also present in the tonic chord, which plays a substantial role of creating ambiguity. Owing once again to the E natural, the cadence could arguably be figured as interrupted. Yet the G<sup>#</sup> pedal in the bass combines again with the melodic movement to solidify the appearance of the G<sup>#</sup> tonic chord.

Bars 7-8 in *Notturmo* present an almost identical progression to what came before, but transposed to the key of B minor, so that the spurious B minor of bar 4 is now the "real" tonic key. The same procedure can be observed in the Prelude to *Tristan*, where the specious half-diminished on F of the opening idea is treated as a real chord in approaching the reprise of that idea.

Bar 9 contains a specious chord, decorated with chromatic notes to enhance its "spurious diatonic status".<sup>16</sup> The chord is written as a diatonic half-diminished chord on C, but is in fact a chromatic compound of chord notes and non-chord notes sounding like a diatonic chord. This specious chord implies the key of D<sup>b</sup> major:

Musical example 15: Diatonic resolution of specious chord in bar 9 of *Notturmo*

D<sup>b</sup> :                      II V<sup>7</sup>                      I

<sup>16</sup> Hendrik Hofmeyr, "Sex, Lies and Specious Chords" (presentation, Congress of the Musicological Society of Southern Africa, University of Cape Town, South Africa, 2005), 7, [paper available at WH Bell Music Library, University of Cape Town, barcode C1900812602].

However, it does not function as such. The G ♭ functions as F ♯ resolving to G and the C is not a chord note but rather an accented non-chord note resolving to the 7<sup>th</sup> of the dominant chord in A ♭ minor (or G ♯ minor):

Musical example 16: Simplified functional notation of specious chord in bar 9 of *Notturmo*

$a \flat :$ 

#6	-	7	
V <sup>#2</sup>	-	3	
C			

Through ambiguity of harmonic movement and added notes, which are at times suspended, the music creates an atmosphere of nocturnal incantation and ever-changing shades of colour. This quality enables the imagination to run wild with the idea of the night, given in the title. The use of Hofmeyr’s analytical methodology for harmony has played an essential role in this analysis. It has demonstrated the importance of particularities about certain changes in sound and expression, which the listener can relate to. It does not merely seek to figure out the detailed inner structures of a work, but goes further, using information gained about those inner structures to explain and/or enrich the listener’s experience of music as an expressive language.

## 4.2 Harmonic symbolism

Harmonic expression is one of the most significant compositional tools that Hofmeyr utilises. Nay proposes that the works of Ravel are a “defining model on Hofmeyr’s quest for refinement of a harmonic vocabulary”.<sup>17</sup>

For Hofmeyr, the progressions that catch his attention, whether heard in other music or when experimenting himself, entice him to find out how those harmonies interact with each other. This has led to Hofmeyr building a palette of sorts, consisting of harmonies and progressions with which he relates and which he can use in communicating meaning.<sup>18</sup> Additionally, Nay explains that Hofmeyr’s harmonic usage contributes to enrichment of texture.<sup>19</sup>

The variety of emotional meaning that becomes available through harmonic exploitation can serve a composer greatly. Certain chords could have certain emotions or meanings attached to them. Although every chord can be modified in several ways by means of dynamics, register placement, voicing, inversions and so on, Hofmeyr maintains that “those very fundamental messages are somehow universal”.<sup>20</sup> Expanded tonality supplies a vast resource from which the composer can draw unlimited means of expression.<sup>21</sup> This type of musical discourse is for Hofmeyr “the closest music ever came to being a language”.<sup>22</sup>

Nay explains that Hofmeyr’s use of intervals is a technique used to generate symbolism. For example, he associates the minor 2<sup>nd</sup> in certain harmonic contexts with anguish, and gives examples of other composer’s pieces that have also employed the minor 2<sup>nd</sup> to create similar expression.<sup>23</sup> Using intervals to create certain expression alludes to the importance of harmonic expression in Hofmeyr’s musical engagement. This is also evident in his attention to intervallic detail in his harmonic theories. With regards to quintal harmony in

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<sup>17</sup> Nay 2008, 46.

<sup>18</sup> Hofmeyr, interview by the author, June 2015.

<sup>19</sup> Nay 2008, 45.

<sup>20</sup> Hofmeyr, interview by the author, June 2015.

<sup>21</sup> Hendrik Hofmeyr, interview by Conroy Alan Cupido, in “Significant influences in the Composition of Hendrik Hofmeyr’s Song Cycle, *Alleenstryd*” (PhD diss., University of North Texas, 2009), 51-62, accessed May, 2015, [http://digital.library.unt.edu/ark:/67531/metadc12110/m2/1/high\\_res\\_d/dissertation.pdf](http://digital.library.unt.edu/ark:/67531/metadc12110/m2/1/high_res_d/dissertation.pdf).

<sup>22</sup> Hofmeyr, interview by the author, June 2015.

<sup>23</sup> Nay 2008, 45.

*Alleenstryd*, May points out that Hofmeyr uses one chord to serve the function of the primary symbol around which the whole cycle is based.<sup>24</sup>

Music set to text is one of the most telling ways in which symbolic harmony can be interpreted. Hofmeyr grew up in a home where his mother regularly listened to *lieder*.<sup>25</sup> This would have sparked the attraction to harmonic expression for Hofmeyr, where harmony played a vital role in explicating meaning in the text.<sup>26</sup>

“If you listen to Schubert *lieder*, you start looking at Schubert’s instrumental music in a completely different way. You start seeing the same message there but without the text. Perhaps that is one of the reasons why some of his greatest works are those that borrow from his songs.”<sup>27</sup>

The connection between text and harmony is clear in the works of Schubert and Mahler, and with that knowledge, similar meanings can be found in works of other composers who were not necessarily always explicit about it.<sup>28</sup> Examples are Beethoven and Brahms, whose instrumental works are often seen as models of "absolute" music. Yet both at times included expressive reaction to text (and therefore explicit essays in musical meaning) in their most highly regarded instrumental works, such as Beethoven's "Les Adieux" Sonata and A minor String Quartet Op. 131, and Brahms’s piano sonatas.

### **4.3 Hofmeyr: a mechanistic composer?**

#### *4.3.1 Structure and value*

Goethe's philosophy of man's "formative nature" can help one understand the structured creativity of the composer as well as the structured analytical approach of the analyst.<sup>29</sup> Both Kerman and Hoyt have investigated the act of analysis by comparing it to other disciplines in the arts. Kerman focuses on comparisons of subject matter between

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<sup>24</sup> May 2003, 44.

<sup>25</sup> Hofmeyr, interview by the author, June 2015.

<sup>26</sup> Hofmeyr, interview by the author, June 2015.

<sup>27</sup> Hofmeyr, interview by the author, June 2015.

<sup>28</sup> Hofmeyr, interview by the author, June 2015.

<sup>29</sup> Reed J. Hoyt, "In Defense of Music Analysis," *The Musical Quarterly* 71, no. 1 (1985): 44, accessed February 21, 2014, <http://www.jstor.org/stable/948171>.

disciplines, but this may be an inaccurate way of comparing the arts.<sup>30</sup> Andrew Cecil Bradley, an English literary scholar, separates the subject of a poetic work from both its content and its form.<sup>31</sup> In the same vein as Bradley, Hoyt explains that there is no subject in music unless it involves text or an extra-musical meaning, whereas with fine art, for example, the subject matter is a discernible visual image. "In short, the concept of subject matter in literature corresponds to referential meaning in music, not to anything intrinsic to the musical structure."<sup>32</sup>

Hoyt criticises Kerman, stating that subject matter is not comparable between artistic disciplines at all.<sup>33</sup> A subject in a poem or in a story has a largely distinctive nature and role in comparison to a musical subject which, for example, takes the form of a melodic phrase. Seeking to compare disciplines entails establishing commonalities between them. The subject matter is not something that serves the same purpose across disciplines and therefore cannot be compared. Hoyt provides a solution, insisting that *structure* is an element that occurs equally across all fields of art.<sup>34</sup> Hoyt examines the disciplines of music, fine art and literature to help determine the place of analysis in the arts in general. Hoyt states that "formal articulations and ordering are vital to the creative *and* cognitive processes".<sup>35</sup>

In terms of form and structure as compared to value and beauty in artistic disciplines, Hoyt notes that Kant separates form from value and beauty. Hoyt quotes Kant, who deems structure as "a regular, purposive building by means of one's cognitive faculty", while explaining artistic value and beauty as "being conscious of this representation as connected with the sensation of satisfaction".<sup>36</sup> Hoyt explains that Kant sees something that is universally attractive as a natural occurrence and therefore without need of explanation. In

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<sup>30</sup> Joseph Kerman, "How We Got Into Analysis, and How to Get Out," *Critical Inquiry* 7, no. 2 (1980): 311-331, accessed February 21, 2014, <http://www.jstor.org/stable/1343130>.

<sup>31</sup> Andrew Cecil Bradley, "Poetry for Poetry's Sake," in *Critical Theory Since Plato*, ed. Hazard Adams (New York: Harcourt Brace Jovanovich, 1971), 739.

<sup>32</sup> Hoyt 1985, 41.

<sup>33</sup> Hoyt 1985, 41.

<sup>34</sup> Hoyt 1985, 41.

<sup>35</sup> Hoyt 1985, 41 (emphasis added).

<sup>36</sup> Kant, cited in Hoyt 1985, 44.

this light, the structure of a work is its own entity and is of great importance to the work, while at the same time it is a separate matter from the value of the work.<sup>37</sup>

Hoyt compares Kant's views to those of Goethe, who also separates structure from value in a work, but favours form above beauty in that "art is formative long before it is beautiful". Goethe maintains that man has a "formative nature, which displays itself in activity as soon as his existence is secure."<sup>38</sup>

For both Kant and Goethe, the structure and the value of a work have been dealt with as separate entities. Hoyt concludes that form and value can be and have been dealt with separately in the past, despite the two having various correlations.<sup>39</sup>

#### 4.3.2 Hofmeyr on form and structure

Pooley deems Hofmeyr's piano music "mechanistic", alluding to what he claims to be a structuralist or formalist approach to composition.<sup>40</sup> Oddly, his main "proof" for this assertion is that Hofmeyr's programme notes on his works deal primarily with explication of the form. Hofmeyr's reasoning is simply that audiences tend to need more guidance in matters of form than in other aspects of music appreciation, "which can (and should) be largely relied on to speak for themselves".<sup>41</sup>

While expressive content can reveal a great deal about a composer's compositional choices, Pooley, in contrast with virtually all other commentators, chooses to regard Hofmeyr's music as inexpressive, thereby allowing himself to side-step the issue. Pooley mentions that *Notturmo* is forward-thinking in terms of its harmonic content, but pursues the issue no further.<sup>42</sup> This dissertation has made clear that Hofmeyr's use of communication through harmony is integral to his aesthetic, and it is only by ignoring this salient aspect that Pooley is able to label the composer's work as "mechanistic".

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<sup>37</sup> Hoyt 1985, 44.

<sup>38</sup> Goethe, cited in Hoyt 1985, 44.

<sup>39</sup> Hoyt 1985, 44-45.

<sup>40</sup> Pooley 2008.

<sup>41</sup> Hofmeyr, interview by the author, March 2015.

<sup>42</sup> Pooley 2008, 94.

