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SHOSTAKOVICH, YEVTUSHENKO, AND CRITICISM  
IN THE THIRTEENTH SYMPHONY

By

John Peter Hausmann  
B.M., SUNY Fredonia, 2008

A Thesis  
Submitted to the Faculty of the  
School of Music of the University of Louisville  
in Partial Fulfillment of the Requirements  
for the Degree of

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Department of Music History and Literature  
University of Louisville  
Louisville, Kentucky

May 2010

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A Thesis Approved on

April 14, 2010

by the following Thesis Committee:

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Thesis Director

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## DEDICATION

This thesis is dedicated to the memory of my grandmother, Nellie Glass.

Though she is no longer with us, she continues to touch my life

everyday

in ways I am just now beginning

to understand.

## ACKNOWLEDGEMENTS

This thesis would not have been possible without Dr. Jean Christensen. Her guidance, questioning, analytic rigor, patience, and high standards have challenged me to create the best work possible. I am deeply indebted to her and am very appreciative of her help and support throughout this entire project.

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Occupying the final spot in this and hopefully many more publications is Holly. Her patience, understanding, and loving support have made it possible to complete this work. In the hopes of someday returning the favor, I look forward to many years together.

## ABSTRACT

### SHOSTAKOVICH, YEVTUSHENKO, AND CRITICISM IN THE THIRTEENTH SYMPHONY

John Peter Hausmann

April 14, 2010

Yevgeny Yevtushenko wrote five poems that critiqued Soviet society. The poems, on topics as diverse as anti-Semitism, the suppression of humor, the mistreatment of women, state repression, and bureaucracy, were written at separate times and for different reasons, and were not conceived of expressing a larger message. Dmitri Shostakovich perceived that, despite their disparate topics, the poems could be connected to express a larger critical message. Shostakovich connected the texts musically through tonal and motivic relationships between movements. As a result of these musical connections, the different critiques of the poems were connected. Shostakovich also paraphrased other compositions, referencing music outside the symphony as a metaphor for the universal nature of the text's criticisms. These connections create the musical cohesion that makes the work a symphony, and also relate the various poems in order to express a larger critique of the Soviet regime and way of life.

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## CHAPTER I

Dmitri Shostakovich (1906-1975) composed his Thirteenth Symphony in 1962. This work initially developed from his setting of “Babi Yar” by the young poet Yevgeny Yevtushenko (born 1933). Shostakovich’s work, a setting for orchestra, bass soloist and bass chorus, initiated a collaboration that brought together artists who, despite generational differences, shared views on social justice and morality. Following their first meeting, Shostakovich chose three more poems from a published collection to set to music, and eventually asked Yevtushenko for a fifth. The settings of these five poems became the Thirteenth Symphony, which Shostakovich began in March 1962 and completed that July. The symphony premiered in December, despite efforts by the Soviet regime to cancel the performance.

While all five poems share the common theme of a critique of Soviet life, it was Shostakovich and not Yevtushenko who conceived of unifying them. This study surveys the development of the structural and motivic relationships Shostakovich used to create musical cohesion and to connect the critiques of the poems within a symphonic framework, and how Shostakovich used paraphrases of other music to demonstrate the universality of these critiques. In the Thirteenth Symphony, Yevtushenko and

Shostakovich were collaborators in a sustained criticism of the Soviet regime and way of life.

### Background of the Poem

On 22 June 1941, Nazi Germany invaded the Soviet Union, and the Soviet army, unprepared for an invasion, withdrew.<sup>1</sup> The *Reichskommissariat* Ukraine was established on 20 August 1941, but a pro-Soviet underground contested the occupation of Kiev. Ostensibly in retaliation for partisan attacks, a notice was posted around the city on 28 September 1941, instructing the Jewish population of Kiev to meet the next day with “documents, money, valuables, and warm clothing.”<sup>2</sup> On 29 September, the Jews of Kiev assembled and were lined up, marched into a ravine near the city called Babi Yar, ordered to remove their clothing, were arranged into groups of ten, and executed.<sup>3</sup> According to Karel Berkhoff, the initial massacre of the Jewish population was the “single largest Nazi shooting of Jews in the Soviet Union.”<sup>4</sup> The murders were committed

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<sup>1</sup> Despite warnings, Stalin was lulled into a false sense of security from the Molotov-Ribbentrop non-aggression pact. Moreover, the top ranks of the military had been severely affected by Stalin’s purges.

<sup>2</sup> Karel C. Berkhoff, *Harvest of Despair: Life and Death in Ukraine under Nazi Rule* (Cambridge: London: The Belknap Press of Harvard University Press, 2004), 65; Richard Sheldon, “The Transformations of Babi Yar,” in *Soviet Society and Culture: Essays in Honor of Vera S. Dunham*, eds. Terry L. Thompson and Richard Sheldon (Boulder and London: Westview Press, 1988), 124.

<sup>3</sup> For an account of the events, see Berkhoff, *Harvest of Despair*, 65-69 and Sheldon, “The Transformations of Babi Yar,” 124-125. For a first-hand account, Anatoly Kuznetsov, *Babi Yar: A Documentary Novel*, translated Jacob Guralsky (New York: The Dial Press, 1967). For a study of another series of first-hand accounts, see Karel C. Berkhoff, “Dina Pronicheva’s Story of Surviving the Babi Yar Massacre: German, Jewish, Soviet, Russian, and Ukrainian Records,” in *The Shoah in Ukraine: History, Testimony, Memorialization*, eds. Ray Brandon and Wendy Lower (Bloomington: Indiana University Press, 2008), 291-317. See also Wendy Morgan Lower, “From Berlin to Babi Yar: The Nazi War Against the Jews, 1941-1944,” *Journal of Religion and Society* 9 (2007): 1-14.

<sup>4</sup> Berkhoff, “Dina Pronicheva’s Story . . .”, 291. It is estimated that approximately 34,000 of Kiev’s Jews were murdered in the course of the two-day massacre. Numerous sources give the number of Jews killed in the initial massacre as 33,771. See William Korey and Michael Berenbaum (2<sup>nd</sup> ed.), “Babi Yar,” in *Encyclopaedia Judaica, second edition*, Fred Skolnik, editor-in-chief; Michael Berenbaum, executive editor, 2<sup>nd</sup> edition (Detroit: Thomson Gale, 2007), 22 and the *Encyclopedia of the Holocaust*, ed. Robert Rozett and Shmuel Spector (Jerusalem: The Jerusalem Publishing House Ltd., 2000), 128. Berkhoff,

by the Nazi *Sonderkommando* 4a, which was reinforced with “ethnically nondefined if certainly non-German policemen.”<sup>5</sup> The assistance of non-Germans was one reason that the Soviet regime attempted later to suppress memory of the event. In addition to the initial massacre, a concentration camp was built near Babi Yar.<sup>6</sup> In this camp, “perhaps as many as 100,000 Jews and non-Jews” were executed.<sup>7</sup> The presence of non-Jewish victims supported later Soviet efforts to emphasize the “Russian” identities of the victims and to minimize the fact that the Jewish people were specifically targeted during the initial massacre.

A small amount of information circulated through occupied Kiev immediately following the massacre, although this news was not officially dispersed.<sup>8</sup> The Nazis attempted to remove all traces of the war crime as the Red Army approached Kiev. Bodies were dug up from the ravine and incinerated,<sup>9</sup> but much evidence remained when the city was liberated on 6 November 1943.<sup>10</sup> Following the end of the war, the Soviet

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*Harvest*, 306, gives the number as 34,000. Other figures include Berkhoff, *Harvest of Despair*, 169, who states that “Due to the Soviet evacuation of civilians, the mobilization into the Red Army, and the massacre at Babi Yar . . . the city administration and the German army estimated in October 1941 that only around 400,000 people were living in Kiev.” Before the war, the population was estimated at “just under 850,000 inhabitants.” Berkhoff, *Harvest of Despair*, 169.

<sup>5</sup> Berkhoff, *Harvest of Despair*, 68. These non-Germans are widely believed to be Ukrainians; see Berkhoff, *Harvest of Despair*, 64 for accounts of Ukrainian participation in other killings.

<sup>6</sup> Citizens of Kiev called the camp “Babi Yar,” but the camp was officially named Syrets; see Berkhoff, *Harvest of Despair*, 58. For some information on other killings at Babi Yar, see Berkhoff, *Harvest of Despair*, 98, and for general information about the conditions suffered by Soviet POWs in the *Reichskommissariat* Ukraine, see Berkhoff, *Harvest of Despair*, 99-106.

<sup>7</sup> Some additional groups that were targeted included Ukrainians, Roma (Gypsies), and Soviet POWs and partisans; see Berkhoff, *Harvest of Despair*, 306. Sheldon supports this figure; “The Transformations of Babi Yar,” 126, states “it is estimated that ultimately 100,000 people died at Babi Yar, of whom 90,000 were Jews.”

<sup>8</sup> This information mainly came from citizens who “heard the sounds or saw the trucks with the clothes.” See Berkhoff, *Harvest of Despair*, 75-6.

<sup>9</sup> Berkhoff, *Harvest of Despair*, 302, contains an account of the prisoners who were forced to dig up and incinerate corpses from the ravine as the Red Army approached. These workers, who knew they would be killed upon completion of their task, revolted, and those who survived estimate “that over 100,000, or even 125,000, bodies were incinerated at the Yar.”

<sup>10</sup> Sheldon, “The Transformations of Babi Yar,” 126.

government tried, like the Nazis, to “suppress the memory” of Babi Yar, but the Soviet populace learned about it “through newspaper accounts, official reports, and *belles lettres*.”<sup>11</sup> A monument was designed to be erected “as a memorial to the victims of the Nazi genocide,”<sup>12</sup> but according to Richard Sheldon, this idea was voted down by the Ukrainian Communist Party’s Central Committee, whose First Secretary was Nikita Khrushchev.<sup>13</sup>

In the wake of Stalin’s post-war crackdown on relatively liberal wartime policies and the start of what Sheldon called a “virulent campaign against Jewish culture in the Soviet Union,”<sup>14</sup> no memorial was built in an attempt to expunge the specific mention of Jewish victims.<sup>15</sup> The regime tried to eliminate Babi Yar completely, proposing to “build a sports stadium on the site and build a dam at one end of the ravine.”<sup>16</sup> On 13 March

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<sup>11</sup> Korey and Berenbaum, “Babi Yar,” in *Encyclopaedia Judaica*, 22. There was no denial of the events of the Holocaust in the Soviet Union, but “Soviet writings consistently masked the fact that Jews were murdered only because they were Jews, presenting them always as Russian, Ukrainians, and citizens of different European countries.” See Robert S. Wistrich, “Holocaust Denial,” in *The Holocaust Encyclopedia*, Walter Laqueur, ed. (New Haven and London: Yale University Press, 2001), 299.

<sup>12</sup> Korey and Berenbaum, “Babi Yar,” in *Encyclopaedia Judaica*, 22.

<sup>13</sup> Sheldon, “The Transformations of Babi Yar,” 131.

<sup>14</sup> Sheldon, “The Transformations of Babi Yar,” 126. The campaign began in earnest in 1948.

<sup>15</sup> For example, Vyacheslav Molotov, Stalin’s Foreign Minister, released a note in January 1942 stating that “Jews were singled out for lethally special treatment in Kiev,” but a report from 1 March 1944 only mentions the “thousands of peaceful Soviet citizens” who were murdered. See Sheldon, “The Transformations of Babi Yar,” 130.

<sup>16</sup> Sheldon, “The Transformations of Babi Yar,” 133. This plan was decided upon after “monuments were being erected [by the mid-1950s] at the sites of Nazi crimes all over the Soviet Union, and the absence of a monument at Babi Yar had become more conspicuous. There had been no question of raising such a monument during the so-called Black Years of Soviet Jewry between 1948 and 1953, but in 1957 the question was officially discussed by the Ukrainian Central Committee . . .” See Sheldon, “The Transformations of Babi Yar,” 133. Novelist Viktor Nekrasov opposed this plan in the *Literaturnaya Gazeta* on 10 October 1959. Other critics supported Nekrasov in a letter in the December *Literaturnaya Gazeta*. See Korey and Berenbaum, “Babi Yar,” in *Encyclopaedia Judaica*, 22. In response to opposition, the Ukrainian Central Committee stated in March 1960 that “no monument had as yet been built at Babi Yar because of the poor condition . . . of the district,” but that work would turn the ravine “into a park, at the center of which would be erected an obelisk with an inscription to the memory of the Soviet citizens brutalized” by the Nazis in 1941. See Sheldon, “The Transformations of Babi Yar,” 134. This plan was vetoed by Khrushchev. Although Sheldon, “The Transformations of Babi Yar,” 134, points out that the proposed memorial was to those killed in 1941, and that the victims during this time would have been predominantly Jewish. The memorial “seemed specifically interested in remembering the Jews, though

1961, the dam collapsed, killing an estimated 145 people.<sup>17</sup> Despite official attempts to eliminate Babi Yar from public memory, several authors published works discussing the incident,<sup>18</sup> but none of the works drew more international attention to Babi Yar than Yevtushenko's poem.<sup>19</sup>

Yevgeny Yevtushenko visited Babi Yar after the collapse of the dam.<sup>20</sup> The night after standing atop that "terrifying ravine," Yevtushenko wrote a poem that attempted to come to terms with this tragedy and other persecutions of the Jews.<sup>21</sup> Yevtushenko's desire to "write a poem on anti-Semitism" was a reaction to the long history of officially imposed silence about the massacre.<sup>22</sup> Yevtushenko describes anti-Semitism and anti-Jewish violence as a device employed by Russian governments dating back to the time of

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without mentioning them by name." Only "after the collapse of the Soviet Union" did the Ukrainian government acknowledge "the specific Jewish nature of the site" and rededicate it appropriately. See Corey and Berenbaum, "Babi Yar," in *Encyclopaedia Judaica*, 22-3. It is worth noting that this acknowledgment came after Yevtushenko's poem and Shostakovich's symphony.

<sup>17</sup> The dam broke as a result of torrential rains, but the incident was taken as an omen, and "residents of Kiev spoke uneasily about the victims of Babi Yar having taken their revenge." Sheldon, "The Transformations of Babi Yar," 135.

<sup>18</sup> Sava Holovanivskij published a poem in 1943, which "depicts Ukrainians watching passively" as the Jews are led to their deaths. Itzik Kipnis published an article in 1943 and a story in 1947, which speaks "obliquely of how the anguish felt by the Jews was made worse by the indifference of the Ukrainians." However, in his second publication, Kipnis speaks of "a kind-hearted Ukrainian woman who saved a Jewish boy and girl from the massacre and reared them as her own." Ilya Ehrenburg published a novel in 1947, and Perets Markish published an epic poem in 1948. See Sheldon, "The Transformations of Babi Yar," 127-8. Lev Ozerov published a poem in 1945, Yevtushenko's poem bears similarities to this poem, which begins: "I came to you, Babi Yar / It means, grief has an age / It means, I am inconceivably old-Counting by centuries – it is beyond reckoning." See Yevgeny Aleksandrovich Yevtushenko, *Symphony No. 13 on its Prison Uniform: The Adventures of the Most Famous Symphony of the 20th Century*, trans. Albert Todd, Deborah Taggart, and Philip Berquist (Baltimore: Baltimore Symphony Orchestra, 2000), 18.

<sup>19</sup> Every available copy of the *Literaturnaya Gazeta* was sold, and "within one week of being written, 'Babi Yar' was published on the front pages of international leading newspapers in 72 languages." See Yevtushenko, *Symphony No. 13 on its Prison Uniform*, 36.

<sup>20</sup> Sheldon, "The Transformations of Babi Yar," 135.

