“Qui reste fidèle?”: Tradition and Independence in Henri Dutilleux's First Symphony (1951)

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Abstract

Henri Dutilleux (1916-2013) has often been called an "independent" for the ways in which he both avoided the dogmatic rejection of tradition that circulated among the post-war French avant-garde and managed to reimagine and innovate beyond traditional genres and idioms. Neither holding an avant-garde and traditionalist stance, he developed his own stylistic language. Above all, he was driven by a desire for the freedom to compose with sincerity, whatever the materials or techniques employed. Dutilleux's personal style and most well-known innovations emerged in his orchestral works, beginning with his First Symphony in 1951.

Despite his fervent search for sincerity and freedom, Dutilleux composed within a particular musical atmosphere, with its geographical and time-specific artistic and political particularities. Moreover, his First Symphony exists in relation to both French symphonic tradition and contemporary avant-garde movements. Chapter One addresses the French postwar musical atmosphere and Dutilleux's position within it, and Chapter Two addresses the history of the symphony in France and Dutilleux's views on the genre. Chapter Three, then, proposes an analysis of the First Symphony with attention to the development of Dutilleux's most innovative technique, progressive growth, and its emergence in the context of trends outlined in the first two chapters.

Résumé

Henri Dutilleux (1916-2013) a été qualifié d' « indépendant » pour avoir à la fois évité le rejet dogmatique de la tradition qui circulait dans l'avant-garde française d'après-guerre et réussi à innover au-delà des genres et des idiomes traditionnels. Ni avant-gardiste ni traditionaliste, il a développé son propre langage stylistique. Il est avant tout animé par un désir de liberté de composer avec sincérité, quels que soient les matériaux ou les techniques employées. Le style personnel de Dutilleux et ses innovations les plus connues ont émergé dans ses œuvres pour orchestre, à commencer par sa Première Symphonie en 1951.

Malgré sa recherche fervente de sincérité et de liberté, Dutilleux a composé dans une atmosphère musicale particulière. De plus, sa Première Symphonie existe en relation à la fois avec la tradition symphonique française et les mouvements d'avant-garde contemporains. Le premier chapitre aborde l'atmosphère musicale française d'après-guerre et la position de Dutilleux en son sein, et le deuxième chapitre traite l'histoire de la symphonie en France et les réflexions de Dutilleux sur le genre. Le troisième chapitre propose une analyse de la Première Symphonie centrée sur le développement de la technique la plus innovante de Dutilleux, la croissance progressive, et son émergence en relation avec la contextualisation des deux premiers chapitres.

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Introduction

The compositional career of Henri Dutilleux is typically characterized as a slow, steady evolution that led from a talented Conservatoire-trained Prix de Rome winner to an internationally successful, innovative, modern composer. Dutilleux's self-critical approach to personal development and exploration engendered a fundamental belief in the value of sincerity and constant renewal in each work. This has led to smooth immaturity-to-maturity narratives of his compositional evolution. A critical issue in the secondary literature on Henri Dutilleux involves the question of which work truly marks the beginning of his "mature" oeuvre.[1] Dutilleux disowned almost all his early compositions on the basis that they did not yet exemplify his "true voice." The First Symphony (1951) is among the first works Dutilleux admitted into his oeuvre. It can be persuasively regarded as his opus 1 because it appeared within an intensely developmental phase of Dutilleux's compositional evolution and within it the crucial procedures that preoccupied him throughout his mature works begin to emerge clearly. While Dutilleux's self-critical approach to compositional development is important, a complete understanding of the position the First Symphony holds within his oeuvre not only requires an explication of Dutilleux's personal history and an analysis of the symphony itself, but also an investigation of the postwar musical milieu and the position of the symphony as a genre in France.

Certainly, Dutilleux's devotion to exploration through the 1940s and early 1950s produced the First Symphony's distinct stylistic shift toward large-scale works and innovative

[1] For examples of these kinds of narratives, see Caroline Potter's *Henri Dutilleux: His Life and Works* and Daniel Humbert's *Henri Dutilleux: L'œuvre et le style musical.* Potter's book offers one of the first extended discussion of Dutilleux's early works. Both Jeremy Thurlow's and Sean Shepherd's dissertations follow Potter's lead in each devoting a chapter to Dutilleux's early music as well. Shepherd also offers an interesting critique of this immaturity-to-maturity narrative. Caroline Potter, *Henri Dutilleux: His Life and Works* (London: Routledge, 2016); Daniel Humbert and Jacques Chailley, *Henri Dutilleux : L'œuvre et le style musical* (Genève : Slatkine, 1985); Jeremy Thurlow, "The Music of Henri Dutilleux: A Critical Survey of the Major Works" (PhD diss., Kings College, University of London, 1998); and Sean Shepherd, "Tradition And Invention In The Music Of Henri Dutilleux," (DMA diss., Cornell University, 2014).

approaches to form, harmony, texture, and thematic transformation. Nevertheless, Dutilleux's personal beliefs in sincerity and renewal, which resulted in the development of idiosyncratic innovations in much of his music from the late 1940s on, emerged in the tense atmosphere of the postwar period. The conspicuous mixture between new compositional techniques and an old genre – especially amid a growing avant-garde hostile to tradition and in contrast to his smaller, more conservative earlier works – led to an uncertainty among critics of the time in classifying the work and the composer. Chapter One examines Dutilleux's position within the French post-war artistic milieu, highlighting both his own path from the conservatoire to his post-war involvement in contemporary music circles and the surrounding musical atmosphere of the post-war period. Even as Dutilleux gradually shed conventional models, he never fully rejected tradition in the way as many of his avant-garde contemporaries did. In an interview with the composer in 1991, Claude Glayman offered the astute observation that "[w]hen people regard you as avant-garde your classical tradition gets in the way, and when they regard you as classical, in reality you're avant-garde."[2] It is this inclusivity within his musical style, his refusal to attach himself to any dogma, system, or ideology, and the resulting difficulty in his classification, that remains one of the central critical issues in defining Dutilleux's legacy.

The choice to write a symphony in the postwar context is also significant given the genre's heated history in France. Chapter Two seeks to contextualise the social weight of writing a symphony in post-war France, tracing the genre's shifting connotations from its nationalistic and polemic origins in France at the turn of the century to the compositional flexibility of the genre by the middle of the twentieth century. The surge of symphonic composition in France at the end of the nineteenth century was catalyzed by political upheavals and the resulting

[2] Henri Dutilleux and Claude Glayman, *Henri Dutilleux: Music--Mystery and Memory: Conversations with Claude Glayman,* trans. by Roger Nichols, (London: Routledge, 2016), 91.

nationalist concerns that fuelled a heated polemical debate about both the validity of the genre and the nature of French heritage. Though this nationalistic atmosphere shares interesting parallels with the period following the Occupation, the connotations of the genre had changed. To understand Dutilleux's approach to the genre it is first necessary to understand the position of the symphony in the context of its history leading from this heated polemical context at the turn of the century, through the decline of the genre after the 1920s, and to the genre's mid-century revival with a newfound desire to divorce it from its traditional conventions.

Finally, Chapter Three explores the First Symphony (1951) in relation to the findings of the first two sections. It draws on both on theoretical analysis and reception history to investigate the ways in which the work innovated well beyond symphonic conventions and introduced techniques that Dutilleux was to develop in his future works. The First Symphony marks the first appearance of the concept of *progressive growth*, an approach to the articulation of form through overt and covert transformations of musical objects, which is repeatedly taken to be Dutilleux's most innovative and idiosyncratic compositional device.[3] Chapter Three will attempt to define this procedure and trace its appearances across the First Symphony. Contrary to previous characterisations of the emergence of progressive growth as a compositional technique linked to influences of Marcel Proust, the appearance of progressive growth in the First Symphony can be seen as a direct response to his desire to move beyond traditional formal models. This move occurred in response to both the atmosphere of the postwar period, wherein his young contemporaries were adamantly rejecting traditional forms, but also in response to the dismissal

[3] The term "progressive growth" (or *croissance progressive*) was first used by Francis Bayer, which Dutilleux himself and critics subsequently adopted to describe the procedure. Bayer was a composition student of Dutilleux's at the École Normale de Musique de Paris in the late 1960s and wrote several important early articles on Dutilleux. For example, Francis Bayer, "Une Nouvelle Œuvre d'Henri Dutilleux," *Revue D'esthétique* 23 (1970), 429-432.

of the genre on aesthetic and nationalistic grounds throughout the twentieth century. The innovations of the First Symphony can be understood not only as Dutilleux's desire to write a symphony only in relation to himself, but also as a desire to prove that the genre still had validity.

Despite the pivotal position the work holds in his oeuvre, the First Symphony has received less analytical attention than his later works. This absence of analytical attention could be a consequence of perceived traditionalism in the symphony, which gave early critics the impression that the work was more conventional than it was for its time. Later works such as *Métaboles* (1963-4) and *Ainsi la nuit* (1973-6) are much more frequently recruited in the secondary literature to discuss progressive growth, given that the procedure appears to be much more intentional and developed in these works. Cases of progressive growth in First Symphony, by contrast, occur in a genre previously dominated by conventional approaches to thematic materials, harmonic frameworks, and formal models, and established methods of contrast and unification on a large-scale. Because some of these traditional elements still appear in the First Symphony, some analysts have relied on conventional analytic frameworks to describe the work. For instance, both Pierrette Mari and Danial Humbert, who wrote two of the earliest in-depth books on Dutilleux's music, generally propose conventional analytical frameworks for each of the movements. [4] Yet, this approach tends to neglect some of the most innovative aspects of his emerging language.

More recent lengthy surveys of Dutilleux's music, particularly Caroline Potter's *Henri Dutilleux: His Life and Works* and Jeremy Thurlow's doctoral dissertation "The Music of Henri Dutilleux: A Critical Survey of the Major Works," devote more analytical space to the symphony

[4] Pierrette Mari, *Henri Dutilleux* (Paris: Éditions Hachette, 1973); Humbert, *Henri Dutilleux : L'œuvre et le style musical.*

and acknowledge the less conventional aspects of the work, particularly the emergence of progressive growth.[5] Caroline Potter's book is the first publication devoted to Dutilleux written in English, and the most recent large-scale survey of his life and career. She expands on both Mari's and Humbert's important early studies of the composer, and offers invaluable insight into Dutilleux's personal history, compositional influences, and aesthetic concerns. Yet, her analysis of the First Symphony is necessarily incomplete given the structure of her book, where analytical comments are spread across each chapter as examples of various aesthetic concerns in Dutilleux's life and compositional thought. Potter mainly traces the transformation of materials in the third and fourth movements, but she argues that "the opening Passacaglia and the second movement, a scherzo, have no musical links and there is no gradual development of the themes of either movement."[6] While the musical links and thematic mutations in the first two movements are not as explicit as in final two movements, I would suggest that some level of thematic transformation and inter-movement connection can be located in the first two movements as well.

Jeremy Thurlow's dissertation seems to include the most extensive analysis of the work to date. In contrast to previous analyses, he bases his study on the claim that "the crucial notion is formal flexibility and continuity, rather than the number of themes employed."[7] Though Thurlow includes some contextualization within the postwar avant-garde and some comment on influence and general style at this point in Dutilleux's compositional evolution, these are introductory notes to his more substantial analytic investigation. Moreover, to facilitate a very close analytical look at the music, he limits his discussion to the approach to harmony in the first

[5] Potter, *Henri Dutilleux: His Life and Works*; Thurlow, "The Music of Henri Dutilleux," 109.
[6] Potter, *Henri Dutilleux*, 62.
[7] Thurlow, "The Music of Henri Dutilleux," 109.

movement and thematic transformation in the last movement. Consequently, Thurlow's analysis can be furthered to illustrate the ways in which Dutilleux's approach to form, the construction of musical objects, and variation of these objects through progressive growth emerge on a broader scale throughout each movement and between each movement to achieve large-scale unity.

By assessing Dutilleux's approach to form, material, and variation across all four movements, a case can be made that the emergence of progressive growth occurs as early as the first movement. Moreover, by investigating in detail the postwar context and the history of the symphony in France, these compositional developments can be understood as a specific attempt on Dutilleux's part to divorce conventional materials from their traditional uses. In addressing the development of transformational and referential devices across the whole work, an analysis of the First Symphony can illustrate Dutilleux's transitional position in 1951, between traditional symphonic conventions and a more modern and stylistically individual approach to the genre.

CHAPTER 1:
Dutilleux within the Musical Landscape of Postwar France

The effects of the Occupation and the postwar atmosphere on Dutilleux's compositional evolution is sometimes de-emphasized in his own interviews and in the secondary literature. Instead, personal motivation to develop his own style and high valuation of sincerity are emphasized as the factors behind his development. Yet, the personal and professional circles with which Dutilleux began to engage during the Occupation of Paris and his relationship to the emerging postwar avant-garde were also crucial. The emergence of integral serialism – specifically of Pierre Boulez – typically dominates general narratives of the postwar period. But the emergence of this trend can be understood as a reaction to both the atmosphere of the Occupation and the advocacy for a nationalistic "return" to neoclassicism in the immediate postwar period. The position of Dutilleux within this context must be considered to establish a complete picture of both Dutilleux's own stylistic development and the reception of his music.

1.1 The French Milieu c. 1945-50

The year 1945 is commonly regarded as a turning point in modern music – as the beginning of a new era, when young composers deliberately rejected tradition, and experimentation with new materials and techniques was transforming the musical landscape. Narratives of musical modernism tend to isolate two circumstances as markers for the beginning of musical modernism: the end of World War II and the emergence of Pierre Boulez. Moreover, postwar modern music and Pierre Boulez are often presented as inseparable, and the preceding musical atmosphere is characterised as barren and regressive. Paul Griffiths, for instance, claims that Boulez's works became "signals of their epoch" because of "the evident fact that a period of artistic upheaval had been followed by two decades during which the clock of progress had

slowed, or even reversed."[8] Similarly, André Hodeir, in *Since Debussy: A View of Contemporary Music,* proclaims that "[t]*he only possible vestige* for a spirit of *true creation* was in the generation then coming of age [i.e. the late 1940s] – a generation nurtured on the hardships of war and which had to assert itself amidst *the ruins of a broken world*;" Hodeir goes on to claim, "A composer of exceptional intellect was needed to hasten the return of a new, constructive era. This historical challenge was met by a young man named Pierre Boulez."[9] In both cases, Boulez is positioned as the saviour of a fruitless and stilted contemporary music landscape.

The consequence of this essentialized narrative is twofold. First, the musical atmosphere before the immediate post-war years is reduced to producing little of importance. Second, Boulez and integral serialism are positioned as pre-eminent, historically essential, and solely responsible for saving the future of modern music. But integral serialism only really came to dominate in the mid-1950s. Hegemonic narratives of modernism not only gloss over the diversity of opinions regarding the future of modern music circulating among composers in France at the end of World War II, but also neglect to examine the ways in which integral serialism partially emerged in response to the nationalistic polemics of the immediate postwar climate. Moreover, these narratives neglect to acknowledge the success of composers who did not take up serialism.

The Occupation

In France, the variegated approach to new music in the postwar climate largely stemmed from the limitations imposed on the creation and accessibility of contemporary music during the Occupation. These limitations came from the ideological objectives of both the German

[8] Paul Griffiths, *Modern Music and After*, 3rd ed. (New York: Oxford University Press, 2010), 6.

[9] André Hodeir, *Since Debussy: A View of Contemporary Music*, (New York: Da Capo Press, 1975), 122, 124. (Emphasis added)

occupying forces and the Vichy regime.[10] After the liberation, an intense anxiety about the distinctness of French music from German music came to be a central issue, especially as the occupying forces primarily sought to promote the mastery of German music over French music. This resulted in both restrictions and outright prohibitions on certain composers, as well as policies that favoured the dissemination of German works in public performances and over the German-controlled Radio-Paris.

Meanwhile, the Vichy regime sought to defend French culture against this German propaganda. It endorsed collaboration between the nations while actively seeking to redefine French cultural heritage such that it could compare in caliber to the Germans, resting its vision of French cultural heritage on traditionalist and populist ideals and encouraging the veneration of composers and styles that preceded the modernism of the past twenty years.[11] For example, Louis-Eugène-Georges Hautecœur, the secrétaire général des Beaux-Arts for the Vichy regime, objected to what he considered the "fashionable myth" of originality and the purely artistic aim of nonconformity in the interwar period.[12] Arthur Honegger, who is generally recognized as conforming to Vichy ideals during the Occupation, encapsulated this ideology in a 1941 when he proclaimed: "Let us honour our French masters. After Debussy and Ravel let it now be the turn of Vincent d'Indy, Roussel, Florent-Schmitt, and all those who are the honour and glory of

[10] For more on how the political atmosphere of the Occupation affected the contemporary music atmosphere in France, see Leslie A. Sprout, *The Musical Legacy of Wartime France*, (Berkeley: University of California Press, 2013) and Nigel Simeone, "Making Music in Occupied Paris," *The Musical Times*, 147, No. 1894 (Spring, 2006), 23-50.

[11] It is interesting to note the parallel between this mindset and that of some musicians at the turn of the century in France. A similar political strain between Germany and France occurred at the end of the nineteenth century, and many nationalists argued the frivolousness of French art in the earlier parts of the century was to blame for the perceived decline of French music. For more, see Chapter 2.

[12] Louis Hautecœur, *Les Beaux-Arts en France, passé et avenir*, (Paris: Picard, 1948), 80.

France."[13] State-supported funding programs were established to encourage the production of art that adhered to the ideals of the Vichy regime. Though these commissioning programs did not officially endorse a single aesthetic, compositions that reflected the regime's aims were more likely to receive funding. Additionally, as Leslie Sprout notes in her in-depth discussion of this period, traditional academic credentials, such as holding a Prix de Rome or a position at the Conservatoire, proved decisive qualifications for receiving funding.[14] Both French opera and the French symphonic tradition were particularly mined for opportunities to prove the capability of French music to stand alongside the perceived dominance of the Germans.

In opposition to both the propaganda of the German occupying forces and the Vichy ideals, networks of resistance sought to endorse contemporary music that was either restricted or under-supported. Originally a loose connection between members of the Parti Communiste Français (PCF), the resistance grew into a semi-organized, covert movement by 1942, named the Comité national de Front national des Musiciens (Front National).[15] The Front National played an important role in aiding musicians who faced persecution during the war, and members were active in promoting the accessibility of both French and international contemporary music.[16]

[13] « 'Ehrt eure deutschen Meister!' dit Hans Sachs à la fin des Maîtres chanteurs. Il a raison. Honorons nos maîtres français. » Arthur Honegger, "Le Festival Claude Debussy," Comœdia, 21 June 1941, 3, Quoted in Sprout, *The Musical Legacy of Wartime France*, 169.

[14] Sprout, *The Musical Legacy of Wartime France*, 121.

[15] The group's membership is somewhat unclear, but members known to have been involved include Francis Poulenc, Georges Auric, Charles Münch, Roland-Manuel, Maurice Rosenthal, Pierre Schaeffer, Henri Barraud, Claude Arrieu, Marcel Mihalovici, and Henri Dutilleux. For more complete list of musicians involved, see Nigel Simeone, "Making Music in Occupied Paris," 45 or Leslie Sprout, *The Musical Legacy of Wartime France*, 22, 55-6. Caroline Potter also notes Dutilleux's presence in the Front National in her biography on the composer, *Henri Dutilleux: His Life and Works*, (London: Routledge, 2016), 5; and Dutilleux discusses his involvement in his 1991 interview with Claude Glayman: Dutilleux and Glayman, *Henri Dutilleux: Music--Mystery and Memory*, 25.

[16] The Concerts de la Pléiade, for example, was organized by members of the resistance. The concerts defied German prohibitions by specifically programming banned compositions. For more, see Nigel Simeone, "Messiaen and the Concerts de la Pléiade: 'A Kind of Clandestine Revenge against the Occupation'," *Music & Letters*, 81, No. 4 (Nov 2000), 551-2. For more see Sprout, *The Musical Legacy of Wartime France*, 84 and Catherine Morgan, "Roland Manuel nous dit l'action de quatre ans de musiciens français," *Les Lettres françaises*, 16 September 1944, 7.

Thus, the Front National acted as an important counterweight against the ideological impositions of the occupation by advocating for aesthetic diversity.

Following the liberation of Paris in August of 1945, the aesthetic freedom that the resistance movement had defended throughout the Occupation returned in full force with a renewed influx of both foreign and contemporary music. During the Occupation, a whole section of the French and international repertory, especially that of Jewish or otherwise "degenerate" composers, had been virtually eliminated from mainstream educational and performance institutions. After the Liberation, musicians and audiences had unrestricted access to such music. When Henri Dutilleux spoke of this newfound freedom, he recalled a "burst of music" that profoundly affected musicians of the time:

> What happened from there and for an unfortunately limited time - because we never found this stimulating richness - musicians of my generation agree that this is a period unique which left a deep mark on them… There is not one of us who does not feel the nostalgia for the evenings of the ON (Orchestré National) at the Champs-Élysées, where we went to explore.[17]

Within this atmosphere of "stimulating richness," composers in the immediate post-war period had to come to terms with the limitations and iniquities of the preceding five years. Consequently, composers and critics debated hotly about the future of contemporary music, specifically French music, and it was not unanimously clear at the outset of the Liberation what form this future would take.

Neoclassicism and Avant-Gardism – the 1945 Stravinsky Protests

In the immediate postwar period, many felt the need to redefine the national identity of France following German dominance. In some cases, composers and critics continued to believe that the best way to re-invigorate French culture was to re-establish a specifically French heritage. Even

[17] Henri Dutilleux, "Au service de tous," quoted in *Roger Désormière et son temps,* ed. Denise Mayer and Pierre Souvtchinsky, (Monaco, Éditions de Rocher, 1966), 119, 121.

as late as 1955, the composer Tony Aubin continued to urge young composers to respect their French lineage, and his colleague Henri Busser repudiated the growing influence of Schoenberg in postwar composition.[18] Yet for many, the advocacy for a return resonated too strongly with the collaborationist Vichy ideologies. Vichy stances were seen as suspect in the context of the Liberation, and composers who were seen as having engaged too heavily with either the Vichy regime or German occupying forces met hostility after the war.[19] Consequently, the turn to a future rooted in the past mixed with this suspicion of Vichy-like ideologies.

A new kind of reactionary nationalism involved re-rooting French heritage in humanistic, universal terms divorced from both Vichy and German influence.[20] French neoclassicism of the 1930s was mined as a possible source for national pride.[21] André Hodeir identified Milhaud, Poulenc, and Sauguet as among those who were "hailed as the new keystones of that traditional 'light French touch' against the German heaviness'" emanating from foreign sources.[22] In this way, neoclassicism was generalized as exemplifying a uniquely "French" temperament. A series of seven monthly concerts in 1945 devoted to Stravinsky as part of the weekly broadcasted concerts put on by the Orchestré National stood as one of the most notable manifestations of this

[18] "Tony Aubin" and "Henri Busser," in Bernard Gavoty and Daniel Lesur, *Pour Ou Contre La Musique Moderne?* (Paris: Flammarion, 1957), 47, 49.

[19] These composers faced serious repercussions, either through official sanctions or falling out of favour with the public. Arthur Honegger, for instance, faced resentment from the public in response to performances of his music during the 1944-45 concert season. For more information on composers who complied with collaborationist policies, see Sprout, "Honegger's Post-War Rehabilitation," in *The Musical Legacy of Wartime France*, 39 – 83.

[20] Jane Fulcher has discussed how the French resistance, for example, inverted the Vichy regime's discursive positioning of Debussy as a symbol of French heritage using a new conception of humanistic values. See Jane Fulcher, "Debussy as National Icon: From Vehicle of Vichy's Compromise to French Resistance Classic," *The Musical Quarterly* 94, No. 4 (Winter 2011), 454-480.

[21] It is important to distinguish here between French neoclassicism and German neoclassicism. The advocacy for neoclassism at this time was primarily a discursive positioning of the trend as quintessentially French. This was based on assumptions that French musical identity was defined by charm, simplicity, and lightness in contrast to the heaviness and complexity of Germanic music.

[22] For a more see Chapter 2. It is also interesting that Dutilleux also sought to divorce himself from French music characterised by "charm," "wit" and "elegance," using the same characterisation as Hodeir uses here. Hodeir, *Since Debussy: A View of Contemporary Music*, 122.

support for neoclassicism. Under the direction of Manuel Rosenthal, the Orchestré National concerts generally aimed to introduce French audiences to repertory that had been inaccessible during the war.[23] Henri Barraud later wrote that he, Rosenthal, Alexis Roland-Manuel, and Roger Désormière had initiated the Stravinsky series because they were convinced that "Stravinsky's music, with its variations in style, would, in one blow, sweep away the memory of the impressive concerts" that promoted German superiority during the Occupation.[24] The perceived stylistic eclecticism, partnered with the aesthetic precepts of order, balance, and clarity, provided a model for composition that could offer a specifically anti-Germanic music and bolster national pride. On the other side of the debate, criticism emerged against the need to return to an idealized heritage in any sense. The postwar turn to neoclassicism was characterized as a false return by some because they believed it had never been successful in the first place.