Pooley asks the question: “How do we think about works by a South African composer that consistently continues to assume that [organic unity] is [a stable index of value for art music]?”<sup>43</sup> He asserts that the search for, and the aspiration to achieve, organic unity is “increasingly rare, almost an anachronistic index of musical value.”<sup>44</sup> Pooley’s entire argument is thus based on the assumption that structural unity is no longer a valid premise for good composition. Pooley does, however, acknowledge the New Musicology debate during the 1980s to 1990s, but fails to recognise the fact that the current state of analysis clearly entails a plurality, embracing both a revisiting of traditional practice and newer methodologies.<sup>45</sup> He states that analysts are “more critical of analytical approaches that seek only to show inner coherence.”<sup>46</sup> What is questionable about Pooley’s stance here is that the analysis he conducts searches only for structural unity, despite his criticism of those exact analytical approaches which seek to show unity.<sup>47</sup>

Conversely, Hofmeyr himself claims that structuralist techniques employed in his works are merely some of many devices available in his personal compositional toolbox.<sup>48</sup> These devices could include, among other things, certain scales, intervals, interval sets or patterns, each harbouring a particular personal association for the composer.<sup>49</sup> This type of symbolism plays a sizeable part in the way in which Hofmeyr communicates his message with others. Once certain tools are chosen, the spontaneous compositional process is initiated.<sup>50</sup> This could be compared to a visual artist choosing the medium with which to cover a canvas, or even choosing which canvas should be covered. In this way, the composer’s music is not pre-conceived, “except in the broadest terms”.<sup>51</sup>

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<sup>43</sup> Pooley 2008, 91.

<sup>44</sup> Pooley 2008, 87.

<sup>45</sup> Agawu 2004, 267; Alan Street, “Superior Myths, Dogmatic Allegories: The Resistance to Musical Unity,” *Music Analysis* 8, no. 1-2 (1989): 88, accessed May 5, 2015, <http://www.jstor.org/stable/854327>.

<sup>46</sup> Pooley 2008, 90.

<sup>47</sup> For example, Pooley dismisses canonic counter-melodies in Hofmeyr’s *Variazioni sopra una mazurka di Chopin* as “non-essential”.

<sup>48</sup> Hofmeyr, interview by the author, March 2015.

<sup>49</sup> Hofmeyr, interview by the author, June 2015.

<sup>50</sup> Hofmeyr, interview by the author, June 2015.

<sup>51</sup> Hofmeyr, interview by the author, March 2015.

Hofmeyr considers elements of both form and content to be of great consequence in creating music that holds emotional meaning.<sup>52</sup> Similar to the integral relationship between these two musical elements in the music of Bach, Hofmeyr maintains that form is “not an end in itself but is at the service of content and communication.”<sup>53</sup>

Franke regards Hofmeyr’s use of formal procedures in his orchestral works as “imaginative”.<sup>54</sup> Although Hofmeyr considers form and structure to be important, his musical approach does not allude to formalism as such. In fact, he regards formalism as “dead music”, a “materialist manifestation”<sup>55</sup>. He maintains that music of this kind can be constructed effortlessly, according to a set of simple and creatively depressing methodical steps.<sup>56</sup> An example in this regard is total serial composition. In an interview with Hofmeyr in 2015, the comparison between Schoenberg and Webern was discussed. The two composers are discerned according to their different applications of serial compositional technique. Schoenberg used serial techniques as a channel through which to best communicate his message. Often he would step outside the boundaries of the serial order, to reach his expressive goal. Webern, on the other hand, converted serialism into a system to which he conformed with every note of his work. Hofmeyr considers much of Webern’s music as prime examples of formalism, as the system employed dictates much of the form and content of the work.<sup>57</sup>

Hofmeyr compares musical structure to the human skeleton and musical beauty to the outer appearance of a human being. He acknowledges that structure is something that is not readily perceivable to most listeners, but regards its primary function as providing the framework for the evincing of musical ideas. The outer appearance is the first point of contact with a human being or a musical work, and it is this surface beauty that ultimately initiates further appreciation.<sup>58</sup> Hofmeyr agrees with Busoni’s view that great music has

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<sup>52</sup> Hofmeyr, interview by the author, June 2015.

<sup>53</sup> Hofmeyr, interview by the author, June 2015.

<sup>54</sup> Veronica May Franke, “Structure and context in the orchestral compositions of Hendrik Hofmeyr,” *Musicus* 35, no. 2 (2007): 66.

<sup>55</sup> Hofmeyr, interview by the author, March 2015.

<sup>56</sup> Hofmeyr, interview by the author, March 2015.

<sup>57</sup> Hofmeyr, interview by the author, June 2015.

<sup>58</sup> Hofmeyr, interview by the author, March 2015.

lasted through the ages primarily because of melodies that are listenable and memorable, and which draw the listener to explore and appreciate the other parameters of the work.<sup>59</sup>

Given Hofmeyr's stated aim to create music that would appeal to lovers of Western Art music,<sup>60</sup> it comes as no surprise that melodic shaping is a primary focus in his compositional process. Nay also notes Hofmeyr's use of themes as a significant element contributing to the music's inclusivity.<sup>61</sup> With reference to the use of thematic material in *Notturmo elegiaco*, Nay states, "all the themes are accessible and singable and have defined emotional connotations embodied in the intervals."<sup>62</sup> Hofmeyr believes that a good melody is "the living embodiment of musical form".<sup>63</sup> He has also acknowledged that freer, unconventional musical structures are structures nevertheless, created by the composer according to his own creative instincts and aesthetic judgement.<sup>64</sup>

#### **4.4 Hofmeyr: a Romanticist?**

Jim Samson presents two main facets of Romantic artistic creation. The first echoes the philosophies of Kant. Expression beyond propriety is valued and artists who demonstrate such expression are seen as fortunate because of their unique abilities to freely create. Music, with its weight of emotional command, is a vehicle for such Romantic artistic manifestation. Furthermore, the Romantic artist is seen, through his irreplaceable abilities, to be elevated to the status of "genius". The second facet of Romanticism that Samson proposes is the artist's ability to express himself autonomously, immune to his socio-political surroundings.<sup>65</sup>

In an interview with Bezuidenhout, Hofmeyr refers to Schoenberg and the confines of the serialist movement:

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<sup>59</sup> Hofmeyr, interview by the author, June 2015.

<sup>60</sup> Morné Bezuidenhout, "An Interview with Hendrik Hofmeyr," *Musicus* 23, no. 2 (2007): 20.

<sup>61</sup> Nay 2008, 44.

<sup>62</sup> Nay 2008, 45.

<sup>63</sup> Hofmeyr, interview by the author, March 2015.

<sup>64</sup> Hofmeyr, interview by the author, March 2015.

<sup>65</sup> Jim Samson, "Romanticism," in *Grove Music Online* (Oxford Music Online), accessed June 20, 2015, <http://www.oxfordmusiconline.com.ezproxy.uct.ac.za/subscriber/article/grove/music/23751>.

“I often wonder what marvels both these immensely gifted composers would have produced if Schoenberg could have freed himself from the Romantic notion of ‘the Artist as Prophet’.”<sup>66</sup>

Hofmeyr does not adopt the Romantic ideal of the artist as an elevated deity. He acknowledges that composers can explain their intentions but are also merely human. Therefore, either through technical deficiencies or insecurities, even the greatest artists are not necessarily flawless in their musical intentions or output.<sup>67</sup>

Hofmeyr values freedom of self-expression highly in his compositional ambition. His allusions to both facets of Romanticism are strong in this sense, where expression is favoured over structures, customs, the pressure of academic fashions and socio-political direction. However, within Hofmeyr’s oeuvre the presentation of African elements in synthesis with European elements has increased since his return to South Africa in 1992 and the fall of apartheid in 1994. Still, he does not value music based on its reflection of the socio-political environments of the time. Hofmeyr asserts that such a value judgement of music would imply that Beethoven’s most significant work would be *Wellington’s victory*.<sup>68</sup>

Hofmeyr seems to dislike the idea of following trends. He believes the result is often a stifled, frustrated artist. He regards the temptation to follow the present vogue as “the ‘seduction of the avant-garde’ – the temptation to indulge in a self-congratulatory intellectual snobbery which slavishly follows fashion and regards tradition as a dirty word”.<sup>69</sup>

Hofmeyr’s compositional intent stems from a desire to write for others who enjoy listening to music rooted in the Western art tradition.<sup>70</sup> This motivation is not necessarily rooted in Romanticism. Rather it presents an approachable artist: one who is more concerned with the accessibility and inclusivity that his musical expression offers than with the elevation of status. Korvink comments on the accessibility of Hofmeyr’s violin music extensively throughout her dissertation. Korvink explains how several techniques and notations used

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<sup>66</sup> Bezuidenhout 2007, 20.

<sup>67</sup> Hofmeyr, interview by the author, March 2015.

<sup>68</sup> Bezuidenhout 2007, 20.

<sup>69</sup> Bezuidenhout 2007, 19.

<sup>70</sup> Bezuidenhout 2007, 20.

make Hofmeyr's seemingly complex music more intelligible for the performer.<sup>71</sup> From a reception perspective, Hofmeyr's list of impending commissions never runs dry.<sup>72</sup> In an interview with Deppe, Hofmeyr states that he has been fortunate in that he has continuously had commissions pending for over a decade. In this way it seems that Hofmeyr, although criticised by some for his immunity to academic trends, continues to succeed in his personal mission as a composer.

"I suppose I gave up long ago on the idea of writing for fellow composers, because they tend to be either of the politically correct fraternity, or resilient avant-gardists, who see my music as too romantic, too accessible."<sup>73</sup>

Hofmeyr views the historical avant-garde as a movement that caused "incalculable harm" to the tradition of Western classical music.<sup>74</sup> Appreciating the advances of the tradition, Hofmeyr maintains that Western music has been and continues to be a language that is inclusive of all humanity.<sup>75</sup>

"Music is a human utterance, and like all human utterances, it should, for me, be a mixture of all that which makes us human, of beauty and ugliness and emotion and meaning, of the intellectual and the physical, the sensual and the spiritual."<sup>76</sup>

#### **4.5 Evidence of contemporary technique and an individual voice**

Over the years, Hofmeyr has been determined to find a musical language that would speak to its audience without losing musical integrity. His incorporation of different influences and stylistic choices derives from his personal search for creative development over time, regardless of time or location.<sup>77</sup> These principles have "strengthened" Hofmeyr in his

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<sup>71</sup> Olga Korvink, "Analysis of two solo violin works by Hendrik Hofmeyr" (master's diss., University of Pretoria, 2006), accessed January 7, 2015, [http://www.worldcat.org/search?qt=worldcat\\_org\\_all&q=olga+korvink](http://www.worldcat.org/search?qt=worldcat_org_all&q=olga+korvink).

<sup>72</sup> Hendrik Hofmeyr, interview by Liesel Margrit Deppe, in "South African Music in Transition: A Flutist's Perspective" (PhD thesis, University of Toronto, 2012), 188, accessed March 4, 2015, [https://tspace.library.utoronto.ca/bitstream/1807/32697/1/Deppe\\_Liesel\\_M\\_201206\\_DMA\\_thesis.pdf](https://tspace.library.utoronto.ca/bitstream/1807/32697/1/Deppe_Liesel_M_201206_DMA_thesis.pdf).

<sup>73</sup> Hofmeyr, interview by Deppe, 2012, 188.

<sup>74</sup> Bezuidenhout 2007, 20.

<sup>75</sup> Bezuidenhout 2007, 20.

<sup>76</sup> Hofmeyr, interview by the author, March 2015.

<sup>77</sup> Allyss Angela Haecker, "Post-Apartheid South African Choral Music: an Analysis of Integrated Musical Styles with Specific Examples by Contemporary South African Composers" (PhD thesis, University of Iowa, 2012), 112, accessed March 4, 2015, <http://ir.uiowa.edu/etd/3461>.

“resolve to find a musical language which would be both contemporary and as accessible as possible without sacrificing the aesthetic values of classical music.”<sup>78</sup>

Haecker notes Hofmeyr’s aim to choose for himself and from his own inheritance what his music can and should represent.<sup>79</sup> In terms of a technical signature “Hofmeyrian” style, May points out Hofmeyr’s use of expanded tonality, expressive honesty, contrapuntal textures and extraordinary appreciation for timbre. He describes Hofmeyr’s mature style as one that draws on African influences, as well as showing evidence of musical impact from the works of Schoenberg, Stravinsky, Szymanowski and Arnold van Wyk.<sup>80</sup>

Through his analytical processes, Hofmeyr often draws connections between the harmonic language and the content of the piece under consideration. This is translated into his compositions, whereby meaning in the music’s message is conveyed through the employment of whichever techniques he considers most communicative for that message.