<sup>21</sup> Yevtushenko, *Symphony No. 13 on its Prison Uniform*, 27. According to Sheldon, "The Transformations of Babi Yar," 135, the poem was composed "a few days after his visit."

<sup>22</sup> Yevtushenko, *Precocious Autobiography*, 116

the Tsars to “release . . . pent-up grievances.”<sup>23</sup> One result of this was an “unwillingness to invoke sympathy for the Jews,” which was supported by the regime’s suppression of the specifically Jewish nature of the initial massacre at Babi Yar.<sup>24</sup>

Yevtushenko’s goal was to break “the conspiracy of silence” surrounding Babi Yar, so that people would “start talking about it . . . And right now, not tomorrow.”<sup>25</sup> He achieved this through readings of his poem in Moscow and Kiev in August 1961, and with the publication of the poem in the *Literaturnaya Gazeta* on 19 September 1961.<sup>26</sup> Some of this discussion came in the form of harsh criticism from both the government and citizens of the Soviet Union.<sup>27</sup> One of the main criticisms of the poem was that its publication would agitate anti-Jewish sentiments. Irrationally, Soviet officials criticized the poem for focusing only on Jewish victims. The regime maintained that since the poem only mentioned the Jewish fatalities and ignored the Ukrainian and Russian deaths,

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<sup>23</sup> Yevtushenko, *Symphony No. 13 on its Prison Uniform*, 28. Yevtushenko states similar sentiments in his *Precocious Autobiography*, 80: “It must be said that anti-Semitism is not in the least natural to the Russian people, any more than to any other people. It is always grafted on. In Russia anti-Semitism was artificially stirred up under the Tsars. It was just as artificially stirred up at various times under Stalin. But to me, both as a Russian and as a man to whom Lenin’s teaching is dearer than anything in the world, anti-Semitism has always been doubly repulsive.”

<sup>24</sup> Yevtushenko believed that the Soviet regime feared that if the population were “reminded of a crime in which the Ukrainian police were involved,” ethnic violence would result. See Yevtushenko, *Symphony No. 13 on its Prison Uniform*, 28.

<sup>25</sup> Yevtushenko, *Symphony No. 13 on its Prison Uniform*, 27.

<sup>26</sup> For the Moscow reading, see Yevtushenko, *Precocious Autobiography*, 116. For the Kiev reading, see Yevtushenko, *Symphony No. 13 on its Prison Uniform*, 28. For the publication, see Korey and Berenbaum, “Babi Yar,” in *Encyclopaedia Judaica*, 22. For Yevtushenko’s account of its publication, see Yevtushenko, *Precocious Autobiography*, 117-121, and Yevtushenko, *Symphony No. 13 on its Prison Uniform*, 30-32.

<sup>27</sup> The day after the poem’s publication, the “chief of the cultural section of the Central Committee, D. Polikarpov . . . furiously accuse[d] the journalists of being irresponsible,” and fired the editor of the *Literaturnaya Gazeta*. Yevtushenko, *Symphony No. 13 on its Prison Uniform*, 34. Two days after “Babi Yar” was published, “the journal *Literature and Life* published an answering poem by Alexei Markov” that described Yevtushenko as “a pigmy who had forgotten the people he belonged to.” Two days later, “a long article in the same paper accused [him] of trying to wreck Lenin’s international policy by stirring up hatred among national groups.” Despite these official responses, Yevtushenko claims that he received some “twenty thousand letters” about the poem, of which “only thirty or forty were abusive.” See Yevtushenko, *Precocious Autobiography*, 120-1 and Yevtushenko, *Symphony No. 13 on its Prison Uniform*, 34.

Yevtushenko could potentially stir resentment against the Jews, who would be perceived as the only victims at Babi Yar.

### Yevtushenko and Shostakovich

Shostakovich was introduced to Yevtushenko's poetry through Issac Glikman, who claimed that on 20 or 21 September, he brought Shostakovich "Babi Yar," a poem that had "electrified" Glikman "with its dramatic power." According to Glikman, Shostakovich read the poem later that evening and "conceived an immediate desire to write a symphonic vocal poem based on the text."<sup>28</sup> According to Laurel Fay, Shostakovich was moved by the topic and literary quality of Yevtushenko's poetry.<sup>29</sup> The two artists met when Shostakovich invited Yevtushenko over to hear his setting of the poem, which stood alone as a one-movement choral work.<sup>30</sup>

Shostakovich's conception of this idea changed with meeting Yevtushenko. After this meeting, Shostakovich wrote Glikman, saying he believed he "could write something else along the same lines to words by Yevtushenko." Glikman claimed that a collection of Yevtushenko's poems gave Shostakovich the idea for a symphony.<sup>31</sup> From this

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<sup>28</sup> Glikman, *Story of a Friendship*, 279, n 62.

<sup>29</sup> Laruel E. Fay, *Shostakovich: A Life* (New York: Oxford University Press, 2000), 228.

<sup>30</sup> The genesis of the meeting is an interesting anecdote. At the end of March, the phone rang in the flat of Yevtushenko's mother, and a voice asked for Yevgeniy Alexandrovich. According to Yevtushenko, no one "ever used my patronymic when addressing me; they always called me Zhenya." As a result, the call was believed to be a wrong number. The phone rang again, Shostakovich identified himself, and insisted on speaking with Yevtushenko, who remembered hearing Shostakovich's "amazing, inimitable voice," which was "slightly hoarse, stuttering, vibrating and jerky," ask for his permission to set "Babi Yar." Yevtushenko readily agreed, to which Shostakovich replied, "Splendid. Thank God you don't mind. The music is ready. Can you come here right away?" Yevtushenko went over to hear the music, which Shostakovich played at the piano and sang. See Elizabeth Wilson, *Shostakovich: A Life Remembered*, second edition (Princeton: Princeton University Press, 2006), 412-413. Yevtushenko, *Symphony No. 13 on its Prison Uniform*, 38, has Yevtushenko's wife answer the phone, and has a slightly different quote from Shostakovich, but the essence of the event is unchanged.

<sup>31</sup> Glikman, *Story of a Friendship*, 101-102.



collection, *Vzmakh ruki* (Wave of the Hand), Shostakovich selected three other poems to set: “Yumor” (“Humor”), “V magazine” (“In the Store”), and “Karyera” (“Career”); however, the idea was not fully formed until Shostakovich received the fifth poem, “Strakhi” (“Fears”).<sup>32</sup>

Yevtushenko gives conflicting accounts of the genesis of the poem “Fears.”<sup>33</sup> The amount of involvement Shostakovich had with any revision is unknown, and this, coupled with the discrepancies in Yevtushenko’s remembrances, makes the poem’s evolution unclear.<sup>34</sup> For the purposes of this thesis, it is enough to know that Yevtushenko wrote “Fears” for Shostakovich’s composition. More important than the differing accounts of the gestation of “Fears” is the fact that while Shostakovich had the idea for an extended work from reading some of Yevtushenko’s poetry from “Wave of the Hand,” the idea for the entire symphony did not materialize until after receipt of the fifth text, the poem “Fears.”

The first poem, “Babi Yar,” which became the first movement, and the fifth poem, “Fears,” which became the fourth movement, are especially important to

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<sup>32</sup> Uncertainty persisted in Shostakovich’s mind even through the composition of the first three movements. On 7 July 1962, he wrote Glikman a letter exclaiming that he was “very anxious to show you the Thirteenth Symphony (if it is a symphony?),” a passage Glikman interprets as Shostakovich’s “doubts about the form of the work.” See Glikman, *Story of a Friendship*, 105 and 280, n 82.

<sup>33</sup> He says in Yevtushenko, *Symphony No. 13 on its Prison Uniform*, 39, that Shostakovich asked him to write a new poem for his composition about “our own native feats, arrests.” In another account, Yevtushenko states, “I don’t remember him asking me to write something specific, but as a result of our conversation, I wrote the poem ‘Fears.’” The conversation Yevtushenko refers to was an exchange “not about literature or music, but about history, those past times which had caused him so much suffering.” Yevtushenko went on to say that these times “had also affected my childish soul, because I had lost both my grandfathers, and witnessed how unjustly people were treated, and how sometimes they disappeared.” See Wilson, *Shostakovich: A Life Remembered*, 413. This conversation lends credence to Laurel Fay’s account that the poem was “revised with the composer’s involvement,” and that the text resulted from a series of “lively exchanges” between the two artists; see Fay, *Shostakovich: A Life*, 228. Fay’s assertion that Shostakovich assisted with the revision is striking, because it implies something of Shostakovich’s artistic and moral stake in the poem. While this detail has not been corroborated in any other English-language source, given Fay’s impeccable scholarly reputation, this author is prepared to accept her claim.

<sup>34</sup> The letter to Glikman, cited above, implies that Shostakovich asked Yevtushenko to write the poem. See Glikman, *Story of a Friendship*, 101-102.

Shostakovich's creation of the symphony, and one can think of these movements as the creative linchpins for the entire symphony. Shostakovich's initial engagement with Yevtushenko's work was through the poem "Babi Yar." It was this setting that inspired Yevtushenko and Shostakovich to collaborate, and that served as the first movement of the eventual symphony. "Fears" was important in Shostakovich's conception of the piece as a whole, balancing the weighty second part of the symphony and serving as a dramatic counterpart to the emotions present in "Babi Yar." Once Shostakovich received this poem, he composed the symphony in its final order in less than six weeks.<sup>35</sup> Both movements are critical to the structure of the symphony, as they convey the most intense emotion and serve as the structural focal point for their respective section of the symphony. Moreover, both movements were censored by the Soviet regime, indicating the regime's greater concern with these texts.

### Premiere of the Thirteenth Symphony

Shostakovich was anxious to have the work performed. Seeking an "intelligent" bass soloist, he traveled to Kiev to introduce the work to Boris Gmīrya.<sup>36</sup> While initially agreeing to perform, Gmīrya backed out of the concert after hearing that the Ukrainian Communist Party had "categorically forbidden" performances of the "Babi Yar" poem.<sup>37</sup> More difficulties arose when Shostakovich tried to secure a conductor, and his infamous

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<sup>35</sup> Fay also observes that the work was composed in piano score first, and then orchestrated. While this was atypical for Shostakovich's method to date, Fay speculates that this method might have changed as Shostakovich entered this last phase of his compositional life, as he also composed the Fourteenth Symphony in piano score. See Fay, *Shostakovich: A Life*, 228 and fn 15, 334.

<sup>36</sup> Fay, *Shostakovich: A Life*, 230; Wilson, *Shostakovich: A Life Remembered*, 403.

<sup>37</sup> Fay, *Shostakovich: A Life*, 230. Wilson, *Shostakovich: A Life Remembered*, 430, fn 19, comments that Gmīrya "had lived in occupied territory during the Second World War, and had been forced to collaborate with the Germans. This fact made him vulnerable to pressure from the authorities . . . As Gmīrya was quite open with Shostakovich on this account, the composer was able to accept his withdrawal."

break with Yevgeny Mravinsky occurred as a result of the Thirteenth Symphony.<sup>38</sup>

Despite these difficulties, Shostakovich secured another conductor, Kirill Kondrashin, and another bass soloist, Viktor Nechipalio, with Vitaliy Gromadsky selected as an alternate. The premiere was scheduled for 18 December 1962.<sup>39</sup>

The circumstances leading up to the premiere have been described by Fay as “auspicious.”<sup>40</sup> Despite the current liberal artistic environment, Khrushchev criticized an exhibition of modernist artworks on 1 December, which led to an argument between Yevtushenko and Khrushchev on 17 December.<sup>41</sup> As a result of this conversation and what Kondrashin called “the end of the ‘Thaw,’”<sup>42</sup> the premiere of the symphony took place in an atmosphere of worry and anxiety. While forbidding the premiere was out of the question because of the fame of Yevtushenko’s “Babi Yar” poem and the notoriety the symphony had achieved even before its public performance, the Soviet regime still pressured Shostakovich and others not to perform the work. Nechipalio, the original soloist, was called to sing at the Bolshoi that evening, as the scheduled performer had “‘taken ill,’ no doubt following Party instructions.”<sup>43</sup> Kondrashin received an ominous phone call during the dress rehearsal that first inquired if there “was anything that might

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<sup>38</sup> Mravinsky, who had premiered the controversial Fifth Symphony and five other symphonies, had become “Shostakovich’s preferred interpreter.” Subsequently, his avoidance of Shostakovich’s inquiries about score preparation, and “evasive” and “noncommittal” attitude was, according to Fay, “a shocking development no one expected.” See Fay, *Shostakovich: A Life*, 233.

<sup>39</sup> Fay, *Shostakovich: A Life*, 233. That Shostakovich was still upset by Mravinsky’s actions can be seen in a letter to Issac Glikman, 3 April 1972; see Glikman, *Story of a Friendship*, 184.

<sup>40</sup> These include visits to the Soviet Union by Stravinsky and George Balanchine and the New York City Ballet, the publication on 21 October of Yevtushenko’s poems “Stalin’s Heirs” and “Fears” (previously unpublished), and Aleksandr Solzhenitsyn’s novel *One Day in the Life of Ivan Denisovich*. See Fay, *Shostakovich: A Life*, 233-4.

<sup>41</sup> Fay, *Shostakovich: A Life*, 234. Wilson, *Shostakovich: A Life Remembered*, 404, says that Khrushchev asked Yevtushenko (regarding “Babi Yar”) “Is this a time to raise such a theme? . . . Babi Yar wasn’t just Jews but Slavs.”

<sup>42</sup> Wilson, *Shostakovich: A Life Remembered*, 408.

<sup>43</sup> Wilson, *Shostakovich: A Life Remembered*, 408, fn 26.

prevent you from conducting tonight,” and then asked if the work could “be performed without the first movement.”<sup>44</sup> Fay reminds us that “tactics of repression had changed significantly since the death of Stalin; cultural bureaucrats shrewdly calculated that the consequences of banning the performance would be more damaging than letting it proceed.”<sup>45</sup>

Despite these problems, the performance went ahead as scheduled, albeit with the cancelation of a scheduled television broadcast of the premiere, and without the customary programs containing the work’s texts. The symphony was received with what Fay describes as a “tumultuous ovation with the unmistakable overtones of a political demonstration.”<sup>46</sup> After two performances, Yevtushenko and Shostakovich were informed that they would have to make changes to the work, or it would not be performed again. The regime said nothing specifically about the music, which according to Fay, “defied no stylistic taboos and was hardly controversial.”<sup>47</sup> These changes were exclusively to the text of the first and fourth movements, which can be seen below:

“Babi Yar”

**Original Version**

Now I imagine that I'm a Jew.  
 Here I wander through ancient Egypt.  
 And here, on the cross, crucified, I perish.  
 And still I have on me the marks of the nails.  
 . . . . .  
 And I myself am one long soundless cry.  
 Above the thousand thousands buried here.  
 I am every old man here shot dead.  
 I am every child here shot dead.

**Revised Version**

Here I stand at the fountainhead  
 That gives me faith in brotherhood.  
 Here Russians lie, and Ukrainians  
 Together with Jews in the same ground.  
 . . . . .  
 I think of Russia's heroic dead  
 In blocking the way to Fascism.  
 To the smallest dew-drop, she is close to me  
 In her being and her fate.

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<sup>44</sup> Wilson, *Shostakovich: A Life Remembered*, 409.

<sup>45</sup> Fay, *Shostakovich: A Life*, 234.

<sup>46</sup> Fay, *Shostakovich: A Life*, 235. For a first-hand account of the premiere, see Boris Schwarz, *Music and Musical Life in Soviet Russia: Enlarged Edition, 1917-1981* (Bloomington: Indiana University Press, 1983), 365-369.

<sup>47</sup> Fay, *Shostakovich: A Life*, 235.