The youngest generation emerging from the Conservatoire were the most vocal dissenters. Though the age gap between this new generation and those who had reached compositional "adulthood" before the war was in reality quite small, "a generation had passed [during the war]," as the critic Jacques Chailley remarked; the prewar generation "became the elders, sometimes masters, and often classics."[25] The aesthetic and ideological pressures of the Occupation were arguably the most transformative for this generation, who had not had the chance to develop their own stylistic idioms before the war. While they may have been too young to be directly affected by the government incentives for contemporary music, their education was uniquely marked by the regime's nationalist embrace of tradition.

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[23] See Sprout, *The Musical Legacy of Wartime France*, 151.

[24] Henry Barraud, interview with Pierre Dellard and Louis Courtinat, "Henry Barraud: Une longue carrière radiophonique au cœur de la vie musicale et au service de la culture (1938–1965)," *Cahiers d'histoire de la Radiodiffusion*, 43 (December 1994–February 1995): 153–54, quoted in Sprout, *The Musical Legacy of Wartime France*, 151.

[25] Jacques Chailley, "La Musique de 1900 à 1950," *Revue des Deux Mondes (1829-1971)* (1950), 674.

The harmony classes that Oliver Messiaen taught are commonly regarded as one of the only reprieves from this educational atmosphere, as it introduced analysis of both French and foreign contemporary composers to the Conservatoire curriculum. While the analysis lessons were relatively ecumenical, the students' rejection of neoclassicism can be seen as an outgrowth of the value judgements Messiaen proposed to his students. Specifically, Messiaen accused neoclassical composers of "placing around their works a modern sauce that fools the ears of the public, which imagines [they have] heard 'modern' music."[26] Whether his students simply parroted the views of their teacher or whether they came to this conclusion themselves, Messiaen's students regarded neoclassicism as outdated in 1945. The group of students that included Serge Nigg and Pierre Boulez – the same composers who would spearhead integral serialism in the 1950s – became infamous for staging boisterous protests of the Stravinsky concerts and inaugurating the assault against "the past" that raged through the late 1940s.

These heavily publicized protests became the cornerstone of a larger polemical divide between neoclassicism and the avant-garde. Sprout suggests that, in protesting Stravinsky's neoclassicism, these students were also rejecting the deference to history and tradition that had dominated contemporary music in France during the war.[27] While this argument somewhat conflates the neoclassicist return and the Vichy-endorsed return of the Occupation, it is interesting to consider integral serialism as one extreme on the political and social pendulum rather than a historically necessitated next step in the ever-rising climb of "progress." Even the ways in which the emerging serialists themselves discursively positioned the issue as aesthetic can be understood as political. Serge Nigg, for instance, asked, "ought we try to prolong or end

[26] Messiaen, in Claude Chamfray, "Notre enquête: Le désarroi musical: Olivier Messiaen," Arts 39 (October 26, 1945), 5, Quoted in Leslie Sprout, "The 1945 Stravinsky Debates: Nigg, Messiaen, and the Early Cold War in France," *The Journal of Musicology* 26, No. 1 (Winter 2009), 118.

[27] Sprout, "The 1945 Stravinsky Debates," 89.

definitively the neo-classical current that for nearly thirty years has dragged in its wake every mediocre element, and finds its justification in the decadent works of a great man [i.e. Stravinsky]?"[28] When René Leibowitz proclaimed that "the time has come to familiarize the man of today with a mode of expression that he will recognise, sooner or later, as the only musical language suitable to be discussed at the present time," he was offering a future characterized as universal.[29] Rather than engaging in the arguments about how to construct a worthy national language in French music, these students looked towards the supposedly purely abstract intellectual systematization of the serialist technique. Sprout and Mark Carroll have both suggested the political significance of Boulez's rejection of heritage and his vocal adoption of revolutionary compositional techniques; as they argue, his musico-political "neutralité" can be understood as a political act.[30] Serialism, with its emphasis on intellectual, mathematical systematisation, could stand as an alternative to the rampant nationalistic discourse because it could be conceptualised as abstract and universal. In this sense, the vocal dissent against looking to the past can be framed as an extreme disavowal of the ideological stance implied by an aesthetic "return."

The Rejection of Tradition and Reactions to the Serialist "Dogma"

Throughout the 1940s and early 1950s, Boulez launched a vocal campaign for a future of music grounded firmly in the total rejection of systems that he saw as retrospective and no longer relevant. This opinion emerged in his early polemical articles, in which he rejected not only the

[28] Serge Nigg, "La Querelle Strawinsky," Combat, 14–15 April 1945, 2, quoted in Sprout, *The Musical Legacy of Wartime France*, 168.

[29] Rene Leibowitz, "La Musique: Un festival Debussy-Schoenberg," Combat, 18 November 1944, 2, quoted in Sprout, *The Musical Legacy of Wartime France*, 176.

[30] Sprout, *The Musical Legacy of Wartime France*, 180. Notably, while Boulez continued to become more and more reactionary against past systems, Nigg did not remain politically neutral. By the 1950s Nigg was heavily involved in the communist movement, and his music reflected the populist aims of the Soviet Union. For more on Nigg's relationship to the PCF, see Mark Carroll, *Music and Ideology in Cold War Europe*, (Cambridge: Cambridge University Press, 2003), 178.

academicism of the Conservatoire but also the vestiges of the past he located in Messiaen, Schoenberg, Bartók, Stravinsky, Jolivet, Varese, and Berg.[31] "Leibowitz," as Boulez later explained to the critic André Goléa, "for serial music, was the worst academicism [sic.]," and was "much more dangerous for serial music than tonal academicism had ever been for tonal music."[32] Schoenberg, who like Stravinsky emerged in a "brilliant firework display," suffered from being "haunted" by "history with a capital H."[33] The only predecessor to be spared this amnesiac approach was Anton Webern, whom Boulez considered the father of integral serialism because he individuated each instrumental component and because his music's "historical *raison d'être* – quite apart from its indisputable intrinsic value – is to have introduced a new mode of musical being."[34] Still, the young composer ultimately proclaimed, "I *shall praise* amnesia."[35]

Boulez found that, though he respected his predecessors' accomplishments, their failures to take the final step of creating an entirely new music justified a total reconstruction of musical language through integral serialism.[36] This position is perhaps no better evidenced than in his arguably most famous edict: "any musician who has not experienced – I do not say understood, but truly experienced – the necessity of dodecaphonic language is USELESS. For his entire work brings him up short of the needs of his time."[37] His caustic argument cast those who dissented against him as "the defenders of moribund tradition" and "a bunch of crackpots," and their

[31] For instance, see Pierre Boulez, "Proposals," *Stocktakings from an Apprenticeship* (Oxford: Oxford University Press, 1991), 49.

[32] Antoine Goléa, *Rencontres avec Pierre Boulez* (Paris: René Julliard, 1958), 46.

[33] Boulez, Pierre. "Style ou idée? Éloge de l'amnésie." Musique en jeu 4 (1971): 323. (Italics in original).

[34] Boulez, "Tendencies in Recent Music," *Stocktakings from an Apprenticeship*, 175.

[35] Pierre Boulez, "Style ou idée? (Éloge de l'amnésie)," 323 (italics in original).

[36] Importantly, this characterisation only really applies to the late 1940s and early 1950s. Later in his compositional career, he revised and softened his approach to both the rejection of tradition and the sole validity of integral serialism. For instance, several of his Collège De France Lectures explains the limitations of integral serialism. For more, see Pierre Boulez, *Music Lessons: The Collège De France Lectures*, Trans. Jonathan Dunsby, Jonathan Goldman, and Arnold Whittall, (Chicago, IL: University of Chicago Press, 2019).

[37] Boulez, "Possibly…," *Stocktakings from an Apprenticeship*, 113.

venomous accusations as "symptoms of a fierce attachment to an antique system."[38] The result of this vocal positioning was a polarization of the musical atmosphere by the early 1950s. As the popularity of Boulez's ideas and approach to serialism rose, so did the divide between the serialist avant-garde and those who either dissented against their "dogma."

Those who resented the dogmatic rejection of tradition promoted by the younger generation saw the movement as equally as restrictive as Boulez argued the burden of history was, if not more so. Honegger, for one, claimed:

> This serial system prides itself on a narrow set of rules. The dodecaphonists seem to me like convicts who, in an effort to run faster having broken their chains, promptly attach huge iron balls to themselves. Their dogma is exactly comparable with that of academic counterpoint, but with the difference that, whereas the aim of counterpoint is to make your writing flexible and to stimulate invention by means of disciplined exercises, *the principles of serialism are presented not as a means, but as an end*.[39]

Maurice Ohana, similarly, likened post-Webernian serialism to Nazism, describing the school as "mere academic sterility, but as intimidating and terrifying as the propaganda systems of the Nazis," and whose systems "destroy more than they create – they remove all the art of risk."[40] Even as integral serialism was thought to free music from historical conventions, it became the dogma of the day.

Somewhat on the outside of these polemical divisions stood composers who neither sought to revert to past convention nor reject tradition outright. Henri Dutilleux was one such composer. While he never adhered to the ideological tenets of the serialists, he did not oppose the serialist procedure itself so long as it existed as one option among many. Like Boulez and Nigg, Dutilleux attended Leibowitz's lectures and welcomed the influence of the Second

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[38] Pierre Boulez, "Near and far…" in *Stocktakings from an Apprenticeship*, ed. Thévenin Paule. (Oxford: Clarendon Press, 1991), 142.

[39] Arthur Honegger and Huguette Calmel, *Ecrits*, (Paris: H. Champion, 1992), 332. (Emphasis added).

[40] Interview with Pierre Ancelin in 1964, cited in Caroline Rae, "Maurice Ohana: iconoclast or individualist?' *Musical Times* (Feb 1991), 70.

Viennese School. In Dutilleux's view, serialism helped young composers to move beyond well-trodden paths.[41] Even though he felt a kinship with the rigour of the integral serialists, he claimed that his evolution had already begun. Moreover, Dutilleux expressed a strong aversion to any type of compositional dogma: "We must, above all else," he said, "treat with suspicion anything smacking of dictatorship or authoritarianism in the realm of aesthetics."[42] Sincerity, above all, was the fundamental value in Dutilleux's compositional outlook. He believed that no technique, style, or material was unsuitable in and of itself, so long as it was genuine to the artist who endeavored to make use of it. From the perspective of Dutilleux's stylistic evolution alone, this inclusive approach offered more freedom than adhering to a single aesthetic would have.

Nevertheless, even as Dutilleux refused to align himself was a specific side, his involvement in the debate was unavoidable because of his mere presence within the musical landscape. The context of the time affected how he and his music were perceived, and significantly affected how he was labelled by critics and his contemporaries.

1.2 Dutilleux through the late 1930s to the Postwar Period

Henri Dutilleux's neither-nor position could be suggestive of his age. Born equally close to Messiaen and Boulez, Dutilleux completed his Conservatoire training just before the outset of the war, and thus he did not face the same educational burdens that his younger contemporaries did. Yet he was still a young composer when the war began. He had not yet solidified his style nor his métier as a composer. Had the French musical climate remained just as it was in 1938 when Dutilleux left the Conservatoire, he might have simply continued along the institutionally

[41] Dutilleux and Glayman, *Henri Dutilleux: Music--Mystery and Memory*, 21.

[42] The First Symphony was the last of his works to use a key signature, he frequently used 'pivot notes' and 'pivot chords' which functioned as stabilizing pitches which occurred either at moments of structural importance or around which melismatic lines and other figures would revolve around. Henri Dutilleux, "Diversities in Contemporary French Music," in *The Modern Composer and His World*, ed. John Beckwith and Udo Kasemets, (Toronto: University of Toronto Press, 1978), 79.

sanctioned path to success on which he had already been travelling. But the war and the Occupation led him into circumstances that profoundly affected his trajectory. Specifically, Dutilleux's involvement in the Front National and Radiodiffusion-Télévision Française (RTF) afforded him opportunities to be surrounded by contemporary musicians and critics that valued aesthetic plurality and fought for it in the face of institutional and political pressure.

The Conservatoire Path and Grappling with French Forebearers

Dutilleux was well-positioned to begin his career when the war began. He entered the Paris Conservatoire in 1933, where he received a rigorous technical training and gained a deep respect for his French forebearers. In an interview with Claude Glayman in 1991, however, Dutilleux bemoaned that his exposure to both foreign and contemporary works at the Conservatoire was restricted. He recalled that Ravel and Debussy were lumped together by the students "like Siamese twins," such that the compositions they produced were heavily indebted to the French forebearers that saturated their education and were "no more than student exercises, usually 'in the style of.'"[43] While the derivative nature of these works caused the composer to exclude them from his self-authorized oeuvre after the late 1940s, they suited the Conservatoire's main aim at that time: to prepare students for the Prix de Rome.

Nevertheless, Dutilleux succeeded as a promising young candidate for Conservatoire-sanctioned success. He won prizes in both harmony and fugue in the *concours*, followed by a second Grand Prix de Rome in 1936, and finally a first Grand Prix de Rome in 1938 with his cantata, *L'Anneau du roi*, completing his studies that same year.[44] He then travelled as a Prix de Rome winner to the Villa Medicis in Rome in the winter of 1939. Dutilleux later reminisced that "the stay at Villa Medicis could have been an exceptional adventure that was worth living" if he

[43] Dutilleux and Glayman, *Henri Dutilleux: Music--Mystery and Memory*, 15.
[44] Potter, *Henri Dutilleux*, 30.

had remained there for the expected four years.[45] But he was sent back to Paris when the war began, after only four months. His attitude had changed when he was sent away again to the villa Il Paradiso in Cimez in the winter of 1941. The Institute and the Vichy government had ordered prize winners to travel to Cimez on threat of forfeiting their grants, but he crossed through the occupied zone to return to Paris after only a month due to feelings of loneliness and isolation from the realities in France. The contrast between these two cases can be understood as emblematic of a larger shift in Dutilleux's vision for his place in the contemporary music world. As he told Glayman in 1991, "a page had been turned."[46]

"A page had been turned…"

On his return to Paris, Dutilleux began a search for compositional sincerity that continued through the rest of his compositional career. When describing this period to Glayman, he recalled "I developed [a style of my own] through meditation… During that whole period, I wrote only a little but I thought a lot…," and in a later interview with Janet Obi-Keller he offered the insight that "there is a French expression – 'To question oneself'. To self-criticize, well, I had the impression that this distinction was what I needed at the moment."[47] He analyzed scores, read composition treatises, reviewed his past compositions, and supposedly destroyed almost all of his previous manuscripts.[48] Like many before him, and like Boulez a decade and a half later, Dutilleux seems to have felt the need to escape the weight of the aesthetics and ideologies

[45] Pierrette Mari, *Henri Dutilleux*, (Paris: Zurfluh, 1988): 33; Dutilleux also speaks fondly of this short stay at the Villa Medici in Dutilleux and Glayman, *Henri Dutilleux: Music--Mystery and Memory*, 17

[46] Dutilleux and Glayman, *Henri Dutilleux: Music--Mystery and Memory*, 19.

[47] Janet Obi-Keller, "Dutilleux in Context: A Study of His Formative Years," *Tempo*. New Series Vol. 62, No. 244 (April 2008): 30; Dutilleux and Glayman, *Henri Dutilleux: Music--Mystery and Memory*, 19-20.

[48] Potter, *Henri Dutilleux: His Life and Works*, 6. Despite claims that Dutilleux had destroyed all his works written before the 1940s, Potter identifies several works that still exist in unpublished form. Yet, he refused to sanction performances of his works written before 1947, apart from a handful of pieces that carry sentimental value. Pierrette Mari, *Henri Dutilleux*, (Paris: Zurfluh, 1988); Daniel Humbert and Jacques Chailley, *Henri Dutilleux: L'oeuvre Et Le Style Musical*, (Genève: Slatkine, 1985).

imposed on him as a student. Rather than rejecting the past altogether, Dutilleux sought to explore and absorb a wider swath of materials, techniques, and aesthetics than those that dominated his Conservatoire-based training.

While this narrative of complete aesthetic meditation leading to personal evolution is poetic, it is only one piece of the story. Dutilleux's claim that he "wrote only a little but […] thought a lot," for instance, is more a case of metaphorical self-construction than reality.[49] In reality, Dutilleux was bound by the practical need to earn a living. During the Occupation, he gave harmony lessons, arranged music for nightclubs and cafes, and provisionally stood in as the chorus accompanist for the Opéra. These demands on his time were likely contributing factors to Dutilleux's notion of "writing little." But Dutilleux did compose during this time. In fact, throughout the 1940s, he composed more prolifically than he did at any other point after 1950.[50] Most of his compositions were written for practical purposes – as arrangements and incidental music for radio theatre and film, or as state or institutional commissions. Consequently, these works did little to separate Dutilleux from the reputation he had after graduating from the Conservatoire. They did, however, offer opportunities to work out some of the techniques and stylistic concepts that he was encountering at the time.

The four solo instrumental pieces Dutilleux completed between 1942 and 1950 exemplify the nature of his music of the 1940s.[51] They were commissioned by the Paris Conservatoire for the Solos de Concours. Though they generally utilise traditional forms and techniques, they also

[49] Dutilleux and Glayman, *Henri Dutilleux: Music--Mystery and Memory*, 19.

[50] Between 1938 and 1950, Dutilleux wrote a total of nine works that have been published, and several others that were not published. A partial list of his published works can be found in Dutilleux and Glayman, *Henri Dutilleux: Music--Mystery and Memory*. Both Caroline Potter and Sean Shepherd offer engaging discussions of these works. Potter also discusses the slow, contemplative speed at which Dutilleux wrote during his later years, which offers an explanation as to why he was more prolific during these years. See, Caroline Potter, *Henri Dutilleux*; and Shepherd, "Tradition and Invention in the Music of Henri Dutilleux."

[51] The four pieces are *Sarabande et cortège* for bassoon and piano (1942), *Sonatine* for Flute and Piano (1943), Sonata for oboe and piano (1947), and *Choral, cadence et fugato* for trombone and piano (1950).

exhibit seeds of harmonic and rhythmic innovation, as Jeremy Thurlow argues in his dissertation on the composer.[52] Yet they also betray distinct stylistic imports from various French forebearers such as Fauré, Ravel, and even Poulenc. Caroline Potter, in her biography of the composer, estimated that "[i]f he had written nothing after the Oboe Sonata – or if his style had not developed past it – he would be remembered as a technically competent, but unoriginal French composer."[53] Much to Dutilleux's dismay, however, the technical proficiency and virtuosity of these works have made these pieces standard repertoire for their given instruments and remain some of his most well-known pieces.

The more conservative reputation garnered by pieces such as these can also be seen in his minor participation in Vichy commissions programs early in the Occupation. In 1941, he received a commission for a symphonic suite, which he meant to title *Symphonie des danses*. He only completed one movement that year, "Sarabande," which has since been destroyed. In 1942, he revisited this project with a scherzo-like movement, "Danse fantastique," which was written for a competition organized by the Associations Symphoniques Parisiennes and is the only completed movement of the suite known to exist.[54] Praise from composers and critics such as Tony Aubin, a known advocate of Vichy's vision of a "New French School" of young composers, illustrates the rather conservative effect of the work.[55] Likewise, the goals of these commission programs offer some insight into Dutilleux's general position within the musical

[52] Sean Shepherd is also more forgiving of these works, mainly in problematizing the notion of 'immaturity' versus 'maturity' in critical discussion and arguing that many of these early works contain developments that were well under way, particularly in the realm of harmony. Shepherd, "Tradition and Invention in the Music of Henri Dutilleux," 2; see also. Thurlow, "Music of Henri Dutilleux," 18, 55-6.

[53] Potter, *Henri* Dutilleux, 56. The critical reception of these pieces at the time were similar. For instance, Honegger assessed the *Sarabande et cortège* for bassoon and piano (1942) as a "brief score, rather a fragment of a suite that when complete does not yet give off a very marked personality." Arthur Honegger and Huguette Calmel, *Écrits*, (Paris: H. Champion, 1992), 424.

[54] Potter, *Henri Dutilleux*, 6.

[55] Aubin applauded "Danse fantastique" for its "richness, its density, the brilliance of its orchestration and the true grandeur of its central section." Quoted in Mari, *Henri Dutilleux*, 26.

atmosphere at the time.[56] Yet, Dutilleux's indifference to this work also suggests that he, personally, was not convinced by the Vichy ideologies these commissions represented. The activities that he gradually became more involved with after 1942, including his membership in the Front National and Radiodiffusion-Télévision Française (RTF) allowed Dutilleux to align himself with a different musical atmosphere.

The Front National and the Radiodiffusion-Télévision Française

Dutilleux's involvement in the Front National likely stemmed in part from his sympathy for the sufferings of the Jewish community in France, especially his Jewish colleagues who were forced to write under pseudonyms, but also because Dutilleux emphasized the need for aesthetic freedom above all else and the Front National was set apart from the political pressures and incursions on the part of the Vichy regime and the occupied forces.[57] In addition to providing the opportunity for political advocacy, the friendships that Dutilleux developed through the Front National were transformative both aesthetically and professionally.

Dutilleux's involvement in the Front National also grew into an involvement with the Radiodiffusion-Télévision Française (RTF).[58] The resistance took the reins of the RTF with the hope to rebuild a radio station with enough influence to strengthen the place of French musical

[56] Sprout suggests that because two composers who received Vichy's commissions, Elsa Barraine and Henri Dutilleux, were members of the Front national, the fact that a composer had received a commission by the Vichy regime was not in and of itself shameful or cause for postwar rejection in the same way that composers who had actively and continuously engaged with Vichy or German ideologies faced rejection. Seemingly, there was some awareness of the need to survive during the occupation. Sprout, *The Musical Legacy of Wartime France*, 149.

[57] Caroline Potter points out that his only overtly public political actions were his support for the cellist Rostropovich when the Soviet authorities refused him permission to travel in an article he penned, "Liberté de l'artiste?" in 1971, and his organization of a petition in 1979 protesting the imprisonment of the pianist Miguel Angel Estrella. Potter, *Henri Dutilleux*, 21; Additionally, his name appeared a handful of times in the communist journal *Les lettres francaise*. See "Le Congrès Mondial des partisans de la paix s'œuvre à Paris le 20 avril", *Les lettres française* 250 (10 March 1949), 2, Cited in Mark Carroll, *Music and Ideology in Cold War Europe*, 197; and "Contre l'arme atomique se fait l'unanimité des intellectuels français," *Les lettres françaises* 315 (8 June 1950), 1, Cited in Carroll, *Music and Ideology in Cold War Europe*, 21.

[58] The RTF began at Pierre Schaeffer's studio, transitioned to become the "free radio," and then finally became the RTF.

culture in the world, as was a common goal among many European radio stations. The RTF was specifically pluralistic in its approach to promoting new works and musical aesthetics. A number of those working in the resistance through the occupation were connected to the RTF.[59] For instance, Dutilleux got to know the composer-critic Alexis Roland-Manuel at Schaeffer's studio and he met the composers André Jolivet and Henry Barraud through Claude Delvincourt, all of whom were involved in both organizations.[60] Henry Barraud became the musical director, others such as Pierre Capdevielle, Roland-Manuel, and Danial Lesur were made heads of musical sections, in charge of regular broadcasts. Dutilleux was made *chef de chant* in 1943, where he composed incidental music for radio plays. His more important contribution occurred after 1946 when he was made the head of musical illustrations.[61] In this capacity, he commissioned works from promising young composers, including Maurice Ohana, Marius Constant, Betsy Jolas, Ivo Malec, Claude Prey, Serge Nigg, Louis Saguer, and Pierre Boulez, and arranged for their performance and recording in the studio. Dutilleux notes that the project became "a sort of testing-ground for young composers."[62] As an employee of the French Radio, Dutilleux undoubtedly was kept aware and often in contact with the hotbed of musical activity in Paris at the time.

[59] Both Charlotte Ginot-Slacik and Farine Le Bail point out that the connections forged in the Front National were maintained in the RTf. Charlotte Ginot-Slacik, "'En Marchant Prudemment Vers les Conquêtes de l'avenir': La Programmation de l'Orchestre National," in *De la Libération au Domaine Musical: Dix ans musique en France (1944-1954)*, ed. Laurent Feneyrou and Alain Poirier (Paris: Vrin, 2018), 49; Farine Le Bail, "Sortir de la Guerre : Musique et Modernité à la radio après 1945," in *De la Libération au Domaine Musical*, ed. Laurent Feneyrou and Alain Poirier, 35-6.

[60] Dutilleux and Glayman, *Henri Dutilleux: Music--Mystery and Memory*, 25.

[61] Caroline Potter has noted his radio plays were mainly written for money and are more pastiche in character than emblematic of his own musical style; Potter, *Henri Dutilleux*, 8.

[62] Dutilleux and Glayman, *Henri Dutilleux: Music--Mystery and Memory*, 33. This department was specifically concerned with providing music to support dramatic and literary broadcasts, with the goal to creating a specifically "radiophonic" art form that blended words and music rather than stage plays adorned with incidental music. Dutilleux wrote a short article titled "Opinion d'un musicien sur le théâtre musical radiophonique" in 1947 that would serve as a basis for an interesting study into this project. As far as I know, no substantial work has been done in investigating this program beyond mentions of this work in biographies of Dutilleux and this article. Henri Dutilleux, "Opinion D'un Musicien Sur Le Théâtre Musical Radiophonique," *Théâtre Musical* S. 121-128 (1947).