As discussed in the previous section, there is a certain regard for both content and structure in Hofmeyr’s approach to music as well as an appreciation of carefully crafted melodic lines. Hofmeyr believes that the composer must pay attention to what is immediately communicative in the work, as that is what leads the listener or performer to appreciate the underlying structural beauty.<sup>81</sup> It seems that others have interpreted works by the composer in similar ways. Franke states that the most noticeable trait about Hofmeyr’s orchestral music is the “sheer communicativeness and appeal.”<sup>82</sup> This would seem to place Hofmeyr’s work firmly within the contemporary vogue for music that, in Robert Fink’s words, “exalts surface and flouts depth”,<sup>83</sup> but Hofmeyr remains convinced that music requires a balance, rather than an opposition, between these forces.<sup>84</sup>

A pertinent point to be raised here is Hofmeyr’s inclusion of techniques from the past. For Hofmeyr, the capacity for composers to create new music within the Western classical

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<sup>78</sup> Cupido 2009, 16.

<sup>79</sup> Haecker 2012, 112.

<sup>80</sup> May 2003, 43.

<sup>81</sup> Hofmeyr, interview by the author, March 2015.

<sup>82</sup> Franke 2007, 57.

<sup>83</sup> Robert Fink, cited in Pooley 2008, 80.

<sup>84</sup> Hofmeyr, interview by the author, March 2015.

music tradition is “infinitely fascinating” and full of both material and expressive possibilities.<sup>85</sup> Hofmeyr utilises a vast number of compositional techniques from past and current traditions. The amalgamation of influences has triggered the many labels applied to the composer. Some examples are structuralist,<sup>86</sup> Romanticist,<sup>87</sup> anti-modernist<sup>88</sup> and neo-Romanticist.<sup>89</sup> However, Hofmeyr does not subscribe to any particular style or coterie, whether Afrikaans, African or South African and his work has been criticised for precisely this reason.<sup>90</sup> Hofmeyr compares his situation to that of Picasso, who was for a considerable time given scant attention in the Art History curriculum of a South African university, as too much of his work did not conform to the well-established "schools" beloved of academics.<sup>91</sup> Franke notes the development in Hofmeyr’s style and states that each composition has its own distinct charisma, as developed by the composer, incorporating specific modes of expression.<sup>92</sup>

Indeed the reconciliation of past and present philosophies has been one aspect of Hofmeyr’s ongoing engagement with music.<sup>93</sup> Hofmeyr values the interface between the past and present, and the involvement of the artist’s personality and heritage. He recognises the significance in each person’s potential for unique interaction with his or her musical heritage. For Hofmeyr, it is in this way that a personal voice is found.<sup>94</sup> Hofmeyr believes that music has not yet developed to the point where artists are able to be entirely free from their culture and from music’s present state in general. He finds most music that strives to free itself completely from tradition “either uninteresting or incomprehensible or both”.<sup>95</sup> This seems to bear out Dahlhaus's view:<sup>96</sup>

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<sup>85</sup> Bezuidenhout 2007, 20.

<sup>86</sup> Pooley 2008, 86.

<sup>87</sup> Claasen 2012.

<sup>88</sup> Bezuidenhout 2007, 19.

<sup>89</sup> Grant Olwage, in Pooley 2008, 108.

<sup>90</sup> Bezuidenhout 2007, 20.

<sup>91</sup> Bezuidenhout 2007, 20.

<sup>92</sup> Franke 2007, 57.

<sup>93</sup> Pooley 2008, 101.

<sup>94</sup> Bezuidenhout 2007, 20.

<sup>95</sup> Hofmeyr, interview by the author, March 2015.

<sup>96</sup> Hofmeyr, interview by the author, June 2015.

“Musical perception, even of the most impartial kind, which in reality does not exist, is permeated with reminiscences of what one has read, with traces of literary memory. Even the endeavour to arrive at a “purely musical” form of listening is conveyed by literature, either as the work of aesthetic awareness or as the fulfilment of a postulate which is hardly more than 150 years old.”<sup>97</sup>

Pooley criticises Hofmeyr’s work as “somewhat conservative” because of the composer’s allusions to traditional practices.<sup>98</sup> Yet this dissertation has treated Hofmeyr’s approach as one grounded in common practice *while* providing a fresh interpretation of all those influences. Evidently, Hofmeyr values past practices and has taken several cues from the Romantic era. Yet even if a composer’s goal were to recreate the past, his or her music will be informed somewhat by present-day circumstances. Hofmeyr states that the “interaction between the individual and his/her reaction to the music of the present and the past is what makes for an interesting aesthetic discourse.”<sup>99</sup>

Even if the composer’s intention were to conceive entirely revolutionary works, he would not be able to escape the influences of the past traditions, of music he had listened to, or of persuasive opinions and teachings regarding technique, style and approach. Bartók had a similar perspective, stating that “nothing absolutely new in the world can be invented; the most unusual-looking ideas have or must have had their predecessors.”<sup>100</sup> Hofmeyr is most interested in music by composers who take the liberty of using whichever musical tools of “self-expression” are relevant to them, “without regard to the strictures of fashion and academic and/or political prescription.”<sup>101</sup>

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<sup>97</sup> Carl Dahlhaus, *Schoenberg and the New Music*, trans. Derrick Puffett and Alfred Clayton (Cambridge: Cambridge University Press, 1988), 5.

<sup>98</sup> Pooley 2008, 108.

<sup>99</sup> Hofmeyr, interview by the author, June 2015.

<sup>100</sup> Béla Bartók, “Harvard lectures,” in *Béla Bartók Essays*, ed. Benjamin Suchoff (Nebraska: University of Nebraska Press), 381.

<sup>101</sup> Bezuidenhout 2007, 20.

## 5 Conclusions

This dissertation has investigated a variety of ways in which analytical practice is an integral part of musicological study. It has sought to provide evidence that analysis is pertinent to past and current musicianship in terms of performance, composition and historical musicology, among other aspects of music. This study has established that the current state of analysis is one of plurality of approaches. Both traditional and contemporary theories are considered relevant in the work of analysts and musicians in general, despite several objections and conflicts in the past about certain aesthetics and procedures related to analysis. The validation of analysis as an important musical discipline, coupled with the justification of tradition-based practices as relevant in current circles, has provided support for one of the author's main intentions: to explain the procedures of a recently formed and traditionally rooted system of analytical methodology, namely Hofmeyr's analytical theory of harmony.

This dissertation has set out to show how Hofmeyr's handling of tonality and harmony is central to his musical approach and compositional identity, through his analytical interpretations of late-Romantic harmony, and through his own compositional expression through harmony. Hofmeyr's music is a product of a wide variety of techniques, employed whenever and however he finds the need to do so. It has become clear that Hofmeyr's work is a product of his own individual interpretation of and engagement with the past, combined with personal expression. The language of expanded tonality is imperative in his work and seems to be too easily taken for granted by analysts.

What may be necessary from this point is for more of Hofmeyr's works to be analysed in terms of their harmonic elements within an expanded tonal language. The details of harmonic expression within expanded tonality should be investigated throughout his oeuvre. Findings of this nature could contribute to a closer familiarity with this contemporary language of harmony employed by Hofmeyr as part of his characteristic style.

The harmonic analyses of both Hofmeyr's compositional and theoretical work in this dissertation have revealed some substantiation for identifying aspects of his musical approach. Hofmeyr's appreciation of both form and content has proven to be a significant factor in the technical and expressive musical decisions he makes. His attention to surface

beauty, coupled with structural complexities, demonstrates a refined compositional ability and intent to nourish both the first-time listener and the experienced musician. Both surface and depth in music can be seen as important to Hofmeyr. Harmony has emerged as a primary means of expression, while alluding to traditional techniques. However, the particularities of Hofmeyr's harmonic treatment within expanded tonalities have revealed an advanced understanding and approach to tradition, both analytically and compositionally. This type of expression is a powerful element of an individual voice.

Through the analyses in this dissertation it has become clear that the composer has developed a way to write in which he feels most freely artistic, resourceful and inimitably original. What has emerged as being of utmost importance to Hendrik Hofmeyr is the desire to create accessible, inclusive music through which he can best communicate his meaning.

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## **Appendix A: “Sex, Lies, and Specious Chords”**

# SEX, LIES AND SPECIOUS CHORDS

Hendrik Hofmeyr

Harmonic ambivalence is a salient feature of musical semantics, especially in the second half of the nineteenth century, when this type of usage, through its capacity to introduce elements of the unexpected, the mysterious, the deceptive and the bewildering into the musical discourse, became one of the primary carriers of musical and symbolic meaning. Yet this area, so central to the thinking of some of Western music's greatest composers, remains woefully under-investigated. Symptomatic of this lacuna is the fact that the English language has no term for even the most basic type of harmonic deception, the so-called "Scheinkonsonanz." The term is used by Riemann, but is not widely employed even in German-speaking world; it is not listed in the MGG, for example. Personally, I encountered some reference to these concepts for the first time in a book which can hardly be considered part of the mainstream of systematic musicology, namely Arthur Wegelin's *Praktische Harmonieleer van die Chromatiek*.

The late operas of Wagner represent one of the apices of the manifold uses of harmonic ambivalence as semantic signifier; here, to quote Adorno, "these devices come to occupy the centre of the musical process and this endows them with an unprecedented power." (Adorno, Theodor, *In Search of Wagner*, translated by R Livingstone, London: NLB, 1981, p.70).<sup>1</sup>

The second part of this paper will look briefly at the way in which a single ambivalent chord and its symbolic values play a primary role in the construction of the huge musical and philosophical edifice that is *Tristan und Isolde*, but firstly, I would like to summarise the types of ambivalent chord that one encounters in Western music, and which are listed on the handout. I am afraid the terminology is of my own invention, as I could find no textbook that deals with this subject in anything like a comprehensive manner. As most ambivalent harmonic usage involves chromaticism or alteration or both, I would like to preface this summary by defining these two terms, which are often used interchangeably, or in combination, as in "chromatically altered," with dire consequences for clarity of classification.

**CHROMATIC and ALTERED:**

**ALTERED** refers to elements foreign to a specific tonality, usually the major or harmonic minor, but also the major-minor and minor-major. The melodic minor is best treated as a strategically altered form of the harmonic minor.

**CHROMATIC** refers to elements foreign to a diatonic system, i.e., that cannot be found within an unaltered major scale.

**Thus:** The Neapolitan sixth is **altered** (foreign to the key), but not **chromatic** (as all major triads are diatonic).

The diminished quartad on VII in the minor is **chromatic** (foreign to the diatonic system), but not **altered** (as it belongs to the key).

The German sixth is both **altered** (foreign to the key) and **chromatic** (foreign to the diatonic system). One can speak of a chromatic altered chord (as opposed to a diatonic altered chord)

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There are 6 types of **AMBIGUOUS COMPOUNDS**, which can be arranged loosely in order of increasing potential for ambivalent usage as follows:

1. **APPARENT CHORDS (German: Scheinkonsonanz):** Compounds of chord-notes and non-chord-notes sounding like chords of the key. **Examples:** The cadential, passing and auxiliary 6/4-chords.

Ex. 1: The cadential 6/4 as apparent chord (Bach, *Christ lag in Todesbanden*,  
Riemenschneider 261, bb.7-8)

The cadential 6/4 sounds like a chord, but is approached and resolved as a decoration of V. The traditional figuration of the chord as Ic or I 6/4 causes confusion, as it erroneously implies harmonic syncopation, something which Bach (and any alert Harmony I student) would have been careful to avoid.



Traditional figuration:      b: IV b    I b      [ I c    V ]

Preferable figuration:      b: IV b    I b       $\boxed{\begin{matrix} V^6 & - & 5 \\ 4 & - & 3 \end{matrix}}$

2. **ALTERED CHORDS PROPER TO FOREIGN KEYS:** Any altered chord proper to a foreign key implies, even if momentarily, a modulation which does not take place. In fact, it is only the subsequent reaffirmation of the home key that tells us that a modulation has NOT occurred. The ambivalence can be enhanced through the use of non-chord-notes proper to the foreign key. **Examples:** Any secondary dominant, the Neapolitan 6<sup>th</sup>, etc.