The first revised stanza of “Babi Yar” takes out some of the poem’s more explicit references to the Jewish people. In place of these, the multinational aspect of the massacre is emphasized, “Here Russians lie, and Ukrainians / Together with Jews in the same ground.” This stress on other ethnicities was in line with the regime’s criticism that the poem would stir up anti-Semitic feelings by ignoring non-Jewish victims. The second revised stanza removes mention of the large number of victims and the portrayal of the victims as helpless old men and children. These lines are replaced with a mention of Russia’s role in “blocking the way to Fascism.” It is important to note that Shostakovich did not change the text in the manuscript, and the symphony is customarily performed with the original text.<sup>48</sup>

#### “Fears”

##### Original Version

I wish that men were possessed of the fear,  
of condemning a man without proper trial,  
the fear of debasing ideas by means of untruth,  
the fear of exalting oneself by means of untruth,

the fear of remaining indifferent to others,  
when someone is in trouble or depressed,  
the desperate fear of not being fearless  
when painting a canvas or drafting a sketch.

##### Revised Version

I see new fears arising,  
the fear of being insincere to the country,  
the fear of degrading the ideas  
that are truth in themselves,

the fear of bragging until stupor,  
the fear of repeating someone else's words,  
the fear of belittling others with distrust  
and to trust oneself excessively.<sup>49</sup>

While still remarkably open in its criticisms, the revised text eliminates references to imprisonment without trial and to the fear of artistic censorship and oppression. Unlike the first movement, the revised version of the text is typically used in performance.

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<sup>48</sup> Fay, *Shostakovich: A Life*, 236.

<sup>49</sup> See Richard M. Longman, *Expression and Structure: Processes of Integration in the Large-Scale Instrumental Music of Dimitri Shostakovich*, Volume One (New York: Garland Publishing, 1989), 321-324.

## Literature Review

There is one scholarly writing about Shostakovich's Thirteenth Symphony, Harry Anthony Mechell, Jr.'s *Dmitri Shostakovich (1906-1975): a critical study of the Babi Yar Symphony with a survey of his works involving chorus*. Mechell draws his analysis liberally from *The Music of Dmitri Shostakovich: The Symphonies*, by Roy Blokker with Robert Dearling; however, Mechell does not always acknowledge his debts. If a general overview is needed, Blokker and Dearling are preferred.

The best scholarly analysis of this piece, and Shostakovich's other symphonies, can be found in Richard M. Longman's *Expression and Structure: Processes of Integration in the Large-Scale Instrumental Music of Dmitri Shostakovich*. Despite the comprehensive study Longman provides, his work does not claim to be comprehensive in its treatment of the Thirteenth Symphony, and does not explicitly discuss the critiques of the texts or the critical nature of the symphony. Other helpful general resources for Shostakovich are Derek C. Hulme's *Dmitri Shostakovich: A Catalogue, Bibliography, and Discography*, *Shostakovich in Context*, edited by Rosamund Barlett, *Shostakovich and His World*, edited by Laurel Fay, *Shostakovich Studies*, edited by David Fanning, and *A Shostakovich Companion*, edited by Michael Mishra. While none of these publications treat the Thirteenth Symphony in any substantial way, they are invaluable for understanding Shostakovich's life, compositional procedure, and harmonic and melodic language.

The best general resource for Shostakovich's interaction with Jewish music remains Joachim Braun's "The Double Meaning of Jewish Elements in Dmitri

Shostakovich's Music," which was originally published in the *Musical Quarterly*. Esti Sheinberg has also written on the subject; her article, "Jewish existential irony as musical ethos in the music of Shostakovich," can be found in *The Cambridge Companion to Shostakovich*. David Fanning has published two studies that can serve as a model for analyzing Shostakovich; see his *Shostakovich: String Quartet No. 8* and *The Breath of the Symphonist: Shostakovich's Tenth*.

For general information on Shostakovich, Laurel Fay's biography *Shostakovich: A Life* is an invaluable resource, as is Elizabeth Wilson's *Shostakovich: A Life Remembered*. Other books that are required reading for Shostakovich studies or Russian/Soviet music in general are Malcom Hamrick Brown's *A Shostakovich Casebook*, Richard Taruskin's *Defining Russia Musically*, Francis Maes's *A History of Russian Music: From Kamarinskaya to Babi Yar*, and Boris Schwarz's somewhat dated *Music and Musical Life in Soviet Russia, 1917-1981*.

## CHAPTER II

### Commentary on Yevtushenko's Poetry

Shostakovich used five of Yevtushenko's poems in his symphony. Yevtushenko wrote the five poems at different times, and did not conceive of these texts as expressing a uniform message. "Humor," "In the Store," and "Career" were included in *Vzmkh ruki* (Wave of the Hand), "Babi Yar" was written after Yevtushenko visited Kiev, and "Fears" was written for the symphony. An examination of the poems will investigate their diverse topics and messages, and the critiques each makes of the Soviet regime.<sup>50</sup> For purposes of this investigation, the word "critique" will be used in the sense of an assessment or analysis that presents a model and incorporates contrast to illustrate its point.

#### "Babi Yar"

"Babi Yar" recalls historical instances of anti-Semitism and Jewish persecution: the Exodus from Israel, the crucifixion of Jesus, the persecution of Dreyfus,<sup>51</sup> a pogrom in Belostock,<sup>52</sup> and the story of Anne Frank. When relating these episodes, the narrator

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<sup>50</sup> The poems can be found in Appendix 1 in the original Cyrillic, in transliteration, and in poetic translation. For extensive work with the translations, I would like to extend my thanks to Tomaz Sadownik.

<sup>51</sup> A Jewish French military officer accused of spying for the Germans and sentenced to life in prison in 1894.

<sup>52</sup> Yevtushenko states that the impetus for this reference came from "an old film about the Revolution. There was a scene in it of a Jewish pogrom in Odessa. The shopkeepers and common criminals moved across the screen shouting, 'Kill the Jews— save Russia!' and carrying in their hands cobblestones sticky with the blood and hair of Jewish children." See Yevtushenko, *Precocious Autobiography*, 80-1 and Yevtushenko, *Symphony No. 13 on its Prison Uniform*, 22.



speaks as the victim (“I imagine myself to be Dreyfus . . . I am behind bars. I am surrounded”) in the past tense, and from the historical location of the vignette (“Here I wander through ancient Egypt”).

These historical episodes are contrasted with commentary from the poem’s narrator, speaking in the present tense from Babi Yar (“Over Babi Yar the wild grasses rustle . . . taking off my hat, I feel I am slowly turning grey”). Yevtushenko contrasts self with other, present with past, here with there, and true Russianness with the “Union of the Russian People.” In such a manner, Yevtushenko establishes his critique of contemporary Russian anti-Semitism. This critique becomes explicit in the narrator’s second statement:

O my Russian people, I know you  
Are innately international  
But often those whose hands were vile  
In vain used your purest name.  
I know the goodness of my land.  
What base lowness - without a quiver of a vein  
The anti-Semites proclaimed themselves  
"The Union of the Russian People!"

This stanza follows a series of historical episodes, which place the most recent Russian acts of violence against Jews—the Belostock pogrom—in a larger historical and social context that includes the Exodus and the Dreyfus affair. Following these vignettes, the narrator implores his Russian people to remember the “purity” and “goodness” of the Russian land and name. The poem’s critique hinges on this stanza because it connects the Russian people explicitly with anti-Semitism.

This critique is reinforced in the “Anne Frank” episode, the longest historical vignette in the poem. Its use of nature imagery—for instance, “Transparent as a sprig in April” and the references to leaves, sky, and spring—connect the episode with the nature imagery in the next stanza: “Over Babi Yar the wild grasses rustle / The trees look sternly as if in judgment.” By connecting these two episodes and blurring the distinctions

between past and present, here and there, Yevtushenko is able to construct the identity of his narrator not as a Jew, but as a Russian who is “hated by all anti-Semites as if [he] were a Jew.” This identity is the key element of Yevtushenko’s criticism of Russian anti-Semitism. By creating the narrator’s identity as that of a Russian, Yevtushenko fashions a narrator who can critique society as an insider, speaking as Yevtushenko’s model “true Russian.” The critique of “Babi Yar” deals explicitly with Russian anti-Semitism, but it was Shostakovich who was responsible for what Richard Longman terms “linking . . . themes of protest against oppressive aspects of Soviet society with the accusation of State anti-semitism,” which tie the criticisms of the remaining poems together in the symphony.<sup>53</sup>

#### “Humor”

In “Humor,” the all-powerful “rulers of the world” are unable to control or constrain humor. The critique relies on the contrast between rulers and ruled, between those who would control humor for their own ends, and those who would use humor to escape unjust imprisonment or topple governments. Yevtushenko makes references to Aesop and Hadji Nasr-ed-Din, who personify humor’s ability to make the “Tsars, kings, [and] emperors” appear improvised and banal.

This personification establishes a basis for Yevtushenko’s portrayal of Humor in the remainder of the poem. Humor becomes anthropomorphized, and is able to “break into a dashing dance,” to “display obedience,” and, “Clearing his throat from the cold,” to “march as a simple ditty with a rifle for the Winter Palace.”<sup>54</sup> This reference to the

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<sup>53</sup> Longman, *Expression and Structure*, 322.

<sup>54</sup> The Winter Palace, built by Peter the Great in St. Petersburg, was stormed during the Russian Revolution in 1917.

Russian Revolution places Humor in a more specifically Russo-Soviet context, a context reinforced by the reference in the first line to “Tsars.” These lines serve as framing devices for understanding the poem’s events and critiques as Russian, shading the meaning of the lines that refer to imprisonment, execution, and revolution.<sup>55</sup>

In both “Babi Yar” and “Humor,” Yevtushenko employs a wide range of times, places, and people in order to convey the universality of his critique. This universality is reflected in Shostakovich’s music, as three of the four major paraphrases occur in the first and second movements. The return of different time periods and historical figures in “Career” serves to tie the themes of the poems together, which is mirrored by Shostakovich’s structural return to the tonal center of B<sup>b</sup>.

#### “In the Store”

“In the Store” and “Fears” are “addressed to contemporary Soviet life,” and both “adopt a more subjective stance, in both observation and self-examination,” in order to identify “with the whole of post-Stalinist Russian experience.”<sup>56</sup> The first half of the poem paints a bleak picture of Russian women standing in line for hours to purchase the basic essentials of life. The second half of the poem contains a paean to Russian women. Yevtushenko refers to women as their “family’s kind gods,” and calls them the “honor and conscience” of Russia. The critique of the poem comes at the conclusion, where the narrator claims “it is shameful to short-change them, it is sinful to short-weigh them.” He then proceeds to steal dumplings from the store, which only adds to the troubles of the

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<sup>55</sup> This reading could be seen as weakened by the references to Aesop and Hadji Nasr-ed-Din. However, one of the major themes of the poem is a portrayal of the universal aspects of humor. While humor is situated as Russian/Soviet as the poem progresses, the warning Yevtushenko makes is that such oppression could happen anywhere.

<sup>56</sup> In addition, “In the Store,” like “Fears” and “Career,” is strophic, whereas “Babi Yar” and “Humor” is in free verse. See Longman, *Expression and Structure*, 323.

women, as the storeowners will have to short-weight and short-change the women more to recuperate their losses. In this manner, Yevtushenko criticizes not only those who exploit women, but those who protest this treatment without attempting to lessen the plight of the women.

### “Fears”

This poem is the most critical of the five Shostakovich set to music, and, from the first line, is explicitly placed in Russia/Soviet Union—“In Russia fears are dying”. This line makes it clear that the fears referred to are those felt by Soviet citizens. The poem deals graphically with types and qualities of fear. One fears an informer, “being insincere to the country,” or “belittling others with distrust and trust[ing] oneself excessively.” Unlike the other poems used in the symphony, “Fears” does not present a critique in the sense of establishing contrasting models. Instead, the poem focuses almost exclusively on the types of fears Soviet citizens feel, including the fear of speaking to one’s own wife, or “the secret fear of a knock at the door.”<sup>57</sup> In this way, the poem is critical in the sense that it expresses negative judgments of Soviet life.

### “Career”

“Career” honors those who stood up for what they believed to be the truth, however unpopular or dangerous those convictions were. Those who kept silent for fear of repercussions are not careerists, while figures like Galileo should be honored despite their persecution, since “those who cursed them are forgotten, but the accursed are

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<sup>57</sup> The temporal development of the poem, which outlines the spread of fear, current fears, and fears of the future, is matched with a narrative change from “I” to “we” and back to “I.” The narrator begins with a personal account, humanizing the fear and its effects by making these emotions relatable to one person. The change to “we” occurs during references to a march.

remembered well.”<sup>58</sup> The first section of the poem begins with the story of Galileo. What makes him “truly great” is his willingness to “face the risk alone” and to stand firm to his beliefs, despite their controversial nature. Galileo’s discovery is less important, since a “fellow scientist . . . knew that the earth revolved,” but,

he had a family.  
And he, stepping into a carriage with his wife,  
Having accomplished his betrayal,  
Considered himself advancing his career,  
Whereas he undermined it.

That “Galileo faced the risk alone” is what makes him great. Yevtushenko’s critique implies that it is not what a man does, but how he does it, that makes him a “true careerist.”

The second section of the poem is a “salute to the career.” Yevtushenko honors Shakespeare, Pasteur, Newton, Tolstoy, “those who yearned for the stratosphere,” and “the doctors who perished fighting cholera.”<sup>59</sup> From this point forward the critique only employs positive models, so the narrator can “take as an example their careers,” and so the “sacred belief” of these models can serve as the narrator’s courage as he “pursues his career by not pursuing it.”

This brief survey illustrates the diversity of tone and topic present in these five poems. Yevtushenko commented on this diversity:

It astonishes me that in the Thirteenth Symphony . . . I would write absolutely the same music. Moreover Shostakovich’s reciting of my poetry was so full of subtle intonation and meaning that it seemed to me that he was invisibly inside me when I wrote these poems and composed his music

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<sup>58</sup> Glikman, *Story of a Friendship*, 297, n. 11, claims that “Shostakovich had at one time the intention to write an opera on *The Life of Galileo*.”

<sup>59</sup> This section contains one of the few instances where Shostakovich modified the text of the poem. After stating Tolstoy’s name, Yevtushenko clarifies which Tolstoy with his assertion “Lva!” Shostakovich states the first “Lva” as a question asked by the soloist, which is then emphatically answered with another “Lva!” by the choir. The Tolstoy family was a noble family in pre-Soviet times, and the two most notable figures were Lev Tolstoy and Aleksey Nikolayevich Tolstoy (1883- 1945), who was an author and Stalinist propagandist (and contemporary of Shostakovich).

simultaneous with the birth of each line. *It startled me that in this symphony he united poems that, it seemed, were completely incompatible* [emphasis added]. I would not have had the nerve to attempt such a composition [as “Bratskaya Station”] had not Shostakovich united my disparate poems and proved that there are no elements in art that cannot be put together.<sup>60</sup>

## Tonal Areas and Sections of the Symphony

The music of the Thirteenth Symphony “united poems that . . . were completely incompatible.” Shostakovich completed the piano score for “Babi Yar” on 27 March 1960.<sup>61</sup> Working on the remaining settings during a hospital stay in late June 1962, he dated “Humor” as finished on 5 July, “In the Store” on 9 July, “Fears” on 16 July, and “A Career” on 20 July.<sup>62</sup> Despite having to wait for Yevtushenko to write “Fears,” Shostakovich composed each movement of the symphony in order. This compositional method illustrates the totality of Shostakovich’s artistic vision, and is manifest in the score by the numerous devices that connect the different movements.