The aesthetic plurality that Dutilleux was introduced to at the RTF and through his involvement with the Front National was crucial to his own aesthetic evolution. The composer Marcel Mihalovici was a particularly important contact, as he introduced Dutilleux to Central European composers such as Bela Bartók and the Second Viennese School, of which he had little awareness previously. [63] After his explorations into the works of Roussel, Honegger, and Stravinsky sometime earlier in the decade, the influences he encountered from Central Europe, especially that of Béla Bartók, were the most transformative. Dutilleux often cited André Gide's phrase "foreign leavening" to refer to what he saw as the completely necessary and desirable influence of foreign art in fertilizing a national voice.[64] Though the harmonic sensuality of early influences like Debussy and Ravel and the large-scale and contrapuntal models of Roussel and Honegger remained influential, the foreign composers he encountered offered examples of texture, orchestration, and form that differed from the sinuous melodies that Dutilleux had previously foregrounded in his compositions.

The first work to show more of Dutilleux's later style, incorporating the Central European influences of Bartók and the Second Viennese School and moving towards weightier forms and materials, is the Piano Sonata (1947). In fact, Dutilleux named the piece his Opus 1. Yet, while the Sonata moves in the direction of his later style, it does not yet show significant innovation of the formal or textural fronts, which are arguably the sites of Dutilleux most impressive innovations. As Dutilleux explained to Glayman:

> I wanted to move gradually towards working in larger forms, and not to be satisfied with short pieces – to get away, if you like, from a way of writing that

[63] Dutilleux and Glayman, *Henri Dutilleux: Music--Mystery and Memory*, 26. For more on the role of Central European figures in Paris from 1920-1950, see Federico Lazzaro, *Écoles De Paris En Musique, 1920-1950: Identités, Nationalisme, Cosmopolitisme*. Musicologies. (Paris: Vrin, 2018).

[64] For more on Dutilleux's Central European influences and the connection to Gide's "foreign leavening," see Caroline Rae, "Beyond Boundaries: Dutilleux's Foreign Leavening," *Contemporary Music Review* 29, no. 5 (2010): 431–45.

> was 'typically French'… I wanted to produce a work of certain breadth, using a dense musical language; I also wanted to find for it a tone of voice, a certain depth, and in individual form… But it's still a transitional work, a link to what follows… It's still too classical![65]

The Piano Sonata is best described as a blend of traditional features and the more individualistic characteristics of weighty contrapuntal activity and adventurous harmony language. The most "classical" aspects of the work include its structural circularity and use of standard formal models. The fact that Dutilleux identifies it as a "link to what follows" because it is "too classical," is significant in positioning not just the Piano Sonata, but also the works that came after, including the First Symphony.

Dutilleux's predilection for large orchestral forces, the emergence of his novel formal variational devices, and the crystallization of the variety of influences he had absorbed through the 1940s fully emerges in the First Symphony (1951).[66] The symphony moves away from the sinuous melodies, modally coloured harmonies, and small formal designs that seemed to resonate with the French stereotypes Dutilleux was trying to escape and turns towards large-scale forms that are internally coherent rather than following an external design and constructions of musical objects rather than themes. Even as the resulting music remained in dialogue with traditional procedures, these formal and thematic developments were conceived particularly to move away from traditional devices.[67]

Exclusion from the Avant-Garde

When viewing the First Symphony retrospectively, the innovations and distance from traditional models are clear; yet aspects of the work must have seemed retrospective from the perspective of

[65] Many of the early works that Dutilleux continued to support were works that had personal significance to him. That the Piano Sonata was written specifically for his wife, the pianist Genevieve Joy, is perhaps part of the reason why Dutilleux isolates this work as the first of his catalogue. Dutilleux and Glayman, *Henri Dutilleux: Music--Mystery and Memory*, 29, 31.

[66] See Chapter 3 for a complete analysis.

[67] See Chapter Three for a more thorough analysis of the First Symphony.

the musical atmosphere of the time. The mere choice to write a large-scale symphonic work, and moreover to title it a "symphony," immediately contradicted the complete rejection of the "past" advocated for by Boulez and his followers. Although Dutilleux maintained that the relations between him and his younger contemporary were cordial and that Boulez showed more interest in his work after *Métaboles* in the mid-1960s, it is clear from the ways in which Dutilleux was excluded in avant-garde circles that Boulez's venom towards those who did not share his aesthetic views were not spared on Dutilleux.

In 1991, Glayman remarked that to compose a symphony in the early 1950s must have seemed like an act of iconoclasm to the members of the avant-garde, to which Dutilleux responded, "Absolutely! … [Boulez] was there at the premiere of the First Symphony in 1951 and abruptly turned his back on me."[68] The anecdote need not be understood literally, as Boulez's dismissal can be evidenced metaphorically. Works by Dutilleux were never included in the programmes for the Domaine Musical and Boulez never voluntarily conducted any of his music. Similarly, although the Ensemble Intercontemporain was founded in 1977, Dutilleux recalled that Boulez neglected to offer him a commission until the early 1990s, and even that project was abandoned due to tension between the two composers.[69] Furthermore, Dutilleux was excluded in British broadcasting of new music, specifically because of Boulez's influence over the BBC. Caroline Rae makes the astute observation that the majority of Dutilleux's broadcasts were restricted to the *Sonatine* for flute and piano, the Piano Sonata, and the *Sarabande et cortège* for bassoon and piano, all of which would have given a much more conservative impression of the composer than he was at the time of the broadcasts.[70]

[68] Dutilleux and Glayman, *Henri Dutilleux: Music--Mystery and Memory*, 36.
[69] Potter, *Henri Dutilleux*, 22.
[70] Caroline Rae has noted the exclusion of both Dutilleux and Maurice Ohana. Both Dutilleux and Ohana were two of France's most successful composers at the time but needed to find their successes through channels not

Dutilleux found significantly more success outside of the arenas dominated by Boulez and integral serialism. His personal and professional connections offered him avenues of promotion. The RTF continued to promote Dutilleux's music, thanks to its pluralist atmosphere and his friends, conductors, and champions of contemporary music, such as Barraud, Roland-Manuel, Désormière, and Rosenthal. Dutilleux's involvement with the International Music Council (IMC) was also fruitful in this respect.[71] The RTF was heavily involved with the International Rostrum of Composers, a program of the IRM, which began in 1952 with the aim to disseminate new music internationally and the purpose of selecting works by unknown composers to broadcast over the radio stations in every participating country.[72] The first meeting of the Rostrum took place in 1955, and Dutilleux's First Symphony was chosen as the full orchestral winner and to be recorded by the new Vega label.[73] The works presented for the rostrum did not need to adhere to a certain aesthetic, but they were supposed to be relatively unknown. This qualification seems to have been loosened in the case of Dutilleux's Symphony, which had already received several successful performances.[74]

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dominated by Boulezian aesthetics because they remained stylistically individual. Rae, "Henri Dutilleux and Maurice Ohana: Victims of an Exclusion Zone?" 28.

[71] The IMC was created in 1949 under the auspices of UNESCO. Dutilleux likely became involved with the IMC through his work at the RTF and remained an independent member through the 1950s. For more on membership, see Jack Bornoff, "The International Music Council in 1958," *The World of Music*, no 3 (1958), 5; and "International Music Council" *Music Educators Journal* 35, no. 5 (1949), 40.

[72] The Rostrum arranged a series of concerts, known as the Banc d'Essai, of unpublished contemporary works by "promising young composers" at UNESCO house, which were recorded and later broadcast. Later, the initiative expanded to include a network of international radio stations and a more rigorous committee selection of works. Bornoff, The International Music Council in 1958," 6 Pierre Colombo, "Ten Years of the International Rostrum of Composers," *The World of Music* 7, no. 3 (1965), 57.

[73] Other selected works in the following years notably seems to lack names or works involved heavily with the serial avant-garde of the time and many of the works carry the title of "symphony," even though the was not particularly in fashion. Though serial composers were not altogether absent. Lidholm, for instance, investigated the twelve-tone technique. Colombo, "Ten Years of the International Rostrum of Composers," 58.

[74] Dutilleux also noted that the other work chosen, Petrassi's Coro di Marti, did not need the publicity the recording provided: "My symphony was chosen together with a work by Petrassi, who hardly needed the publicity: his Coro di Marti, a very fine work." Given that these works were chosen in the early years of the Rostrum, when fewer radio stations were involved and thus the pool of works considered was likely smaller, it does not seem as if this was a case of favouritism. Dutilleux and Glayman, *Henri Dutilleux: Music--Mystery and Memory*, 34.

The First Symphony had premiered in 1951, introduced by Désormière and the Orchestré National de la RTF at the Thêàtre des Champs-Élysées on a programme that included Bartók's Second Piano Concerto. The work was subsequently taken up by several conductors, both in France and internationally, including Jean Martinon, Ernest Baur, Hans Rosbaud, Ferenc Fricsay, and Ernest Ansermet. A significant breakthrough occurred when Barraud showed the work to the conductor Charles Münch, who subsequently gave a series on performances in the United States, beginning in Boston in 1954, then New York and Washington.[75] This series of performances solidified Dutilleux's friendship with Münch as well as his reputation in the United States, so much so that the Koussevitzky Foundation extended a commission for a Second Symphony in 1955. Given Dutilleux's exclusion from spaces governed by the dogmatic French avant-garde, the platform that the RTF, the IMC, and his personal friendships with various conductors and musicians were indispensable for establishing a reputation for Dutilleux both in France and abroad, allowing him to circumvent Boulez's exclusions.

1.3 Dutilleux as an "Independent"

In contrast to the Boulezian polemics that asserted the historical necessity of a new music grounded in the rejection of the past, Dutilleux envisioned the future of music built on individual temperament and sincerity. Dutilleux maintained that no technique or style was unsuitable in and of itself for a certain time or nationality, so long as its use was sincere. This fundamental difference in value systems allowed Dutilleux to disengage from polemics:

> I don't like to associate myself with those composers who rejected it [i.e., serialism] from a purely reactionary attitude. There was a time, it's true, when, if you didn't subscribe to

[75] Dutilleux's relationship to Münch was hugely important, particularly in that he enjoyed the most success in the United States. Many later commissions came from the United States and Charles Münch promoted several of Dutilleux works. Dutilleux and Glayman, *Henri Dutilleux: Music--Mystery and Memory*, 40.

> this doctrine, you didn't exist – hence the phrase aesthetic 'terrorism'. But it called for a response through music, not through manifestos.[76]

This "response through music" entailed an openness, both in mindset and style, and a focus on exploring and developing a personal style rather than adhering to a set procedure. Because this position resulted in idiosyncratic innovations in his music, critics and contemporaries have grappled with how best to classify Dutilleux in relation to the atmosphere of the time, especially given his independence from the dominant trends, resulting in the oft-used label "independent."

The Concept of "Sincerity"

Though the term "sincerity" is not often used in the critical reception of Dutilleux, the concept is useful in contextualizing the label of "independent." Resonances of Dutilleux's values can be found in Carlo Caballero's illuminating discussion of "sincerity," and the related concepts of "originality," "novelty," "personality," and "innovation," in *Fauré and French Musical Aesthetics*.[77] According to Caballero, when Fauré's contemporaries called a work "sincere," they meant that "it expressed truthfully what its composer felt or thought," such that *sincerity*, the act of translation of a *personal sensibility*, and an *artist's personality* were bound up together.[78] The concept foregrounds the value of remaining true to one's own temperament rather than value found in the use of a novel technique.

Many of Dutilleux's own writings and interviews parallel these values. For instance, when he discussed the individuality of Debussy in 1962, he claimed:

> In art, everything is always called into question. A determined aesthetic position is only fully justified by the time in which it manifests itself. An artist, however

[76] Dutilleux and Glayman, *Henri Dutilleux: Music--Mystery and Memory*, 39.

[77] Carlo Caballero, *Fauré and French Musical Aesthetics*, (Cambridge: Cambridge University Press, 2001). For another perspective on the concept of sincerity, which questions the related notions of aesthetic "independence" and autonomy, see Charles Wilson, "György Ligeti and the Rhetoric of Autonomy," Twentieth-Century Music 1/1 (2004), 5–28.

[78] Caballero, *Fauré and French Musical Aesthetics*, 11-12.

> brilliant he is, is never right once and for all. He is above all right in relation to himself, to his work.[79]

Nearly three decades later, Dutilleux used almost the same language when discussing his own music:

> In my music there is always a coherence between form and the language… What music has to have, in my view, above everything else is a justification… I feel that this cast of mind is essential to creative work and that is a valid approach for every composer, whatever path they tread.[80]

Dutilleux's sematic chain follows the same reasoning used in the concept of "sincerity": the materials themselves have no bearing on the validity of a work, as long as they cohere with the composer's personal temperament. Crucially, the concept of an artist being justified only "in relation to himself" contradicts the argument that a work is only justified by how well its materials and procedures adhere to the trends of the time.

By subordinating the type of material or procedure to an artist's translation of a personal temperament, the sematic foundation of "sincerity" seriously reconceives of what is meant by "innovation," itself historically tied to concepts of "novelty" and "originality." In Caballero's assessment, "novelty" is purely the presence of material newness, what in the postwar context would be the use of serial techniques, whereas "originality" is a "by-product of sincerity."[81] Though "novelty" and "originality" are often conflated, "novelty" necessarily rejects past techniques, materials, and styles because it is always aiming to move forward in search of a progress based on the superficially and materially new whereas "originality" does not reject any material in and of itself, and progress is found in the manifestation of the personality of a

[79] Henri Dutilleux, "Sur Debussy," *Revue polonaise, Rucle Muzyczny Varsovie*, (July 1962). Reprinted in Mari, *Henri Dutilleux,* 213.

[80] Dutilleux and Glayman, *Henri Dutilleux: Music--Mystery and Memory*, 37-8.

[81] Caballero, *Fauré and French Musical Aesthetics*, 77, 85.

composer.[82] In other words, "novelty" refers to the "what," in the communal sense of things that have not been heard before, while "originality" relates to the how, in the sense that the materials and techniques are uniquely used in service to the individual composer.

"Sincerity" c. 1945-50

The difference between the innovations of the postwar avant-garde and of Dutilleux rest in this distinction between "novelty" and "originality." Difficulty arises in critical discourse of the time, however, because the value system of the avant-garde was the more readily legible of the two. Caballero suggests that while the concept of "sincerity" was a mainstay in critical discourse between 1890 and 1930, it vanished in the middle- to late-twentieth century because concepts of "originality" became synonymous with "novelty" and rebellion.[83] Likewise, Leonard B. Meyer noted that after 1945 "originality [was] no longer tied to the discovery of means expressive of the artist's inner experience, but to the ordering of materials," with the result being that "[f]orm and technique have thus superseded inspiration and expression."[84] One could investigate the reasons for this shift – perhaps a move towards technology in society broadly or the consequence of the social upheaval of the two world wars – but it is clear that throughout the twentieth century new techniques and materials were cast as inherently innovative.

Yet, the notion of "sincerity" did not disappear altogether in critical discourse. Rather, concepts related to the notion of "sincerity" became indispensable in classifying those composers who maintained a commitment to personal renewal and personal temperament. The influx of diverse styles in postwar period made it necessary for critics to grapple with the dissolution of

[82] Crucially, while some forms of novelty include sensationalism, the way in which the term is used here does not denote a vapid search for shock value about serious composition, but rather purely a valuation of newness from a material or technical perspective.

[83] Caballero, *Fauré and French Musical Aesthetics*, 110.

[84] Leonard B. Meyer, *Music, the Arts, and Ideas: Patterns and Predictions in Twentieth-Century Culture*, (Chicago: University of Chicago Press, 1994), 188.

universal "laws" that facilitated easy classification and judgement of works and composers. One solution was simply to discuss a work's material newness. But this resulted in a very thin critical evaluation. The critic Fred Goldbeck elucidated the challenges facing critics at the time by describing the plurality around standards of judgement:

> [The] absence of imperative standards makes the classification of composers difficult, and therefore a more promising task. As long as the laws held, musicians had to be either law-abiding or law-breaking – traditionalists or revolutionaries. Since the laws gave way, there is a far greater choice of attitudes. Some deplore that the laws are broken, others [say] that there are no more laws to break; others again try to set new laws, or to dovetail the pieces of the old ones; and not a few choose to ignore the situation and to obscure, or rebel against, defunct laws politely or ironically taken for valid. And instead of having the next right-wing/left-wing division at their disposal, scrupulous critics have to pigeonhole all the varieties of unemployed subversive musicians in search of something to overthrow, of academicists without an academy; of those who, diving into the history of music and swimming upstream, try to revive old or very old styles of writing, or even the magics of the oldest unwritten tones. *Appreciation of a new work, in consequence, often amounts, and often cannot but amount, to description of its tendencies, with an additional remark on the composer's temperament*.[85]

The "description of tendencies" would amount to a description of materials but because critical judgement could no longer rely on convention, the concept of a composer's temperament became crucial.

Caballero identifies the urgency of conversations about sincerity in the early part of the twentieth century in France as a consequence of "the presence of drastic stylistic fragmentation" which resulted in a need to question the motivations of an artist's compositional choices and the relationship between style and personality.[86] A similar stylistic fragmentation occurred in France in the post-war period. Deep-seated anxieties about a national future, coupled with artistic concerns of dogma and imitation, led some back to the concept of "sincerity." Jacques de

[85] Fred Goldbeck, "The Current Chronicle: France," *The Musical Quarterly*, 36, No. 3 (Jul. 1950), 457. (Emphasis added)

[86] Caballero, *Fauré and French Musical Aesthetics*, 22.

Menasce, for instance, argued in 1950 that the use of neo-isms in a pejorative sense had become perfunctory, for "one's own creative experience confirms the impoderab[ility] of [an] intervening personality is always the final determinant for the validity of style and manner."[87] Thus, though the principally publicized innovations of postwar musical modernism centered on new techniques, concepts relating to "sincerity" were still functional because technique did not necessarily determine a work's ultimate success or failure.

Composers who embraced past forms and techniques equally with novel forms and techniques, such as Dutilleux, were particularly difficult to categorize. But the mixture of new and old had been a lasting compositional aim for decades. For instance, much earlier in the century, Henri Duparc's argued that some works "have no need to be either archaic or modern, because they are beautiful and sincere," and André Messager claimed to be unwilling to "sacrific[e] neither contemporary taste to salutary traditions nor traditions to the whims of fashion," provided that whatever music created "springs from a sincere and considered doctrine."[88] This openness to traditional and modern materials was shared by Dutilleux, who said, "[g]enerally speaking, whatever the intellectual movements in force, not enough attention is paid to matters of temperament and originality."[89] The opposition of this opinion to the ideological force of the avant-garde created a situation where those who refused to adhere to any one trend were fundamentally described in relation to those who adhered to the dominant trends of the time, and were often labelled as "independents."

Criticisms of the term "independent"

[87] Jacques de Menasce "Current Chronicle: France," *The Musical Quarterly*, 36, No. 1 (Jan. 1950), 188.

[88] Henri Duparc, response to Paul Landormy, "L'état actuel de la musique française," *La revue bleue* (26 March 1904), 396, quoted in Caballero, *Fauré and French Musical Aesthetics*, 16; André Messager, interview, 8 March 1928, quoted in Caballero, *Fauré and French Musical Aesthetics*, 28-29.

[89] Dutilleux and Glayman, *Henri Dutilleux: Music--Mystery and Memory*, 126.

"Independent" has long been used to quickly classify composers who did not confine themselves to the fashionable system, doctrine, or ideology. Julian Anderson defines the "independents" as composers who did not generally unleash battles of socio-political skirmishes amidst the polarization of the French musical world that went back to Lully's time.[90] By the 1950s, to be an "independent" in many ways meant using systems or conventions that the serialists rejected. Dutilleux is a prime example of what it meant to be an "independent" in this context. Francis Poulenc lists Dutilleux among the "independents" he finds worth noting for "his honesty and his rigour," in both his personality and his music, "which is *without concessions* and a pleasure to listen to."[91] Rollo Myers also used the term when discussing French music after the World War II. He situates his description of Dutilleux within a section devoted to several composers who did not adhere to the serialist trend.[92] Myers clearly felt a need to include them because they had reached some amount of success, despite not writing in a serialist style. The term "independent," then, was useful in positioning noteworthy composers in discussions that overwhelmingly centered on current trends.

At the same time however, the term "independent" and the concept of "sincerity" share a quality of ambiguity. Neither refers to any single tangible, describable set of characteristics. Consequently, the vagueness that allowed the term to function as a signifier for successful composers who stood outside the tendencies of the dominant trends also caused it to be perfunctory because composers of vastly different aesthetics were tied together simply because other labels did not suit them. Bernard Cavanna, who studied under Dutilleux at the Ecole

[90] Julian Anderson, "'Timbre, Process and 'Accords Fixes': Dutilleux and His Younger French Contemporaries," *Contemporary Music Review* 29, no. 5 (2010), 449.

[91] Francis Poulenc, *Francis Poulenc: Articles and Interviews: Notes from the Heart,* ed. Nicolas Southon, trans. Roger Nichols (England: Ashgate, 2014), 164. (Emphasis mine).

[92] The other "independents" Myers lists are along with Jean Francaix, Jean Rivier, Daniel Lesur, Martinů, Yves Baudrier, Henri Barraud; Rollo H. Myers, "Music in France in the Post-War Decade," *Proceedings of the Royal Musical Association* 81 (1954): 102.

Normale in the 1970s, deplored the way the term lumped Dutilleux together with composers that he saw as "obsolete":

> [The art of Dutilleux is] difficult to place among the great movements which succeeded one another at the beginning of the last century, whose often-used qualifier, a few years ago still, of 'independent' will remain very poor and very stupid in comparison with other independents with [their] frozen or obsolete music.[93]

Dutilleux has also spoken against being labelled as "independent" for this reason. In fact, the tension between the work the term does for critics and this unsatisfactory result is illuminatingly exemplified in a section of Dutilleux's interview with Claude Glayman in 1991. While the composer is typically characterized as exceedingly gracious, he was uncompromising in his disdain for the term throughout the interview, primarily for its lack of aesthetic definition. Dutilleux called the qualifier "a catch-all way of cataloguing composers who are unclassifiable."[94] Glayman insisted on maintaining the term, suggesting it spoke to Dutilleux's uniqueness, but still the composer countered: "Is the term 'independent' not a label?" Although he recognized that the term was meant to mark his uniqueness, he argued that the term neglected to acknowledge the qualities that made him unique.

The Difficulty in Labelling Dutilleux

The qualifier "independent" is so pervasively used to speak of Dutilleux because, often, more specific labels tend to be only partially descriptive. This problem is most evident when Dutilleux is called "traditional" or "innovative." When labelled traditional, his modernity gets in the way, whereas when labelled an innovator, his links to tradition gets in the way. This paradox is best exemplified in a short article titled "Henri Dutilleux, novateur!" written in 1994 by Gérard

[93] Bernard Cavanna, "Génial, Généreux et Singulier," *Henri Dutilleux : Entre Le Cristal Et La Nuée* ed. Nicolas Darbon, (Paris: Centre de documentation de la musique contemporaine, 2010) : 119.

[94] Dutilleux and Glayman, *Henri Dutilleux: Music--Mystery and Memory*, 91.

Grisey, who was Dutilleux's student at the École normale in the late 1960s.[95] Grisey's initial statement that "[t]he genius of Dutilleux undoubtedly lies in having known how to innovate along paths so narrow that everyone thought them unfeasible," summarizes the problem Grisey faced: how to acknowledge Dutilleux's modernity and originality despite the fact that his use of traditional conventions went against the dominate conception of "innovation" operating at the time. Grisey noted that at first reading the counterpoint, melody, and orchestration seem to reveal what underlies traditional symphonic music and yet "when you listen, everything changes, because the music instantly transcends the categories on which it is based." Yet the only descriptions of the innovative characteristics of Dutilleux's music are a brief mention of formal devices and a certain "sound":

> His artificial classicism reassures only the self-righteous [bien-pensants] and his prodigious formal invention is that of a man of the twentieth century… There is a Dutilleux "sound" as there is a Xenaxis "sound," even if innovation does not find it where the 20th century is accustomed to detecting it.[96]

This idea of a Dutilleux "sound" resembles the notion of a personal sensibility being accurately translated through the music. Ultimately, the article stands as a declaration and defense of Dutilleux as an important innovator despite accusations of traditionalism.

Similarly, critics and commentators had difficulty in labelling Dutilleux a "French" composer. Of course, he was French, and he did synthesize elements of his French forebearers into his own style. Yet, he also synthesized elements of foreign composers. Moreover, the qualifier of "French" held a variety of connotations. At the International Conference of Composers at the Stratford Festival in August of 1961, Dutilleux gave a talk titled "Diversities in

[95] Gerard Grisey, "Henri Dutilleux, innovateur!" in *Henri Dutilleux : Entre Le Cristal Et La Nuée* ed. Nicolas Darbon, (Paris: Centre de documentation de la musique contemporaine, 2010),119. Julian Anderson has written an illuminating article analysing Grisey's article and the influence of Dutilleux on the spectralists. Julian Anderson, "Timbre, Process and Accords Fixes: Dutilleux and His Younger French Contemporaries." *Contemporary Music Review* 29, no. 5 (2010): 447–61.