Ex. 3a: The diminished quartad (module: 3 semitones)

ab: VII<sup>7</sup> and its enharmonic equivalents within the traditional tonal system



ab: VII<sup>7</sup>

f: VII<sup>7</sup> b

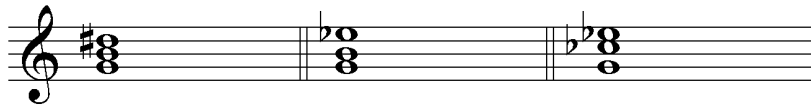
d: VII<sup>7</sup> c

b: VII<sup>7</sup> d

Because of its ambivalence, the diminished quartad is often used to modulate enharmonically among keys that lie 3 or 6 semitones apart, as in Ex. 3a.

Ex. 3b: The augmented triad (module: 4 semitones)

e: III and its enharmonic equivalents within the traditional tonal system



e: III

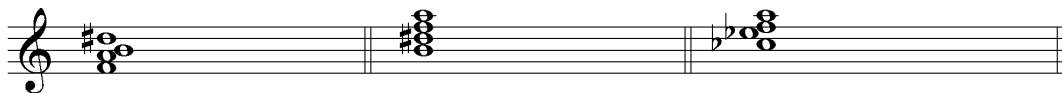
c: III b

ab: III c

The augmented triad can be used to modulate among keys that lie 4 semitones apart, as Ex. 3b.

Ex. 3c: The hard-diminished quartad (module: 4+2 semitones)

The root position of the French 6th of any key is enharmonically equivalent to the French 6th of the key that lies 6 semitones away, or, if you like, at the opposite pole of the circle of fifths.



a: V <sup>7</sup> b5 c of V (Fr. 6<sup>th</sup>)    root position    equivalent to    eb: V <sup>7</sup> b5 c of V (Fr. 6<sup>th</sup>)



5. **DOUBLE-STEP CHORDS:** Deceptive chords containing two versions of the same note-name with different alterations.

Ex. 5 (Gershwin, “A Woman is a Sometime Thing,” bb.31-32):

A chord sounding like  $V^9$  in  $Ab$  is resolved as a double-step chord in  $D$ .

(a) Gershwin’s spelling

(b) Functional spelling

$b7$   
 $D: VII_{\#3} b^{1*}$                        $I$   
 $b3$

- Note the figuring of the inversion; with  $e\#$  in the bass the figuration would read “ $b^2$ ” (cf. the famous “ $V^9$  in last inversion” in Schoenberg’s *Verklärte Nacht*). In his “Harmonielehre” Schoenberg writes that he was merely following his ear when he wrote the chord, and did not know what he was doing. Yet he makes no attempt to clarify the issue in his book, or to provide a proper functional analysis.

6. **SPECIOUS CHORDS:** Chromatic compounds of chord-notes and non-chord-notes sounding like diatonic chords foreign to the key. **Example:** The *Tristan* chord.

Ex. 6a (Wagner, *Tristan und Isolde*, bb.1-3)

TRI - STAN UND I - SOL - DE

a:  $V \begin{matrix} \#6-7 \\ b5 \end{matrix} c \text{ of } V \text{ (Fr. } 6^{\text{th}})$   $V \begin{matrix} 7 \\ \#4-5 \end{matrix}$

The compound sounds like a half-diminished quartad on F, in other words, like a diatonic chord in *E<sub>b</sub>* minor. It could easily have been resolved as such (see Ex. 6b).

Ex. 6b: The *Tristan* chord resolved as a diatonic chord (cf. bb. 101-103)

*eb*:  $II^7$  ( $V \begin{matrix} 7 \\ b5 \end{matrix} \text{ of } V$ )  $VII^{6-7} b$

The A natural would have enhanced the chord's tendency to resolve to the V, by changing it into V of V (or, if you like, the root position of the Fr. 6<sup>th</sup> of *E<sub>b</sub>* minor). Wagner in fact hints at such a resolution towards the end of the Prelude. But in reality the compound is formed by a decoration of the Fr. 6<sup>th</sup> of A minor, in which the G# is an accented decoration of A, the 7<sup>th</sup> of the chord. The ambiguity is made possible by the fact that these

2 keys, at opposite poles of the circle of fifths, share enharmonically equivalent Fr. 6ths  
(see Ex. 3c).

The Tristan chord is without a doubt the most famous specious chord in musical history. The specious chord did not originate with Wagner, of course. Examples occur as far back as Gesualdo and his contemporaries, but closer to Wagner's time, one may cite Schumann, who had a particular predilection for this type of ambiguity. In fact, Schumann uses, a quartet of a century before Wagner, a transposed version of the very same specious chord which so famously opens *Tristan und Isolde* at the outset of 'Lied der Braut' (or 'Bride's Song') from *Myrthen* [cf. Ex. 6a and Ex. 7a]. Note that the layout of the chord is identical and the resolution onto the dominant essentially the same, with Wagner adding a seventh and an accented chromatic passing note to the latter chord.

Ex. 7a: Schumann, "Lied der Braut" (bb.1-2) transposed down a minor seventh

A: I  $V^{6-7c \text{ of } V}$   
 $b5$   $V^7$

An even more striking instance occurs at the end of the first phrase of Schumann's Cello Concerto, where the progression is in the same key, inversion and register as in Wagner's opera. [cf. Ex. 1b and Ex. 1c].

Ex. 7b: Schumann, Cello Concerto (bb.11-12)

a: I <sup>7-8</sup>  $V^{\#6-7c \text{ of } V}$   
 $b5$  V

Interestingly, whereas a sea of ink has been expended on Wagner's "revolutionary" progression and its possible harmonic implications, the earlier use by Schumann has gone almost completely unnoticed, despite the fact that it has become a favourite pastime among Wagnerites to hunt for precursors of that very progression. Of course, Wagner underlines the conundrum posed by the chord with all the portentous emphasis at his disposal as a great dramatist and orchestrator, whereas Schumann is perfectly happy to integrate his novelties into a seemingly traditional musical discourse, and to leave their discovery to the discerning few.

There are very good reasons for the emphasis which Wagner places on this progression. The first Tristan chord forms part of the opening leitmotif, which can also be considered the germinal cell from which most of the musical material of the opera is generated. This leitmotif is clearly linked to the love potion which reunites the lovers, and by extension, it becomes a symbol for that which binds them to each other: in a narrative sense, their all-consuming erotic yearning, and in a very literal sense, the word "und," as in "Tristan und Isolde." The descending and ascending chromatic lines bound together by the Tristan chord can stand quite literally for "Tristan und Isolde" with the chord occurring on the word "und." And these two lines, that are often labelled the motifs of suffering and yearning, can also be linked to the two protagonists: Tristan represents (especially in the final act) the principle of suffering, of decline and negation, and Isolde, that of yearning and striving for the infinite, which in the *Liebtestod* achieves its goal. It is noteworthy, although I know of no author who has mentioned it, that the ascending melodic lines of the first three statements of the yearning motif also outline a further Tristan chord:

Ex. 8: (Wagner, *Tristan und Isolde*, bb.3-12, schematic representation of woodwind melody)



But the first Tristan chord, which Wagner underscores so emphatically, carries semantic significance in terms of the complex web of musical symbolism that far outstrips its role as motivic element. The remainder of this paper will look at the masterly fashion in which Wagner employs the implications of this compound to construct a musical argument that illustrates the complex philosophical issues around which the drama is constructed. Much has been written about these issues, but very little about how Wagner the musician integrated these concepts into the music. Wagner himself obviously took this integration very seriously, to judge from his famous statement that Tristan is “musical action made visible.” The drama is at least as much a symbol of the musical narrative as the other way round.

Wagner’s use of the compound is more striking than Schumann’s partly because the context from which the chord is approached does little to establish the home key of A minor, so that the specious diatonic identity of the compound seems quite plausible, i.e. it might easily have resolved as a supertonic quartad in *E<sup>b</sup>* minor, as we have seen [Ex. 6b]. In fact, there can be little doubt that Wagner intends us to perceive it as a quartad in *E flat* minor, yearning for a resolution in a world that is the obverse of the world in which it finds itself.

The chord forms part of the leitmotif associated with the love philtre, and, just as the love philtre at one and the same time deludes the lovers and awakens their yearning for erotic fulfilment, only possible in the obverse of the world in which they find themselves, so the chord deludes the listener, and creates an unfulfilled expectation of a resolution in the key that lies at the antipode of the tonality in which it occurs. Because of this unfulfilled expectation, and also because of the seventh in the chord of resolution, the actual resolution sounds curiously incomplete. This is clearly intentional: the famous opening passage with its three Tristan chords, each “forced” into a resolution contrary to the diatonic implications of the chord, is in fact a perfect musical simile for Schopenhauer’s concept of life as a restless striving, which leads from desire to temporary consummation, to renewed desire, and so on. This chain of incompletely fulfilled desires only ends when life itself ends, and this is the

chief reason for Schopenhauer, and Tristan and Isolde's, longing for death. However, there is an important distinction between Wagner and Schopenhauer's Weltanschauung: I think one can safely say, without going as far as Virgil Thompson, who counted 7 simultaneous orgasms in Act II, that the two lovers seem to find little reason to renounce the temporary fulfilment of sex.

In musical terms, to return to the Tristan chord in its first and most meaningful statement, this is, as we have illustrated, a yearning for the key of E flat minor. And after the chain of three imperfectly resolved Tristan chords, at the point where the yearning ascending line completes its own Tristan chord, the music in fact reaches a chord which seems to imply a portal to that ideal realm (compare the second bar of Ex. 9a to Ex. 9b). The first compound in the second bar is again the pitch class set formed by the notes of the Fr 6ths of A and of Eb/D#. And the resolution of the E# to an F# supports the latter key, turning it into a German 6<sup>th</sup> of Eb/D# minor.

Example 9a: Wagner, *Tristan und Isolde*, bb. 10-17

a: III  $\begin{matrix} 4-3 \\ 2-3 \end{matrix}$  V  $\begin{matrix} 7 \\ \#4-5 \end{matrix}$  c of V

V  $\begin{matrix} 7 \\ 2 \end{matrix}$   $\begin{matrix} -\#2-x2-3 \\ -2-3 \end{matrix}$  VI  $\begin{matrix} 4-3 \\ 3 \end{matrix}$

Example 9b: Hypothetical resolution of the chord in b.11 as German 6<sup>th</sup> of E flat minor

eb:  $\boxed{\text{VII } 6-7 \text{ b of V (Ger. 6}^{\text{th}}\text{)}} \text{ I c } \text{V}^7 \text{ I}$

Wagner stresses the importance of this arrival, by repeating the E#-F# dyad (which occurred with the “portal” chord) four times in an almost questioning fashion. We have in fact reached the crux of the musical argument: if we are in A minor, the pitch class E# should behave as an F, and its only possible stepwise resolution would be downwards semitonally onto E, as it does at the very outset of the work (see Ex. 6a). The fact that it resolves upwards by semitone (as well as the accompanying harmony) implies the opposite extreme of the gamut of tonalities, namely D sharp (or E flat) minor. The question, of which the E#-F# dyad represents the concentrated essence, is: Are we in A minor (associated with life and its frustrated yearnings) or are we in E flat minor (the longed-for realm of death and redemption)? If it seems fanciful to read this much into the passage, compare Wagner’s use of it at the crucial moment in Act I, when the lovers, having drunk the love philtre, which they believe a poison, think themselves about to enter the realm of death. Of course, they do not die, but are forced back into this life of frustrated yearning, just as the music is “forced back” into A minor in the most dramatic fashion. Their bewilderment co-incides with the questioning repetitions of the “portal” motif, and the moment at which their renewed passion overcomes them, with the resolution into A minor.