Table 1 briefly sketches out the names, dominant tonal areas, and tempos of each movement.<sup>63</sup>

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<sup>60</sup> Yevtushenko, *Symphony No. 13 on its Prison Uniform*, 42,. Shostakovich apparently felt similarly: “I find it interesting that when I was composing the Thirteenth Symphony, I felt myself at one with almost every word the poet had written.” See Glikman, *Story of a Friendship*, 118.

<sup>61</sup> Fay, *Shostakovich: A Life*, 228. Other relevant biographical information includes Shostakovich’s trip to Dresden and composition of his Eighth String Quartet in 1960, his marriage to Irina Antonovna Supinskaya in 1962 (see Fay, *Shostakovich: A Life*, 227), and the development of hand troubles in his right hand, with corresponding stays in the hospital, from 1958 on (see Mishra, *A Shostakovich Companion*, 250).

<sup>62</sup> Fay, *Shostakovich: A Life*, 228-9. 20 July would be “a date that—together with the anniversary of the premiere of his First Symphony— Shostakovich would commemorate for the rest of his life.” See Fay, *Shostakovich: A Life*, 229.

<sup>63</sup> The instrumentation of the Thirteenth Symphony can be found in Appendix 2. Of special importance are the bass soloist and the men’s choir of 40-100 voices. The dark sound of this choir is utilized in an extraordinary way, in that the soloist and choir sing in unison or at the octave throughout the entire symphony, save for one instance at the end of the third movement. This writing is a distinctive feature of the work, and it affords Shostakovich opportunities to portray the individual and community/group themes in Yevtushenko’s poetry in a visceral way, because of the sheer weight and presence of so many low voices. Except for noting the emotional and affective power of this scoring, investigation of the contrasting social roles of chorus and soloist, for example the portrayal of the masses versus the individual, is beyond the scope of this thesis.

**Table 1**  
Principal Tonal Areas & Tempos of Each Movement

“Babi Yar”	B <sup>b</sup> minor	Adagio, Q = 58	
“Humor”	C major	Allegretto, H = 108	
“In the Store”	E minor	Adagio, Q = 72	<i>attacca</i> >
“Fears”	G <sup>#</sup> /A <sup>b</sup> (minor)	Largo, Q = 63	<i>attacca</i> >
“Careers”	B <sup>b</sup> major	Allegretto, H = 84	

B<sup>b</sup> is the most important tonal area of the symphony; the work begins in B<sup>b</sup> minor and ends in B<sup>b</sup> major. The second movement functions as a scherzo, lightening the mood after the dark first movement, and lifting the tonality up to C major, which helps establish the upward trajectory that leads to the third movement. The whole-step relationship from B<sup>b</sup> in the first movement to C in the second is symmetrical to the whole-step relationship of G<sup>#</sup>/A<sup>b</sup> in the fourth movement to B<sup>b</sup> in the fifth movement. Another point of symmetry is the third movement. This movement is in E minor, and functions as a point of symmetry in an arch between the two outer movements. The fourth movement, in G<sup>#</sup>/A<sup>b</sup> minor, can be considered as replicating on the large scale a modal cadence that Shostakovich employs throughout the work on a local level. The move to B<sup>b</sup> major in the fifth movement resolves some of the tonal and emotional tension of the work, although the ambiguous modality of the ending of this movement casts doubt as to the permanence of this released tension.

Overall, the symphony is in two sections. The first section consists of the first two movements, and the second section of the last three movements. Movement two is connected through a tonal and motivic reminiscence to movement one. The last three movements are connected motivically, as the music that serves as the introduction to the third movement returns throughout the fourth movement. In addition, the movements are

marked *attacca*, and the codas of both the third and fourth movements serve as seamless transitions to the movements that follow.

The next portion of the thesis will investigate the two sections of the symphony, considering movements one and four as the weightiest of the respective sections in terms of musical tension, gravity of topic, and amount of criticism. Connections between movements, both within a section and within the entire symphony, will be discussed. Michael Mishra calls “inter-movement motivic relationships” at both the local and global levels a “hallmark of Shostakovich.”<sup>64</sup> The composer’s use of these relationships illustrates how he connected the music, which in turn links the topics of the poem’s critiques to express the critical message of the symphony. Paraphrases illustrate the universal nature of the poems’ criticisms to Shostakovich, as the critiques Yevtushenko presents are not relevant to an exclusively Russo-Soviet audience, but are applicable to a wider audience because of Shostakovich’s references to music outside the symphony.

### First Section of the Symphony, Movement One

Movement one has the most easily perceived formal structure of all the movements of the symphony, with clear returns of both tonalities and moods. The form of this movement can be seen in Table 2.

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<sup>64</sup> Michael Mishra, “Shostakovich’s ‘Trademark Form,’” in *A Shostakovich Companion*, ed. Michael Mishra (Westport, CT: Praeger, 2008), 371.



**Table 2**  
Formal Outline of Movement One

<u>Section</u>	<u>Rehearsal Numbers</u>	<u>Tonality</u> <sup>65</sup>
A	reh. 0- reh. 1	B <sup>b</sup> minor
A <sup>1</sup>	reh. 1- reh. 3	B <sup>b</sup> minor
A <sup>2</sup>	reh. 3- reh. 5	D major
B	reh. 5- reh. 9	G minor
A <sup>3</sup>	reh. 9- reh. 12 <sup>66</sup>	B <sup>b</sup> minor
B	reh. 12- reh. 13	G minor
C	reh. 13- reh. 16	E major/ G#
B <sup>1</sup>	reh. 16- reh. 21	B pedal clashing with C/F <sup>67</sup>
A	reh. 21- reh. 22	B <sup>b</sup> minor
A <sup>1</sup>	reh. 22- reh. 29	B <sup>b</sup> minor
A	reh. 29- reh. 30	B <sup>b</sup> minor

The tight formal construction is a result of the original concept of this movement as an independent work, which had to stand as a formally self-contained and structurally coherent statement.

When Shostakovich decided to expand the work into a five-movement symphony, he needed to connect the first movement to the others. He did this by using gestures and motives from the first movement's introduction (musical example 1) throughout the symphony: the ascending <sup>b</sup>6-<sup>b</sup>7-1 modal cadence, the tolling chime, and the interval of the tritone.

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<sup>65</sup> "Tonality" is sometimes too strong a concept, given Shostakovich's use of modal mixture and collections that, while primarily diatonic, incorporate chromatic tones extensively. For example, most of movement three is under an E pedal; while the music is referential to other collections, the E pedal is rarely absent long enough to consider another pitch as tonic. For more on the difficulties of Shostakovich and harmonic analysis, see David Fanning, "Shostakovich in Harmony: Untranslatable Messages," in *Shostakovich in Context*, ed. by Rosamund Bartlett, (New York: Oxford University Press, 2000), 31-41; Ellon D. Carpenter, "Russian theorists on modality in Shostakovich's music, in *Shostakovich Studies*, ed. David Fanning (Cambridge: Cambridge University Press, 1995), 76-112; David Haas, "The rough guide to Shostakovich's harmonic language," in *The Cambridge Companion to Shostakovich*, ed. Pauline Fairclough and David Fanning (Cambridge: Cambridge University Press, 2008), 298-324.

<sup>66</sup> Reh. 9 is a modified version of the introduction. However, due to the different nature of the material in the remainder of this section, I have classified it as A<sup>3</sup>.

<sup>67</sup> The pedal B lasts until reh. 20+4, but its dissonant nature with the C and F dyad above it (from reh. 16-19) precludes it from functioning as a "true" tonic pitch.

Musical Example 1- Shostakovich, Thirteenth Symphony, mvt. I, ms. 1 to ms. 4

The image shows a page of a musical score for Shostakovich's Thirteenth Symphony, movement I, measures 1 to 4. The tempo is marked 'Adagio'. The score includes parts for Oboe, Clarinets in B-flat, Bassoon, Cellos and Double Basses, Horns, Trumpets, Timpani, Bells, Violins I and II, Viola, Violoncello, and Contrabass. The cellos and basses play a prominent modal cadence in the pickup to bar 4. The score is written in a key signature of one flat and a 4/4 time signature.

One motive that is used throughout the work is the modal cadence introduced in the first bars of the symphony, illustrated in the ‘cellos and basses in the pickup to bar four of musical example 1. This cadence serves the local harmonic function of establishing a reference to a central pitch, and also serves to unify the symphony. The cadence is used in movements one, three, four, and five.<sup>68</sup> The introduction of the third movement incorporates the modal cadence into the main thematic material of the movement (see musical example 9), material that is also used in the fourth movement (see musical example 10). The technical function of these gestures creates musical unification throughout the symphony.

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<sup>68</sup> Despite the absence of the cadence in the second movement, this movement has an inverted line that reminds a listener of the gesture.

The chime functions in a similar manner throughout the symphony, performing what Boris Schwarz calls “an important, almost symbolic, role.”<sup>69</sup> As can be seen in musical example 1, due to the *piano* dynamic, low register of the accompanying instruments, and the chime’s markedly different timbre and the immediacy of its attack, the B<sup>b</sup> chime toll is the first sound that is heard in the symphony.<sup>70</sup> The instrument is used predominantly in the first movement, especially in the sections that are situated at Babi Yar. This makes the chime an integral part of the sound world of the physical location of Babi Yar. Moreover, since the texts of these sections are critical, as in the “Union of the Russian People” stanza discussed above, a listener associates the sound of the chime with the critiquing text of these sections.

Through the repeated use of the instrument, Shostakovich establishes a precedent for the context in which a listener can expect to hear the chimes, that is, when the text is dealing with self-reflective, critical matters. For example, at reh. 47 in the second movement, a reminiscence of Babi Yar occurs (see musical example 6). The text preceding this section is about death (“Humor’s severed head was stuck on a warrior’s pike”), and the chime is not used anywhere else in the movement because of the comparatively less serious nature of the text. In the second section of the symphony, the chime is not used at all in the third movement; here, the text is serious, but does not deal with death explicitly, instead discussing more personal, human concerns.

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<sup>69</sup> Schwarz, *Music and Musical Life in Soviet Russia*, 367.

<sup>70</sup> For Joachim Braun, the chimes are one element that make the piece “Russian”: “The specifically Jewish musical element is absent here and is, in fact, superfluous . . . On the contrary, the idiom is Russian: Russian chimes, Russian modes, etc.” See Joachim Braun, “The Double Meaning of Jewish Elements in Dmitri Shostakovich’s Music,” *Musical Quarterly* 71, no. 1 (1985): 77.

This is not to imply that Shostakovich valued metaphysical, nation-wide concerns more highly than interpersonal ones; the symphony as a whole makes clear that this was not the case. Shostakovich uses the chimes to link the most serious criticisms of the poems, through a listener's associations of the fear, pain, and anger of the first movement with the sound of the chimes. For example, in movement four, the chime is first heard at the climax of the section that portrays "The secret fear at a knock at the door." Although the chime plays a different pitch (G#), the instrument is used to connect the meaningless violence of both movements, relating the criticisms of the poems sonically. By associating the sound of the chimes with similar poetic themes, Shostakovich unifies the music and connects the poems.

Another connective device is the use of the interval of a tritone, which functions at two different levels.<sup>71</sup> At the local level, the tritone is used in the first movement in the accompaniment of the pogrom makers at movement one, reh. 16. Beyond the first movement, the tritone is used in other accompanimental passages in movement two, reh. 58+9 and in movement four, reh. 105.<sup>72</sup> Also, the tritone is used in the themes of movements one, three, and four.<sup>73</sup> Using this distinctive interval in the themes of different movements creates symphonic cohesion, as it creates an aural link between different musical sections.

This cohesion is reinforced when the tritone's function expands to the broadest level, that of the entire symphony, when Shostakovich sets the middle movement of the

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<sup>71</sup> The tritone is used both linearly and harmonically.

<sup>72</sup> Mishra, *A Shostakovich Companion*, 248.

<sup>73</sup> I am indebted to Longman for pointing out the significance of the tritone. For his mention of the tritone in these themes, see Longman, *Expression and Structure*, 337 and 339.

work in a tonality that is a tritone away from the opening and closing movements. The tritone arch of the symphony is illustrated below:

movement one—movement three—movement five  
B<sup>b</sup> minor      E minor<sup>74</sup>      B<sup>b</sup> major

The use of an arch structure was not uncommon for Shostakovich.<sup>75</sup> The use of the tritone to add such structural coherence to the symphony on several levels makes the work symphonic in character and reinforces the commonalities in the texts' critiques.

As Longman states, “the meditative heart” of the first movement is the “Anne Frank” episode.<sup>76</sup> The poem presents her as “Transparent as a sprig in April,” and laments that while she cannot have leaves or sky, “there is so much [she] can have / to embrace tenderly in a darkened room.” This delicacy and naivety stands removed as a “haven of nobility and tenderness amid the general brutality of the world.”<sup>77</sup>

Shostakovich creates this haven by setting the “Anne Frank” section as lyrical statement in E major, a tritone away from the tonic B<sup>b</sup> of the movement.

The third movement is similar to the “Anne Frank” episode, as “both are concerned with feminine subject-matter.”<sup>78</sup> The text discusses the positive attributes of women, including their willingness to “mix concrete / and plough and reap” to support their families. By setting this movement in E minor, a tritone from the tonic B<sup>b</sup> of the

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<sup>74</sup> Longman, *Expression and Structure*, 337, is careful to point out that “this movement is based in E minor, but the overall harmonic conflict is between the conventional relatives of E, and B<sup>b</sup> with *its* relatives (notably G minor and D minor).” (Emphasis in original). However, not all authors agree that the third movement is in E minor. Eric Roseberry, for example, says the movement is “centered around a modal B” tonality; see Eric Roseberry, “Personal integrity and public service: the symphonist,” in *The Cambridge Companion to Shostakovich*, ed. Pauline Fairclough and David Fanning (Cambridge: Cambridge University Press, 2008), 33.

<sup>75</sup> See Mishra, *A Shostakovich Companion*, 355-376, where Mishra argues that the first movement of the Fifth Symphony is an arch-sonata.

<sup>76</sup> Longman, *Expression and Structure*, 338.

<sup>77</sup> Longman, *Expression and Structure*, 338.

<sup>78</sup> Longman, *Expression and Structure*, 338.

symphony, Shostakovich uses the same tonal distance from the “general brutality of the world” to recreate on a larger scale the “haven” he created for the “Anne Frank” section, connecting the criticisms of these two poems.

When motivic connections within the symphony cannot adequately underscore the critique of the texts, Shostakovich paraphrases other music to help convey his criticisms.<sup>79</sup> At the conclusion of the B section, reh. 8+5, Shostakovich parodies the “style Russe” of the folk song “Akh, Vy seni, moi seni” (“Oh, my hay, my hay”).<sup>80</sup> According to Elizabeth Wilson, the tune is “set in the minor and in the grumbling register of bassoons and low brass,” and the transformation of “the accompaniment of slurred crotchets into accented syncopations” parodies the style.<sup>81</sup> Musical example 2 provides a transcription of the melody of “Akh, Vy seni, moi seni.”

Musical Example 2- Melody of “Akh, Vy seni, moi seni”



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<sup>79</sup> J. Peter Burkholder, *All Made of Tunes: Charles Ives and the Uses of Musical Borrowing*, (New Haven, CT: Yale University Press, 1995), 4. Paraphrasing is defined as using “an existing tune to form a new melody, theme, or motive.” I am aware that Burkholder’s terms were conceived for Ives’s music, but the general definition also serves to define Shostakovich’s use.

<sup>80</sup> Wilson, *Shostakovich: A Life Remembered*, 401, Mishra, *A Shostakovich Companion*, 243-245, Longman, *Expression and Structure*, 331. This melody is known to Western audiences from its use in Stravinsky’s *Petrushka*. The quotation from *Petrushka* can be found in the fourth movement, reh. 95– reh. 100 (original 1910-11 version).