[96] Grisey, "Henri Dutilleux, innovateur!" 119.

Contemporary French Music," where he drew attention to the arbitrariness of the term "independent" primarily in relation to the ways in which it failed to acknowledge the diversities within contemporary French music.[97] He chose six relatively overlooked French composers, Maurice Ohana, Marius Constant, Maurice Jarré, Jean Louis Mannet, Jean Martinon, and Marcel Landowski, "on whose foreheads the critics and musicologists have stamped for all time the word 'independent,'" despite being quite different aesthetically.[98] His disdain for the term in this talk also suggested that in labelling these composers "independent," critics were also denying them the ability to function as representative of French music. Dutilleux's goal in this 1961 talk was to argue for a greater recognition of aesthetic pluralism active in France at the time, offering a broader perspective of worthwhile contemporary music and worthwhile national voices.

Ironically, Dutilleux also showed some discomfort with being conceptualized as quintessentially French. He advocated for national pride and paid respect to his own national lineage, but just as he refused to believe that to be a contemporary composer one must write in a specific way, he argued that to be a French composer did not necessarily engender a certain aesthetic. Likewise, his disdain for the term "Independent" should be seen as a consequence of the belief that a composer should be judged by their "sincerity." Unlike the serialists who saw the way forward as a rejection of tradition, Dutilleux aimed to rejuvenate forms and systems of the past. Whatever the consequences of Dutilleux's individual aesthetic goals within the musical characteristics of his music, Dutilleux's positioning within the French musical landscape of the time must be understood in part through his relationship to the variegated, polemical atmosphere of the French contemporary music world.

[97] Dutilleux, "Diversities in Contemporary French Music," 77-85.
[98] Dutilleux, "Diversities in Contemporary French Music," 84.

CHAPTER 2:

The Symphony within the Musical Landscape of Postwar France

Just as Dutilleux's own reception must be understood in light of his position within the postwar milieu, his First Symphony must be understood in relation to the position of genre within the larger context of twentieth century France. In 1951, Fred Goldbeck began his review of Dutilleux's First Symphony with a concise assessment of the history of the genre:

> The symphony, for the two centuries that musicians have practiced it, has been successively a form among others (Haydn), a manifesto (Beethoven), a synthesis (re-Beethoven), a problem (the Romantics), sacred [mystique] (Bruckner or d'Indy), a torment [Croque-mitaine] (Berlioz or Mahler), and a tour de force (Roussel, Stravinsky, or Lourie) made with or against these various memories.[99]

In this succinct synopsis of the multi-faceted history of the genre, Goldbeck implies two crucial aspects in considering the position of the symphony in Dutilleux's time and place. First, the meaning and social work of the genre has not remained stable through its history. Second, each new iteration of the symphonic genre had to grapple with previous iterations. Dutilleux was able to construct his own conception of a "symphony," but also needed to grapple with the genre's history, specifically its French history.

The most crucial aspects of the genre's context in France by the middle of the twentieth century are the nationalistic and aesthetic debates that raged around it at the turn of the century, its apparent decline and then resurgence in the middle of the century, and the manifold manipulations and reinterpretations of the genre through the twentieth century. To understand Dutilleux's approach to the genre in the First Symphony – this work's innovations, and how it was received within the mid-century context – it is first necessary to understand the position of the symphony in the context of its history leading from this heated polemical context of the turn

[99] Fred Goldbeck, "Symphonie 1951," *Esprit*, no. 182 (9) (1951): 379–80.

of the century, through the decline of the genre after the 1920s, and to the genre's mid-century revival with a newfound desire to divorce it from its traditional conventions.

Continual redefinitions of the "rules" of symphonic composition – both in compositional content and in the social function of the genre – fundamentally results in ambiguity of what a symphony *is* and what it *is not*. An entire genre study is well beyond the scope of this project, but it is important to note that when a genre is consistently and heavily defined by specific musical processes, as the symphony has been, questions arise as to how many of those musical processes can change or be omitted before a work can no longer qualify as belonging to that genre or before the nature of the genre itself changes. Some genre theorists have turned to theories in philosophy and linguistics, such as those by Jacques Derrida, Mikhail Bakhtin, and Manual DeLanda, to address the unfixed nature of generic categories.[100] DeLanda's theory of assemblage is one useful way of thinking about this.

DeLanda constructs a model wherein he attempts to account for "the *synthesis* of the properties of a whole not reducible to its parts."[101] In other words, the genre is not defined by the aggregation of its components, but rather through *relations of exteriority*.[102] This means that a genre is not a stable entity within itself, but rather the product of relations between its component parts, to other external parts, and between all parts – internal and external – and the whole. Thus, a genre is not compromised when some of its recognized characteristics are omitted, are modified, or other non-characteristic parts are present. At the same time, a generic category can

[100] Though his main subject matter is popular music, David Bracket lays out a theory of genre using the theories of these philosophers. David Bracket, *Categorizing Sound: Genre and Twentieth-Century Popular Music*, (Oakland, California: University of California Press, 2016); For more genre theory, see also John Frow, Genre, (London and New York: Routledge, 200); and Gary Saul Morson and Caryl Emerson, "Theory of Genres," In *Mikhail Bakhtin: Creation of a Prosaics*, (Stanford University Press, 1990), 271-305.

[101] Manuel Delanda, *A New Philosophy of Society: Assemblage Theory and Social Complexity*, (London: Bloomsbury, 2006), 4.

[102] Delanda, *A New Philosophy of Society*, 10.

be more or less stable, depending on how many characteristics are modified, omitted, or added in any one case. This process of destabilization and non-exclusive relationality is the process by which generic categories change over time, as the component parts associated with the said genre fluctuate.

In practice, this change is both fluid and precarious, as it means a lack of complete consensus concerning the primacy of any given part to the whole. Thus, one person may claim a given work as an example of a symphony and another may not, depending on the characteristics present and what characteristics someone values as crucial to that genre. Moreover, musical genres are not purely constructed through the musical characteristics associated with them, but also through the way the music functions in social and professional contexts and personal identities and values that a certain genre can represent for audiences. Given the plethora of characteristics attributable to a genre, there is rarely complete agreement of the definitions of the genre itself, even if there is some majority agreement in any given time and place.

In the case of the symphony, the Beethovenian paradigm has been the basis for the genre's definition for much of its history – including characteristics like sonata-allegro forms and movement successions, a standard tonal plan, thematic and narrative processes, and the concepts of "classicism" reflected in social values. In the twentieth century, many of the long-held characteristic criteria of the symphony were questioned, modified, and abandoned, and thus the genre itself was destabilized and reconstructed. Moreover, through the twentieth century, the symphony had long ceased to be merely a form of absolute music as an alternative to dramatic music but had also become a tool that composers could use to express their relationship to the past. For instance, adherence to classical conventions and forms might suggest a strong reverence for tradition, while rejecting and manipulating those conventions could represent a

very different relationship to tradition. While this presents a challenge, it also presents an opportunity to recognize the diverse approaches to, and manifestations of, the genre in France that occurred through the twentieth century.

2.1 The Symphony in France at the Turn of the Century

The French symphony has its own national history that stands somewhat apart from that of Germany and Austria. The relatively recent scholarship of Brian Hart has been important for illuminating this history, particularly the emergence of the French symphony in the nineteenth century and the intense polemic debates that surrounded it.[103]

Until the mid- to late-nineteenth century, the symphony had largely been regarded with antipathy in France. Opera had been favoured above symphonic and instrumental works. A "revival" of the genre in the mid-1880s followed from Hector Berlioz's explorations in the middle of the century and Camille Saint-Saens's symphonies slightly later in the century. Hart locates the core French symphonic revival in the years from 1886 to 1889, with the appearance of Saint-Saens's Third Symphony, Eduard Lalo's Symphony in G minor, and Vincent d'Indy's *Symphonie sur un chant montagnard francais*, all written in 1886, as well as Cesar Franck's Symphony in D minor (1888); Andrew Deruchie's corpus study of what he calls the "veritable renaissance" of the symphony in France adds to this list Ernest Chausson's Symphony in B flat (1891), Paul Dukas's Symphony in C (1986) and d'Indy's Second Symphony (1903).[104] The genre emerged specifically in reaction to the political climate of the time, and gained so much traction in France that Deruchie goes so far as to suggest that this hotbed of symphonic

[103] Brian Hart, "The French Symphony," in *The European Symphony from Ca. 1800 to Ca. 1930: Great Britain, Russia, and France*. The Symphonic Repertoire, V. 3, Pt. B, ed. Peter A. Brown and Brian Hart. (Bloomington: Indiana University Press, 2008), 527-726.

[104] Brian Hart, "The French Symphony," 564; Andrew Deruchie, *The French Symphony at the Fin De Siècle: Style, Culture, and the Symphonic Tradition*, (Rochester, NY: University of Rochester Press, 2013), 2.

composition "momentarily rivaled – or even eclipsed – Austria as a center of the symphony."[105] Yet, because the genre's rapid emergence was so tied to French nationalism, polemical opposition to the genre and the kind of nationalism it represented quickly followed.

French Nationalism and the Symphony

Political upheaval in France before and around the turn of the century resulted in an upsurge of nationalistic and anti-German ideologies. This climate was pivotal in the emergence of the French symphony. Several writers, notably Hart, Deruchie, Louise Cuyler, and Barbara Kelly, have posited that the end of the Franco-Prussian War, the Siege of Paris, and the Paris Commune were all catalysts to a nationalistic desire in artistic circles to raise the profile of French art.[106] Jane Fulcher, additionally, argues that the Dreyfus Affair later in the century had the same nationalistic effect. Whatever the specific causation, nationalism at the end of the nineteenth century largely took the form of an advocacy for a return to tradition and Classicism which could project an "authentic" French identity.[107] Though, as Fulcher explains, "classicism" was seen as the antithesis to "romanticism," which was associated with the German enemy, the specific Classicism for which the French nationalists advocated was not derived from antiquity, but rather from a "Latin" character of purity, proportion, and order.[108] This nationalistic stance stemmed from the notion that the perceived decline of French music and culture earlier in the nineteenth century was due to the decadent tastes of the French public.

[105] Deruchie, *The French Symphony at the Fin De Siècle*, 3.

[106] Hart, "The French Symphony"; Deruchie, *The French Symphony at the Fin De Siècle;* Louise Cuyler, *The Symphony*, (Warren, Mich.: Harmonie Park Press, 1995); and Barbara Kelly, "Introduction: The Roles of Music and Culture in National Identity Formation," in *French Music, Culture, and National Identity, 1870-1939.* Ed. Barbara Kelly, (Rochester, NY: University of Rochester Press, 2008), 1-16.

[107] Jane F. Fulcher, *The Composer as Intellectual: Music and Ideology in France 1914-1940*. (New York: Oxford University Press, 2005), 10.

[108] Fulcher, *The Composer as Intellectual*, 21.

While composers and commentators largely agreed on the need to articulate a strong national heritage, and the genre of the symphony was one site of this articulation, there were two opinions on the type of symphony appropriate to this goal. From the 1880s until the 1920s, most French symphonies were either patterned on a "classical" or a "romantic" style.[109] Hart offers a useful tool for distinguishing between the two types in identifying the works' intended purposes: "classical" French symphonies were primarily abstract, centered on sound and form, and were "lighter" with a preference for scherzos; and "Romantic" symphonies sought to convey serious messages, often omitting lighter movements to facilitate the communication of this seriousness.[110] Camille Saint-Saens's Third Symphony (1886) offered the main model of the "classical" style, distinguished by its four-movement structure, inclusion of a lighter scherzo-like movement, lack of a programmatic message, and focus on innovative and virtuosic writing.[111] Cesar Franck's Symphony in D minor (1888) offered the main model for the "romantic" style, distinguished by its three-movement structure, omission of the lighter scherzo movement, and fusion of German and French traditions. While Franck's symphony does not include an overt program or message, its expressive seriousness offered the atmosphere in which composers would develop the messages that became associated with the type.

D'Indy and the "guerre des écoles"

By the turn of the century, the "romantic" style proved to be the most successful and became the primary vehicle for nationalism articulated through the symphonic genre. Those who modelled

[109] The use of "classical" and "romantic" in both cultural discourse and in distinguishing the symphonies is somewhat confusing. "Classicism," as advocated by the nationalists, entailed generally a turn toward traditionalism which advocated for the championing of the symphony. The "classical" and "romantic" symphonic styles, within this return, define the characteristics of the works themselves.

[110] Hart, "The French Symphony," 583.

[111] Hart also suggests that Edouard Lalo's Symphony in G (1885-6) is essentially in a "classical" style, primarily because the composer insisted that it functioned as absolute music and included lighter sections like the scherzo. Hart, "The French Symphony, 583.

their own writing on Franck's, specifically Henri Duparc, Ernest Chausson, Guy Ropartz, and Vincent d'Indy, took it as their mission to advance this tradition of French symphonic writing that not only glorified Franck's approach to symphonic writing, but also placed him as the most recent link in a lineage that led from Beethoven, through Wagner and Franck, and to themselves.

D'Indy, as the principal defender of the symphony in the early twentieth century, argued that French composers must "attach themselves to the logical chain of the past."[112] He argued that German musicians had largely ignored Beethoven's innovations of cyclic unity and thus forfeited their place in the symphonic lineage. French composers, then, were tasked with "rescuing" the symphony and carrying forward Beethoven's example with further developments of cyclic processes, which d'Indy described as "new and *exclusively French*."[113] D'Indy put a high value on achieving organic unity through cyclical processes and saw the evolution from Beethoven's thematic recall to Wagner's leitmotif to Franck's cyclic form as developments towards symphonic cohesion. Beethoven also provided appropriate symphonic form, developmental procedures, and narrative design. Wagner, as the next link in the chain, exemplified the proper temperament. The result is characterised well by Hart:

> if Beethoven and Wagner – the epitomes of *musique pure* and *musique appliquée aux paroles* respectively – represented a quasi-Hegelian dichotomy, Franck became the agent of synthesis. As Wagner applied Beethovian procedures to drama, Franck brought the leitmotiv into *musique pure* through the medium of the cyclic symphony.[114]

[112] Vincent d'Indy, "Une École d'art répondant aux besoins modern," *La Tribune de Saint-Gervais* 6 (November 1900, 311. Quoted in Hart, "The Symphony and National Identity in Early Twentieth-Century France," 132.

[113] Vincent d'Indy, "La Sonate cyclique," in *Cours de composition musicale*, ed. Auguste Sérieyx, vol. 2, part 2. (Paris: Durand, 1909), 159. Quoted in Hart, "The Symphony and National Identity in Early Twentieth-Century France," 133.

[114] Brian Hart, "Vincent D'indy and the Development of the French Symphony," *Music & Letters* 87, no. 2 (2006), 242.

This line of development not only advanced certain aesthetic qualities, but also a very specific view of a permissible French heritage grounded in German models. In fact, d'Indy's active nationalistic stance rested on the opinion that French music could only be rejuvenated and constructed by following these ideals.

Early twentieth century manifestations of the latter "romantic" style also developed into what Hart has termed the "message-symphony," which he argues was exclusively French, and which differed from general programmatic or narrative symphonies because they contained specifically philosophical, political and intentionally polemical messages.[115] A section of these message-symphonies took as their topic ideal social formations of the French nation, and thus engaged explicitly with rampant discussions of nationalism of the time.[116]

With the increasing obsession among composers to establish a connection with a specifically Gallic heritage, both the political messages of these symphonies and the specific lineage and kinship with German heritage faced criticism for being too sympathetic with German music. The strategy taken up to oppose the *franckiste* and *d'indyste* forms of nationalism was to cast doubt on the actual Frenchness of the composers themselves. For instance, Franck's nationality was characterized as tainted because he was born in Liege to a German mother. As Hart points out, by focusing on this ancestry critics could expel Franck as an outsider from true French heritage, and subsequently his followers and the genres they supported, specifically the

[115] Brian Hart, "The Symphony and National Identity in Early Twentieth-Century France," in *French Music, Culture, and National Identity, 1870-1939.* Ed. Barbara Kelly, (Rochester, NY: University of Rochester Press, 2008), 137.

[116] Though political messages were common, they did not always share political stances. For instance, Vincent d'Indy's *La Légende de Saint-Christophe* (1908-1915), described by the composer as a "grand project politique," takes an anti-Dreyfus position, while Alberic Magnard's *Hymne à la justice* for orchestra (1903) was pro-Dreyfus. Furthermore, other works did not align strongly with specific political positions, but instead offered more idyllic views, such as Guy Ropartz's Symphony No. 3 (1905-6), which praises a utopian universal kinship, encouraging the pursuit of truth and justice.

symphony, could be expelled as well.[117] By the early twentieth century, the genre of the symphony was strongly associated with the *franckiste* and *d'indyste* schools, and thus was considered as not only compromised by its German heritage, but also much too academic. While some rejected the entire genre on this basis, others isolated their rejection to the genre's *franckiste* and *d'indyste* manifestations.

The nationalist polemics surrounding the symphony in France became a significant element in the highly publicized "guerre des écoles" that embroiled the Paris Conservatoire and the Schola Cantorum de Paris through the early twentieth century. The Schola Cantorum was founded in 1894 as a counterbalance to the dominance of the Conservatoire in French music education and the Conservatoire's preference for the opera over the symphony. When d'Indy was made the director of the Schola, he instituted a curriculum based on technique and tradition, which included a comprehensive focus on the symphonic genre. Under his direction, the Schola became a formidable rival to the Conservatoire.

In response to the increase in the Schola's reputation, a more extensive study of the symphony was added to the Conservatoire's curriculum when Gabriel Fauré became the director in 1905. However, the Conservatoire favoured the "classical" style, while the Schola favoured the "romantic" style. Each claimed that their model was the only viable symphonic type for French symphonists. Hart argues that the schools' models fundamentally differed in purpose: the Schola-based composers believed national ideals could be expressed in the form, while the conservatoire valued the genre for its clear form and logical flow.[118] In this way, the debates over

[117] Hart, "The French Symphony," 590.

[118] Brian Hart, "The Symphony in Debussy's World: A Context for His Views on the Genre and Early Interpretations of La Mer," in *Debussy and His World.* (Princeton, N.J.: Princeton Univ. Press, 2001), 183.

aesthetic models for the genre stood as a microcosm for debates about how best to identify and express a national heritage through the genre.

Debussysme as a Rival to the D'Indyste Symphonic Model

As the Schola model for symphonic composition became the dominant school of symphonic writing, opposition to *d'indysme* and opposition to the symphony as a genre were often linked together. D'Indy, with his hard-lined emphasis on tradition and his veneration of German masters, was characterized by his opponents as a reactionary and an academicist. Fulcher explains that d'Indy's ideologies did not just impose preferred styles and repertoires, but also established a specific "code" of nationalistic composition that cast the symphony as a specifically French and traditional genre.[119] *Debussysme* and other early-twentieth century avant-garde developments became the perceived threat to this code.[120] Hart argues that d'Indy's Second Symphony (1902-3) mirrors the divide because its two themes associate to the "traditional" element and the "modern" element respectively.[121] At the end of the Symphony the "traditional" theme ultimately overcomes the "modern" theme. If these themes are read as the *d'indystes* versus the *debussystes* then the work can be interpreted as proclaiming the valorization of traditionalism over modernism, with the implication that only art founded on a strong traditional basis will survive.

Many refuted this specific "code" of symphonic writing by denouncing the genre altogether. Debussy is famous for his vocal objections to the genre. Like d'Indy, Debussy actively defended national art, but in his writing the symphonic genre was cast as outdated and Germanic. Debussy's articles from 1901 to 1914, as Hart points out, actually passed through

[119] Fulcher, *The Composer as Intellectual*, 11.

[120] It should be noted that d'Indy respected Debussy as an individual composer – it was *debussysme*, or those who purported to follow Debussy's example, that d'Indy opposed.

[121] Brian Hart, "The French Symphony," 657-8.

three phases of assault on the genre: first, an emphasis on its technical and aesthetic deficiencies; second, a condemnation of the goal behind writing a symphony, i.e. to convey messages; and third, a nationalistic opposition to the genre's the Germanic implications.[122] Initially, Debussy opposed "the notion that to swear fealty to the 'rules' of symphonic composition was to abdicate authorial responsibility," leading to "grandiloquence and inspirational sterility."[123] This had very little to do with the nationalistic connotations of the genre, but rather had to do with the desire for freedom and flexibility without being beholden to certain aesthetic conventions.

With the onset of the First World War, however, Debussy began to argue that the genre was a foreign form, which was not intrinsically suited to French music. This opinion was at least in part coloured by the reverence given to Beethoven and Wagner by those at the Schola Cantorum. For example, Debussy wrote a preface to Paul Huvelin's *La musique française: douze causeries* in 1916, in the form of a short letter to the author, expressing thinly veiled distaste for d'Indy's brand of symphonic advocacy. He remarked that "France sacrifices, without distinction of blood or caste, its best children," while simultaneously "we hear in certain circles strange comments about Beethoven, who - Flemish or German - is a great musician, and Wagner, [who is] a greater artist than musician."[124] Debussy went on to remark that French music had suffered for some time from "importations singulières," and French "liberty" should be linked instead to rediscovering intrinsically French forms: "Let us no longer exert ourselves in writing symphonies, for which we stretch our muscles without an appreciable result… let us prefer the operetta."[125] Thus, in two short pages dangers to French nationality, d'Indy's rhetoric, and the

[122] Hart, "The Symphony in Debussy's World," 187.
[123] Hart, "The Symphony in Debussy's World," 191.
[124] Claude Debussy, "Lettre-Préface a « pour *la musique francaise: douze causeries* »," in *Monsieur Croche Et Autres Écrits* (Paris: Gallimard, 1971), 261.
[125] Debussy, "Lettre-Préface a « pour *la musique francaise: douze causeries*»," 262; Jane Fulcher also draws attention to the veiled references toward d'Indy's rhetoric in this passage in Fulcher, *The Composer as Intellectual,* 35.

symphony are bound up together. This ultimate phase of criticism moved beyond the increasing modernist inclination to break free from rules and conventions towards rejecting *d'indyste* or *scholiste* rhetoric around a German-based symphonic lineage.

It should be noted that a distinction can be made between criticisms that acknowledged an opposition to the *scholiste* model, and those that opposed the genre in its entirety. Maurice Ravel and Charles Koechlin could be placed within the first group. Ravel, for instance declared that Germanic importations were unsuited to French temperament: "I am above all a French composer… We neither want nor do we know how to produce colossal works," such as works with expanded forms, enlarged orchestration, and elevated goals.[126] He consequently dismissed the *scholistes* as "Germanized French musicians" who belonged to "a sect… which fights in the name of a Franckiste and Wagnerian ideal that is naturally incompatible with the traditional virtues of our music."[127] Others, like the critic and fervent *debussyste* Émile Vuillermoz, condemned the entire genre as "authoritarian" because "[f]rom the beginning, thought is the prisoner of calculation," wherein composers were forced by tradition to write in prescribed forms – "to plan it out in advance."[128] A symphony, in Vuillermoz's view, could not be written in a truly French manner because it could not be written in a *debussyste* manner.

Whether d'Indy and his school were directly implicated or not, the accusation was that symphonies inherently denied true French heritage. In the context of the heated polemics around the genre, certain connotations of "traditionalism" and Germanicism, fuelled by the Schola-based models, became intimately tied to the genre, as did the anti-modernist connotations Debussy

[126] André Révész, "The Great Musician Maurice Ravel Talks about His Art," in *A Ravel Reader: Correspondence, Articles, Interviews*, ed. Arbie Orenstein (New York: Columbia University Press, 1990), 433.

[127] Quoted in Hart, "The Symphony and National Identity in Early Twentieth-Century France," 135.

[128] Émile Vuillermoz, "La Symphonie," in *Cinquante Ans de musique française (1874-1925)*, ed. Ladislas Rohozinski, vol. 1 (Paris : Les Éditions Musicales de la Librarie de France, 1925), 323. Quoted in Hart, "The Symphony and National Identity in Early Twentieth-Century France," 136.

claimed the genre held. As such, younger generations necessarily had to grapple with the weight of this very specific symphonic history in France.

2.2 French Symphonic Models through the Early Twentieth Century

Though these nationalistic and aesthetic polemics in the first part of the twentieth century were important to any subsequent symphonic composition, French symphonists by the middle of the twentieth century also had multiple compositional models for symphonic writing in France. One lineage stretched from d'Indy through to his students, even as his successors offered their own, individual contributions to this lineage. Yet, subsequent symphonists were not purely constrained to the *d'indyste* lineage as the only source of their symphonic models. Though Debussy vocally opposed the genre, his *La Mer* offers a large-scale orchestral work that investigates many of the procedures and characteristics that are essentially symphonic in nature. This suggests the *concept* of a "symphony," with its historical connotations and as the subject of nationalistic and modernistic debate, can be separated from the *act of composing* a symphonic work.