This re-affirmation of A minor is particularly telling: note how the final E# is heard against a dominant quartad of A minor, acting as the strongest possible harmonic argument to make us hear it as an F (the compound in fact sounds as the dominant quintad of A minor, where the dissonance of the minor ninth makes it virtually impossible to imagine any other resolution for the F than onto the adjacent E). The extra-ordinary upward resolution onto F# seems almost like a last, desperate attempt to cling to the ideal realm of D sharp minor, in which that resolution would be normal. But the ascending, yearning chromatic line is finally forced to succumb to the “real” world of A minor, again in the most telling manner, as it falls back on itself over the one chord that can finally settle the question, namely F major. All the

implications of the E# as signifier of D sharp minor are swept aside at a stroke, as the claims of the F (and thus of A minor) emerge victorious. But of course, even here, the yearning of the dissonant chord (the dominant quartad of A minor) is not resolved completely. Although we finally have a traditional, unaltered tonal cadence, the cadence itself is that most widely-used piece of musical sleight-of-hand, the deceptive cadence, or *Trugschluss*, as it is known in German.

The remarkable thing is that, for all the implied tendencies towards remote tonal worlds, the music up to this point has done nothing more outlandish than to modulate from A minor to the relative major and back again. Of course, the Prelude does subsequently modulate to a great variety of keys, and, after much strife and strain, finally reaches, at the climax of the Prelude, the very key to which that first symbol of yearning had pointed, namely E flat minor. In fact, the climax is formed by three iterations of the very same chord which opened the work, now heard for the first time in its “natural” environment. Have we finally reached the ideal realm where the natural tendency of this chord (symbol of the yearning of the star-crossed lovers) can be fulfilled? Where delusion (represented by the specious nature of the first Tristan chord) becomes truth (represented by the fact that the chord is now heard for what it is, no longer a misleading chromatic compound in a foreign key, but a real, natural, and unaltered chord in its home key)?

The answer is, like almost everything connected with this work, not devoid of ambiguity. The chord, approached as a II quartad in E flat minor, which would naturally tend towards the V, does in fact resolve to that chord, but the resolution is compromised by the same problem of enharmonic ambivalence that Wagner highlighted with the E#-or-F conundrum in bb. 11-17 (Ex. 9a). In that instance, the moment of maximal conflict occurred when the E# was heard against an E natural in the V chord (bar 17), and that same harmonic event recurs here in transposed form to contaminate what would have been the resolution of the chord. Even the key of E flat minor is compromised, as the enharmonic reinterpretation of the C flat as a B natural resolving upwards to C pushes the music into E flat major. The resolution is also

rendered incomplete by the fact that the V chord is a quintad, pointing beyond itself to the I which is never reached.

Example 10: Wagner, *Tristan und Isolde*, bb.80-84

Eb:  $\boxed{\text{II } b5^7}$   $\text{V } \#8-9$   
7

$\boxed{\text{II } b5^7}$  (V  $b5^7$  of V)

a:  $\boxed{\text{V } \#6-7$  c of V  
 $b5$   $\text{V } \#4-5$   
7

We are dealing here with the musical equivalent of *coitus interruptus*: having finally reached the state in which consummation of the yearnings of the Tristan chord is possible, we are cheated of the cathartic release (usually onto a “salvation 6/4”) that forms the climax of virtually every nineteenth-century exercise in musical eroticism, and might have occurred in an earlier Wagner opera:

Example 11: Hypothetical resolution of the Tristan chord in b.84 onto a “salvation 6/4”

Eb:  $\boxed{\text{II } b5^7}$  I  $6-5$   
5

V  $6-5$  I  
 $b2-1$

The music, after three attempts to achieve such an orgasmic release, sinks back defeated – defeated by the very chord that would have been the portal to that release – and is forced back into the real world of A minor, where that chord is a specious entity. In structural terms, Wagner has attained his recapitulation, and in symbolic terms, he has told us, in the clearest possible way, that the conundrum posed by the love of Tristan and Isolde is unsolved, and is incapable of being solved in this world.

It is only at the end of the opera, when the lovers are at last completely united in death, that the prime form of the Tristan chord will at last be allowed to resolve completely (see Ex. 10).

Example 12: Wagner, *Tristan und Isolde*, final cadence

B: I 2-1      V 6-7 of IV  
b5    IV #4-5  
b3    II 7  
b5    I

One might wonder why Wagner did not simply allow the prime form of the chord to finally resolve as a “real” chord in *Eb*, the key towards which it had pointed from the first, but that would have been to betray the significance of this specious chord as symbol of deception. In fact, even in this last statement, the prime form maintains its specious character, as can be seen from the harmonic analysis of Ex. 12. Illusion and deception (represented by the prime form of the chord) are transformed into a new truth (represented by a “real” half-diminished quartad on the II of B), which acts as a portal to Kant’s *noumenon* – that transcendent realm beyond the world of appearances and individual human experience. This is symbolised by

Wagner's use of the same final cadence that is employed at the end of his other works that end with redemption achieved through love, namely *The Flying Dutchman* and *The Ring*. This cadence, which owes its particular flavour to the resolution of the half-diminished quartad onto the I, is known as the "redemption" cadence and can be seen as the ideal harmonic context towards which the Tristan chord had been tending since the opening bars of the work. And Wagner tellingly converts Isolde's yearning ascending chromatic line to a diatonic one. (Imagine if he had inserted a Cx at the beginning of the last bar...the yearning, and the opera, could have continued for another 3 hours). But Isolde's spirit is at last allowed to float upwards into a world free of striving – free of leading tones. And the descending chromatic line of Tristan's suffering is itself inverted and diatonicised, floating upwards alongside hers.

I have tried to show how central the specious nature of the prime Tristan chord is to the musical and philosophical narrative of this opera, and how it translates into musical terms the work's basic premise, that life is a web of erotic yearning and deception (or "sex and lies" if you will). The concept of harmonic deception is the source and *raison d'être* of all the seemingly bewildering chromaticism of the score. While the latter has been the subject of much investigation, the former has been sadly neglected, partly through a lack of a vocabulary to classify its various manifestations. I trust that this paper has helped in some small way to redress that imbalance.

**Appendix B: “Late-Romantic Harmony” (from *Music Theory and Analysis III*)**

# MUSIC THEORY AND ANALYSIS III

## LATE-ROMANTIC HARMONY

### I. SYMBOLS IN TEXT

**CHORDS** are indicated by upper case Roman numerals: I, II, III, IV, etc.

**SCALE DEGREES** are indicated by lower case Roman numerals: i, ii, iii, iv, etc.

**FLATS** and **LOWERING BY A SEMITONE** are indicated by *b*, e.g. *Ab* is the *bvi* of C major.

**SHARPS** and **RAISING BY A SEMITONE** are indicated by #, e.g. *A#* is the #vi of C major.

### II. TERMINOLOGY

#### 1. SCALE DEGREES and the CHORDS built on them are referred to as:

TONIC, SUPERTONIC, MEDIANT, SUBDOMINANT, DOMINANT, SUBMEDIANT and LEADING NOTE.  
The *bvii* and *VIIb1* in a minor key are called the SUBTONIC.

#### 2. Distinguish between PERFECT and IMPERFECT triads:

- Major and minor triads are PERFECT, as they lie within a perfect 5<sup>th</sup>.
- All other triads are IMPERFECT, including the augmented, diminished, doubly diminished (dim. 3<sup>rd</sup>, dim. 5<sup>th</sup>) and hard-diminished triads (maj. 3<sup>rd</sup>, dim. 5<sup>th</sup>). The latter 2 can also be used to create augmented 6<sup>th</sup> chords (the ITALIAN and SWISS 6<sup>ths</sup>). Other inversions of these chords are best called the ITALIAN and SWISS CHORDS:

C major: Italian 6<sup>th</sup>                      Italian chords                      Swiss 6<sup>th</sup>                      Swiss chords

#### 3. Distinguish between QUARTADS and SEVENTHS:

- QUARTADS are 4-note chords built in 3rds.
- SEVENTHS are intervals. For instance, do not refer to a major QUARTAD as a major SEVENTH..

#### 4. The complete range of UNALTERED QUARTADS is found on the 7 degrees of the harmonic minor:

I<sup>7</sup>: minor-major    II<sup>7</sup>: half-diminished    III<sup>7</sup>: augmented    IV<sup>7</sup>: minor    V<sup>7</sup>: major-minor    VI<sup>7</sup>: major    VII<sup>7</sup>: diminished

#### 5. COMMON ALTERED QUARTADS include the chords used to form the GERMAN and FRENCH 6ths.

In late-Romantic harmony these chords are also used in other inversions, where they are better called the GERMAN and FRENCH QUARTADS, as the interval of the augmented 6<sup>th</sup> with the bass is no longer present.

- The GERMAN QUARTAD is DOUBLY DIMINISHED (doubly diminished triad + diminished 7<sup>th</sup>)
- The FRENCH QUARTAD is HARD-DIMINISHED (hard-diminished triad + minor 7<sup>th</sup>)

**QUESTION:** Figure the following chords in C major.

C major: German 6<sup>th</sup>                      German chords                      French 6<sup>th</sup>                      French chords

### 6. Distinguish between NOTE, PITCH and PITCH CLASS:

- **PITCH:** A specific frequency, usually defined by note-name and register.  
There are various systems for defining register, but the simplest (and best) labels the bottom octave of the piano as register 1, the next octave as register 2, etc., so that middle C is C4.  
NOTE: The 1<sup>st</sup> Ab is an alteration of the 2<sup>nd</sup> A, and is therefore labelled Ab2 (equivalent to G#1).
- **NOTE:** Defined by note-name, but not by register.
- **PITCH CLASS:** Not defined by note-name or register.  
B#/C/Dbb all represent pitch class 0, Bx/C#/Db pitch class 1, etc.

### 7. Distinguish between TONAL, DIATONIC and CHROMATIC:

- **DIATONIC:** Applies to the system that is formed by the unaltered notes available in a single key signature (or by the white notes of the keyboard). The major scale and the church modes are diatonic, as are the major, minor and diminished triads, and all perfect, major and minor intervals.
- **TONAL:** Applies to the system of tonalities, comprising the major, minor, major-minor (M3 & m6) and minor-major (m3 & M6).
- **CHROMATIC:** Refers to elements outside a specific diatonic system. All augmented and diminished intervals, except the half-octave (augmented fourth/diminished fifth) are CHROMATIC.

#### THEREFORE:

The major key is both TONAL and DIATONIC, as is the descending melodic minor.

The harmonic minor, the major-minor and the minor-major keys are TONAL, but not DIATONIC, as they contain CHROMATIC elements.

The Dorian, Phrygian, Lydian, Mixolydian and Locrian modes are DIATONIC, but not TONAL.

The Aeolian mode is DIATONIC, but not TONAL, except when used as the descending melodic minor.

### 8. Distinguish between ALTERED and CHROMATIC chords:

- The Neapolitan 6th is ALTERED, but not CHROMATIC. [Why?]
- The diminished quartad on VII in the minor is CHROMATIC, but not ALTERED. [WHY?]
- The German 6th is both ALTERED and CHROMATIC.

### 9. Distinguish between BORROWED and SECONDARY:

The term 'SECONDARY' is unfortunately used to describe 2 different things:

- Chords/functions which are NOT PRIMARY (II, III, VI and VII)
- Functions BORROWED FROM, and FUNCTIONING AS IF IN, other keys ('secondary V', etc.).

To avoid confusion, use 'BORROWED V', etc. in the latter case.

### 10. Distinguish between the FORM and FUNCTION of chords:

To speak of a G-B-D-F chord as having the FORM of a V 7<sup>th</sup> is INCORRECT for 2 reasons:

Firstly, in terms of structure, the chord should be described as a MAJOR-MINOR QUARTAD.

Secondly, the term 'V 7<sup>th</sup>' describes only FUNCTION and not FORM, as the quartad with V function can also be formed differently, and the quartad with that form can also have a different function.

#### QUESTIONS:

(a) Describe a V quartad which is not a major-minor quartad.