<sup>81</sup> Wilson, *Shostakovich: A Life Remembered*, 401.

Musical example 3 is a reduction of the paraphrased passage from movement one.

Musical Example 3- Shostakovich, Thirteenth Symphony, reduction of mvt. I, reh. 8+5 to reh. 9

The Russian people are represented through their “folk” music, but the corruption of the folk style represents the corruption of the Russian people through anti-Semitic acts. This paraphrase could serve as a musical metaphor for what will happen to the Russian people if they do not become aware of anti-Semitism in the Soviet Union and fight against it.

This metaphor is reinforced from the paraphrase that begins the B section. The start of this section can be seen in musical example 4.

Musical Example 4- Shostakovich, Thirteenth Symphony, mvt. I, reh. 5 to reh. 5+6

The musical score is for rehearsal 5 to 5+6 of the first movement of Shostakovich's Thirteenth Symphony. It features a variety of instruments: Oboe, Bassoon, Tuba, B. Solo, Violin, Viola, Cello, and Bass. The tempo is marked 'Allegro' and the time signature is 3/4. The score shows a short melodic phrase in the oboe and bassoon, followed by a tuba part, and then a vocal solo part with lyrics 'Сид-ка' and 'Корень'. The string parts provide accompaniment with a minor second dyad on an upbeat.

This section is similar to another work by Shostakovich, “Happiness,” song 11 from the cycle “From Jewish Folk Poetry” (see musical example 5). There are two main similarities. The first is the short motive spanning a minor third that concludes the phrase (see example 4, reh. 5+1 and example 5, ms. 14). The second is the similarity in the accompaniments, with a minor second dyad on an upbeat, an accompaniment Joachim Braun calls a “klezmer ‘um-pa’ . . . over a pedal harmony.”<sup>82</sup>

<sup>82</sup> Braun, “The Double Meaning of Jewish Elements in Dimitri Shostakovich’s Music,” 72. Braun, 79, believes that this type of accompaniment can also add an air of ambiguity, since it can be “interpreted as ethnically neutral . . . and the performance style also allow[s] a general East European (Polish, Czech, or Romanian) interpretation.”



Musical Example 5- Shostakovich, *From Jewish Folk Poetry*, op 79a, “Happiness,”  
mm. 1– 15

Allegretto 4.50  
Камаринская

И ку- ку ели-ли по-лу-ку аки-да, пуха-  
н ста-ра, и стар-шой ка-ва-дер. Е-го ели-буй-сто-а-тр по-ле-  
да. И ва-ли зна-бу-ли та-м в пар-тор'

Given the title of the paraphrased composition, *From Jewish Folk Poetry*, and the impression that the composer is using his established techniques for musical treatment of Jewish subjects, a listener could read the paraphrase of “Happiness” as a reference to Jewish music.<sup>83</sup> The relation to the explicitly Jewish themes of “Babi Yar” would strengthen this interpretation.

The use of the paraphrased material is more ambiguous, however, especially when considering Braun’s belief that “Happiness” begins to eliminate traces of the specifically Jewish musical devices that the previous songs in the cycle used to create

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<sup>83</sup> These devices include “Jewish modes (the Phrygian mode with an augmented third and the Dorian mode with an augmented fourth), the “iambic prime” (that is, a series of primes—two notes of the same pitch—in an iambic rhythm, or with the first note of each group on an upbeat).” See Francis Maes, *A History of Russian Music From Kamarinskaya to Babi Yar* (Berkeley and Los Angeles: University of California Press, 2002), 364. For more on Shostakovich and Jewish themes, see Braun, “The Double Meaning of Jewish Elements in Dmitri Shostakovich’s Music,” 68-80 and Esti Sheinberg, “Jewish existential irony as musical ethos in the music of Shostakovich,” in *The Cambridge Companion to Shostakovich*, ed. Pauline Fairclough and David Fanning (Cambridge: Cambridge University Press, 2008), 350-367.

Jewish subjects.<sup>84</sup> Therefore, despite the surface level similarities to Jewish music, the paraphrased music could be interpreted not as Jewish but as Russian, as what Michael Mishra terms the *style russe* used by Mussorgsky.<sup>85</sup> The paraphrased music, which incorporates traits of both Jewish and Russian musical styles, aligns with Yevtushenko's explicit use of a narrator who is Russian, but hates anti-Semitism and is sympathetic to the problems of the Jewish people.

The musical creation of a Russian voice, using music that is not Jewish but shares characteristics with a Jewish identity, mirrors Yevtushenko's final lines: "There is no Jewish blood in mine / but I am adamantly hated by all anti-Semites as if I were a Jew / That is why I am a true Russian!" It is this Russianness that makes Shostakovich's setting of Yevtushenko's critique meaningful. As Mishra contends, "couching such a plea in a Jewish musical language . . . would actually have attenuated the power of the message. A plea to Russians to renounce anti-Semitism had to be done in Russian, not Jewish terms."<sup>86</sup> By referencing music and styles from outside the symphony, Shostakovich reinforces the specifically Russian nature of the critique of anti-Semitism of the poem.

### First Section of the Symphony, Movement Two

The formal structure of the second movement can be seen in Table 3.

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<sup>84</sup> Braun, "The Double Meaning of Jewish Elements in Dmitri Shostakovich's Music," 74.

<sup>85</sup> Mishra, *A Shostakovich Companion*, 244-245. He compares the use of this style with such contemporaneous works as *The Execution of Stepan Razin* and the film music for *Hamlet*. The influence of Mussorgsky would have been present in Shostakovich's mind, as he re-orchestrated *Khovanshchina* in 1959 and orchestrated *Songs and Dances of Death* in 1962.

<sup>86</sup> Mishra, *A Shostakovich Companion*, 244-245.

**Table 3**  
Formal Outline of Movement Two

<u>Section</u>	<u>Rehearsal Numbers</u>	<u>Tonality, Notes</u>
Intro	reh. 31- reh. 33	C major
A	reh. 33- reh. 37	C major
A <sup>1</sup>	reh. 37- reh. 41	C major, A <sup>b</sup> (minor), C major, B <sup>b</sup> minor
Intro	reh. 41- reh. 43	C major; initially in 3/4, changes back to 4/4 at reh. 42
A <sup>2</sup>	reh. 43- reh. 47	C major, A major
C	reh. 47- reh. 49	B <sup>b</sup> minor; movement one reminiscence
A <sup>3</sup>	reh. 49- reh. 51	E minor/ G major
B	reh. 51- reh. 54	E minor (with tritone symmetry on B <sup>b</sup> in bass); quotation from op. 62, no. 3
D	reh. 54- reh. 56	E minor (with tritone symmetry on B <sup>b</sup> in bass); martial music?
A <sup>4</sup>	reh. 56- reh. 57	E minor (with tritone symmetry on B <sup>b</sup> in bass); reprises flat-key string interruptions from introduction
D <sup>1</sup>	reh. 57- reh. 58	E minor (with tritone symmetry on B <sup>b</sup> in bass); martial music?
B <sup>1</sup>	reh. 58- reh. 62	E minor; quotation from op. 62, no. 3
Intro	reh. 62- reh. 63	reprises flat-key string interruptions from introduction
A	reh. 63- reh. 66	C major <sup>87</sup>
A <sup>5</sup>	reh. 66- reh. 70	C major and A <sup>b</sup> juxtaposed; reference to martial music at 2–reh. 68
A	reh. 70- reh. 71	C major
B	reh. 71- reh. 73	E minor; quotation from op. 62, no. 3

In the second movement, one hears Shostakovich, the humorist, at his most witty. Richard Longman labels this movement a scherzo, an apt characterization.<sup>88</sup> The fast tempo and lighter subject material fit into the historical genre of a symphonic scherzo. The scherzo qualities of the movement serve as a perfect foil to the dark and emotionally intense first movement, as does the tonal contrast from B<sup>b</sup> minor to the bright C major in which the second movement is cast. This establishes the pattern of a lighter movement

<sup>87</sup> Reh. 65+2 to 4–reh. 66 sound like a possible quotation.

<sup>88</sup> Longman, *Expression and Structure*, 336.

following a heavier one, a pattern that is continued in the motion from the dark A<sup>b</sup> minor of the fourth movement to the B<sup>b</sup> major of the fifth. Both pairs of movements are a step apart, and are related through tonal and affective contrasts.

These formal connections help make the work a symphony, as does the relationship between the second movement and the first and third movements. While the second movement is primarily in C major, there are substantial passages in E minor, the key of the third movement. Moreover, these passages typically employ an E-B<sup>b</sup> symmetry in the bass as a means of establishing E as the primary referential tone. This symmetry is a smaller level realization of the B<sup>b</sup>-E-B<sup>b</sup> arch of the symphony. By employing this symmetry, Shostakovich references the pitch center of the first movement. In this manner, he uses the second movement as a means of transition between the two sections of the symphony.

By connecting the musical content, Shostakovich unites the critiques of the poems. One such relationship to the poem can be seen in Shostakovich's use of two main musical ideas for the movement, the C major oscillation and the quoted material. This mirrors the poem's use of two ideas to portray those who use humor and those who control it, and to portray the difference between attempts to kill humor and humor's escape from these entrapments. An example of linked content between movements can be seen from reh. 45 to reh. 51. As Longman observes, this section serves as a "transformed, cyclic recollection of the introduction to the first movement,"<sup>89</sup> which presages other inter-movement relationships that are developed throughout the symphony. The tonic key of the first movement, B<sup>b</sup> minor, is referenced as tonic at reh. 47, which can be seen in

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<sup>89</sup> Longman, *Expression and Structure*, 335.

musical example 6. The tonality, modal cadence, tolling bell, slow ostinato accompaniment, and expanding clarinet line which imitates the horn gesture at the beginning of the first movement contribute to the creation of this reminiscence.

Musical Example 6- Shostakovich, Thirteenth Symphony, mvt. II, reh. 47 to reh. 47+6

The image shows a page of a musical score for Shostakovich's Thirteenth Symphony, movement II, rehearsal 47 to 47+6. The score is for a full orchestra and includes parts for Piccolo, Flute, English Horn, Clarinet, Bassoon, Contrabassoon, Horn, Trumpet, Tuba, Chimes, Harp, and Chorus. The tempo is marked 'And a tempo'. The score shows a complex texture with various instruments playing different parts, including a prominent clarinet line and a horn gesture.

Longman's contention that this section is "parodistic" or that it "represent[s] Humor mocking death" is inadequate.<sup>90</sup> Longman does not acknowledge how the aural return to the serious and scarred emotional and tonal landscape of B<sup>b</sup> minor recalls the seriousness of the first movement. The reminiscence of the first movement material in a lighter context "is both a reminder of, and a form of release for, the pent-up grief of that movement."<sup>91</sup> This release also is at work in movement five, which helps a listener deal with the grief of the fourth movement, but also serves as a reminder of that grief. The

<sup>90</sup> Longman, *Expression and Structure*, 335.

<sup>91</sup> Longman, *Expression and Structure*, 335.

ambiguous ending of the fifth movement returns to ideas from the first movement to illustrate the pervasive nature of the issues that movement raises.

The grief and pain of “Babi Yar” are intense, and by referencing these feelings in the two lightest movements, Shostakovich illustrates that these emotions cannot be easily dealt with or relieved cathartically within the bounds of the work. He wants the listener to continue to feel grief, and to continue to think about those events beyond the frame of the symphony, perhaps in an attempt, like Yevtushenko, to get the audience to confront these important issues.

A similar extension of musical meaning beyond the symphony can also be seen in the second movement. This movement incorporates a quotation from Shostakovich’s earlier song cycle op. 62, no. 3, which sets a Robert Burns poem “MacPherson before His Execution.” The first 18 measures of this setting can be seen in musical example 7.

Musical Example 7- Shostakovich, Op. 62, No. 3, mm. 1–18

опера С. МАРШАКА  
Allegretto  $\text{♩} = 112$

ТАК В СЕ.ДО, ОТ ЧА. СЯ.НО ШЕЛ

К ВМ. СЕ.ЛЮ.ЦЕ ОВ. В ПО. СЛО.Д.Н.И.Й ЧАС В ПО. СЛО.Д.Н.И.Й ПЛАС. ПУ. СТИ. Д. СЯ МАКФЕР. СОН.

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The quotation from the second movement is provided for comparison in musical example 8.

Musical Example 8- Shostakovich, Thirteenth Symphony, mvt. II, 3-reh. 51 to reh. 57+2

The image displays a page of a musical score for Shostakovich's Thirteenth Symphony, second movement, rehearsal 51 to 57+2. The score is arranged in a standard orchestral format with multiple staves. The instruments listed on the left include Flute (Fl.), Oboe (Ob.), Clarinet (Cl. in G), Bassoon (C. in Bb), Cor Anglais (Cor.), Trumpet (Tr.), Trombone (T.), Tuba, Timpani (Timp.), Snare Drum (Tubo), Cymbals (Cassa), Bassoon Solo (Bassoon Solo), Chorus (Coro), and Strings (Archi). The score features complex rhythmic patterns, including sixteenth and thirty-second notes, and dynamic markings such as *f* and *mf*. The Chorus part includes the lyrics: "Слава Тебе, Боже, Царю Небес и Земли" (Glory to Thee, O God, King of Heaven and Earth). The score is marked with rehearsal numbers 51 and 57+2. The page number 38 is visible at the bottom.

Burns's first stanza and refrain are quoted below, and can be compared to similar lines from Yevtushenko's poem:

Burns's poem:

Fareweel, ye dungeons dark and strong,  
Fareweel, Fareweel tae thee.  
MacPherson's time will nae be lang  
On yonder gallows tree.

Sae rantin'ly, sae wantonly  
Sae dauntin'ly gaed he  
He played a sprig and danced a jig  
Below the gallows tree.

Yevtushenko's text:

In a threadbare scanty coat,  
Crestfallen and as if repenting,  
Caught as a political prisoner  
He would go to his execution.

.....  
Just when the buffoons' pipes  
Would start their tale  
He would brightly cry: "I'm here."  
And would break into a dashing dance.

Burns's text is similar to Yevtushenko's, as both relate the story of a condemned man singing and dancing before his execution. In relating the poems by Burns and Yevtushenko, Shostakovich is again drawing connections; however, since one of the connections lies outside the symphony, its function serves as an expression of a universal message. Shostakovich's association of the two shows how "with its courage and folly, humor is irrepressible and hence eternal."<sup>92</sup> The extended paraphrase highlights the core values Yevtushenko and Shostakovich are espousing in their work.<sup>93</sup>

### Connections forming the Second Section of the Symphony

The second section achieves coherence through Shostakovich's use of motivic and pitch connections. Movement three begins with an instrumental introduction that establishes E minor as the primary tonal area (see musical example 9).

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<sup>92</sup> Wilson, *Shostakovich: A Life Remembered*, 402.

<sup>93</sup> Fay, *Shostakovich: A Life*, 134. The term "extended paraphrase" is defined by J. Peter Burkholder in *All Made of Tunes*, 4, as the use of existing music "in which the melody for an entire work or section is paraphrased from an existing tune."



Musical Example 9- Shostakovich, Thirteenth Symphony, mvt. III, reh. 73 to reh. 73+16

The end of this movement features a reprise of the introductory material; however, instead of concluding the descending line that establishes E at a pitch center, the line halts on the A<sup>b</sup> (see the 14th measure of musical example 9). This A<sup>b</sup> is then sustained into the start of the fourth movement. This movement begins with an A<sup>b</sup> pedal in the ‘cellos, basses, and timpani (see musical example 10).