D'Indy's Influence

Though the symphonic model advocated by d'Indy at the Schola Cantorum held less sway after 1920s, a handful of his students – Albéric Magnard, Arthur Honegger, and Albert Roussel – continued his legacy through the 1930s. While d'Indy actively composed until 1931, he is frequently dismissed from twentieth-century narratives because of his traditionalism and the supposed decline of symphonic writing; yet the presence of his students shows the reach of d'Indy's influence and exemplified the continuing validity of the genre for emerging symphonists. At the same time, each of these symphonists diverged from him in both style and ideology in various ways.

An interesting contrast can be made between Magnard and Honegger. Magnard is probably the least well-known of the three, perhaps due to his early death in 1914, while Honegger is exceedingly well-known largely in relation to his participation in *Les Six* earlier in the century. Curiously, Honegger began writing symphonies when most eminent composers were turning away from large forms. Magnard's approach to his four symphonies shares an affinity with d'Indy's teachings in the type of musical language, such as the use of *franckiste* cyclic processes, the use of polyphonic counterpoint, experiments with structural hybridization, and the use of inherited forms and procedures that shows a deep respect for tradition. In fact, Magnard's harmonic language was, curiously, more conservative than his teacher's, with a much more consistent adherence to traditional procedures. The major difference between d'Indy and Magnard, as Hart points out, was that the younger symphonist had no interest in the "message-symphony" format, and all his symphonies are relatively abstract works.[129]

In contrast, Honegger did compose "message-symphonies." Like d'Indy, as Hart points out, Honegger regarded expression as the primary purpose in art and insisted innovations be established upon the work of the past. [130] Honegger's musical language, however, was much less traditional. Though all Honegger's symphonies use classical forms, these are freely modified.[131] While functional tonality is certainly present, Honegger shifts between modal, tonal, polytonal, and atonal passages. While Magnard carried on the use of traditional musical procedures advocated by d'Indy and left behind the purpose of a work, Honegger carried on the use of the message-symphony while leaving behind much of the traditional language. Magnard and Honegger could be considered chains in the *d'indyste* symphonic lineage. Yet, the symphonies of

[129] Hart, "Vincent D'indy and the Development of the French Symphony," 555.
[130] Hart, "Vincent D'indy and the Development of the French Symphony," 258.
[131] For example, Honegger continued to use the much-criticized sonata-allegro form but modified it by creating his own symmetrical recapitulation variant.

neither Magnard nor Honegger have been given pride of place in twentieth century narratives, even as some later symphonists found inspiration and value in the work stemming from this lineage.

Albert Roussel

In some accounts, Roussel is cast as the sole composer writing symphonies after the 1930s. The success Roussel found in critical responses was mainly due to the ways in which he seemed not to fall on either side of the romantic/classical divide. Though he trained under d'Indy at the Schola Cantorum, he was separated from the *scholiste* styles that dominated symphonic composition in the early part of the century. Goldbeck, for instance, identified Roussel as "a most efficient interceding saint for composers unwilling to be either academicists or radicals."[132] The academicists, presumably those emanating from the institutions, were characterized by Goldbeck as "Debussysm[e] blended with outmoded Romantic and modish neo-Classical elements: not seldom it sounds, rather awkwardly, like Debussy-cum-Ravel reconciled with Cesar Franck," while the radicals "accept no French tradition, or blend of traditions," and in their valorization of dodecaphonism, "they are never French, but *malgré eux*."

Nevertheless, Roussel is not often regarded as revolutionary the way his more avant-garde contemporaries are. Myers argued that Roussel had been underrated because of his symphonic idiom, but he forged originality and integrity in his musical language, and this is what warranted him to be placed alongside Ravel and Debussy as "one of the founders of the 'modern' movement in music."[133] Likewise, Demuth's appreciation for Roussel is attached to the composer's success in proving the genre's continuing validity, especially as French composers were still "reacting from the form largely because of Debussy's accusation of hypnotism by the

[132] Goldbeck, "Symphonie 1951," 585.
[133] Myers, *Modern French Music*, 46.

mere word 'symphony'," such that the "pendulum ha[d] swung too far."[134] Roussel represented a swing-back, offering a symphonic idiom based on contrapuntal textures, harmonic sensuousness, and rhythmic vitality, while diverging from *scholiste* ideologies and models.

Roussel's early symphonies (1898-1913), having been written while attending the Schola, did largely adhere to the conventions of the *scholistes*. They followed classical form, utilized cyclic organization, and offered sober musical content, even while including *debussyste* harmonic passages. After Roussel resigned from the Schola in 1914, however, he turned towards more impressionistic harmonies and a strong rhythmic drive, even as he remained faithful to rigorous formal models and more functional tonality than found in the music of his contemporaries. For this reason, he has received criticism within modernist narratives, especially those that have not recognized his influence on later composers. David Drew, for instance, criticized an obituary for Roussel that claimed that "there is not a single French musician who would be what he is today if Roussel had not existed," to which Drew replied that "in fact he has had remarkably little influence."[135] Drew's harsh assessment might relate to the relatively low status of the symphony at the time he was writing, and the reality that Roussel's greatest contributions were in freeing the symphony from its previous connotations. Still, Drew concedes that though his achievements might not be "of the first order," they merit the respect of "those who value the French musical tradition," and that Roussel's achievements lay in his approach to the symphonic problem rather than the "externals of his art."[136] Drew's misunderstanding, then, results from the difficulty in situating Roussel in relation to his contemporaries.

[134] Norman Demuth, *Albert Roussel, a Study*, (London: United Music, 1947), 48.
[135] David Drew, "Modern French Music," in *European Music in the Twentieth Century*, ed. Hartog, Howard, (Westport, Conn.: Greenwood Press, 1976), 241.
[136] Drew, "Modern French Music," 241.

Because much of the opposition towards the genre in the early part of the century was marked by the argument that the symphony was foreign to the French temperament and the *franckistes* and the *d'indystes* were "Germanized," Roussel found success in that his writing was perceived as specifically French. Myers, for instance, suggested that "it was left to Roussel to imprint a definitively Gallic stamp on a form which, since Beethoven, had always been intensively cultivated elsewhere."[137] This Gallic stamp, according to Myers, was a balance between "sentiment and intellect," though this actually says very little about what actually made his music more French than other *scholiste* composers. More likely, Roussel's distance from the *scholiste* model allowed him to avoid the accusations of Germanicism that were often levied at symphonists. The middle ground that Roussel held led some characterizations of him to claim that he alone was writing symphonies by the 1930s, or at least that no symphonist of the early twentieth century could compare to him. Davies, for instance, says "[i]n Roussel, if no one else, the French symphony discovered a master. Since his death, in 1937, no composer has been able to match, let alone conquer, his achievements."[138] This characterization is not completely accurate, as future composers did continue to write symphonic works. And some, like Dutilleux, wrote symphonies that built on Roussel's success in divorcing the genre from its polemic history in France.

Debussy's La Mer

Debussy's *La Mer* is an interesting case in French symphonic history. *La Mer* has been repeatedly referred to as one of the greatest "symphonies" to come out of France since the genre's turn of the century revival. Some analysts and critics find the label of "symphony"

[137] Myers, *Modern French Music*, 48.

[138] Laurence Davies, *Paths to Modern Music: Aspects of Music from Wagner to the Present Day*, (London: Barrie and Jenkins, 1971), 150.

appropriate because of both the work's subtitle and the work's treatment of its music material. Hart, for instance, has identified several procedures often recognized today as essentially symphonic: a unified large-scale structure, both through cyclic organization and in the characters of each of its three movements; a relatively coherent tonal plan; and a Finale that stands as the summation of the work.[139] Yet, this interpretation relies on the relatively flexible ways in which the symphony is defined today as a result of the manipulations and developments of the genre through the twentieth century. Hart elsewhere notes that theorists of the time would most likely have characterized *La Mer* as a *voisin-symphony* or "pseudo-symphony" given characteristics that stray too far from contemporary symphonic convention, including the loose construction of the work's "themes" and the lack of traditional symphonic forms.[140] Nevertheless, *La Mer* maintains the most important attribute of the symphony at the time: the means of creating organic unification.

Interpretations of *La Mer's* claim to the symphonic genre are further complicated by the work's subtitle, "trois esquisses symphoniques" [three symphonic sketches]. Hart argues that Debussy likely chose this subtitle as "a ruse to situate *La Mer* in a middle ground between symphony and symphonic poem – sketches rather than a symphony, symphonic rather than programmatic or Impressionistic."[141] In this interpretation, "sketches" would refer to the work having an outline of a symphony. At the same time, "sketches" could be interpreted as referring to the programmatic title of the work, and thus the movements could be read as images of the ocean situated in a symphonic form. In either case, the subtitle engenders a certain level of generic ambiguity.

[139] Hart, "The Symphony in Debussy's World," 192.
[140] Hart, "The French Symphony," 721.
[141] Hart, "The Symphony in Debussy's World," 195.

A similar complication occurs in both Louis Laloy's 1905 review of *La Mer* and an interview with the composer that took place in 1910.[142] Laloy referred to *La Mer* as a symphony, which, given that Debussy and Laloy were good friends and Debussy did not object to this reading, suggests there is some credence to the interpretation of *La Mer* as a symphony. In a 1910 interview, furthermore, Debussy himself referred to the work as "ma symphonie," suggesting the composer approved of the strong association between *La Mer* and the symphonic genre.[143] Yet, as Hart explains, the translation of the French "symphonie" could either be to "symphony" or to "symphonic work," and thus Debussy's meaning is unclear.[144] In any case, the ambiguity in the work's classification avoids the necessity of answering to some symphonic "tradition" and all the rules and connotations that tradition evoked. This ambiguity was especially necessary given the ideological and institutional debates that concerned the genre in the early year of the century.

Whether *La Mer* can be held to be a symphony properly or not, the work had an important effect on subsequent symphonic writing in France. Specifically, *La Mer* offered an alternative model to the Schola tradition for the ways in which symphonic procedures and ideas could be utilized without being bound to certain connotations of the French symphonic tradition.

2.3 The Symphony by 1950

Defining the symphony within the twentieth century, especially in the mid- to late- twentieth century, is challenging in part because the general atmosphere of the twentieth century was one in which traditional idioms, genres, and techniques were either being modified and pushed to

[142] Louis Laloy and Deborah Priest, *Louis Laloy (1874-1944) on Debussy, Ravel and Stravinsky*, (London: Routledge, 2019), 194-195; and Claude Debussy, *Monsieur Croche Et Autres Écrits*, ed. François Lesure Paris: Gallimard, 1971), 310.

[143] Debussy, *Monsieur Croche Et Autres Écrits*, 310.

[144] Hart, "The Symphony in Debussy's World," 192.

their limits or rejected outright. While there was a strong prerogative to aim for "novelty," there remained several composers in dialogue with the past, redefining and injecting flexibility into received genres and techniques. Though it is generally stated that few composers were writing symphonies by the mid-twentieth century, this is not strictly the case. Nor is it the case that all symphonic writing was classical in spirit. A handful of successful symphonists emerged in France, as well as adapting symphonic and large-scale orchestral writing to – and producing innovative developments through – works that were not strictly "symphonies."

Developments in Symphonic Composition in the Twentieth Century

The symphony has most often been defined through standardized musical characteristics in the areas of instrumentation, form, succession of movements, tonal plans, and thematic or narrative schemes. The musical characteristics from which twentieth-century composers increasingly sought freedom were the most pervasive and often regarded as most restrictive, especially bithematic sonata-allegro form. Ironically, histories of the symphony that tend to prioritize sonata-allegro form and its associated characteristics, such as contrasting tonal plans and thematic development, then have difficulty addressing modern symphonic works. Cuyler's survey of the symphony, for instance, begins with the statement that "[t]here was nothing fortuitous in the simultaneous maturation of the symphony and the sonata form, for the symphony became the most vigorous exponent of that form, veritably the sonata for orchestra."[145] Consequently, in her last chapter that addresses modern symphonies, Cuyler casts doubt on the inclusion of many works into the generic category by suggesting they are something other than a symphony, or a kind of symphonic mixture with another genre. Other authors have defined unity, thematic interconnections, tonal clarity, lack of dramatic elements, or merely an

[145] Cuyler, *The Symphony*, 3.

orchestral composition in which no instrument predominates over another as crucial to the genre.[146] Because many of these associations are characteristic of the classical and romantic iterations of the genre, writers using these characteristics as definitions have faced a challenge in addressing the particularity of modern symphonies.

Christopher Ballantine's *Twentieth Century Symphony* is a valuable resource for addressing the modern symphony because it focusses solely on the genre's twentieth century developments. Moreover, it avoids assessing works by their adherence to conventions that were no longer crucial to symphonic writing and which some composers actively resisted. Instead, Ballantine constructs a view of the genre in its particular twentieth-century manifestations. After a history of the symphony's nineteenth century developments, Ballantine addresses four categories of symphonic innovation: 1. conservative structural innovation, dealing with those works still occupied with the problem of sonata dualism; 2. radical structural innovation, dealing with those works that abandon or significantly modify traditional formal models; 3. content innovations related to thematic processes; and 4. content innovations related to counterpoint and texture. The possible innovations that Ballantine recognized within symphonies that still adhere to sonata-allegro form involve blurring developmental boundaries; the addition or subtraction of

[146] For example, Deruchie identifies cyclic unity as a common element of all the symphonies he analyses, though this should be taken with the caveat that he was writing about a small subsection of symphonic history, Deruchie, *The French Symphony at the Fin De Siècle*; Hart claims that "the most important attribute of a modern symphony was that it possessed some means of organic unification by which the disparate movements are bonded together into an indissoluble whole. Some writers insisted that the unity be audibly demonstrated through thematic interconnections while others argued for a more intuitive singularity of style and character." Hart, "The Symphony in Debussy's World," 192; D'Indy's definition of the symphony was that it, "consists of an *exclusively orchestral composition in which each instrument, according to its nature, plays a role of importance to that of the others*… It represents a form most totally opposed to that of the Drama." Thus, he distinguishes it from the concerto, the sonata, and the symphonic poem. Quoted in Hart, "Vincent d'Indy and the Development of the French Symphony," 242; Of general histories of the symphony, Jeffrey Langford's contribution is one of the most flexible. While he maintains some arguments about structure, tonality, and contrast, he also attempts to situate the Classical symphony, the Romantic symphony, and the Modern symphony each within its own time, recognising that one overriding definition would not correspond completely to each era, Jeffrey Alan Langford, *A History of the Symphony: The Grand Genre*, (New York, NY: Routledge, 2020).

a theme; stylistic imports; and the changes in structure, character, or function of certain movements, especially the scherzo. The innovations described within this chapter do not require much qualification, as they do not significantly threaten received definitions.

By the second section, "radical structural innovation," however, Ballantine must distinguish the generic boundaries he uses, as the structural innovations threaten or dispense with traditional formal conventions.:

> We must now begin to move away from such safe ground and to consider features of symphonic composition that tend sometimes to become quite radical, so much so that they may *not only threaten to obscure certain features historically associated with the symphony but may actually annihilate them altogether*. Yet no matter how far these developments go, one thing of course still remains constant and fundamental in all the works we shall consider: namely, *a concern for dualism and its musical exploration as the essential preoccupation of symphonic composition*… the fact of [this dualism] is as old as anything we can properly call the symphonic tradition.[147]

By shifting the foundational criteria from a specific formal type to the work that formal type is doing – creating structural contrast and dualism – Ballantine can incorporate a larger variety of types of dualism into the symphonic purview.

Sonata-allegro form, tonal contrasts, and bithematic narrative plans are cast as historically favoured dualisms, but not the sole criteria for the genre itself. Possibilities for radial symphonic structural developments, according to Ballantine, involve the creation of a structurally new compound from two or more previously separate movement types, the one-movement symphony, and the appropriation of "non-symphonic" styles. Ballantine recognizes that, with the radical break with traditional form, new structural options would seemingly be limitless, yet in many cases the succession of individual movements or sections and their

[147] Christopher John Ballantine, *Twentieth Century Symphony*, (London: D. Dobson, 1983), 111. (Emphasis mine)

characters often follow traditional models.[148] Moreover, as the sonata form is abandoned, other known formal types, often pre-classical, are often used. Or else, development occurs in a polyphonic style, where "everything in them springs from their openings and evolves continuously through the linear growth of independent contrapuntal lines," and the process of growth is a perpetual evolution – "evolutionary and variational rather than developmental in any orthodox sense."[149] Still, in these styles and forms, some form of dualism is maintained, and thus the symphonic essence is maintained.

Beyond formal developments, Ballantine addresses the issue of the disappearance of the contrast between objective themes and/or tonalities and their subsequent reconciliation, on which the classical symphony depended. With the growth of monism – a single motive or theme developing organically – composers created contrast from factors other than the formal and objective polarities of keys and themes. Ballantine distinguishes between the classical method of dualism, which he terms *manifest dualism*, wherein objectively contradictory themes manifestly contradict each other while being imminently united, and *imminent dualism*, wherein a motive appears unified but an inherent contradiction exists within it.[150] The types of contrasts Ballantine identifies are contrasts between contrapuntal lines; instrumental groups; a solo instrument and orchestra; sections or movements; two groups of a divided orchestra; form and texture; form and content; movement and stasis; and symmetry and asymmetry. Of the extremely wide variety of tools available to symphonic composers, the use of counterpoint and the manipulation of texture are particularly important to twentieth century symphonic composition. Given that the prominent conventions of nineteenth century symphonic writing from which composers sought freedom

[148] Ballantine, *Twentieth Century Symphony*, 123-4.
[149] Ballantine, *Twentieth Century Symphony*, 135-6.
[150] Ballantine, *Twentieth Century Symphony*, 151.

were strict, rule-based forms and functional tonality, the development of contrasts through counterpoint and texture allowed for stability within the exploration and freedom in these previously restrictive areas.

With these various innovations and approaches outlined, it is thus possible to address the existence of the modern symphony on its own terms. Moreover, it is possible to see why, after a brief decline after the 1920s, symphonic writing increased by the middle of the century. Most composers continued to concern themselves with finding a distinctly modern language, but while some believed this meant a complete rejection of the past, others turned towards the rejuvenation and profound alteration of received genres and styles.

The Symphony in France by 1950

While symphonic writing has not figured largely in the narrative of the twentieth century in France that has focused on modernity and the notion of "novelty," some symphonies *were* being written, and some composers in France who had not touched the genre previously began to turn to it in the 1940s and 1950s. Table 1 lists a selection of composers in, or associated with, France who wrote orchestral works explicitly titled as symphonies, including some major names like Honegger, Milhaud, Andre Jolivet, and Henri Dutilleux. This list goes to show that the symphony had a definite place in French twentieth century composition.

Table 1: A selected list of symphonies written by French composers between 1930 and 1965[151]

Year	Composer	Work
1930	Arthur Honegger	First Symphony in C
1931	Jean Rivier	Symphony No. 1
1933	Charles Koechlin	*The Seven Stars Symphony*

[151] One could include to this list Bohuslav Martinů, who wrote five between 1942 and 1946, and a sixth in 1953, but Martinů only began writing symphonies when he left Paris for America in 1940. The same could be said for Stravinsky's *Symphony in C* (1940) and *Symphony in Three Movements* (1945) to this list, for the number of performances and the critical review the works received in Paris, but these works have been excluded from this list because they were written after Stravinsky had left Paris for America.

1934	Albert Roussel	Symphony No. 4 in A
1936	Jean Martinon Charles Koechlin	Symphony No. 1 *Symphonie d'Hymnes*
1937	Jean Rivier Jean Rivier	Symphony No. 2 in C for String Orchestra Symphony No. 3 in G for String Orchestra
1939	Darius Milhaud	Symphony No. 1
1941	Arthur Honegger	Second Symphony for Strings and Trumpet in D
1944	Darius Milhaud Jean Martinon Charles Koechlin	Symphony No. 2 Symphony No. 2 (Hymne à la vie) Symphony No. 2
1945	Henri Sauguet	*Symphonie expiatoire*
1946	Arthur Honegger Arthur Honegger Darius Milhaud	Third Symphony (Symphonie liturgique) Fourth Symphony in A (Deliciae basiliensis) Symphony No. 3 (Te Deum) for chorus and orchestra
1947	Darius Milhaud Jean Rivier	Symphony No. 4 (Composée à l'occasion de Centenaire de la révolution de 1848) Symphony No. 4 in Bb for String Orchestra
1948	Jean Françaix	*Symphonie d'archets*
1949	Jean Martinon Henri Sauguet Manuel Rosenthal	Symphony No. 3 (Irlandaise) *Symphonie allégorique* Symphony in C
1950	Arthur Honegger Jean Rivier	Fifth Symphony in D (Di tre re) Symphony No. 5 in A minor
1951	**Henri Dutilleux**	**First Symphony**
1952	Jean-Michel Damase	*Symphonie*
1953	Darius Milhaud Jean Françaix	Symphony No. 5 Symphony in G
1954	Andre Jolivet	Symphony No. 1
1955	Darius Milhaud Darius Milhaud Henri Sauguet	Symphony No. 6 Symphony No. 7 Symphony No. 3 "I.N.R"
1957	Darius Milhaud	Symphony No. 8 (Rhodanienne)
1958	Jean Rivier Paul Le Flem	Symphony No. 6 in E minor (Les Présages) Symphony No. 2
1959	Darius Milhaud André Jolivet **Henri Dutilleux**	Symphony No. 9 Symphony No. 2 **Second Symphony (Le Double)**
1960	Darius Milhaud Darius Milhaud	Symphony No. 10 Symphony No. 11 (romantique)
1961	Darius Milhaud	Symphony No. 12 (Rurale)
1964	Andre Jolivet	Symphony No. 3
1965	Jean Martinon	Symphony No. 4 (Altitudes)

Within this selected list of names, however, the symphonies written varied greatly in both style and success. Some of these works remained significantly traditional, either in a classical or neo-classical style. Composers writing in these idioms met mixed reviews. Jean Françaix, Arthur Honegger, and Darius Milhaud were all noted for their neoclassical styles, and this neoclassicism met mixed critical responses.[152] Those composing symphonies were already working against the traditionalist connotations of the genre, and thus neoclassicism tended to be met with some trepidation by critics despite the success of neoclassical composers in forging symphonic innovations. Another path for symphonic composition was one that broke with both the grand symphonic tradition and earlier French symphonic paradigms. Generally, these symphonists found the most success with their works, being influenced by Roussel in the use of contrapuntal writing, but also foreign composers in the use of thicker textures and orchestration. Jean Martinon, although better known as a conductor, was strongly influenced by Prokofiev and Bartók, as well as his teacher, Roussel. Even so, Martinon remained more classical than some of his contemporaries, weaving together periods of light, melody-driven development, and periods of Stravinskian rhythmic drive. Bushlav Martinu, though a Czech composer who did not write his symphonies until he left France for America, maintained a successful reputation in France. His symphonies moved towards a polyphonic style, like Roussel, but went further in developing ideas through short motivic passages. Though his works were primarily tonal, their effect was

[152] For example, an unfavorable review of Françaix is noted by Smith, who quotes Le petit dictionnaire de la musique contemporaine as saying "Françaix was miraculously gifted and, unperturbed, has continued to produce pleasant, entertaining pieces in a style which has never developed. He expresses himself in an elegant tonal language with no surprises, in a neo-classical style completely devoid of both imagination and depth." Goldbeck's review of Honegger's Fifth Symphony, similarly, claimed "he is no musician of our time," even if "he is neither fiercely or more harmoniously himself." Milhaud's work, likewise, was highlighted by Cuyler through its appeal to a conservative audience, with its basic and audible metrical groupings, and its maintenance of opposing tonal systems, even with its high levels of chromaticism. Generally, the neoclassical style was regarded by some as pleasant, but uncreative. Jean Françaix, and Richard Langham Smith. "More Fauré Than Ferneyhough. Jean Françaix Is 80 This Year. Time, Richard Langham Smith Suggests, to Reappraise This Misunderstood Figure." *The Musical Times* 133, no. 1797 (1992): 555, 557; Goldbeck, "Symphony, 1951," 379; Cuyler, *The Symphony*, 197.

extremely dissonant, and in this way, he sounds much less like his classically inflected contemporaries.

Many of these symphonists have been ignored in general histories, especially those taught outside France, or otherwise are not primarily known for their symphonic compositions. This could be attributed to the fact that many of they were regarded as "independents," partially in that they pursued symphonic composition, and partially because they all did so in their own idioms, engaging with classical conventions or shedding convention and injecting modern tendencies to different extents and in different ways. Within this group of symphonists, Dutilleux has became one of the most successful and well-known. Moreover, unlike Honegger and Milhaud, who achieved success years before they approached the genre, Dutilleux achieved his initial mature success as a symphonist, shaping his personal language around redefining the genre.