(b) Describe a major-minor quartad that is not a V quartad.

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## III. UNIVERSAL FIGURING

The figuring used in this course serves to indicate the following:

- KEY
- FUNCTION
- INVERSION
- ADDITIONS AND OMISSIONS
- ALTERATIONS
- ACCENTED NON-CHORDNOTES AND THEIR RESOLUTIONS.

### 1. KEY:

- Use UPPER case letters to indicate MAJOR keys and LOWER case letters to indicate MINOR keys. The letter is followed by a colon.  
EXAMPLE: **B:** (for B major); **b:** (for B minor)
- Figuring for DIFFERENT keys may be written on the SAME line, EXCEPT in the case of PIVOT-CHORD MODULATION, where the NEW key will be figured on a SEPARATE line, to facilitate the figuring of the pivot chord in both keys.
- In late-Romantic style, COMMON ALTERED CHORDS can all be used as PIVOT CHORDS. These include:
  - the Neapolitan 6th
  - the German, French and Italian 6ths
  - the diminished quartad on #ii
  - in major keys: chords that contain *biii* or *bvi*, such as *Ib3*, *VIIb7* and *IVb3*
  - in minor keys: *I#3* and chords that use the melodic minor, such as *IV#3* and *VIIb1*.

### 2. FUNCTION:

- Indicated by a SIMPLIFIED ROMAN NUMERAL, regardless of the quality (major/minor/etc.) of the chord: **I** (NOT **I** or **i**).
- For BORROWED functions, “**of V**” means “of the V key”, NOT “of the V chord”. In the MINOR key, for example, **VII<sup>7</sup> of V** is a DIMINISHED quartad (**VII<sup>7</sup>** of G MINOR, although the V CHORD is MAJOR).

### 3. INVERSION:

- ALL chords are figured as if in ROOT POSITION; INVERSION is indicated by a LETTER (preferably capital, to avoid confusion with *b*) to be placed BELOW the Roman numeral.
- If the chord is in root position, no letter is required. 1<sup>st</sup> inversion = **B**, 2nd inversion = **C**, etc.
- The best figuring is the one which most closely reflects the function of the chord in its context. Thus C: *II#3*, if it resolves to any form of the V or its substitutes (**VII** and **III**), should be figured as borrowed V. If the chord is in 1<sup>st</sup> inversion, the figuring will look like this: **C: V**

**B**  
**of V**

### 4. ADDITIONS AND OMISSIONS:

- Complete TRIADS, QUARTADS and QUINTADS require no additional figuring (**V**, **V<sup>7</sup>**, **V<sup>9</sup>**, etc.).
- In a SEXTAD or SEPTAD, the 7<sup>th</sup> is ASSUMED [WHY?]; if the 9<sup>th</sup> is also present, it should be indicated.
- In late-Romantic harmony a 6th is occasionally ADDED to a chord. This should be figured as **+6**.
- Notes are sometimes OMITTED from chords, especially in chords containing 4 or more notes.
- STANDARD OMISSIONS THAT DO NOT REQUIRE FIGURING:
  - The 3<sup>rd</sup> in the V SEXTAD [WHY?]
  - The 5<sup>th</sup> in the V SEPTAD [WHY?]
- All other additions and omissions should be indicated as in the following example :

C: I    IV<sup>-5</sup>    V<sup>+6</sup>    I

B    D    -3

QUESTION: Why are the following figurings not used: 1st chord as **III<sup>-5</sup>** ? 3<sup>rd</sup> chord as **V<sup>-3</sup>** ? Last chord as **VI<sup>7</sup>** ?

### 5. ALTERATIONS:

- ALL alterations must be indicated.
- The preferred system for indicating alteration is: **b** = lowered by a semitone; **#** = raised by a semitone. This means that a *tierce de Picardie*, for example, would always be indicated as **I<sup>#3</sup>**, regardless of whether the 3rd is a sharp (as in D minor) or a natural (as in C minor). A raised root is indicated as **#1**.
- Alteration implies a deviation from the KEY, not from the KEY SIGNATURE. The standard keys for harmonic analysis are the major and the HARMONIC minor. Thus **c: V** is a MAJOR chord, and contains no alteration (even though it deviates from the key signature). If the minor form of V is used, it should be indicated as **V<sup>b3</sup>**, for, while it corresponds to the key signature, it deviates from the harmonic minor.

**6. ACCENTED NON-CHORD NOTES AND THEIR RESOLUTIONS:**

- ALL accented non-chord notes and their resolutions should be indicated in the figuring.
- As with chord notes, they should be calculated from the ROOT (rather than the BASS) of the chord.
- For this reason, while 7-8 is retained to clarify voice-leading, 9-8 figuring becomes 2-1. The only exceptions would be ACCENTED CHANGING-NOTE FIGURES such as the following:

C: | 9 - 7 - 8 | 7 - 9 - 8 | 2 - 1

QUESTION: Explain the figurings in the above example.

NOTE: A common error is to figure a 7th introduced as an unaccented passing note as 8-7.

This implies that 8 is a non-chord note resolving to 7. If the 7<sup>th</sup> is resolved properly, it can be regarded as both a chord-note and a non-chord note. This ambiguous usage is best figured with (7) as in the following example:

C: v<sup>(7)</sup> | I

**7. Always strive for the HIGHEST ORDER of FUNCTIONAL FIGURING:**

- In C major, a D major triad that resolves to V can be figured as II#3, but figuring it as V of V indicates the REASON for the alteration, and is therefore preferable.
- If the D major triad resolves to III, it should still be figured as V of V, while the E minor triad should be figured as both III and (VI of V), showing that the progression alludes to V-VI in G.
- If the D major triad resolves to I, it should be figured concentrically as II#3, as it no longer functions as V of V.

QUESTION: Provide 2 sets of figuring for the 1<sup>st</sup> 2 bars of the following example from the slow movement of Mozart's Piano Sonata K533 and 494:

**8. Where MULTIPLE FIGURINGS are feasible, indicate all of them, or choose the one which yields the STRONGEST ROOT MOVEMENT, as our ears tend to privilege strong movement over weak.**

- STRONG progressions can be used freely onto ANY beats;
- WEAK progressions are generally used onto WEAK beats.

From STRONGEST to WEAKEST root movement, the general order is:

<b>STRONG:</b>	4 ↑	3 ↓	2 ↑
<b>WEAK:</b>	4 ↓	3 ↑	2 ↓

EXCEPTIONS: 4 DOWN is STRONG when involving the I (I-V or IV-I).

2 DOWN is STRONG when involving the I (I-VII or II-I).

ALL progressions involving the I are USABLE ONTO STRONG BEATS.

V-VII is STRONG, while VII-V is WEAK.

QUESTION: Bearing the above in mind, figure each of the following examples in 2 different ways, indicating which way is preferable:

The image shows two musical examples. On the left is a piano accompaniment in G major (one sharp) with a treble and bass clef. The right-hand part plays a melody, and the left-hand part plays chords. On the right is a chord progression in 3/4 time, showing four chords: a triad, a dyad, a triad, and a triad.

Applying the above rules to the opening of Wagner's *Tristan und Isolde* would yield the following figuring:

The image shows the opening of Wagner's *Tristan und Isolde* in G major. It features a piano accompaniment with a treble and bass clef. The right-hand part plays a melody, and the left-hand part plays chords.

a: V<sup>#6</sup><sub>b5</sub> - 7 V<sup>7</sup><sub>#4 - 5</sub>  
 C  
 of V

**QUESTIONS:**

- (a) Why is the G# figured as an alteration in the 1<sup>st</sup> chord and not in the 2<sup>nd</sup>?
- (b) Why is the F in the 1<sup>st</sup> chord figured as an alteration?
- (c) Why is the D# in the 1<sup>st</sup> chord *not* figured as an alteration?
- (d) Why is the 1<sup>st</sup> compound not figured as a VII quartad?

**IV. ALTERED AND CHROMATIC HARMONY**

**1. ALTERED CHORDS** result from the ALTERATION of one or more notes of a TONAL scale, and can be divided into 2 categories:

- **CONCENTRICALLY ALTERED** chords tend towards the tonic.
- **ECCENTRICALLY ALTERED** chords tend towards degrees other than the tonic.

**2. The STANDARD TONAL SCALES for HARMONIC writing are the MAJOR and HARMONIC MINOR.** Each scale consists of 7 NOTES, and in each case, FIVE PITCH CLASSES (representing 10 NOTES) can be introduced through alteration.

**3. ALTERATIONS are generally introduced to HIGHTEN TONAL TENSION by decreasing the distance between degrees that lie a major or augmented 2nd apart.**

- In response to this tension, RAISED notes tend to RESOLVE UPWARDS and LOWERED notes tend to RESOLVE DOWNWARDS.
- In C major, D# resolves to E, while Eb resolves to D. The resolution is by DIATONIC STEP (min. 2<sup>nd</sup>).
- Such alterations create LEADING TONES, to be distinguished from the LEADING NOTE of the scale, which is an unaltered leading tone. C minor, B is the leading note, while Bb is a leading tone which should resolve downwards, usually to Ab.
- In the MAJOR, these LEADING TONES form notes MINOR 2NDS ABOVE and BELOW each of the scale degrees. In C major, these 3-note groups are:

The image shows a musical scale in C major with altered notes. The notes are C, D#, E, F, G, Ab, B. The D# and Ab are marked with a sharp and a flat respectively. The scale is written in a single line with a treble clef.

In the MINOR, some of the LEADING TONES associated with vi and vii lie MAJOR 2NDS away from the scale degree:



**NOTE:** The *bbvii* and *xvi* (corresponding to pitch classes 2 and 3 SEMITONES BELOW THE TONIC) are RARELY USED. These pitch classes occur more commonly as the *#vi* and *bvii* associated with the MELODIC MINOR.

- The notes lying a MINOR 2<sup>nd</sup> below and above each scale degree form DIMINISHED 3<sup>rds</sup>, which enables the construction of CHORDS OF THE AUGMENTED 6<sup>th</sup> (and their inversions) capable of resolution to chords on ANY scale degree. Such chords are often designed to sound like diatonic quartads which lie within a minor 7<sup>th</sup> (cf. the German 6<sup>th</sup>).

**QUESTION:** Which diatonic quartads would be available to a composer constructing chords of the augmented 6<sup>th</sup>?

**4. Certain altered degrees cannot act CONCENTRICALLY, as they INCREASE the distance to the note of resolution rather than DECREASE it.**

- These degrees correspond to the pitch classes which lie 2 SEMITONES BELOW THE TONIC (*Bb/A#* in C major/minor) or 3 SEMITONES BELOW THE TONIC IN MINOR KEYS (*A/Bbb* in C minor).
- The CONCENTRIC use of *#vi* or *bvii* results in MODAL, rather than TONAL alteration\*:



\* While TONAL alteration DECREASES the distance to the resolution, MODAL alteration INCREASES the distance to the resolution from a minor to a major 2<sup>nd</sup>.

**QUESTIONS:**

- Which modes are implied in the 2 extracts?
  - Which 2 CONCENTRIC alterations in C major would result in MODAL, rather than TONAL usage?
  - Which modes would be implied by these alterations?
- *bvii* can be used concentrically if combined with *vii* in the same chord to create what is known as a double-step chord (see later). Such usage is common in modern music and jazz, and entails resolving the *vii* upwards and the *bvii* downwards.

**V. ALTERED CHORDS AND THE GOLDEN RULE**

Altered chords are often spelt incorrectly to facilitate reading. In order to arrive at the correct FUNCTIONAL spelling, apply the following rule, **except** when a NEAPOLITAN 6<sup>th</sup> resolves to the I. This rule, which I call the GOLDEN RULE, is invaluable in analysing advanced altered and chromatic harmony. Please memorise it!