Musical Example 10- Shostakovich, Thirteenth Symphony, mvt. IV, reh. 92 to reh. 93+8

Shostakovich uses a similar procedure to transition to the next movement. At reh. 118 (see musical example 11), he starts to establish F major in order to prepare the modulation to B<sup>b</sup> major in the next movement.

Musical Example 11- Shostakovich, Thirteenth Symphony, mvt. IV, 1-reh. 118 to reh. 118+8

The image shows a musical score for Musical Example 11, consisting of two systems of staves. The first system includes staves for Cor. (Cornets), Vcra (Trumpets), Vnli (Violins I), Vle (Violins II), Vc. div. (Violoncelli), and Co. (Contrabassi). The second system includes staves for Cor., Vcra, Vc. (Violoncelli), and Co. Performance markings include 'rit' (ritardando) and 'sord' (sordina). The score is in a key with one flat and a common time signature.

Movement four ends with a sustained B<sup>b</sup>-F dyad, which then becomes the tonic of movement five (see musical example 12).

Musical Example 12- Shostakovich, Thirteenth Symphony, mvt. V, reh. 119 to reh. 119+5

The image shows a musical score for Musical Example 12, consisting of a single system of staves. The staves are labeled: 2 Flauti, 4 Corni (F), Violini II, Viole, Violoncelli, and Contrabassi. The tempo marking is 'Allegretto' with a metronome marking of 120. The score is in a key with one flat and a common time signature.

The cohesiveness of the second section results from these transitions between movements.

Second Section of the Symphony, Movement Three

Unlike the previous two movements, which begin with clearly established tonal areas, the third movement opens ambiguously. The key signature implies either E minor

or G major, but the opening ‘cello and bass line initially establishes a centrality on the pitch B. As can be seen from the structural outline in Table 4, the form of the movement depends primarily on the verse structure of the text. When instrumental interludes occur, they achieve unity through their derivation from the opening passage.<sup>94</sup>

**Table 4**  
Formal Outline of Movement Three

<u>Section</u>	<u>Rehearsal Numbers</u>	<u>Tonality, Notes</u>
Intro	reh. 73- reh. 74	E minor
Verse 1	reh. 74- reh. 76	E minor; soloist
Verse 2	reh. 76- reh. 78	E minor (with passages under G and B pedals); chorus, new texture
Verse 3	reh. 78- reh. 80	E minor; soloist
Verse 4	reh. 80- reh. 81+3	E minor; soloist, compressed instrumental passage between verses
Verse 5	reh. 81+3- reh. 82	G major; chorus, similar texture as previous choral statement
Verse 6	reh. 82- reh. 83	E minor; decreased time between verses and truncation of instrumental passages; creates faster dramatic rhythm, leading to climax
Verse 7	reh. 84- reh. 86	E minor; soloist, with lines repeated by chorus
Verse 8	reh. 86- reh. 88	E minor; soloist, verse of 2 lines
Verse 9	reh. 88- reh. 90	E minor; chorus, verse of 2 lines; climax
Verse 10	reh. 90- reh. 91	soloist, with choral homophony (F major-C major plagal cadence)
Intro/ Trans.	reh. 91- reh. 92	E minor

The movement is fairly static harmonically, representing the unchanging, dreary nature of the lives of the Russian women. The climax of the movement occurs at reh. 88. The text has been extolling the virtue and honor of Russian women, and it is possible to interpret the climax of the poem as a continuation of this theme:

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<sup>94</sup> See for example reh. 77, where the clarinet plays a melody expanded from the viola (at 2–reh. 74), which is in turn derived from the opening measures.

They have endured everything.  
 They will endure everything.  
 Everything on earth is possible for them,  
 They have been given so much strength.

Such a reading would be reinforced by the fact that these are the only lines of the poem that Shostakovich repeats in his setting, giving the text first to the soloist and then to the choir. However, the musical climax, with the full orchestra playing *fortissimo* and with soloist and chorus singing together for the first time in the movement, shifts the weight of the poem's meaning. The climax of the movement is on the lines that criticize those who take advantage of the women, coming as the singers intone the lines "It is shameful to short-change them, it is sinful to short-weigh them." Shostakovich's emphasis of these lines suggests that his reading of the poem is primarily concerned with the moral treatment of these women.<sup>95</sup>

#### Second Section of the Symphony, Movement Four

As can be seen in Table 5, movement four is fairly static tonally.

**Table 5**  
Formal Outline of Movement Four

<u>Section</u>	<u>Rehearsal Numbers</u>	<u>Tonality, Notes</u>
Intro	reh. 92- reh. 95	A <sup>b</sup> /G <sup>#</sup> minor
Verse 1	reh. 95- reh. 98	G <sup>#</sup> minor
Verse 2	reh. 98- reh. 103	G <sup>#</sup> minor; descending chromatic transition at reh. 99
Verse 3	reh. 103- reh. 105	G <sup>#</sup> minor
Instrumental Passage	reh. 105- reh. 107	G <sup>#</sup> minor; F-B dyad pedal from 2–reh. 105 to 4–reh. 106
Verse 4	reh. 107- reh. 110	G <sup>#</sup> minor
Verse 5	reh. 110- reh. 112	G <sup>#</sup> minor; march paraphrase
Verse 6	reh. 112- reh. 114	transitional passage at reh. 113 heavily chromatic, but leading to C <sup>#</sup> minor

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<sup>95</sup> After this climax, Shostakovich writes the first and only non-homophonic choral music of the entire symphony. At reh. 90+3, the choir sings a plagal cadence in C major, representing the "saintly hands" of the text.

<u>Section</u>	<u>Rehearsal Numbers</u>	<u>Tonality, Notes</u>
Instrumental	reh. 114- reh. 115	C <sup>#</sup> minor; climax
Passage		
Verse 7	reh. 115- reh. 118	G <sup>#</sup> minor
Intro/ Trans.	reh. 118- 119	moving to B <sup>b</sup>

It is not harmonic motion that propels the movement, but rather Shostakovich's setting of the drama of the text, which has an inherent motion towards the "new fears" that arise in the final lines.

Movement four uses a motive from the introduction to movement three.

Movement four is also related musically to movement one, as both movements contain substantial sections of martial music. In movement one, the martial music appears in a terrifying passage as the Nazis are approaching and entering Anne Frank's hiding place. The music is violent and impersonal, a literal rendering of the fear and anger of Yevtushenko's poetry. The passage of music from reh. 20 to reh. 21, the climax of this section and of the entire movement, achieves its strength from the full orchestra playing the same rhythm *fortissimo* and from the use of percussion.

In the fourth movement, the martial music is different. The music is hushed, marked both *piano* and *col legno*. The piano and string parts feature homogenous rhythms, but there are opposing lines in the woodwinds. The percussion parts are more sedate than those in the first movement. Another difference in mood is effected when, for the first time in this movement since the opening lines, Shostakovich sets the text in the choir, which mirrors the text's change from first person narration to third person. Despite these differences, it is worth noting the use of martial music in both movements at important structural locations. In the first movement, the music comes at the height of the

climax, and in the fourth the march directly precedes the new section that concludes the movement.

The march from the fourth movement is a paraphrase of the “Soviet marching song ‘*Semlo tovarischi v nagu*’ (‘Bravely, comrades, march to step’).”<sup>96</sup> Musical example 13 provides a transcription of the marching song.

Musical Example 13- *Semlo tovarischi v nagu* (“Bravely, comrades, march to step”)

Musical score for 'Semlo tovarischi v nagu' in 4/4 time. The score is arranged in three systems, each with a vocal line (treble clef) and a piano accompaniment (treble and bass clefs). The key signature has one sharp (F#). The first system shows the beginning of the piece. The second system includes a first ending bracket over the final two measures. The third system includes a second ending bracket over the final two measures. The piano accompaniment features a steady eighth-note bass line and chords in the right hand.

This can be compared to the paraphrase from movement four, which is reduced for comparison in musical example 14.<sup>97</sup>

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<sup>96</sup> Wilson, *Shostakovich: A Life Remembered*, 402.

<sup>97</sup> For this example, the clarinets, bassoon, and percussion are omitted to facilitate comparison.

Musical Example 14- Shostakovich, Thirteenth Symphony, mvt. IV, reh. 3– reh. 110 to reh. 110+8

The musical score is arranged in systems. The first system includes Bass, Coro, Vla, Vc, and Cb. The second system includes Piano, Coro, and Archi. The third system includes Coro, Archi, and a section with two staves. The lyrics are in Russian and include the words "Sostenuto" and "col legno". Musical markings include "uniso", "dim", "pp", "col legno", "pizz.", and "arco".

In the symphony, the hollow bombast of propaganda music is portrayed through the power of the massed choir and the martial rhythm. By locating the paraphrase of an established musical style within the critique of the text, Shostakovich uses the materials of the regime to criticize the regime itself, while drawing parallels between criticisms from movements one and four.

## Second Section of the Symphony, Movement Five

The simplicity of the flute melody and the sustained I and IV chords create a pastoral air in the introduction of this movement. This movement, like the second, functions as a release from the psychological tension from the preceding movement. In a larger context, the fifth movement helps dispel the overwhelmingly dark mood of the symphony. Table 6 shows how the text is divided into four main sections, progressing from B<sup>b</sup> major to G major and back to B<sup>b</sup> for the conclusion of the movement.

**Table 6**  
Formal Outline of Movement 5

<u>Section</u>	<u>Rehearsal Numbers</u>	<u>Tonality, Notes</u>
Intro	reh. 119- reh. 126	B <sup>b</sup> major, with references to F minor, E <sup>b</sup> minor; melody in flute at reh. 119, oboe at reh. 120+ 4, flute at reh. 122, strings at reh. 123, possible quotation at reh. 125, bassoon melody at reh. 125+ 6
Galileo text transition	reh. 126- reh. 134 reh. 134- reh. 140	G major, C <sup>#</sup> minor, D <sup>b</sup> major moves to G major at reh. 134, then B <sup>b</sup> major at reh. 135
Tolstoy text fugue transition	reh. 140- reh. 143 reh. 143- reh. 148 reh. 148- reh. 150	G major, F minor, E <sup>b</sup> minor G, but with chromatic coloring and fugal entrances on E <sup>b</sup> , A <sup>b</sup> G major; material from reh. 125 returns again at reh. 148
Doctors text	reh. 150- reh. 153	G major, E <sup>b</sup> ; allusion to fugue from reh. 151 to reh. 153
“Sacred Belief” text	reh. 153- reh. 156	G major; bass clarinet plays version of bassoon melody at reh. 155
reprise of intro material	reh. 156- reh. 161	B <sup>b</sup> major
Coda	reh. 161- end	B <sup>b</sup> major

While it seems initially that this movement will be musically static and emotionally restorative, at reh. 125+6, a jaunty bassoon melody enters, casting doubt on



this idea. The main body of the movement juxtaposes low styles, such as the bassoon motif, interrupting trumpets, and rowdy exhortations of the choir, with high styles, like the fugue that begins at reh. 143. The text immediately preceding the fugue (“Talent is talent, brand them as one may”) reveals that the fugue represents talent and technique. The interplay between low and high styles mirrors the contrast between sections of the movement that either releases the symphony’s tension, typically using the tonality of B<sup>b</sup> major, or that creates an ambiguous tonal and emotional atmosphere.

This contrast reaches its climax in the coda of the movement. The majority of the coda is solidly in B<sup>b</sup> major and heralded by a B<sup>b</sup> from the chimes; however, the final bars weaken this modality. The closing measures of the symphony are shown below in musical example 15:

Musical Example 15- Shostakovich, Thirteenth Symphony, mvt. V, reh. 161+ 7 to end

The chime plays a B<sup>b</sup>, the final note of the F-G<sup>b</sup>-A<sup>b</sup> line began by the celesta, an extended version of the modal cadence prevalent throughout the symphony.<sup>98</sup> Moreover,

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<sup>98</sup> The importance of the celesta has been commented on numerous times in Shostakovich’s music. Michael Mishra observes that the final movements of the Fourth and Fifteenth Symphonies employ the celesta as

this melodic line, through its incorporation of scale degrees <sup>b</sup>6 and <sup>b</sup>7, undermines the B<sup>b</sup> major modality of the coda. Shostakovich frames the work by ending the piece with the same sounds with which it began, as both the ambiguous modality and the sound of the chime function as a reminiscence of the first movement and Babi Yar.

Shostakovich brings the listener full circle in the symphony, and in so doing, he acknowledges the persistence of the themes of “Babi Yar.” With the return of these gestures, as the concluding bars of the work show, the criticisms articulated in the poems were not to be resolved in the confines of an hour-long symphony. Rather, they emerge as pervasive critiques of Soviet society. The gestures return throughout the work in a series of different guises, they foil all attempts at resolution, and they are left hanging in the air as the final bars of the piece die away.

Shostakovich created connections within the symphony for purposes of musical cohesion and to relate the disparate criticisms of the poems. Shostakovich also relates these criticisms beyond the work itself. By employing references to music that has an independent existence outside of the work, the symphony achieves a universal expression. The symphonic treatment of the music strengthens the critiques of the poem by connecting disparate topics musically and layering potential meanings to create a web of criticisms that touch on many aspects of the Soviet regime and life.

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well. See Michael Mishra, “Shostakovich’s ‘Trademark Form,’” in *A Shostakovich Companion*, ed. Michael Mishra (Westport, CT: Praeger, 2008), 366. For writings on how the celesta reveals the influence of Benjamin Britten, see Lyudmila Kovnatskaya, “Shostakovich and Britten: Some Parallels,” in *Shostakovich in Context*, ed. Rosamund Bartlett (New York: Oxford University Press, 2000), 189, and more generally, Eric Roseberry, “A debt repaid? Some observations on Shostakovich and his late-period recognition of Britten,” in *Shostakovich Studies*, ed. David Fanning (Cambridge: Cambridge University Press, 1995), 229-253.

## EPILOGUE

### Shostakovich and the regime

In all of Shostakovich's *oeuvre*, the Thirteenth Symphony is the piece most critical of the regime and is the closest he came to outright dissidence. Numerous commentators have remarked on this aspect of the work. Eric Roseberry calls the Thirteenth Symphony "the most heroically outspoken in its bid for freedom of expression."<sup>99</sup> Richard Taruskin states that in the Thirteenth Symphony, Shostakovich was "manifestly wrestling with Soviet authority."<sup>100</sup> Francis Maes believes that the work "takes [Shostakovich's] critique of the regime to its furthest point," but that the work is not "outright dissent" because "it broaches subjects that could be discussed . . . provided only that the basis of the Soviet regime was not brought into question."<sup>101</sup> Michael Mishra places the work in the context of the long-delayed premiere of the Fourth Symphony and Shostakovich's joining the Party. In doing so, he claims that the

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<sup>99</sup> Eric Roseberry, "Personal integrity and public service: the symphonist," in *The Cambridge Companion to Shostakovich*, ed. Pauline Fairclough and David Fanning (Cambridge: Cambridge University Press, 2008), 32.

<sup>100</sup> Richard Taruskin, "Shostakovich and Us," in *Defining Russia Musically: Historical and Hermeneutical Essays* (Princeton: Princeton University Press, 2000), 491.