2.4 Dutilleux's View on the Symphony

By the time Dutilleux began to think about writing in the genre, he had to grapple with the genre's political and aesthetic associations as well as the polemic history of the symphony within France. But he also felt free to question the genre's accumulation of conventions and associations. In 1965, Dutilleux wrote an article about the continuing validity of symphonic writing, in which he addressed the overriding concern through the twentieth century to be of one's own time, but his stance was that "worrying too much about yesterday or today there is a strong risk of not being tomorrow anymore."[153] Dutilleux was sensitive to assertions that one must venerate tradition as much as he was sensitive to assertions that the only path forward was to break with tradition. He felt that too strong a focus on either would damage the pursuit of

[153] Henri Dutilleux, "Qui reste fidèle à la musique symphonique?" *Le Nouvel Observateur* 10 (1965), 23.

honest expression. As seen in the last chapter, sincerity to one's own temperament was the ultimate goal for Dutilleux, and thus no genre, style, or technique was *a priori* invalid. Symphonic writing, for Dutilleux, was not a vestige of the past, but still had a place amongst listeners and composers, despite the turn in musical circles towards avant-garde techniques. Yet, symphonic writing as he conceived of it was not simply the transplantation of its past iterations into the present. He reconceived the symphony in such a way that he maintained its fundamental symphonic quality while being open and flexible to modern materials, techniques, and aesthetics.

Dutilleux's Definition of the Symphony

The innovations of Dutilleux's First Symphony, as well as his later compositions, rested on the fact that Dutilleux's definition of the symphony was quite free. The title of his 1965 article, "Que reste fidèle à la musique symphonique?" might at first suggest a traditionalist stance and could be interpreted as defensive in light of the fact he was a composer of symphonies. Yet, in the article he offers a view of symphonic music that rejects received conventions. He begins by stating,

> If I extend the word "symphonic," I see the landmines lie down. You expect a succession of four movements of which you probably already know the relationships, the contrasts, the systems of development. [There is] no surprise in a symphony, no adventure!" [154]

In a reversal from the implications of the title, Dutilleux makes it immediately clear that he is not advocating for a valorization of the symphony as a historical concept. He emphasizes this point by citing Debussy's famous characterization of symphonies as "studious and rigid exercises," claiming "Debussy did not write a symphony. No more than Ravel, no more than Bartók." But he seemed to separate the *concept* of a symphony from the *act of writing* a symphony, as he said

[154] Dutilleux, "Qui reste fidèle à la musique symphonique?" 23.

that despite his criticisms Debussy went on the write "a symphony of genius entitled *La Mer*."[155] Thus, in Dutilleux's understanding, the act of symphonic writing was valid in a modern context even as the received concept of the symphony as a historical form was outdated.

Moreover, Dutilleux distinguishes in "Que reste fidèle…" between the "symphony" and "symphonic substance." Of the former, he remarks that:

> as… a composer of symphonies, I have no [less] prejudice against the symphony. Like the listener of 1965, I find it a fearsome thing, a suffocating frame, to be honest: [the symphony is] a narrow form which does not have much relation with contemporary thought.[156]

The emphasis placed on the *form* as suffocating, is crucial because he makes it clear that one can maintain the "symphonic substance by freeing yourself from traditional rhetoric." While he is quite vague about what this "symphonic substance" is, he does suggest that the only path forward in continuing to compose orchestral music is a "return" to polyphony. Yet he goes on to suggest that a "return" is not entirely correct, because "in truth the symphony is all the same, etymologically, the manner of making "simultaneous" sounds heard." By placing the formal, developmental, tonal, and thematic conventions that came to be associated with the genre outside the fundamental nature of the symphony, he was able to construct for himself a means of unification and was not beholden to follow any received processes.

Distance from the Polemics of his Forebearers

Dutilleux recognized that his definition and use of the term "symphony" was unconventional. He remarked that "I often meet people who tell me that my symphonies are not symphonies. In a certain sense they are right."[157] While both his First Symphony and Second Symphony share

[155] Dutilleux, "Qui reste fidèle à la musique symphonique?" 23; Henri Dutilleux and Claude Glayman, *Henri Dutilleux : Music--Mystery and Memory : Conversations with Claude Glayman*. Trans. Roger Nichols, (London: Routledge, 2016), 35.

[156] Dutilleux, "Qui reste fidèle à la musique symphonique?" 23.

[157] In fact, after his Second Symphony in 1959, he stopped using the title, even though his next major work, *Métaboles* (1964), continues his investigations into symphonic writing. he terms them "metamorphoses for

resemblances with conventional symphonic processes, they lack characteristics that his predecessors believed to be crucial to the genre. Speaking of his First Symphony, Dutilleux explained to Glayman that "Without reference to anyone else I wanted to attempt this kind of work – to write a symphony – and I was happy trying," which places him distinctly apart from the symphonic tradition that always wrote in relation to a past master – d'Indy in reference to Beethoven, Wagner, and Franck, or Honegger to d'Indy. Writing a symphony in 1951 was a musical investigation for Dutilleux, founded on a desire to cultivate a personal style set apart from both the weight of his forebearers and of the dogma of the serialist style.

Dutilleux's relationship to a national identity was double-sided. On one hand, he was skeptical of being typified as a "quintessentially French composer," and highly valued foreign influence. On the other hand, he was respectful of his heritage and advocated for French musicians to cultivate their own national particularity. Moreover, he resisted a certain stereotyped image of French music that he recognized as singularly occupied with the interwar aesthetic, claiming instead that the true characteristics of French music were harmonic sensuality and timbral magic.[158] Unlike French symphonists earlier in the century, Dutilleux was not interested in adhering to a symphonic "code" to manifest a particular brand of nationalism. In his 1991 interview with Glayman, he remarked that "[t]here didn't seem any point in insisting in [the French] heritage, which is clear to see but sometimes a burden, in that for me, whatever roots artists may have, they find new life through contacts with foreign influences and in so doing

orchestra" in which, in terms of form, ideas are presented "in an order and or in different aspects until they are subjected in successive stages to a true change of nature," and thus establishes the first work overtly and specifically written with he *crossance progressive*, as well as in when he aimed to have an instrumental group predominate in each part. He says, "we are very far from the symphony, but far too, I hope, from the concerto for orchestra," but also says that it is a step "that does not break with my previous symphonic investigations." Dutilleux, "Qui reste fidèle à la musique symphonique?" 23.

[158] Dutilleux and Glayman, *Henri Dutilleux,* 100.

actually regenerate their national characteristics."[159] If this this position is contextualised within the polemics of nationalism and the search for a French heritage in music both at the turn of the century and in the post-war period, Dutilleux's acceptance of foreign influence as a one possible site of fertilization can be understood as a resistance to cultivating a national voice according to a certain "code."

This distinction can be seen in Dutilleux's position concerning foreign influences. Unlike d'Indy, Dutilleux foreign influences were those that offered him new approaches, such as Bartók and the Second Vienesse School, rather than those that would establish a certain heritage. In an article that Dutilleux wrote on Beethoven, he remarked that "it is not in vain to wonder if Beethovenian thought can still fertilize our time," but he qualifies this by stating, "without wanting to stop at a submissive attitude to his work."[160] This submissive attitude is undoubtedly a reference to the *d'indyste* approach. He respected Beethoven's music, with "[f]orms always reinvented, extreme freedom of the rhythmic accent, almost abstract and modernist aspects of polyphonic writing."[161] Yet, this respect did not entail an imperative to follow in this tradition. At least, it did not necessarily mean that Beethoven's lesson must influence contemporary work "by following the example of those musicians who, at the beginning of the century, considered music solely in terms of the Beethoven phenomenon and the very work of the latter in a way so restrictive and stripped of mystery."[162] This is a direct reference to the rhetoric espoused at the Schola, which Dutilleux characterized as an insult to the German master. In this way, Dutilleux felt no need to adhere to certain musical characteristics that formed the chain of this lineage.

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[159] Dutilleux and Glayman, *Henri Dutilleux,* 98.

[160] The bulk of Dutilleux's own writing is articles paying homage to other composers. These usually include Dutilleux's elders, and thus offer a view into the composers he saw in relation to himself and many of these were symphonists. Dutilleux, "Beethoven," in Mari, *Henri Dutilleux,* 209-210.

[161] Henri Dutilleux, "Sur Beethoven," *Le Monde*, 22 avril 1970, reprinted in Mari, Pierrette Mari, *Henri Dutilleux,* (Paris: Zurfluh, 1988), 210.

[162] Dutilleux, "Sur Beethoven," in Mari, *Henri Dutilleux,* 210.

On the other hand, Dutilleux did not see the genre as opposed to a modern language in the way d'Indy's critics did. He was sensitive to the fact that Debussy's rejection of the symphony was tied to the imperative of nationalism embroiling his period the time:

> There are historical periods which lend themselves to that notion of national identity more than others. Debussy himself seemed obsessed by the necessity of preserving a national image, but that was in the idle of the 1914-18 war and even earlier, when he stood out against Wagnerism to help free himself from Wagner… [Anti-Germanism] needed to be promoted at that period, we can perfectly well understand it. At the same time it's also true that nationalism played some small part in his outlook.[163]

Dutilleux's sensitivity to these nationalistic rejections of the genre allowed him to differ in approach to symphonic writing without seeing himself as at odds with his elders. In fact, Dutilleux directly addressed this point in his article dedicated to Debussy, which he curiously started by stating,

> 'It seemed to me that, since Beethoven, the proof of the uselessness of the symphony had been made.'... I should have a bad conscience as I write these lines. I should feel a terrible feeling of guilt: did I misunderstand the lesson so badly, being one of those who dared… who still dare to write symphonies?[164]

Yet again, Dutilleux posits that Debussy is "not guilty of heresy" because he wrote these words in 1901, "at a time when enormous structures sprang up everywhere, all of which obey the same concept of prefabricated architecture, killing poetry and magic."[165] Dutilleux recognized that the symphony was caught within larger debates, but he evidently believed that, by 1950, the weight of the genre's German heritage, the dominance of those prefabricated "enormous structures," and the polemic nationalist imperatives were no longer his concern.

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[163] Dutilleux and Glayman, *Henri Dutilleux*, 100-101.

[164] Henri Dutilleux, "Sur Debussy," *Revue polonaise Rucle Muzyczny Varsovie*, July 1962. Reprinted in Mari, *Henri Dutilleux*, 212.

[165] Dutilleux, "Sur Debussy," in Mari, *Henri Dutilleux*, 212.

With this understanding Dutilleux's views on the symphony, a clearer assessment can be made of the innovative aspects on his First Symphony. Dutilleux's approach was to completely renew and re-conceive of the genre, while maintaining its symphonic essence. This re-conception can only be fully understood through an understanding of the context and history of the symphony in France. While he recognized that both nationalistic and aesthetic debates had shaped the genre in France throughout the century, he remained convinced that the genre was still valid. Moreover, he aimed to write a symphony without adhering to any previous model. He suggested that "By renouncing the orchestral 'magma,' by dividing to the extreme the parts of each section (strings in particular), I remain convinced that we can compose symphonic works (I do not say symphonies) which are unitary like those of the past and "open" and mobile like those of the present."[166]

[166] Dutilleux, "Qui reste fidèle à la musique symphonique?" 23.

CHAPTER 3:

Tradition and Innovation in the Compositional Language of the First Symphony (1951)

In relation to the context of postwar France, where his younger contemporaries bitterly advocated for the rejection of the past in all its forms and the polemic history of the symphony in France through the twentieth century, Dutilleux's First Symphony suggests that traditional techniques and genres could be valid in a modern context, but symphonic writing did not need to be beholden to the past conventions. This work can be regarded as the beginning of Dutilleux's mature oeuvre primarily because within it his central preoccupations and compositional procedures begin to emerge clearly. Specifically, the First Symphony marks the first appearance of the concept of progressive growth, which is repeatedly taken to be Dutilleux's most innovative and idiosyncratic compositional device. Its appearance in the First Symphony can be seen as a direct response to his desire to move beyond traditional formal models. In addressing the development of transformational and referential devices across the whole work, an analysis of the First Symphony can illustrate Dutilleux's transitional position in 1951, between traditional symphonic conventions and a more modern and stylistically individual approach to the genre.

3.1 Influences

After its premiere, the First Symphony received several early performances and a very favourable critical response, yet many reviews also seemed to grapple with the difficulty of where to situate the work. Dutilleux's emerging maturity and the significance of finding success in a genre that had long been criticized in France seems to have preoccupied critics.[167] The

[167] See Vuillermoz, Jourdan-Morhange, and Rostand, quoted in Jean Roy, *Présences contemporaines : Musique Française*, (Paris: Nouvelles Editions Debresse, 1962), 413-5. Later reviews continue to discuss the work's monothematicism, see Pinchard 1961, quoted in Roy, 418 and Antoine Goléa and Lucile H. Brockway, "French Music since 1945," *The Musical Quarterly* 51, no. 1 Special Fiftieth Anniversary Issue: Contemporary Music in Europe: A Comprehensive Survey (1965), 22-37

"originality" and "vitality" of Dutilleux's developing style was emphasized in contrast to the assumptions of the more traditional, or what some would consider outdated, genre. Fred Goldbeck's comments, for instance, illustrate the attention Dutilleux received for neither rejecting nor succumbing to traditional techniques:

> Uncompromising stamp-collectors, and other single-minded masters of some dryish pursuit, are not seldom charming specimens of humanity in quest of perfection. Likewise, listening to the symphony of the spotless and tireless choirmaster of contradictory voices leaves an endearing aftertaste of 'right or wrong, my counterpoint.' And it is this quality of being as it were haunted by its technique which, ultimately, makes this work interesting. [168]

Dutilleux, as a "choirmaster of contradictory voices" and "haunted by technique," is painted as not totally modern nor totally traditional. Robert Wolf, in a larger review of a contemporary music festival that took place in Germany in 1953, likewise emphasized Dutilleux's simultaneous closeness and distance from tradition:

> Here without pretention, without bandwagon-hopping, was a thoroughly skillful writing, fresh, vigorous, intense, and vital, with a sense of direction and accomplishment… Unattached to any 'school,' Dutilleux has a marked individuality which is nevertheless in the great tradition.[169]

Given the symphony's clear departure from eighteenth- and nineteenth-century symphonic predecessors, Wolf's acknowledgement of a "great tradition" is curious. Perhaps the mere fact that Dutilleux chose to write a four-movement symphony at a time when serialist writing was in vogue was enough to attach him to "tradition."

The "tradition" critics of the time typically aligned Dutilleux with was that of his most recent French symphonic predecessors, Roussel and Honegger. For instance, in "Current

[168] Frederick Goldbeck, "Current Chronicle: France," *The Musical Quarterly*, 37/4 (1951), 590.

[169] To contextualize Wolf's comments, this assessment was part of a larger review of the *Musikfest* contemporary music festival in Germany of the same year. At which, several serialist works were performed, some of which Wolf commended, but many of which Wolf was disappointed with for their lack of originality or suitedness to their composer. When Wolf commends the fact that Dutilleux is not attached to any "school" and avoids "bandwagon-hopping," Wolf is equally condemning the others who seemed to be hopping on the serialist bandwagon. Robert Erich Wolf, "Current Chronicle: Germany," *The Musical Quarterly* 39/4 (October 1953), 607.

Chronicle: France," Goldbeck remarked on the "almost unnoticed" post-Rousselian tradition developing in France, which for him was exemplified by Dutilleux. [170] In "Symphonie 1951," Goldbeck also aligned Dutilleux with Honegger by reviewing both Honegger's Fifth Symphony and Dutilleux's First Symphony side-by-side.[171] Yet, the connection seems to rest primarily on the scarcity of successful contemporary symphonists rather than specific stylistic similarities.

As far as the succession of movements goes, Dutilleux's First Symphony is organized in essentially familiar movement types - scherzo, slow movement, and lively finale – like many of Honegger's and Roussel's symphonies. Honegger's Second Symphony (1937) and Fourth Symphony (1946) both even include passacaglia sections, like Dutilleux's. Yet, though Dutilleux acknowledged their examples, he also emphasized the differences in their languages. When asked about the influence of Roussel on the First Symphony by Claude Glayman in 1991, Dutilleux acknowledged there might be echoes of Roussel in the Scherzo and Finale con variazione but he found that Roussel's approach to rhythm generally involved settling into one rhythmic character and remaining there for long stretches of music, whereas he aimed to achieve a greater rhythmic mobility, a model for which he found in Debussy.[172] To say that Roussel and Honegger had no influence on Dutilleux in terms of musical material would be too reductive, but Dutilleux specifically emphasized his desire to follow in the tradition of composers who were regarded as more modern.

[170] Goldbeck. "Current Chronicle: France," 578-597. Humbert, like Goldbeck, suggests that the music of Roussel and Honegger may have influenced Dutilleux's symphony. His assessment would follow the same reasoning that Dutilleux was influenced primarily in his choice to write a symphony or could take a cue from these early reviews; Humbert, *Henri Dutilleux*, 51.

[171] Frederick Goldbeck, "Symphonie 1951," *Esprit* 182/ 9 (1951), 379–80.

[172] "I should say first of all that it was greatly to Roussel's credit that he should write symphonies at a time when no one in France was doing so. I'm thinking of Debussy's famous statement in *Monsieur Croche*: 'It seemed to me that, since Beethoven, the uselessness of the symphony had been proven," Henri Dutilleux and Claude Glayman, *Henri Dutilleux: Music--Mystery and Memory*, (Aldershot: Ashgate, 2003), 35.

The more direct influences on Dutilleux's style in the First Symphony come from outside the symphonic genre. For instance, some of the polyrhythmic effects and the use of axial melodies – melodic lines which circulate around a single pitch – share an affinity with Stravinsky. Debussy's treatment of motivic transformation in *La Mer* also shares some affinity with the type of variation Dutilleux develops in the symphony. The strongest influence, however, is indisputably Béla Bartók – a connection which Dutilleux himself frequently emphasized. Roger Désormière seemed to have picked up on the connection, given that that in 1951 he programmed the premiere of the First Symphony alongside Bartók's Second Piano Concerto.[173] It is surprising that more early critics did not acknowledge this connection, but subsequent analysts have highlighted it. Mari, for instance, takes note of "un climat atonal bartókien" in the first movement, surely referring to the densely chromatic fugato section from figs. 11 to 14 in the Passacaille which strongly resembles the opening fugue from *Music for strings, percussion, and celesta*.[174] Though the material borrowing is not exact, the two examples share an atonal intervallic character, as well as a similarity in the way in which each subject entry is transposed sequentially, rather than though the traditional tonic-dominant relationship.

The emergence of prominent textural and colouristic gestures such as glissandi, tremolos, melismatic lines, ostinatos, and pizzicati, also bear a close resemblance to Bartók's "night music." Though Bartók never wrote a symphony, these stylistic similarities illustrate a much stronger connection between these two composers than the connections early critics made between Dutilleux and his French symphonic predecessors. Moreover, this suggests the remarks

[173] It is perhaps telling that when discussing the first conductors of the work, Dutilleux feels the need to slip in the fact that his symphony was programmed alongside Bartok. Dutilleux and Glayman, *Henri Dutilleux – mystery and memory*, 34.

[174] Mari, *Henri Dutilleux*, 156.

concerning the work's traditionalism have less to do with its stylistic qualities than the context of writing a symphony in France in 1951.

3.2 Formal Innovations – Progressive Growth

Though the topic of "intention" is a notoriously sticky subject, Dutilleux made it clear that the question he was grappling with in this work was how to write a symphony without succumbing to symphonic formal norms. In conversation with Claude Glayman in 1991, he explained: "I wanted it to be a work of a certain breadth, with a definite aim, and one that didn't follow the traditional formal structures," to which he added, "I wanted each movement to be built on a single theme."[175] Presumably, the idea of monothematicism was Dutilleux's conscious opposition to traditional symphonic model, specifically the type of bithematic sonata form that had received the most criticism in regard to the stiltedness of the genre.

As noted in the previous chapter, Dutilleux advocated in articles like "Qui reste fidèle a la musique symphonique?" (1965) and "Le compositeur et son auditeur; statistiques" (1955) for the continuing validity of the symphonic genre, while simultaneously agreeing with the criticism extended by Debussy and others that rejected formulaic and predictable relationships, contrasts, and systems of development associated with it.[176] Bithematic sonata form appeared to be the main culprit of the genre's predictability. In his programme note for the premiere of the First Symphony in 1951 he specifically states: "[I had] taken care to distance myself quite deliberately from classical 'sonata' form. No theme A and theme B, no recapitulations."[177] Dutilleux seemed to ignore the fact that plenty of symphonic works had been composed in various stylistic idioms

[175] Dutilleux and Glayman, *Henri Dutilleux: Music--Mystery and Memory*, 34.

[176] Henri Dutilleux, "Qui reste fidèle à la musique symphonique?" *Nouvel Observateur* (1965), 23; Henri Dutilleux, "Le Compositeur Et Son Auditeur : Statistiques," *Âge Nouveau* 92 (1955), 31-35. For more regarding the polemics that surrounded the genre in France in the early twentieth century, see Chapter 2.

[177] Quoted in Roy, *Présences contemporaines*, 414.

with various means of original development and formal flexibility. Moreover, he seemed to reduce sonata form to its bithematic type, ignoring models for monothematic sonata forms. These facts, however, are of much less importance to Dutilleux's re-conception of the genre than the polemical atmosphere that preceded his own composition of a symphony.

Though the "monothematic" nature of the work was repeatedly emphasized by Dutilleux, each of the four movements presents a variety of themes of varying character and with varying importance. The simple contradiction between a monothematic premise and the existence of more than one theme within each movement has resulted in a variety of interpretations about the supposed monothematicism of the work.[178] Pierrette Mari, in an early analysis, claims that "each movement builds from the principal theme which is subject to numerous mutations… the chief characteristic [of the form] is that a single melodic idea runs throughout the work."[179] This description could perhaps be used to describe the opening Passacaille or the third movement, Intermezzo, in which one idea dominates over other material, but the idea that one theme can be isolated as a primary theme above the others in the Scherzo and the Finale con variazione is less convincing.

More importantly, the principle of variation is consistently highlighted by both analysts and Dutilleux as a central concern of the work.[180] While both Dutilleux and Mari seem to allow these two concepts to co-exist, Caroline Potter and Jeremy Thurlow seem to suggest the progressive growth technique is antithetical to a "monothematic" interpretation of the work. [181] Both are more concerned with tracing the emergence of progressive growth – a principle of

[178] Potter and Thurlow particularly make this point, while earlier authors, such as Mari and Humbert generally maintain the monothematic description.

[179] Mari, *Henri Dutilleux*, 154.

[180] In conversation with Claude Glayman, for instance, Dutilleux claims that "[t]he form of the symphony is determined by this principle of variation, with all sorts of digressions and rhythmic developments." Dutilleux and Glayman, *Henri Dutilleux: Music--Mystery and Memory*, 34.

[181] Potter, *Henri Dutilleux His Life and Works,* and Thurlow, *The Music of Henri Dutilleux*.

variation and metamorphosis developed by Dutilleux from the First Symphony through to his later works. To support this interpretation, both authors devote special attention on the Finale, where the mutation of ideas is more complex and sophisticated than the earlier movements. An alternative interpretation could understand monothematicism as the compositional premise Dutilleux began with to combat conventional models, and the emergence of progressive growth as the result of efforts to resist conventional thematic, harmonic, and formal procedures while maintaining both contrast and unification.

Progressive Growth

In its most simplified definition, progressive growth might be explained as a process of gradual thematic or motivic transformation. There are resemblances between Dutilleux's procedure and the nineteenth century tradition of thematic transformation, particularly in the reliance on developmental techniques such as transposition, inversion, retrograde, augmentation and diminution. Yet, the subtlety and complexity of interconnections and associations on which progressive growth relies go beyond traditional thematic transformation.

Two concrete differences can be identified: first, the type of material subjected to transformation, and second, the ways in which the transformation occurs and functions within the structure of the work.[182] The first problem is the notion of a "theme," which in nineteenth-century contexts is generally taken to be clear, stable, and recognizable, and is defined through the primary parameters of melodic and rhythmic contour and intervallic content. Dutilleux, like many of his twentieth-century contemporaries, moved towards the concept of a "musical object."

[182] These two key differences are explained in much greater detail by David Utzinger in his dissertation on *Ainsi la nuit*. It is also interesting that Utzinger makes an association between Dutilleux's progressive growth technique and Debussy's process of "spinning out" the theme in the opening of *La Mer*. David Gerhard Utzinger, "Time, Memory and Multiplicity: Exploring the Influence of Marcel Proust's Narrative Language on the Musical Language of Henri Dutilleux," (PhD diss., University of California, Los Angeles, 2019)

While the First Symphony does contain some concrete and complete "themes" that are transformed linearly and generally remain recognizable throughout their changes, the work also begins to introduce musical ideas that hold the same large-scale structural importance of a traditional theme but lack parametric concreteness and the narratively linear presentation associated with the notion of a theme. Moreover, themes in traditional thematic transformation generally retain many of their defining parameters and thus repetitions of a theme and any changes can be traced along a linear trajectory. In contrast, Dutilleux treats the constituent elements of a given musical object – melodic or rhythmic contour, intervallic content, textural context, articulation, timbre etcetera – independently, and any one of these can be transformed or transferred elsewhere in the movement, such that the enduring or significant features of an idea might not be immediately known when the idea is first heard. In this way, the individual parameter that is transferred or transformed creates unconscious associations between events in the movement or work.