**THE GOLDEN RULE**  
**The altered note must lie a DIATONIC step away from the NEAREST note in the PERFECT TRIAD of resolution\* (or in the perfect triad from which the chord of resolution is derived).**

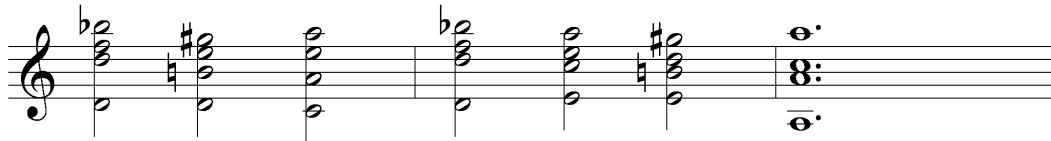
\* When the triad of resolution is IMPERFECT, ALTERED or REPLACED by a borrowed chord, first reduce it to the expected PERFECT TRIAD in the HOME KEY before applying the Golden Rule.

**HELPFUL SUGGESTIONS FOR HARMONIC ANALYSIS OF CHROMATIC MUSIC:**

1. When dealing with a CHAIN of altered chords, work BACKWARDS from the CADENCE POINT (usually indicated by a phrase-ending or a break or change in the texture). The LAST 2 CHORDS will tend to form a traditional cadential progression or variant thereof. Spell each PRECEDING chord according to its RESOLUTION before figuring (see the GOLDEN RULE above).
2. Consider the BASS line, which will generally imply a fairly simple tonal movement.
3. Look out for COMMON CHROMATIC PROGRESSIONS involving COMMON ALTERED CHORDS (see p.3), such as N6 to V (or I), augmented 6<sup>th</sup> to V (or I), raised II<sup>7</sup> to I, etc.

## SOME NOTABLE APPLICATIONS OF THE GOLDEN RULE

1. The most common exception to the Golden Rule is the resolution of the NEAPOLITAN 6th to V, where the melodic diminished 3rd formed between *bii* and *vii* ( $Bb$  to  $G\#$  in A minor) is characteristic. Figure the following:



Even in this progression, when the *bii* resolves melodically to *ii*, composers such as Schumann choose to spell the chord with a  $\#i$  as an altered IV, resulting in a deceptive chord (see later).

**QUESTION 1:** Provide figuring for the following progression in C major, then respell it as Schumann might have done, and provide figuring.



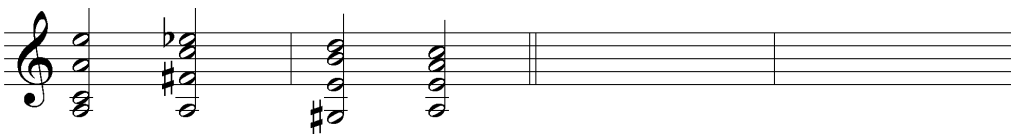
2. It is quite common for a **BORROWED LEADING NOTE** ( $F\#$  in the first example below) to resolve irregularly to the 7th in the chord of resolution ( $F$  in the example).

This does not contradict the golden rule, as the  $F\#$  is correctly spelled to resolve to the nearest note ( $G$ ) in the triad of resolution, which would have formed the *i* in the borrowed key implied by *V* of *V*.

The  $F$  is not part of the triad, nor of the key to which the  $F\#$  tended, and therefore constitutes an irregular melodic resolution. Provide figuring.



**QUESTION 2:** Spell the progression in A minor correctly and provide figuring



3. An **IMPERFECT TRIAD** cannot act as a borrowed I.

**BORROWED** functions resolving to the VII should therefore be spelled and figured as if resolving to the V.

In the minor, the II is also an imperfect triad. This means that in a chain of borrowed Vs, V of V would not be preceded by V of II, but by V of V of V, and the latter by V of V of V of V, etc.

**QUESTION 3:** Spell the progression in A minor correctly and provide figuring.





Theoretical form:    4-note form:    5-note form:    Rare 4-note form:    Rare 3-note form:

In the SEPTAD, the 6<sup>th</sup> replaces the 5<sup>th</sup>, and is called a 13<sup>th</sup>.

Derivation from an accented or unaccented non-chord note:

The chord is usually in root position, but inversions B and D can be used.  
The chord usually contains 4 notes, but can contain 5 or (rarely) 3 notes.

Theoretical form:    4-note form:    5-note form:    Rare 5-note form:    Rare 3-note forms:

The higher level of dissonance introduced by these chords can be increased through the use of alteration.

**QUESTIONS:**

Write, resolve and figure the following concentrically altered chords:

- (a) A II quartad with 2 alterations in C major
- (b) A II quartad with 1 alteration in A minor
- (c) A V quintad with 2 alterations in C major
- (d) A V quintad with 2 alteration in A minor
- (e) A V sextad with 2 alterations in C major
- (f) A V sextad with 1 alteration in A minor
- (g) A V septad with 1 alteration in C major
- (h) A V septad with 1 alteration in A minor.

(a)                      (b)                      (c)                      (d)                      (e)                      (f)                      (g)                      (h)

**VII. AMBIVALENT HARMONIC USAGE**

Ambivalent harmonic usage is an important feature of late-Romantic harmony. There are 6 types of **AMBIGUOUS COMPOUNDS**, which can be arranged loosely in order of increasing potential for ambivalent usage as follows:

**1. APPARENT CHORDS (German: *Scheinkonsonanz*):**

COMPOUNDS OF CHORD NOTES AND NON-CHORD NOTES THAT SOUND LIKE CHORDS.

**Examples:** The cadential, passing and auxiliary 6/4-chords; the diminished quartad on #II as auxiliary to I (see p.5). Apparent chords FUNCTION ACCORDING TO THEIR PERCEIVED STRUCTURE, whether diatonic or chromatic, unlike **specious chords** (see below), which are CHROMATIC, but appear to be DIATONIC.



Ex. 3a: THE DIMINISHED QUARTAD (module: 3 semitones)

VII<sup>7</sup> in the minor and its enharmonic equivalents within the unaltered tonal system. Figure each chord.

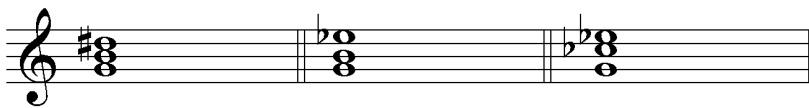


- Because of its ambivalence, the diminished quartad is often used to modulate enharmonically among keys that lie multiples of 3 semitones apart, as in Ex. 3a.
- As an altered chord, it is frequently used as a borrowed VII quartad, and in major keys as VIIb7 and II7/#3/#1.

QUESTION: Figure each of the chords in Ex. 3a as VIIb7 of IV and as II7/#3/#1 in a major key.

Ex. 3b: THE AUGMENTED TRIAD (module: 4 semitones)

III in the minor and its enharmonic equivalents within the traditional tonal system. Figure each chord.



The chord can be used to MODULATE among keys that lie 4 SEMITONES APART, as in Ex. 3b.

As an ALTERED chord, it is often used in MAJOR keys as V#5 and as BORROWED V#5.

QUESTION: Figure each of the chords in Ex. 3b as V#5 and as V#5 of V in a major key.

Ex. 3c: THE HARD-DIMINISHED QUARTAD (module: 4+2 semitones)

The root position of the French chord in any key is enharmonically equivalent to the French 6th of the key that lies 6 semitones away, or, if you like, at the opposite pole of the circle of fifths.



a: V <sup>7</sup> <sub>b5</sub>	V	a: V <sup>7</sup> <sub>b5</sub>	
C		C	
of V		of V	
		Eb: V <sup>7</sup> <sub>b5</sub>	V <sup>7</sup>
		of V	C
			I

NOTE: The dual spelling of the pivot chord and the way in which it is notated are standard practice.

The hard-diminished quartad can also be used as V7/b5 of OTHER degrees of the scale.

**We come now to a more INVOLVED form of DUPLICITY, in which we are led to perceive as DIATONIC, chords which are CHROMATIC in structure.**

MOST of these chords sound like DIATONIC QUARTADS lying within a MINOR 7<sup>th</sup> [Which are these?]. They derive their ambiguity in part, at least, from the fact that our ears tend to hear AUGMENTED SIXTHS and DOUBLY DIMINISHED OCTAVES as MINOR SEVENTHS.

In C major, for example, the diatonic quartads that lie between G# AND F# can be respelt as follows:

(a) Half-diminished	(b) Minor	(c) Major-minor
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All the above chords fall under the headings of DECEPTIVE and DOUBLE-STEP CHORDS:

#### 4. DECEPTIVE CHORDS:

CHROMATIC chords which sound like DIATONIC chords FOREIGN to the key.

**Examples:** The GERMAN SIXTH and DOUBLY AUGMENTED FOURTH CHORDS.

The German 6<sup>th</sup> and doubly augmented 4<sup>th</sup> of C major sound like the dominant quartad of D $\flat$ .

Their deceptive quality can be enhanced through non-chord notes that reinforce their spurious diatonic status, as in the following example. Figure the progressions, including the accented lower auxiliary notes:

(a) Diatonic quartad                      (b) German 6<sup>th</sup>                      (c) Doubly augmented 4<sup>th</sup>

The semitonal lower auxiliary to the F# in Ex. 4(b) or (c) would reinforce its perception as a minor 7<sup>th</sup> (rather than an augmented 6<sup>th</sup>) above A $\flat$  [WHY?].

This false “confirmation” of the G $\flat$  identity of the note enhances the surprising effect of the resolution onto G.

#### 5. DOUBLE-STEP CHORDS:

Usually DECEPTIVE chords containing 2 versions of the SAME note-name with DIFFERENT alterations.

The 2 versions usually lie a TONE apart.

Ex. 5 (Gershwin, “A Woman is a Sometime Thing,” bb.31-32):

A chord sounding like V<sup>9</sup> in A $\flat$  is resolved as a double-step chord in D. Figure the 2<sup>nd</sup> progression.

(a) Gershwin's spelling                      (b) Functional spelling

**NOTE:** Here one of the two 3<sup>rd</sup> degrees of the chord that form the double step lies in the bass, which means that there are 2 possible 1<sup>st</sup> inversions. Label the lower of the 2 “B<sup>1</sup>” and the higher “B<sup>2</sup>”.

**QUESTION:** Schoenberg described the chord in the 2<sup>nd</sup> bar of this passage from *Verklärte Nacht* as a V quintad in last inversion, and claimed that he was the 1<sup>st</sup> person to have used this inversion of the chord. By spelling the chord correctly, show that it is a double-step chord rather than a V quintad.

Double steps can also lie a semitone apart, although this is much less common.

Such chords will tend to sound like major quartads, or like the major-minor or augmented quartads.

In the latter 2 cases they are no longer truly deceptive as these chords cannot be mistaken for diatonic compounds.

Double-step chords also occur occasionally that sound like 4-note septads or unlike any unaltered tonal chord:



Except for the 1<sup>st</sup> example, these chords are NO LONGER DECEPTIVE, but like some of the sextads and septads on p.9, they are sometimes SUGGESTIVE OF ALTERNATIVE CHORDAL STRUCTURE such as CLUSTERS and QUARTAL HARMONY. They can also evoke BIMODALITY and MODULAR COMPOUNDS, and were often used by Debussy, Stravinsky and their contemporaries in the EXPANSION OF TONALITY.

QUESTION: Figure the 8 progressions above in C major and in C minor:

### 6. SPECIOUS CHORDS:

CHROMATIC COMPOUNDS of CHORD NOTES and NON-CHORD NOTES that sound like DIATONIC chords FOREIGN to the key.

**Examples:** Liszt, *Il penseroso* (bb.1-4); Wagner, the *Tarnhelm* and *Tristan* chords.

The compound known as the *Tristan* chord (see p.5) sounds like a half-diminished quartad on F, in other words, like a diatonic chord in *Eb* minor. It could easily have been resolved as such (cf. *Tristan*, bb. 101-103):



$eb: II^7$        $V^{b5}$  of V       $VII^{7-8}$  B

Like the *Tristan* chord, the *Tarnhelm* motif (below) is a potent symbol of specious and misleading appearance. Spell the passage from *Das Rheingold* correctly and figure it. Relate it to the opening of Liszt's *Il penseroso*.