<sup>101</sup> Maes, *A History of Russian Music From Kamarinskaya to Babi Yar*, 367. Maes, 368, also claims that this "was the last composition in which Shostakovich expressed a clear public message. Thereafter he confined himself to introspective works."

symphony was “the biggest indicator of a newly emboldened Shostakovich” who was willing “to risk one more confrontation with the authorities.”<sup>102</sup>

It is beyond the scope of this paper to comment on the ongoing and polemical argument that attempts to locate Shostakovich as either for or against the regime. Not only does this argument reveal little about Shostakovich’s music, it seems irrelevant regarding the Thirteenth Symphony, which is unarguably critical. More useful than what the work could indicate about Shostakovich’s relationship to the regime are the insights it does reveal into the collaborators’ personal feelings on morality and social justice. Elizabeth Wilson believes that the work is “an open declaration of the composer’s unequivocal stand against social injustice and racial prejudice.”<sup>103</sup> As Richard Longman observes, “Shostakovich juxtaposes the ‘ordinariness’ of civic issues, social justice, and social behaviour, with the barely more lofty declarations of the artist . . . to perform his function with the same honesty and determination that he postulates as befitting the Russian society in which he lives.”<sup>104</sup> According to Laurel Fay, the poems were linked through “their bold engagement with social and political ills in contemporary Soviet life.”<sup>105</sup>

With the Thirteenth Symphony, Yevtushenko and Shostakovich were critiquing the Soviet regime and way of life. The symphony, while critical, is rarely moralizing. The artists seemed more concerned with drawing attention to these problems, as opposed to exhorting people to change their behaviors. Despite this, two artists of different mediums

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<sup>102</sup> Mishra, *A Shostakovich Companion*, 240.

<sup>103</sup> Wilson, *Shostakovich: A Life Remembered*, 400.

<sup>104</sup> Longman, *Expression and Structure*, 325.

<sup>105</sup> Fay, *Shostakovich: A Life*, 228.

and different generations fought “for the same cause—freedom of the human spirit,”<sup>106</sup> leading them to create powerful artworks that would, as Shostakovich himself said, “deal with the problem of civic, precisely ‘civic,’ morality.”<sup>107</sup>

In a letter to Boris Tishchenko, Shostakovich defended Yevtushenko’s poetry:

You don’t like that he collared you and preaches what you know: “Don’t steal honey,” “Don’t lie,” etc. I also know that one shouldn’t behave that way. And I try not to. However, it doesn’t bore me to hear it over and over again. Perhaps Christ said it better, probably even best of all. But that doesn’t deprive Pushkin, Lev Tolstoy, Dostoyevsky, Chekov, J.S. Bach, Mahler, Musorgsky, and many others of the right to speak about it. Moreover, I believe they have an obligation to speak about it, as does Yevtushenko. To remind us of it over and over again is the sacred obligation of man.<sup>108</sup>

### Future Research

Much work remains to be done with Shostakovich in general, and with this work in particular. A more detailed analysis of the work, similar to David Fanning’s two excellent studies on the Tenth Symphony and Eighth String Quartet, would be in order. Future research could investigate more fully the commonalities between this work and the Eighth String Quartet, in terms of form, style, and use of borrowed or recycled music. Also worthy of investigation would be an examination of the composer’s last three symphonies. An additional avenue of research would be an exhaustive study of Shostakovich’s music in relation to Judaism, incorporating the numerous works he wrote involving Jewish themes, either musical or extra-musical.

In terms of Shostakovich and text setting, scholars still lack a comprehensive study of his set texts, his procedures, or aesthetic decisions. Related to this, a study of Shostakovich and Mahler would be invaluable, especially as related to the Thirteenth

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<sup>106</sup> Schwarz, *Music and Musical Life in Soviet Russia*, 367.

<sup>107</sup> Fay, *Shostakovich: A Life*, 228.

<sup>108</sup> Fay, *Shostakovich: A Life*, 229.

Symphony, which shows Mahler's influence in the use of a large orchestral canvas and blurring of distinctions between song cycle, orchestral song, and symphony with voice.

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## Appendix 1- Translations

<b>БАБИЙ ЯР</b>	<b>Babi Yar</b>	<b>Babi Yar</b>
<p>Над Бабьим Яром памятников нет. Крутой обрыв, как грубое надгробье. Мне страшно. Мне сегодня столько лет, как самому еврейскому народу.</p> <p>Мне кажется сейчас -я иудей. Вот я бреду по древнему Египту. А вот я, на кресте распятый, гибну, и до сих пор на мне - следы гвоздей. Мне кажется, что Дрейфус - это я. Мещанство - мой доносчик и судья. Я за решеткой. Я попал в кольцо. Затравленный, оплеванный, оболганный. И дамочки с брюссельскими оборками, визжа, зонтами тычут мне в лицо. Мне кажется - я мальчик в Белостоке.</p> <p>Кровь льется, растекаясь по полам. Бесчинствуют вожди трактирной стойки и пахнут водкой с луком пополам.</p> <p>Я, сапогом отброшенный, бессилен. Напрасно я погромщиков молю.</p> <p>Под гогот: "Бей жидов, спасай Россию!"- насилует лабазник мать мою.</p>	<p><b>Babi Yar</b></p> <p>Nad Babim Yarom pamyatnikov nyet. Krutoi obryv, kak gruboye nadgrobye. Mne strashno. Mne sevodnya stolko let, Kak samomu yevreiskomu narodu.</p> <p>Mne kazhetsya seichas - ya iudei. vot ya bredu po drevnemu Egiptu. A vot ya, na kreste raspyatyi, gibnu. I do sikh por na mne - sledy gvozdei. Mne kazhestya, shot Dreifus - eto ya. Meshchanstvo - moi donoschik i sudya. Ya za reshotkoi. Ya popal v koltso, Zatravlennyi, oplyovannyi, obolgannyi, I admochki s bryusselskimi oborkami, Vizzha, zontami tychut mne v litso. Mne kazhetsya, ya - malchik v Belostoke.</p> <p>Krov lyotsya, rastekayas po polam, Beschinstvuyut vozhdii traktimoi stoiki I pakhnut vodkoi s lukom popolam.</p> <p>Ya sapogom otbroshennyi, bessilnyi. Naprasno ya pogromshchikov molyu.</p> <p>Pod gogot: "Bei zhidov, spasai Rossiyu!" Labaznik izbiyavet mat moyu.</p>	<p><b>Babi Yar</b></p> <p>Over Babi Yar there are no monuments. The steep precipice is like a crude gravestone. I am terrified. I am as old today As all Jewish people.</p> <p>Now I imagine that I'm a Jew. Here I wander through ancient Egypt. And here, on the cross, crucified, I perish. And still I have on me the marks of the nails. I imagine myself to be Dreyfus. The Philistine - my informer and judge. I am behind bars. I am surrounded. Persecuted, spat on, slandered. And dainty ladies in Brussels frills, Squealing, poke their parasols into my face. I imagine myself the boy from Belostok.</p> <p>Blood flows, running over the floors. The rabble-rousers in the tavern commit their outrages Reeking of vodka and onions, half and half.</p> <p>Kicked by a boot, I lie helpless. In vain I plead with the pogrom-makers.</p> <p>Accompanied by jeers: "Beat the Yids, save Russia!" A grain merchant batters my mother.</p>

По сущности интернационален.  
Но часто те, чьи руки нечисты,  
твоим чистейшим именем бряцали.  
Я знаю доброту твоей земли.  
Как подло, что, и жилочкой не дрогнув,  
антисемиты пышно нарекли себя

"Союзом русского народа"!

Мне кажется - я - это Анна Франк,  
прозрачная, как веточка в апреле.  
И я люблю. И мне не надо фраз.  
Мне надо, чтоб друг в друга мы  
смотрели.  
Как мало можно видеть, обонять!  
Нельзя нам листьев  
и нельзя нам неба.  
Но можно очень много - это нежно  
друг друга в темной комнате обнять.

Сюда идут?

Не бойся — это гулы  
самой весны - она сюда идет.  
Иди ко мне.  
Дай мне скорее губы.

Ломают дверь?

Нет - это ледоход...

Над Бабьим Яром шелест диких трав.  
Деревья смотрят грозно, по-судейски.  
Все молча здесь кричит, и, шапку сняв,  
я чувствую, как медленно седею.

*Po sushchnosti internazionalen.*  
*No chasto te, chi ruki nechisty*  
*Tvoim chiteishim imenem bryatsali.*  
*Ya znayu dobrotu moyei zemli.*  
*Kak podlo, shto i zhilochkoi ne drognuv.*  
*Antisemity narekli sebya*

*"Soyuzom Russkovo Naroda!"*

*Mne kazhetsya ya - eto Anna Frank,*  
*Prozrachnaya, kak vetochka v aprele,*  
*I ya lyublyu, i mne ne nado fraz,*  
*No nado, shtob drug v druga my smotreli.*  
*Kak malo mozhno videt, obonyat!*  
*Nelzya nam listyev*  
*I nelzya nam neba,*  
*No mozhno ochen mnogo - eto nezno*  
*Drug druga v tyomnoi komnate obnyat.*

*"Syuda idut!"*

*"Ne boisa, eto guly*  
*Samoy vesny. Ona syuda idyot.*  
*Idi ko mne,*  
*Dai mne skoreye guby!"*

*"Lomayut dver!"*

*"Nyet, eto ledokhod..."*

*Nad Babim Yarom shelest dikikh trav,*  
*Derevyia smotryat grozno, po-sudeiski.*  
*Zdes molcha vsyo krichit, i, shapku snyav,*  
*Ya chuvstvuyu, kak medlenno sedeyu.*

*Are innately international*  
*But often those whose hands were vile*  
*In vain used your purest name.*  
*I know the goodness of my land.*  
*What base lowness - without a quiver of a vein*  
*The anti-Semites proclaimed themselves*

*"The Union of the Russian People!"*

*I imagine myself as Anne Frank,*  
*Transparent as a sprig in April,*  
*And I love, and have no need for phrases,*  
*But I do need for us to gaze into each other.*  
*How little one can see, or smell!*  
*Leaves - we cannot have,*  
*Sky - we cannot have,*  
*But there is so much we can have -*  
*To embrace tenderly in a darkened room.*

*"They're coming!"*

*"Don't be afraid, those are the booming sounds*  
*Of Spring itself. It's coming here.*  
*Come to me,*  
*Quickly, give me your lips!"*

*"They're breaking the door!"*

*"No, it's the ice breaking..."*

*Over Babi Yar the wild grasses rustle.*  
*The trees look sternly as if in judgement.*  
*Here everything screams silently and, taking off my hat*  
*I feel I am slowly turning grey.*

<p>И сам я, как сплошной беззвучный крик, над тысячами тысяч погребенных. Я - каждый здесь расстрелянный старик. Я - каждый здесь расстрелянный ребенок. Ничто во мне про это не забудет!</p> <p>"Интернационал" пусть прогремит, когда навеки похоронен будет последний на земле антисемит.</p> <p>Еврейской крови нет в крови моей. Но ненавистен злобой заскоружлой я всем антисемитам, как еврей,</p> <p>и потому - я настоящий русский!</p>	<p>I sam ya, kak sploshnoi bezzvuchnyi krik, Nad tysyachami tysyach pogrebyonnykh. Ya - kazhdyi zdes rasstrelyanni starik. Ya - kazhdyi zdes rasstrelyanni rebyonok. Nichto vo mne pro eto ne zabudet.</p> <p>"Internatsional" pust progremit. Kogda naveki pokhoronen budet Posledni na zemle antisemit.</p> <p>Yevreiskoi krovi nyet v krovi moyei, No nenavisten zloboi zaskoruzloi Ya vsem antisemitam, kak yevrei.</p> <p>I potomu ya - nastoyashchi russki!</p>	<p>And I myself am one long soundless cry. Above the thousand thousands buried here. I am every old man here shot dead. I am every child here shot dead. Nothing in me will ever forget this.</p> <p>The "Internationale" - let it thunder When forever will be buried The last of the anti-Semites on earth.</p> <p>There is no Jewish blood in mine, But I am adamantly hated By all anti-Semites as if I were a Jew.</p> <p>That is why I am a true Russian!</p>
<p><b>ЮМОР</b></p> <p>Цари, короли, императоры, Властители всей земли Командовали парадными, Но юмором - не могли. В дворцы именитых особ, все дни возлежащих выхоленно, являлся бродяга Эзоп, и нищими они выглядели.</p> <p>В домах, где ханжа наследил Своими ногами шуплыми,</p> <p>Всю пошлость Ходжа Насреддин</p>	<p><b>Yumor</b></p> <p>Tsari, koroli, imperatory, Vlastiteli vsei zemli, Komandovali paradami, No yumorom, no yumorom ne mogli. V dvortsy imenitykh osob, Vse dni volzezhchikh vykholenno, Yavlyalsya brodyaga Ezop, I nishchimi oni vyglyadeli.</p> <p>V domakh, gde khanzha nasledil Svoimi nogami shchuplymi,</p> <p>Vsyu poshlost Khodzha Nasreddin</p>	<p><b>Humor</b></p> <p>Tsars, kings, emperors, Rulers of the world, Commanded parades But humor - humor they could not. To the palaces of the eminent Who, well groomed, all day reclined. Came the vagabond Aesop And before him all appeared impoverished.</p> <p>In homes where a hypocrite left traces Of his puny feet, And this banality Hadji Nasr-ed-Din</p>

<p>Сшибал, как шахматы, шутками.</p> <p>Хотели юмор купить -</p> <p>Да только его не купишь!</p> <p>Хотели юмор убить -</p> <p>А юмор показывал кукиш!</p> <p>Бороться с ним дело трудное. Казнили его без конца.</p> <p>Его голова отрубленная Качалась на пике стрельца.</p> <p>Но лишь скоморошья дудочки Свой начинали сказ Он звонко кричал: "Я туточки!" -</p> <p>И лихо пускался в пляс.</p> <p>В потрёпанном куцем пальтишке, Понурясь и словно каясь, Преступником политическим Он, пойманный, шёл на казнь. Всем видом покорность выказывал: "Готов к неземному житью". Как вдруг из пальтишка выскальзывал, Рукою махал ...</p> <p>И тютю!</p>	<p>Sshibal, kak shakhmaty, shutkami.</p> <p>Khoteli humor kupit.</p> <p>Da tolko evo ne kupish!</p> <p>Khoteli yumor ubit.</p> <p>A yumor pokazyal kukish.</p> <p>Borotsya s nim - delo trudnoye, Kaznili evo bez kontsa.</p> <p>Evo golova obrublennaya Torchala na pike streltsa.</p> <p>No lish skomoroshi dudochki Svoi nachinali skaz, On zvonko krichal: "Ya tutochki."</p> <p>I likho puskalsya v plyas.</p> <p>V potryopannom kutsem palitshke, Ponuryas i slovno kayas, Prestupnikom politicheskim On, poimannyi, shol na kazn. Vsem vidom pokornost vykalzyval, Gotov k nezemnomu zhityu, Kak vdrug iz paltishka vyskalzyval, Rukoi makhal</p> <p>I tyu-tyu!</p>	<p>Swept aside with his jokes like a chessboard.</p> <p>They wanted to buy humor.</p> <p>Only he cannot be bought!</p> <p>They wanted to kill humor.</p> <p>But humor thumbed his nose.</p> <p>To battle him is tough business. They executed him endlessly.</p> <p>Humor's severed head Was stuck on a warrior's pike.</p> <p>Just when the buffoons' pipes Would start their tale He would brightly cry: "I'm here."</p> <p>And would break into a dashing dance.</p> <p>In a threadbare scanty coat, Crestfallen and as if repenting, Caught as a political prisoner He would go to his execution. His appearance displayed obedience, Ready for his life hereafter, When suddenly he would slip out of his coat Waiving his hand</p> <p>And bye-bye!</p>
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<p>Юмор прятали в камеры, Да чёрта с два удалось.</p> <p>Решётки и стены каменные Он проходил насквозь. Откашливаясь простужено, как рядовой боец шагал он частушкой-простушкой с</p> <p>винтовкой на Зимний Дворец.</p> <p>Привык он к взглядам сумрачным Но это ему не вредит, И сам на себя с юмором Юмор порою глядит.</p> <p>Он вечен. Он ловок и юрок.</p> <p>Пройдет через всё, через всех.</p> <p>Итак, да славится юмор! Он - мужественный человек.</p>	<p>Yumor pryatali v kamery, Da chorta s dva udalos.</p> <p>Reshotki i steny kamennyye On prokhodli naskvoz. Otkashlivayas prostuzhenno, Kak ryadovoi boyets Shagal on chastushkoi-prostushkoi</p> <p>S vintovkoi na Zimni dvoryets.</p> <p>Privyk on ko vzglyadam sumrachnym, No eto yemu ne vredit, I sam na sebya s yumorom Yumor poroi glyadit.</p> <p>On vechen. On lovok. I yurok.</p> <p>Prodyot cherez vsyo, cherez vsekh.</p> <p>Itak, da slavitsya yumor! On - muzhesvennyi chelovek.</p>	<p>They hid humor in cells, But like hell they succeeded.</p> <p>Iron bars and stone walls He would pass right through. Clearing his throat from the cold, Like an ordinary soldier He marched as a simple ditty</p> <p>With a rifle for the Winter Palace.</p> <p>He is used to stern glances, But it does not hurt him. And humor looks upon himself At times with humor.</p> <p>He is everlasting. He is smart. And nimble.</p> <p>He will walk through everything and everybody.</p> <p>And so, glory to humor! He is a courageous fellow.</p>
<p><b>В МАГАЗИНЕ</b></p> <p>Кто в платке, а кто в платочке, как на подвиг, как на труд, в магазин поодиночке молча женщины идут.</p>	<p><b>V magazine</b></p> <p>Kto v platke, a kto v platochke, Kak na podvig, kak na trud, V magazin poodinochke Molcha zehنشchiny idut.</p>	<p><b>In the Store</b></p> <p>Some in shawls, some kerchiefs, As if to a heroic feat or labor Into the store one by one Women silently enter.</p>

О бидонов их бряцанье,  
звон бутылок и кастрюль!  
Пахнет луком, огурцами,  
пахнет соусом «Кабуль».