These processes could be applied continuously or abruptly, and in so many different combinations that connections between permutations of a given idea are not immediately recognizable. Moreover, the continuous and radical metamorphoses applied to the various objects make identifying a single iteration of an idea as the definitive form nearly impossible. Importantly, the progressive procedure does not necessarily involve an organic transformation from a small cell to an ultimate, complete form. This is somewhat unclear in Dutilleux's explanations of the procedure, where he describes ideas as "often very short and not identifiable at the moment of listening," such that "they become lodged in the unconscious mind of the listener and play their role at a later stage in the work."[183] Yet, many of Dutilleux's musical

[183] Dutilleux and Glayman, *Henri Dutilleux—Mystery and Memory*, 103-4.

objects do appear in obvious and seemingly complete forms initially. Rather, over the course of the music, an object undergoes metamorphoses that transform an idea into seemingly equally definitive forms. The transformation is less about the movement from more abstract to more concrete than a continual fluctuation between areas of relative abstraction and relative concreteness that creates a network of associations between individuated instances of an idea or several ideas. The idea of "growth," then, does not necessarily refer to the growth of a musical object itself, but rather to the growth of an understanding of each object or the music altogether in the mind of the listener as perspectives multiply through the unfolding of the music.

Connections to Proust's À la recherche du temps perdu

Though Dutilleux does not cite the influence of Proust on his use progressive growth until after the First Symphony, the procedure's reliance on concepts of memory and time are best explained through the parallels with Marcel Proust's in *À la recherche du temps perdu*.[184] Not only are ideas of time and memory crucial to the formal writing of *À la recherche* but they are also the media through which the protagonist of the novel ultimately reaches a realisation of self. Particularly, Proust sets up a dichotomy between active and passive recollection, or *voluntary memory* and *involuntary memory*. Multiplicity is central to Proust's conception of self, where moments in time each contain a plurality of experience.

Proust's use of time and memory throughout *À la recherche* has been thoroughly explained by authors such as Roger Shattluck, Renate Bartsch, and Leo Bersani, among many others.[185] Voluntary memory is often defined as conscious attempts at recollection of past events,

[184] For more information on the connection between Dutilleux and Proust, see Caroline Potter, "The influence of literature on Dutilleux's Music," *Henri Dutilleux: His Life and Works* (London: Routledge, 2016), 59-95. David Utzinger also develops an in-depth discussion of this connection, particularly in relation to *Ainsi la nuit* (1973-6), Utzinger, "Time, Memory and Multiplicity."

[185] See Roger Shattuck, *Proust's Binoculars: A Study of Memory, Time, and Recognition in a La Recherche Du Temps Perdu*, (Princeton, New Jersey: Princeton University Press, 1983); Renate Bartsch, *Memory and Understanding: Concept Formation in Proust's a La Recherche Du Temps Perdu*, (Amsterdam: J. Benjamins,

whereas involuntary memory is defined as the unconscious, spontaneous flood of memory that occurs independent of active will. The latter is also deeply tied to sensual experience, wherein some slight similarity between a present experience and a past experience can elicit the phenomenon of association, triggering a sudden and vivid flashback to a temporally distant event. In this dichotomy, involuntary memory is regarded as superior to voluntary memory, wherein the conscious retrieval of past events sheds the corporeal, subjective details of past experiences and translates them into objective, generalizable, and predictable concepts. Involuntary memory, on the other hand, translates the truth of experience and consciousness because it works through unconscious sensory associations. As Shattuck explains,

> … to see anything in temporal depth, we need at least two impressions of it… merely to remember something is meaningless unless the remembered image is combined with a moment in the present affording a view of the same object or objects… those two images then converge in our minds into a single heightened reality.[186]

The associations between the past experience(s) and present experience, no matter how subtle or seemingly inconsequential, draw together two temporally separated moments across time into one, more complete experience that retains a richness of understanding through temporal plurality. Both past and present are given depth by being experienced simultaneously.

Across *À la recherche*, the chronological sequence of events is confused and reordered such that a clear understanding of the chronology of the novel cannot be predicted or understood on first reading. Moreover, characters and events that emerge as significant later in the narrative often appear as insignificant much earlier. These formal devices mirror processes that appear in Dutilleux's music. For instance, the recursive approach to non-linear narrative or the tendency to

2005); and Leo Bersani, *Marcel Proust: The Fictions of Life and of Art*, 2nd ed. (New York: Oxford University Press, 2013).

[186] Roger Shattuck, *Proust's Binoculars*, 46-7.

present an ultimately very important idea for the first time as unimportant are shared between the author's and the composer's formal languages. Though much secondary literature on Dutilleux tends to foreground the relationship between "progressive growth" and "involuntary memory," dividing Dutilleux's approach to time and memory into two parallel categories offers a more complex understanding of the transformational and structural procedures in his music. The first category, termed "referential devices" by Dutilleux, relates to Proust's voluntary memory, and the second, progressive growth, relates to Proust's involuntary memory. These parallels between the languages are illustrated in Figure 1.

Though the entire procedure is often simply referred to as "progressive growth," the concept of referential devices is also fundamental to this complex of associations, particularly in the articulation of structure. David Utzinger offers a persuasive explanation of both categories through detailing the treatment of the parameters in each object in relation to Dutilleux later work, *Ainsi la nuit*.[187] Referential devices, which follow from Proust's involuntary memory in Figure 1, appear in concrete, stable forms in their first appearance and are either reiterated in exact or near-exact form, or otherwise any changes to an object do not threaten its concreteness, stability, or recognizability through each iteration. This relates to the traditional notion of a theme or motif, which is still used by Dutilleux in the First Symphony, but also, and more importantly, to the concepts of a "pivot chord" and "pivot notes," or as they are called by Dutilleux "obsessional sounds." The "pivot chord" does not appear yet in the First Symphony, but it is typically an extended chord with interlocking and stacked intervals, usually symmetrical

[187] Utzinger primarily analyses *Ainsi la nuit*, which is frequently taken to be Dutilleux's most Proustian work. Therefore, his explanation of parameters suits the well-established and sophisticated use of progressive growth and referential devices in that work. When assessing the more subtle use in the First Symphony, for example, this discussion of parametric transformation must be nuanced, as done below. Utzinger, "Time, Memory and Multiplicity."

over a horizontal axis.[188] "Obsessional sounds," or "pivot notes," are pitches that recur repeatedly across a work to offer a small-scale structural focus within melismatic or highly constellated passages, or provide large-scale structural associations at moments of importance, such as at the beginnings and endings of movements, or between crucial musical objects.[189] Both pivot chords and pivot notes serve to establish a hierarchy between pitches within a non-tonal or quasi-tonal atmosphere, and offer a large-scale structural focal points in lieu of a tonal diatonic framework.

Progressive growth, which follows from Proust's "involuntary memory" in Figure 1, concerns parametrically more abstract musical objects, which undergo dynamic metamorphoses in each iteration that separate and individually transform their various constituent parameters, as described above. The potential complexity and subtlety of the resulting associations create a growing network of unconscious referentiality. During his interview with Glayman, Dutilleux explained:

> When I talk about memory I'm thinking rather of some sound event, sometimes very short and not instantly identifiable, which will lodge in the listener's unconscious and play its role retrospectively… a work comes to life not only through fleeting elements, however startling they may be, but through its incorporation into a trajectory, a trajectory which the listener cannot totally grasp at first hearing.[190]

Like Proust's ideas of unconscious memory, Dutilleux drew on the contradictory idea that sub-liminal associations that may not be apprehensible without deep analysis create a more unified

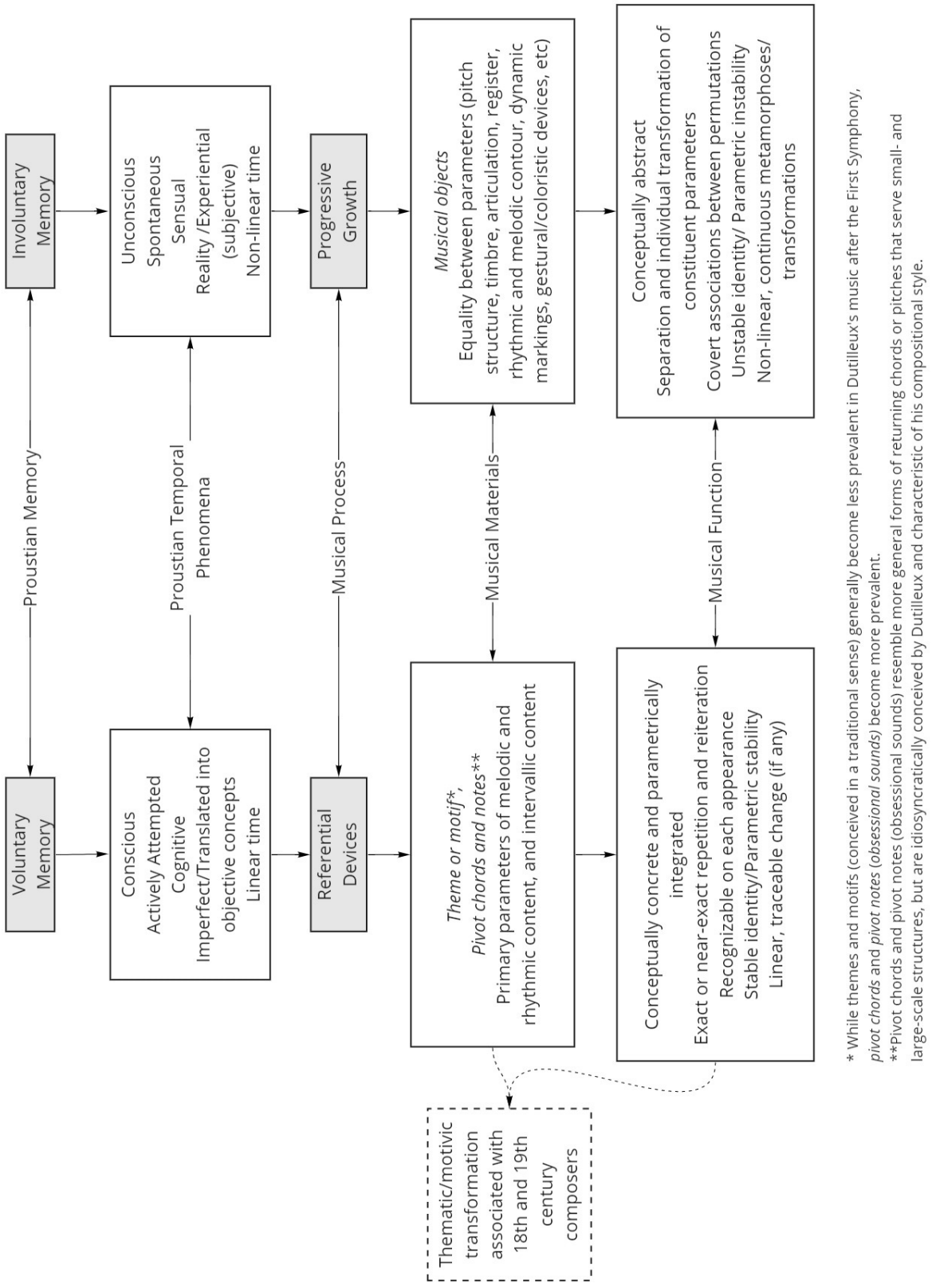
[188] This is the case in *Ainsi la nuit*, for instance, wherein the recurring and hugely important "Ainsi chord" is a composite of interlocking fifths that create vertical intervals of thirds and fifths stretching across multiple registers.

[189] Pivot notes could be compared with Debussy's use of pedal tones, but Dutilleux's use of the pivot notes do not always appear in the base layer. The small-scale use of obsessional sounds in melismatic phrases, as Urzinger points out, are also examples of axial melodies, which finds precedent in Stravinsky, for instance in the opening bassoon line of Le Sacre du Printemps. Utzinger, "Time, Memory and Multiplicity," 138; Caroline Potter also points out this connection to Stravinsky in the use of axial melodies, Potter, *Henri Dutilleux,* 96-7.

[190] Dutilleux and Glayman, *Henri Dutilleux: Music--Mystery and Memory*, 103.

image of a work. Dutilleux's conception of musical time connects to Proust's concept of involuntary memory, wherein a sound can "transport" one back in time via memory involuntarily or unconsciously to an earlier point in time when the same sensual experience first occurred. In this way, time is not conceived of as linear, but rather marked by a complex network of non-linear references and interconnections. The connection between Proust's and Dutilleux's ideas highlights the nature of Dutilleux's conception of transformation as essentially mysterious, and even in the early emergence of the procedure in the First Symphony, the plurality and complexity of ideas step away from traditional forms reliant on traditional thematic procedures.

Figure 1: Dutilleux's procedures as they relate to Proust's ideas of time and memory



3.3 Timbre, Colour, and Texture as Primary Parameters

Another important development in Dutilleux's compositional language in the First Symphony is his approach to timbre, colour, and texture. These parameters are shifted to a position of primary importance, particularly when used to delineate structure.[191] Given that progressive growth is often regarded as Dutilleux's most idiosyncratic compositional device, this approach to timbre and colour has sometimes been relegated to a position of secondary importance or to an outgrowth of Dutilleux's expansion of possible transformative parameters in progressive growth techniques.

Caroline Potter devotes perhaps the most extended attention to this feature of Dutilleux's style. She touches on the tendency of Dutilleux to "visualise" sound as he composes. She quotes Dutilleux as claiming, when discussing a habit of associating colours to sounds: "I do not systematically associate colours with specific harmonies or instruments. It is much more complex than that… But it is true that I often 'visualise' a sound world."[192] Similarly, in a rare comment about his working methods, Dutilleux has admitted that:

> When I conceive of an idea for a piece, I sometimes imagine a symbol which is visual in nature, which, at that moment, is not directly connected with the musical language. I am always reluctant to fix a bubbling idea in the form of musical notation, as there is the danger that it would remain fixed without being developed sufficiently. So, I sometimes draw symbols which represent a certain musical figure – a pointillistic period, a static period, or perhaps a complex polyphonic sequence.[193]

[191] The separation between primary parameters (melody, rhythm, harmony) and secondary parameters (timbre, dynamics) is generally attributed to Leonard B. Meyer's *Style and Music*, but there are certainly many valid arguments against the separation of parameters in this way. For instance, see Jean-Jacques Nattiez, "Le timbre est-il un paramètre secondaire?" Cahiers de la Société Québécoise de Recherche en Musique 9, no. 1-2 (2007): 13-24; Leonard B. Meyer *Style and music: Theory, history, and ideology*, (University of Chicago Press, 1996).

[192] Quoted in Potter, *Henri Dutilleux,* 125.

[193] Henri Dutilleux and Edith Walter, "Tête d'affiche : Henri Dutilleux," *Harmonie/Panorama/Musique,* 48 (1984), 22.

This suggests that Dutilleux at least partially conceived of sections defined by certain atmospheres over and above melodic, rhythmic, or thematic development. In some cases, this resembles the variable density techniques of Ligeti, wherein certain shifts in texture conceived through timbre and density can be heard in his music and are immediately recognizable in the visual score.

Dutilleux also uses a fair number of interesting colouristic and textural devices – glissandi, chromatic clusters, "snap" pizzicati, palindromic figures, melismatic axial melodies, *Klangfarbenmelodie,* and so on – that suggest a direct influence from Bartók's concept of "night music" in works such as *Music for strings, percussion, and celesta*. While certain sections in the First Symphony still retain a traditional foregrounded melody and accompanimental harmony, this is the first work of Dutilleux's oeuvre that contains sections of purely timbral or colouristic effects. A striking example of this occurs in the Finale at fig. 27. A chromatic, melismatic line that recurs throughout the movement is presented in a new guise by flutter tonguing flutes, while the upper strings play descending semitones in glissando in three parts, staggered by an interval to produce glissando cluster sonorities, and the first violins also play a tremolo descending chromatic line, but in triplet quarter notes, against the duple quarter notes of the other violins and violas. The three colouristic layers create a polyrhythmic texture, in which the upper woodwinds' eighth notes, the first violins' triplet quarter notes, and the upper strings' duple quarter notes create a rhythmic juxtaposition of four against three against two. Within this complex atmosphere, any melodic, rhythmic, and harmonic stability dissolves within an overall static and homogeneous mass of colouristic effects, creating a distinct structural section within the music.

Other examples of striking colouristic, timbral, or textural effects work in combination with progressive growth procedures, wherein a certain musical object is fundamentally changed

through the textural or timbral atmosphere in which it occurs. For instance, in the Passacaille the constantly present *ostinato theme* is given a strikingly new orchestration at fig. 22. Originally, the theme occurs in the bass register, either commanding primary importance or in the background. At fig. 22, however, the *ostinato theme* appears in the uppermost register, while underneath layers of colouristic materials – glissandi, tremolos, and meandering melismatic ostinatos – underpin it. The o*stinato theme*'s melodic and rhythmic identity are generally unchanged, but the atmosphere in which it occurs is drastically new. This delicate texture provides a radical break with the heavy texture that precedes it, giving potency to the structural event within the unfolding of the movement. The First Symphony exemplifies a distinct shift towards equal importance between parametric layers and the horizontal and vertical interplay of these parameters as a fundamental determinant of small- and large-scale structure.

3.4 Analysis of the First Symphony

The following analysis will primarily address approaches to form and the transformation of materials within each movement. The first two movements, Passacaille and Scherzo, are based on pre-existing formal models, but use progressive growth procedures to expand these models beyond their conventional uses. The Passacaille will be discussed in its relationship to the obviously "monothematic" passacaglia model, its use of both a relatively stable *ostinato theme* and an additional set of objects that are covertly associated to each other, and its use of referential pivot notes as an articulator of form. The Scherzo will be discussed for the development of progressive growth techniques through the *perpetuum mobile idea* and use of a set of a set of lyrical objects, as well as the textural delineation of sections, as it relates to the extension of the conventional ABA form.

The last two movements, in contrast, do not follow any external, pre-existing formal model. Rather, unique forms are constructed through the interplay of each movement's internal musical objects. The Intermezzo is nevertheless the most conventional movement harmonically. The harmonic framework of the movement, as well as the continuous melodic line that extends throughout it, will be discussed. Finally, the last movement, Finale con variazione, will be discussed in terms of the ways in which it extends the variation techniques established in the earlier movements to structure its plethora of musical objects in its own unique form.

3.4.1 Passacaille

The choice to begin a symphony with a passacaglia is perfectly suited to Dutilleux's stated artistic aim of avoiding the conventional bithematic sonata form. By the 1950s, passacaglia form had already appeared in a handful of symphonies, though not typically to structure the entire first movement. More importantly, several twentieth century composers had already revived the passacaglia in a variety of different genres.[194] Several analyses of the First Symphony have somewhat overlooked this point, however. Pierrette Mari, for instance, does not move beyond describing the passacaglia as an old dance of Spanish origin, and even when Jeremy Thurlow points out this oversight, he only mentions Bach and Brahms as relevant precursors.[195] Yet, Dutilleux had a variety of precedents for a weighty, modern passacaglia as his first movement. Differences between these models range from harmonic content to textural effect, and while Stein points out that while many modern passacaglias typically adhere to a traditional 3/4 meter

[194] Leon Stein has surveyed the use of the passacaglia in the twentieth century, pointing out that "there are more twentieth century passacaglias in the active repertory of performers than baroque works in this form." Stein's list of thirty-seven composers who used the form is incomplete, and we could add Honegger and Webern to the passacaglia examples with which Dutilleux would have probably also been familiar. Leon Stein, "The Passacaglia in the Twentieth Century," *Music & Letters* 40/2 (1959), 150-1.

[195] Mari, *Henri Dutilleux,* 154; Thurlow, *The Music of Henri Dutilleux,* 112.

in a regular eight measure unit, many deviate from the traditional major-minor tonality and venture into chromatic, dodecaphonic, or modal constructions instead.

The use of the passacaglia procedure, then, could adhere to either a more subtle challenge to symphonic convention or to a much more radical one. Christopher Ballantine, in his book *Twentieth Century Symphony*, identifies the use of a pre-classical form like the passacaglia as both a "conservative" and a "radical" structural innovation, depending on whether the use maintains or subverts "sonata dualism" (specifically bithematic dualism).[196] Because Dutilleux's First Symphony obviously undercuts the use of a conventional bithematic sonata form in the first movement, the use of a passacaglia in this context can be associated with Ballantine's second category of "radical structural innovation."[197] The overt dualism of bithematic sonata form, where the two thematic areas and the key contrasts are resolved by the end of the movement, must be obtained through new means in a work that dispenses with bithematic sonata form.

Though monothematicism was Dutilleux's way of "freeing" himself from traditional rhetoric, Dutilleux still achieves dualism both within and between the objects presented in the movement. Ballantine's models of "immanent dualism" and "manifest dualism" are useful here. "Manifest dualism" is the type of dualism achieved by bithematic forms in which two contrasting themes exhibit an overt dualistic opposition to each other but, throughout the course of the music, are drawn together through some covert, internal similarity. "Immanent dualism" is the reverse, where some contrast is covertly contained within an otherwise apparently unified idea,

[196] As discussed in the previous chapter, the possibility of creating one stable and all-encompassing set of criteria to distinguish between symphonies and non-symphonies is extremely difficult. Ballantine locates dualism as the main criteria, but this is clearly not the only possible criteria. In the case of Dutilleux's First Symphony, however, this model is one interesting lens through which to analyze the first movement because it deals primarily with reactions to conventional formal models in the twentieth century. Christopher John Ballantine, *Twentieth Century Symphony*, (London: D. Dobson, 1983). For more information, see Chapter Two.

[197] Ballantine, *Twentieth Century Symphony,* 126.

and that contrast is somehow manipulated or teased out across the course of the work.[198] The dualism inherent in the initially singular *ostinato theme* manifests in a larger scale across the entire work, where the first half is generally concerned with regular sections of the easily recognizable ostinato theme, and the second half presents much more variegated materials that associate with each other on sub-levels. The appearances of both main musical objects, along with descriptions of each section, are outlined in table 1 below.

Table 2: Formal Divisions of the First Movement, Passacaille

Section	Subsection	Figs.	Description	Ostinato Theme Occurrences
I	Introduction of *Ostinato Theme*		The *ostinato theme* appears clearly, with additional materials and textures changing in each subsection, all based around the pitch E.	
		Fig. 0	Ostinato theme alone. The theme sets up a focus on E-F-D# and falling major seventh	2 (8 measures)
		Fig. 1	Added dyads of seconds in clarinets, E/F-A/Bb-D/E-G/A	2
		Fig. 2 + Fig. 3	Added slowly unfolding sevenths harmonies, starting on EM^7 from the E/F dyad	1+1
		Fig. 4 + Fig. 5	Klangfarbenmelodie of *ostinato theme* and added dyads.	1+1
	Developmental Harmonies		Clearly defined sections of the *ostinato theme* continue, changing texturally, but with more developmental harmonies starting from C major.	
		Fig. 6	slowly moving developmental 7^{th} chords	2
		Fig. 7 + Fig. 8	Continuing developmental harmonies but in delicate flourishes	1+1
	First Climax		A gradual build reaches the first climax at fig. 10, with a return of the rhythms of fig. 1, but on new seventh harmonies.	
		Fig. 9	An ascending octave run and descending seventh sequence, starting on D#	2
		Fig. 10	After a break of silence, descending flourishes, starting with the D#/F/E focus and descending sevenths in sequence	2
II	*Fugato Theme*		The *fugato theme* appears. The *ostinato theme* remains but is joined by a legato presentation.	
		Fig. 11 + Fig. 12	Four entries of the fugato subject. The first starts with an E-F, then each entry is transposed up a fifth (E-B-F#-C#)	2+2

[198] Additionally, Ballantine argues that musical monism can achieve dualism when an outwardly singular theme contains a contradiction within itself and over the course the music, various perversions of this theme then reveal and play on the inherent contradiction, achieving lives of their own and being used in alteration or simultaneous contrapuntal development. Ballantine, *Twentieth Century Symphony*, 136.