QUESTION: Schumann's use of a specious chord in the following example has lead to its being wrongly regarded as an early instance of dissociated harmony. Spell it correctly and provide figuring.



**NOTE:** While most specious chords are NOT triadic compounds, some, such as the *Tristan* chord, CAN be written in 3rds. They should be considered compounds of chord notes and non-chord notes ONLY when this results in STRONGER ROOT MOVEMENT (see p.4-5). In the case of the opening of *Tristan*, for example, considering the 1<sup>st</sup> compound as a chord and the A as a non-chord note yields a WEAK vii-v, rather than a STRONG ii-v root movement.

**INVESTIGATING THE POTENTIAL FOR HARMONIC AMBIVALENCE OF A DIATONIC CHORD**

As we have seen, much of late-Romantic harmonic practice involves the creating of NEW RESOLUTIONS for COMMON DIATONIC CHORDS treating them as ALTERED COMPOUNDS. These compounds can be CHORDS PROPER TO A FOREIGN KEY, APPARENT CHORDS, DECEPTIVE CHORDS or SPECIOUS CHORDS.

To find ALL the POSSIBLE resolutions for an altered compound, it is useful to consider the following:

- (a) ANY note in the compound may be an ALTERED note and/or act as LEADING TONE.
- (b) The altered note will act as LEADING TONE, resolving up or down by a MINOR SECOND.  
In ECCENTRICALLY altered compounds, the resolution is sometimes by a MAJOR SECOND.
- (c) The note of RESOLUTION will be the ROOT, THIRD or FIFTH in the (supposed) chord of resolution.  
In ECCENTRICALLY altered compounds, the SEVENTH can also act as resolution.
- (d) Irregular resolution is possible. This not affect the spelling of the 1<sup>st</sup> compound according to the Golden Rule.

**EXAMPLE:**

**Finding the possible resolutions for a concentrically altered compound that sounds like a D-minor triad**

Treat EACH NOTE of the chord as a potential LEADING TONE [See (a) and (b) above]:



Find the POSSIBLE TRIADS OF RESOLUTION with D as LEADING TONE to Eb [See (c) above]:

Eb as root:		Eb as 3rd:		Eb as 5th:	
(a) Eb major	(b) Eb minor	(c) Cb/B major	(d) C minor	(e) Ab major	(f) Ab/G# minor

Notate in the key of which the 2<sup>nd</sup> chord is I, spell the 1<sup>st</sup> compound according to the Golden Rule and figure:

(a)	(b)	(c)	(d)	(e)	(f)
Eb: VII <sup>#5</sup> I	eb: VII <sup>#5</sup> I	Unusable [Why?]	Unusable [Why?]	Ab: II <sup>#3</sup> B C I	Unusable [Why?]

Find the POSSIBLE TRIADS OF RESOLUTION with D as LEADING TONE to C#:

C# as root:		C# as 3rd:		C# as 5th:	
(a) C# major	(b) C# minor	(c) A major	(d) A# minor	(e) F# major	(f) F# minor

Notate in the key of which the 2<sup>nd</sup> chord is I, spell the 1<sup>st</sup> compound according to the Golden Rule and figure:

(a)	(b)	(c)	(d)	(e)	(f)
C#: I <sup>b6</sup> <sub>b2</sub> - 5	c#: II <sup>b3</sup> <sub>b1</sub> I	A: IV <sup>b3</sup> B I	a#: V <sup>7</sup> <sub>-5</sub> D B I	F#: VII <sup>b7</sup> <sub>-5</sub> <sup>#3</sup> D C I	f#: I <sup>7</sup> <sub>6</sub> - 8 C I

**QUESTION:** Complete the process by treating the other 2 notes in the triad (F and A) as leading tones. Classify each of the altered compounds as a chord proper to a foreign key, a deceptive chord or a specious chord.

## **Appendix C: *Notturmo***

**Hendrik Hofmeyr**

**NOTTURNO**

*per pianoforte solo*



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In opdrag van Franklin *Larey*    *Commissioned by Franklin Larey*

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*Notturmo* is 'n huldeblyk aan die nokturnes van Chopin en Fauré. Die vorm van die werk behels die afwisseling van twee idees wat deur 'n brugmotief gekoppel word, en kan opgesom word as A-B-A-B-A- *koda*. A (mate 1-8) gebruik 'n tekstuur wat tipies is van Chopin, naamlik 'n enkel melodielyn oor 'n wydgespeide begeleiding wat uit gebroke akkoorde bestaan. Dié patroon word in 'n kort brugpassasie (x) aangepas, en dan vervleg met die eerst steeling van B (mate 14-32). A keer terug in geornamenteerde transposiesie (mate 33-40), en lei, via 'n variant van x, na 'n warmer weergawe van B (mate 42-59), wat gehoor word teen 'n appoggiatura-motief uit A. Dié motief word versmelt met 'n variant van x in die opbou tot die klimaksale finale terugkeer van A (mate 62-69), waarin die oorspronklike melodie gekombineer word met 'n geornamenteerde kanoniese eggo 'n oktaaf hoër. Die begeleiding word amper 'n derde stem in die kontrapuntale tekstuur deur sy verbintenis met 'n motief uit die melodie. Dié motief word gekombineer met 'n verwysing na B in die *koda*, wat na 'n verdere variant van x volg.

*Notturmo is a homage to the nocturnes of Chopin and Fauré. Structurally, it consists of two alternating ideas linked by a bridging motif. The form can be summarised as A-B-A-B-A-coda. A (bars 1-8) features the Chopinesque texture of a single melodic line over an ample broken-chord accompaniment, the latter in an unusual 21/16 metre. The pattern of the accompaniment is modified in a short bridge passage (x), and subsequently intertwines with the first statement of B (bars 14-32). A returns in ornamented transposition (bars 33-40), and leads, via a variant of x, to a more ardent version of B (bars 42-59), heard against an appoggiatura motif derived from A. This motif is conflated with a variant of x in the build-up to the climactic final reprise of A (bars 62-69), in which the original melody is combined with an ornamented canonic echo at the upper octave. The accompaniment itself becomes almost a third voice in the contrapuntal texture through its relation to a motif in the melody. This motif is combined with a reference to B in the coda (bars 72-83), which follows after a further variant of x.*

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Hendrik Hofmeyr is in 1957 in Kaapstad gebore. Sy naam het die eerste keer onder die publiek se aandag gekom toe sy opera *The Fall of the House of Usher*, waarmee hy eerste prys in die SA Operakompetisie en die Nederburg Operaprys verower het, in 1988 in die Staatsteater opgevoer is. In dieselfde jaar het Hofmeyr, wat toe nog in Italië gestudeer het tydens 'n tienjaarlange selfopgelegde ballingskap, 'n internasionale kompetisie daar gewen met musiek vir 'n kort film van Wim Wenders. In 1992 het hy 'n pos as lektor aanvaar by die Universiteit van Stellenbosch, en in 1997 het hy 2 verdere internasionale kompetisies gewen het, die gesogte Koningin Elisabeth van België (met *Raptus* vir viool en orkes) en die eerste uitgawe van die Dimitri Mitropoulos in Atene (met *Byzantium* vir hoë stem en orkes). Sy *Incantesimo* vir fluit is gekies om Suid-Afrika te verteenwoordig by die Kongres van die Internasionale Vereniging vir Kontemporêre Musiek in Kroasië in 2005. In 2008 ontvang hy 'n Kanna-toekenning van die Kleinkaroo Nasionale Kunstefees. Hofmeyr, wie se oeuvre meer as 90 opdragwerke insluit, is tans professor en Hoof van Komposisie en Musiekteorie aan die Universiteit van Kaapstad, waar hy in 1999 sy Doktorsgraad verwerf het.

*Hendrik Hofmeyr was born in Cape Town in 1957. His first major success as a composer came in 1988 with the performance at the State Theatre of The Fall of the House of Usher, which won the South African Opera Competition and was also awarded the Nederburg Opera Prize. In the same year, Hofmeyr, who was furthering his studies in Italy during ten years of self-imposed exile as a conscientious objector, obtained first prize in an international competition with music for a short film by Wim Wenders. In 1992 he accepted a post as lecturer at the University of Stellenbosch, and in 1997 won two further international competitions, the prestigious Queen Elisabeth Competition of Belgium (with Raptus for violin and orchestra) and the Dimitri Mitropoulos Competition in Athens (with Byzantium for high voice and orchestra). His Incantesimo for flute was chosen to represent South Africa at the Congress of the International Society of Contemporary Music in Croatia in 2005. In 2008 he was honoured with a Kanna Award by the Kleinkaroo National Arts Festival. Hofmeyr, whose oeuvre includes some 90 commissioned works, is currently professor and Head of Composition and Music Theory at the University of Cape Town, where he obtained his Doctorate in 1999.*

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11

*p* *mp* *mf* *rall.*

14

Diafano  $\text{♩} = \text{c. } 69-76$

*pp* *sotto* *dolcissimo* *p* *sopra*

cambiare pedale ogni  $\text{♩}$

18

*sotto* *sopra* *m.s.....*

22

*sopra* *mf*

26

*sotto* *sopra*

29

*dim.* *rall.*

Tempo primo

33

*mp*

34

35

36

*mf* *cresc.* *riten.....*

37

*f* *S<sup>va</sup>*

38

*mf* *cresc. poco a poco* *f*

39

*mp* *cresc. poco a poco* *mf* *dim. poco a poco*

40 *ppp* *8va* *dim.*

41 *tr* *4524* *riten.....precipitando* *rall.*

42 *Ardenre* ♩ = c. 69-76 *mf cantabile* *p* *sim.* *pp mormorando*

46 *cresc. poco a poco*

50 *f* *mf*

54

*dim. poco a poco*

58

*mf*

*mp*

*p cresc.*

8va

61

*rall.*

8va

62

*Tempo primo*

*ff marcato*

*f (meno marcato)*

8va

63

Musical score for measures 63-64. The system consists of two staves. The upper staff (treble clef) features a melodic line with a series of eighth notes, including a four-measure phrase with fingerings 4 and 5, and a five-measure phrase with fingerings 1, 3, 1, 1, 3. The lower staff (bass clef) provides a harmonic accompaniment with a descending eighth-note line, including a three-measure phrase with fingering 3 and a five-measure phrase with fingering 5.

64

Musical score for measures 64-65. The system consists of two staves. The upper staff (treble clef) continues the melodic line with eighth notes and slurs. The lower staff (bass clef) continues the descending eighth-note accompaniment, with a five-measure phrase starting with fingering 5.

65

Musical score for measures 65-66. The system consists of two staves. The upper staff (treble clef) features a melodic line with eighth notes and slurs, including a two-measure phrase with fingering 2. The lower staff (bass clef) continues the descending eighth-note accompaniment, with a five-measure phrase starting with fingerings 1 and 5, and another five-measure phrase starting with fingering 5.

66

Musical score for measures 66-67. The system consists of two staves. The upper staff (treble clef) features a melodic line with eighth notes and slurs, including a three-measure phrase with fingering 3. The lower staff (bass clef) continues the descending eighth-note accompaniment, with a five-measure phrase starting with fingering 5. A performance instruction is present: *(m.d.: la parte inferiore sempre più marcato di quella superiore)*.

67

Musical score for measures 67-68. The system consists of two staves. The upper staff (treble clef) features a melodic line with eighth notes and slurs. The lower staff (bass clef) continues the descending eighth-note accompaniment, with a five-measure phrase starting with fingering 5. A performance instruction is present: *dim. poco a poco*.

68 *a tempo*  
*p* *ppp*  
*8va*  
*ped.* *ped/2*

70 *poco meno mosso* *rall.*  
*p* *ppp*  
*ped.* *1/2 ped.* *ped.* *1/2 ped.*

72 *a tempo*  
*pp come un lontano ricordo*  
*cambiare pedale ogni*

76 *8va*  
*pp*  
*pedale tenuto*

81 *8va* *8va* *8va*  
*rall.*  
*perdendosi*  
*dim. poco a poco*