Зябну, долго в кассу стоя,  
но покуда движусь к ней,  
от дыханья женщин стольких  
в магазине все теплей.

Они тихо поджидают —  
боги добрые семьи,  
и в руках они сжимают  
деньги трудные свои.

Это женщины России.  
Это наша честь и суд.  
И бетон они месили,  
и пахали, и косили...

Все они переносили,  
все они перенесут.

Все на свете им посильно,—  
столько силы им дано.

Их обсчитывать постыдно.  
Их обвешивать грешно.

И, в карман пельмени сунув,  
я смотрю, смущен и тих,  
на усталые от сумок  
руки праведные их.

#### 4. СТРАХИ

O, bidonov ikh bryatsanye,  
Zvon butylok i kastryul.  
Pakhnet lukom, ogurtsami,  
Pakhnet sousom Kabul.

Zyabnu, dolgo v kassu stoya,  
No pokuda dvizhus k nei,  
Ot dykhanya zhenshchin stolkiikh  
V magazine vsyo teplei.

Oni tikho podzhidayut,  
Bogi dobryye semi,  
I v rukakh oni szhimayut  
Dengi trudnyye svoi.

Eto zhenshchiny Rossii,  
Eto nasha chest i sud.  
I beton oni mesili,  
I pakhali, i kosili.

Vsyo oni perenosili,  
Vsyo oni perenesut.

Vsyo na svete im posilno,  
Skolko sily im dano.

Ikh obschityvat postydno,  
Ikh obveshivat greshno.

I, v karman pelmeni sunuv,  
Ya smotryu, surov i tikh,  
Na ustalyye ot sumok  
Ruki pravednyye ikh.

#### Strakhi

Oh, the clanking of the cans,  
The clanging of the bottles and saucepans.  
The smell of onions and cucumbers,  
The smell of "Kabul" sauce.

I shiver queuing for the cashier  
But as I keep moving closer  
From the breathing of so many women  
It gets warmer in the store.

They wait silently,  
The family's kind gods,  
As they clutch in their hands  
The hard-earned money.

These are women of Russia,  
They are our honor and our conscience.  
They have mixed concrete  
And ploughed and reaped.

They have endured everything.  
They will endure everything.

Everything on earth is possible for them,  
They have been given so much strength.

It is shameful to short-change them.  
It is sinful to short-weight them.

And, shoving dumplings into my pocket,  
I look, solemn and quiet,  
At their weary-from-shopping,  
Saintly hands.

#### Fears

Умирают в России страхи  
словно призраки прежних лет.  
Лишь на паперти, как старухи,  
кое-где ещё просят на хлеб.

Я их помню во власти и силе  
при дворе торжествующей лжи.  
Страхи всюду как тени скользили,  
проникали во все этажи.  
Потихоньку людей приручали  
и на всё налагали печать:  
где молчать бы -кричать приучали,  
и молчать -где бы надо кричать.

Это стало сегодня далёким.

Даже странно и вспомнить теперь.  
Тайный страх перед чьим-то доносом,  
Тайный страх перед стуком в дверь.

Ну а страх говорить с иностранцем?  
С иностранцем-то что, а с женой?  
Ну а страх безотчётный остаться  
после маршей вдвоём с тишиной?

Не боялись мы строить в метели,  
уходить под снарядами в бой,  
но боялись порою смертельно  
разговаривать сами с собой.  
Нас не сбили и не растлили,  
и недаром сейчас во врагах,  
победившая страхи Россия,  
ещё больший рождает страх.

Umirayut v Rossii strakhi,  
Slovno prizraki prezhnikh let.  
Lish na paperti, kak starukhi,  
Koye-gde eshcho prosyat na khleb.

Ya ihk pomnyu vo vlasti i sile  
Pri dvore torzhestvuyushchei lzhi.  
Strakhi vsyudu kak teni skolzili,  
Pronikali vo vsye etazhi.  
Potikhonku lyudei priruchali  
I na vsyo nalagali pechat.  
Gde molchat by, krichat priruchali,  
I molchat, gde by nado krichat.

Eto stalo sevodnya dalyokim,

Dazhe stranno i vspomnit teper.  
Tainyi strakh pered chim to donosom,  
Tainyi strakh pered stukom v dver.

Nu, a strakh govorit s inostrantsem,  
S inostrantsem to shto, a s zhenoi.  
Nu, a strakh bezotchetnyi ostatsya  
Posle marshei vdvoyom s tishinoi.

Ne boyalis my stroit v meteli,  
Ukhodit pod snaryadami v boi,  
No boyalis poroyu smertelno  
Razgovarivat sami s sobo.  
Nas ne sbili i ne rastili,  
I nedarom seichas vo vragakh  
Pobedivshaya strakhi Rossiya  
Yeshcho bolshi rozhdayet strakh.

In Russia fears are dying  
Like the ghosts of yesteryears.  
Only on church steps here and there like old women  
They are begging for bread.

I remember fears being in power and force  
At the court of triumphant lie.  
Fears like shadows slithered everywhere,  
Infiltrated every floor.  
Gradually they tamed the people  
And on everything affixed their seal.  
Where silence should be, they taught screaming,  
They taught silence, where shouting would be right.

This, today, has become distant,

It is strange even to recall it now.  
The secret fear at someone informing,  
The secret fear at a knock at the door.

Then, a fear to speak to a foreigner;  
Foreigner - nothing, even with one's own wife.  
And unaccountable fear, after marches,  
To remain alone with silence, eye to eye.

We did not fear to build in snowstorms,  
To march into battle under fire.  
But we deathly feared at times  
To talk to ourselves  
We did not get demoralized or corrupted,  
And it is not without reason  
That Russia, having conquered her own fears,  
Spreads even greater fear in her enemies.

<p>Страхи новые вижу, светлея: страх неискренним быть со страной, страх неправдой унизить идеи, что являются правдой самой! страх фанфарить до одурения, страх чужие слова повторять, страх унизить других недоверьем и чрезмерно себе доверять.</p> <p>Умирают в России страхи. И когда я пишу эти строки и порою невольно спешу, то пишу их в единственном страхе, что не в полную силу пишу.</p>	<p>Strakhi novyye vizhu, svetleya: Strakh neiskrennim byt so stranoi, Strakh nepravdo unizit idei, Shto yavlyautsya pravdoi samoi. Strakh fanfarit do odurenaya, Strakh chuzhiye slova povtoryat, Strakh unizit drugikh nedoveryem I chrezmerno sebe doveryat.</p> <p>Umirayut v Rossii strakhi. I kogda ya pishu eti stroki I poroyu nevolno speshu, To pishu ikh v yedinstvennom strakhe, Shto ne v polnuyu silu pishu.</p>	<p>I see new fears arising, The fear of being insincere to the country, The fear of degrading the ideas That are truth in themselves. The fear of bragging until stupor, The fear of repeating someone else's words, The fear of belittling others with distrust And to trust oneself excessively.</p> <p>In Russia fears are dying. As I write these lines, And at times unwittingly hurry, I write them with the single fear Of not writing at full speed.</p>
<p><b>КАРЬЕРА</b></p> <p>Твердили пастыри, что вреден и неразумен Галилей,</p> <p>???????</p> <p>но, как показывает время: кто неразумен, тот умней. Ученый, сверстник Галилея, был Галилея не глупее. Он знал, что вертится земля, но у него была семья.</p>	<p><b>Karyera</b></p> <p>Tverdili pastyri, shto vreden I nerazumen Galilei.</p> <p>Shto nerazumen Galilei,</p> <p>No, kak pokazyvayet vremya, Kto nerazumnei, tot umnei, Uchonyi, sverstnik Galileya, Byl Galileya ne glupeye, On znal, shto vertitsya zemlya, No u nevo byla semya,</p>	<p><b>Career</b></p> <p>The clergy maintained that Galileo Was a wicked and senseless man.</p> <p>Galileo was senseless.</p> <p>But, as time demonstrated, He who is senseless is much wiser. A fellow scientist of Galileo's age Was no less wise than Galileo. He knew that the earth revolved. But - he had a family.</p>



И он, садясь с женой в карету,  
свершив предательство свое,  
считал, что делает карьеру,

а между тем губил ее.

За осознание планеты  
шел Галилей один на риск.

И стал великим он...

Вот это

я понимаю - карьерист!

Итак, да здравствует карьера,  
когда карьера такова,  
как у Шекспира и Пастера,  
Гомера и Толстого...

Льва!

???

Зачем их грязью покрывали?  
Талант - талант, как ни клейми.

Забыты те, кто проклинали,

но помнят тех, кого кляли.

Все те, кто рвались в стратосферу,  
врачи, что гибли от холер,-  
вот эти делали карьеру!

I on, sadyas s zhenoi v karetu,  
Svershiv predatelstvo svoyo,  
Schital, shto delayet karyeru,

A mezhdru tem gubil yevo,

Za osoznaniye planety  
Shol Galilei odin na risk,

I stal velikim on.

Vot eto

Ya ponimayu - karyerist!

Itak, da zdravstvuyet karyera,  
Kogda karyera takova,  
Kak u Shekspira i Pastera,  
Nyutona i Tolstovo,  
I Tolstovo.

Lva?

Lva!

Zachem ikh gryazyu pokryvali?  
Talent, talant, kak ni kleimi.

Zabyty te, kto proklinali.

No pomnyat tekh, kovo klyali,

Vse te, kto rvalis v stratosferu,  
Vrachi, shto gibli ot kholer,  
Vot eti delali karyeru!

And he, stepping into a carriage with his wife,  
Having accomplished his betrayal,  
Considered himself advancing his career,

Whereas he undermined it,

For his assertion of our planet  
Galileo faced the risk alone

And became truly great.

Now this

To my mind, this is a true careerist!

Thus - salute to the career!  
When the career is similar  
To Shakespeare and Pasteur,  
Newton and Tolstoy,  
And Tolstoy.

Leo?

Leo!

Why was mud flung at them?  
Talent is talent, brand them as one may.

Those who cursed them are forgotten.

But the accursed are remembered well,

All those who yearned for the stratosphere,  
The doctors who perished fighting cholera,  
They were pursuing a career!

<p>Я с их карьер беру пример.</p> <p>Я верю в их святую веру. Их вера - мужество мое. Я делаю себе карьеру тем, что не делаю ее!</p>	<p>Ya s ikh karyer беру primer.</p> <p>Ya veryu v ikh svyatuyu veru. Ikh vera - muzhestvo moyo. Ya delayu sebe karyeru Tem, shto ne delayu yeyo!</p>	<p>I take as an example their careers.</p> <p>I believe in their sacred belief. Their belief is my courage. I pursue my career By not pursuing it!</p>
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## CURRICULUM VITAE

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### *Education*

University of Louisville, M.M., Music History and Literature, expected May 2010  
SUNY Fredonia, B.M., Music Education, May 2008

### *Publications*

“‘The Russians are coming!’: Notes on Shostakovich and Cold War Politics on the 50th Anniversary of his Trip to Louisville,” *DSCH Journal*, January 2010

### *Papers Presented*

“‘The Russians are coming!’: Revisiting Shostakovich and Cold War Politics on the 50<sup>th</sup> Anniversary of his Trip to Louisville,” National Meeting of the Popular Culture Association & American Culture Association, St. Louis, April 2010

“‘The Russians are coming!’: Notes on Shostakovich and Cold War Politics on the 50th Anniversary of his Trip to Louisville,” AMS South-Central Chapter Meeting, Atlanta, March 2010

“Revisiting an Important Local Historical Event: the 50th Anniversary of Louisville and the 1959 Soviet Cultural Exchange Tour,” Graduate Research Symposium hosted by the Graduate Student Council, University of Louisville, March 2010

“Yevtushenko, Shostakovich, and Criticism in the First and Fourth Movements of Shostakovich’s 13<sup>th</sup> Symphony,” Graduate Student Conference “Music and the Written Word” hosted by the Center for Interdisciplinary Studies, UC Santa Barbara, January 2010

Pre-Concert Lecture, “Notes on the 50 year Anniversary of the Soviet Cultural Exchange Tour in Louisville,” Louisville Orchestra, October 2009

“Rimsky-Korsakov and *Scheherazade*” Student Research and Creativity Exposition, SUNY Fredonia, April, 2008

Pre-Concert Lecture, “*Scheherazade*,” SUNY Fredonia, April 2008

“‘Headlight on a Northbound Train’ - Train Metaphors in the Music of the Grateful Dead,”

Student Research and Creativity Exposition, SUNY Fredonia, April, 2007

“‘Headlight on a Northbound Train’ - Train Metaphors in the Music of the Grateful Dead,”

Music History Symposium, SUNY Fredonia, April, 2007

### *Teaching Experience*

Adjunct Instructor, Music in Western Civilization and History of Rock and Roll, University of Louisville, 2010-2011 academic year

Adjunct Instructor, Music in Western Civilization, University of Louisville, summer 2010

Graduate Teaching Assistant, History of Rock and Roll, Music in World Cultures and Survey of Ethnomusicology, University of Louisville, 2009-2010 academic years

Instructor, “Using Classic Rock to Learn the Fundamentals of Music,” selected as a Chautauqua Institute Special Studies course for summer 2008

### *Honors and Awards*

Graduate Dean’s Citation, University of Louisville, 2010

Co-Recipient of Rey M. Longyear Prize for Outstanding Student Paper, American Musicological Society South-Central Chapter, 2010

Participant, University of Louisville Graduate Student Teaching Academy, 2010

Awarded Graduate Teaching Assistantship, University of Louisville, 2009-2010

Eagle Scout, Boy Scouts of America, 1999

### *Professional Membership*

Student Member, American Musicological Society; member of the Pedagogy Study Group

Associate Member, International Society for Humor Studies

Member, Popular Culture Association & the American Culture Association

### *References*

Available upon request