		Fig. 13	A four-part polyphonic working out of the pivot note cluster D#-E-F, moving to the pivot note cluster F#-Ab-G.	9 measures of pivot notes
	Fugato Variation		A variation of the *fugato theme* appears, which begins on the Ab-G pivot notes, and inverts the *fugato theme* to start. The legato form of the ostinato theme continues.	
		Fig. 14 + Fig. 15	The *fugato variation* on Ab-G with the legato *ostinato theme* couched in harmonies, starting on C major	1+1
		Fig. 16 + Fig. 17	The *fugato variation* is transposed down to begin on the F-E pivot notes	1+1
	Triplet Idea		A *triplet idea* combines the *fugato theme* and *ostinato theme.*	
		Fig. 18	The *triplet idea* begins with the D#-E-F pivot note group, only using the E, C, and A of the *ostinato theme*	1
		Fig. 19	the ostinato part of the *triplet idea* falls away	2
	Transition to Climax	Fig. 20	A new dotted rhythm of a quickly changing chromatic harmony begins, thickly orchestrated. The legato *ostinato theme* is shortened to just the first half, E-C-A	4 halves
	Second Climax	21 +5	A colouristic tutti forms the texturally rich climax of the movement, with differing repetitive elements in each instrument grouping - The colouristic effect that begins here is very reminiscent of Bartók's night music texture. - It is harmonically very chromatic, but with a kind of focus on Bb minor, in tension with C# and C	None
III	Coda		4/2 time begins, retaining the colouristic effect of the climax, but in a gradual decrescendo as the number of voices decreases. The *ostinato theme* returns, first transposed to begin on C#, but then returning to begin on E.	
		Fig. 22 + Fig. 23	The *ostinato theme* shifts rhythmically and transposes to begin on C#, accompanied by colouristic effects (tremolos, melismatic lines, glissandi, etc.)	1+1
		Fig. 24	Colouristic effects are reduced to just tremolos in the strings. The *ostinato theme* continues in legato, starting on C#, but extending the last measure to return to E.	2
		Fig. 26	The *ostinato theme* is cut in half, and ends in a quiet extended chord based on C#, but ambiguously suggesting E.	5 Halves

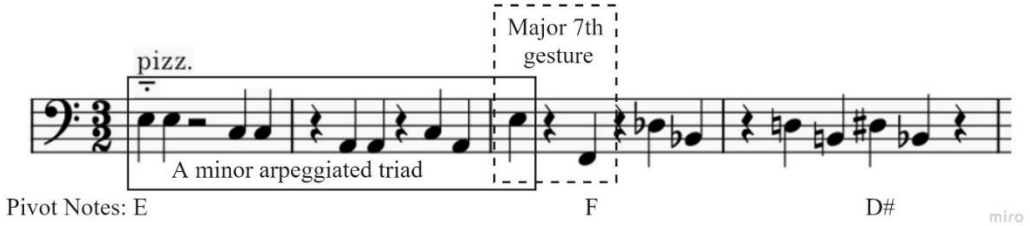
The Ostinato Theme

Of all the musical objects in the First Symphony, the ostinato that forms the basis of the Passacaille undergoes the least amount of change. Yet, it introduces several of the small, associated parameters and referential devices that not only play a structural role within this movement, but across the whole symphony. The Passacaille begins with two unaccompanied statements of the *ostinato theme* (ex. 1). It is first introduced monophonically in the basses, and

then the cellos double the basses for its second statement. The theme is four measures long in 3/2 time, which easily relates to the traditional eight measure phrase in 3/4 time. The arpeggiated A minor triad with which the ostinato begins is also very traditional. Yet, the ostinato shifts in the second half to be much more chromatic, and this tonal contrast sets up the main seed of tension which is expanded across the entire movement. [199] As the *ostinato theme* cycles through continuously, an oscillation is created between an area of relative tonal clarity and chromaticism.

This seed of tension between the two halves of this theme can be associated with Ballantine's concept of "immanent dualism," as the movement can also be divided into two halves. Throughout the first half, the *ostinato theme* generally retains most of its identifiable musical parameters; it maintains its rhythmic and pitch identity, its instrumental and registral positioning, and its role within the musical texture. Generally, every two statements of the ostinato are joined by a new accompaniment. In the second half, the *ostinato theme* undergoes slight metamorphoses and gets buried within relatively denser textures, more variegated musical materials, and a gradual crescendo. In this way, the internal differences between the first and second half of the theme are mirrored in the large-scale structure of the movement.

Ex. 1: Ostinato Theme, Passacaille, mm. 1-4



The *ostinato theme* also establishes two elements – the pitch cluster E-F-D♯ and the falling gesture at the theme's halfway point – that form crucial structural markers. Though the

[199] Mari, Humbert, and Thurlow have all made note of these two main harmonic areas. Mari, *Henri Dutilleux,* 155; Humbert, *Henri Dutilleux,* 43; Thurlow, *The Music of Henri Dutilleux*, 123.

theme begins with an A minor triad, the real focus is on E rather than A. The theme opens on E and returns to E before the pivotal falling seventh in the third measure of the theme. The chromaticism of the second half drives back to the E of the ostinato's next repetition. These three elements set up two additional pitch foci. The falling seventh leaps down from E to a low F, but instead of resolving to the E below, the line leaps back up to a D♭. The tension created by this unresolved F draws attention as an important pitch. From D♭, the line moves through a series of B/D pairs: D♭ and B♭, then D♮ and B♮, and finally D and B♭. This rising movement of the second half of the theme from D♭-D-D♯ really builds momentum to a return to E, creating a circularity within the theme itself and an emphasis on the D♯ before the return. These three pitches, E-F-D♯, and their closely related form G-A♭-F, form a cluster of pivot notes that is isolated for use at important structural moments and is transplanted into other musical ideas across the movement.

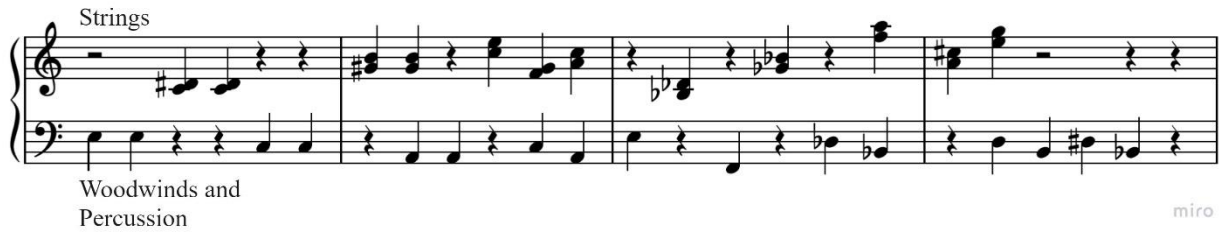
Each new subsection of the first half of the movement provides a variation over two statements of the ostinato theme which tend to emerge from some part of the pivot note cluster D♯-E-F. At fig. 1, a series of dyads in the clarinets joins the bass ostinato starting with E-F, then alternating up and down to A-B♭, D-E, and A-G. At fig. 2, these dyads extend into slowly unfolding seventh harmonies, again beginning with the E-F dyad which expands to an E major seventh chord. The chromatic harmonies that develop throughout section 1 can also be seen as distantly related to the pivot note cluster. The first E/F dyad and related second dyads throughout various sections are clearly intervallically related, and the fuller harmonies of mostly seventh chords often position the root and the seventh of the chord together, mimicking these dyads.

The falling seventh that occurs halfway through the theme between the E and F is more often transplanted into new music objects across the symphony than used to mark beginnings of new sections. Within the Passacaille, this falling seventh also appears at the first climax at fig.

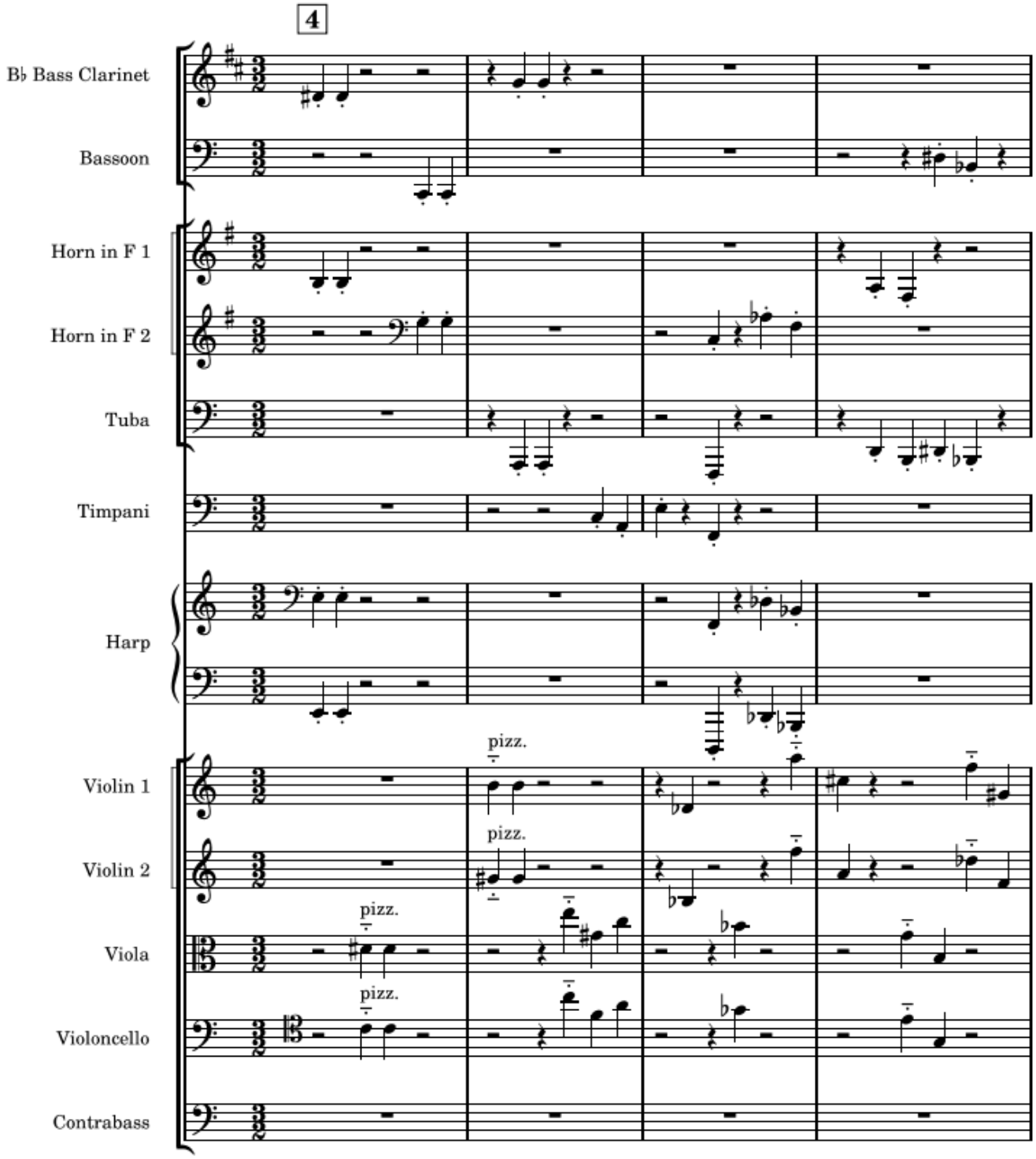
10, and as part of the *fugato theme*, at fig. 11. The isolation of this small gesture allows for the feeling of familiarity that the progressive growth procedure engenders because association is created between various instantiations without the direct repetition of any one idea.

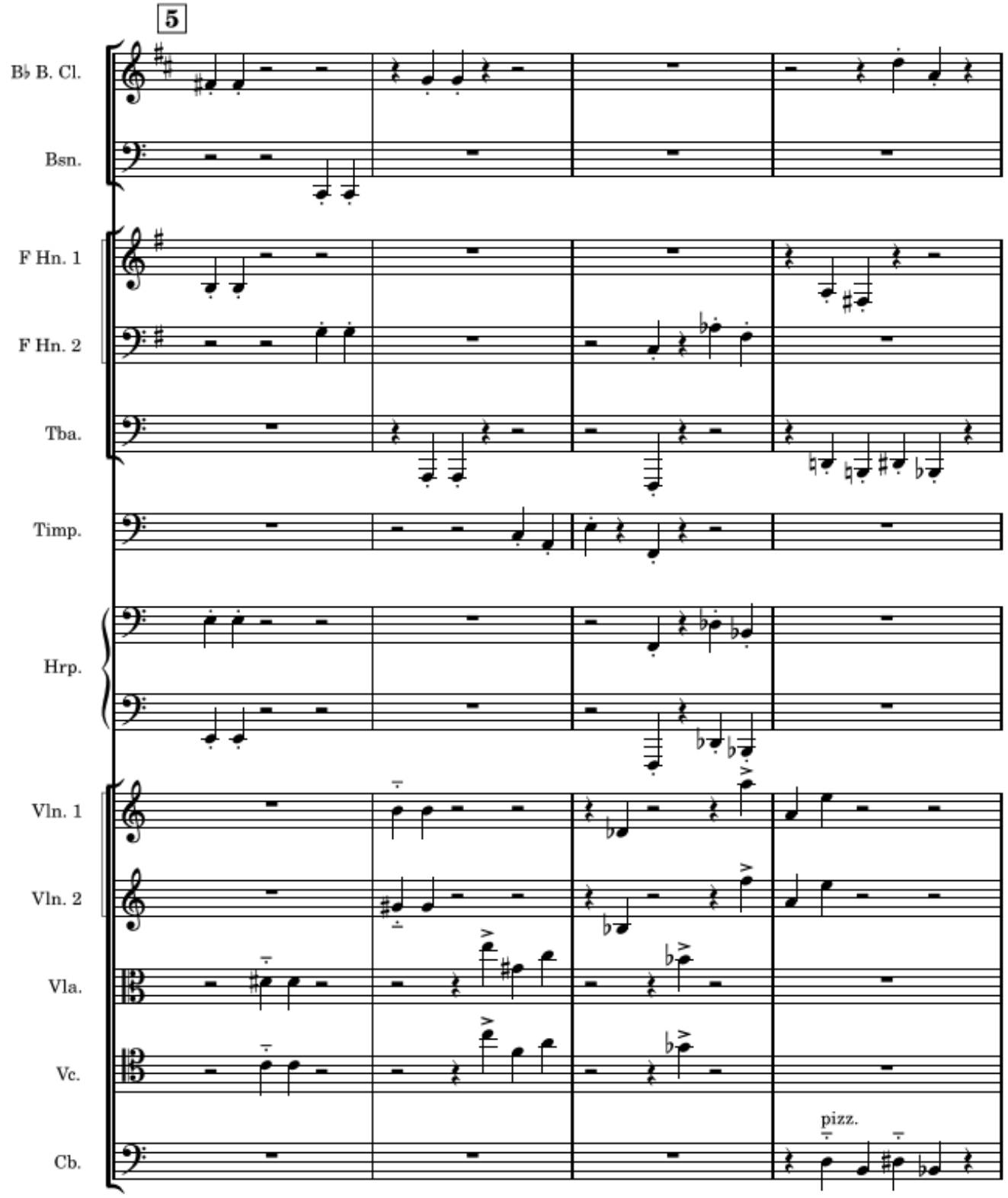
As described in Table 1, every two statements of the *ostinato theme* are generally accompanied by a different textures and different materials but in the first half of the symphony the *ostinato theme* generally remains unchanged. At fig. 4, however, the texture shifts considerably to a *Klangfarbenmelodie* presentation of the seventh and eighth statements of the ostinato theme (ex. 3). The ostinato leaves the contrabass voice completely to spread across the woodwinds and percussion. In the *Klangfarbenmelodie* technique, every pair of pitches from the original theme gets a new instrumental colour such that the *ostinato theme* is varied timbrally. Simultaneously, the strings weave in a new countermelody of dyads based on the melodic contour of the original theme. The harmonic effect created by the string countermelody adds a richness intermingled with the *ostinato theme* itself (ex. 2). Above, the clarinets maintain the E-F pivot notes in held tremolos. This new treatment of the *ostinato theme* exemplifies a growing interest in Dutilleux's compositional language in textural contrasts, particularly the use of *Klangfarbenmelodie* – though this is the most striking use of the technique in the symphony.

Ex. 2: reduction of the *Klangfarbenmelodie* Variant of the Ostinato Theme, Passacaille, fig. 4 and fig. 5



Ex. 3: *Klangfarbenmelodie* Variant of the Ostinato Theme, Passacaille, fig. 4 and fig. 5



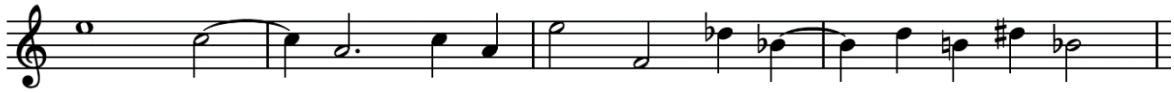

5
B♭ B. Cl.
Bsn.
F Hn. 1
F Hn. 2
Tba.
Timp.
Hrp.
Vln. 1
Vln. 2
Vla.
Vc.
Cb.
pizz.

The texture shifts back to slowly moving harmonies of seventh chords at fig. 6, but instead of beginning with the D♯-E-F pivot notes, the harmonies begin with an A minor seventh, recalling the original A minor triad, which transitions into a strikingly new texture at fig. 7, as the upper woodwinds and upper strings embellish the seventh harmonies with quick flourishes. These are the only two subsections in the first half where some part of the D♯-E-F cluster is not immediately foregrounded. Yet, after a transition through stepwise ascending chromatic harmonies in a rhythmic contour that resembles that of fig. 1, the first climax of the movement at fig. 10 once again highlights the D♯-E-F pivot note cluster, as described in Table 1. This climax builds from the falling seventh gesture of the *ostinato theme*. After a high F-D flourish which lands on an E, a rapid descending run falls a seventh to F, then again to F♯, and so on until the descending sequence falls back to the low E of the *ostinato theme* and the second half of the movement. The effect is striking, given that fig. 10 marks the peak of the gradually ascending line that preceded it, but also because a very short silence occurs, wherein the only sound is the first E of the bass ostinato.

Despite the frequent textural shifts between subsections, the stable presence of the *ostinato theme* and the reinforcement of D♯-E-F as referential pivot notes across section 1 create a sense of homogeneousness and regularity. To facilitate the shift to a more variegated and unstable second half, however, *the ostinato theme* is altered in articulation and instrumentation so that it can be submerged within the surrounding music (ex. 4). The remainder of the theme's original parameters (intervallic content and phrasing) are retained. The shift from the initially more rhythmically articulated presentation in the bass voice to a legato presentation in the middle voices does not occur abruptly. Through fig. 11, the two forms are heard simultaneously in the basses and cellos, using the timbral similarity of the instruments to mask to theme's new form.

At fig. 14, the new legato form is shifted to the trumpets and oboes so that it is more recognizable as timbrally distinct, but the original staccato version is still present, couched in triads and chords built from superimposed fifths by the basses, cellos, and timpani. By fig. 16, the original staccato version disappears entirely, and the legato version continues alone, passed between instruments, but never returning to the bass voice. While this new timbre and articulation allows it to go on sometimes unnoticed, the theme rarely actually disappears completely. Nevertheless, its de-emphasis allows additional musical objects to take over in the second half of the movement.

Ex. 4: Legato Variant of the *ostinato theme*, Passacaille, fig. 14



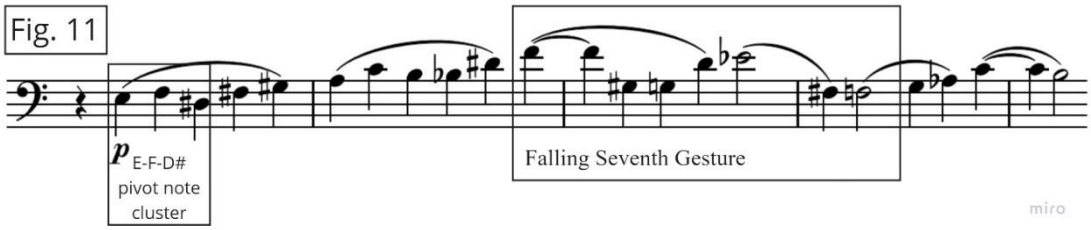
Fugato Theme – Fugato Variation – Triplet Idea

The other main ideas of the movement are much more nebulous and illustrate the use of progressive growth techniques. The various additional musical ideas presented at fig. 11, fig. 14, and fig. 18 are independent from one another, but shared melodic and intervallic contours create sub-surface associations among them.

After the thickly orchestrated first climax at fig. 10, a fugato emerges at fig. 11 consisting of three layers: the original staccato *ostinato theme* in the bass, the legato *ostinato theme* in the cellos, and a strikingly new *fugato theme* in the violas (ex. 5). The *fugato theme* is much more atonal than the *ostinato theme*. While it is not totally serial, nine of the twelve chromatic pitches are used, which gives it a pseudo-serial effect. Yet, the succession of notes is logical. On one level, the *fugato theme* aligns with the shape of the accompanying *ostinato theme.* The *fugato theme* begins with the pivot note cluster, E-F-D♯, allowing the *fugato theme* and the *ostinato theme* to begin on the same pitch. The *fugato theme* also contains a falling seventh figure,

appearing simultaneously with the falling seventh in the *ostinato theme* below. Moreover, though the entries of each subject are not constrained to the conventional alternation of tonic and dominant subject entries, they do mimic a quite traditional circle of fifths sequence. The fugato section is short and contained to the string section, allowing each of the string voices to take up the subject once. The second entry transposes the line up a major fifth to B, the third subject is transposed up another major fifth to F♯, and the fourth up another major fifth to C♯.[200] At fig. 13 -2 voices dissolve into a set of harmonies under a repetition of three pivotal notes D♯-E-F, which are transposed for the first time to F-G-A♭ by the end of the section. In these ways, the use of referential pivot notes, the quasi-tonal falling seventh gesture, and the perfect-fifth relationships ground the relatively atonal *fugato theme* within a certain structural logic.

Ex. 5: The *fugato theme*, Passacaille, fig. 11

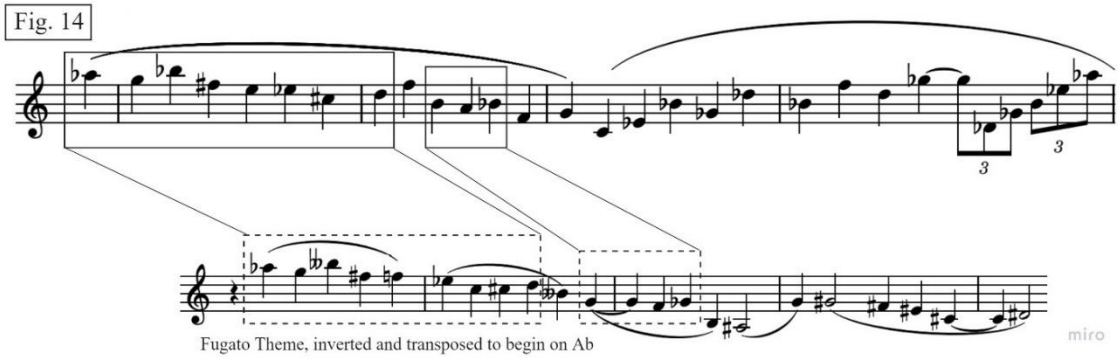


Just as E is the central pitch of the D♯-E-F group, G can be understood as the central pitch of this newly transposed group. Though this breaks the circle of fifths sequence, the shift to G relates to the original E as the relative major of e minor. The new cluster also provides a link to the next obvious musical idea of the movement at fig. 14, which begins with an A♭ pickup, landing on G on the downbeat of fig. 14. Like the relationship between A minor and the pitch E in the ostinato theme, the line that begins with a focus on G at fig. 14 is underpinned by a simple

[200] This series of transpositions of fifths creates an association to Bartók's fugue from *Music for strings, percussion, and celesta,* as does the atonal effect of the fugato subject.

C major chord. Fig. 14 can be understood, then, as a shift from minor to major, even as the actual musical material within the subsections are not functional in either key. The new musical idea that begins at fig. 14 can be understood as a *fugato variation* of the *fugato theme,* in a new instrumentation and tessitura in the flutes and celesta (ex. 6). The beginning of the *fugato theme* is roughly inverted, with some slightly altered intervals. The falling seventh gesture is omitted, however, and instead the new idea ascends through alternating upwards and downwards leaps (ex. 5). Because only the initial focal pitches, the intervallic relationships, and inverted rhythmic contour are shared between ideas, a familiarity is created but the idea is not immediately recognizable as previously heard material.

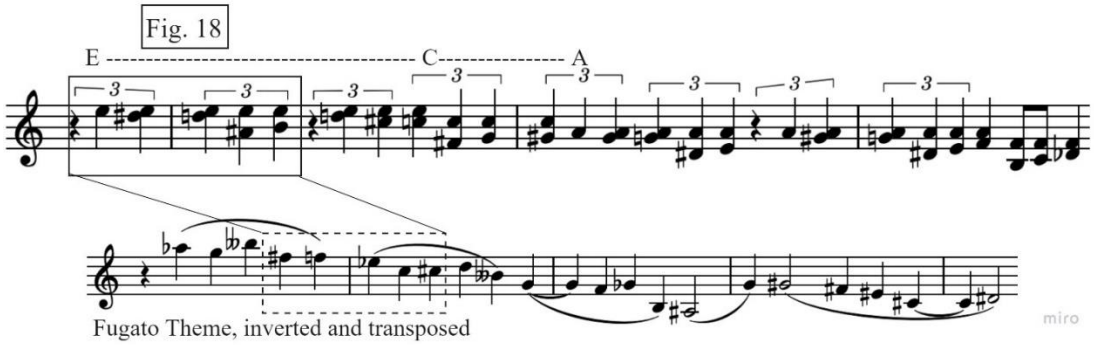
Ex. 6: The *fugato variation* with the connections to the *fugato theme*, Passacaille, fig. 14



The music from fig. 14 to fig. 20 progresses through sections of two ostinato theme lengths, but the changes between each subsection are more minute than in the first half of the movement. From fig. 14 to fig. 18 the *fugato variation* is continuously foregrounded. But the *fugato variation* in the first eight measures (fig. 14 and fig. 15) start with the A♭-G pair over a relatively functional harmonic progression of chords built on the legato *ostinato theme* in C major, and some mixture with E♭ major ($B♭^7$ and $E♭^7$). At fig. 16, instead of returning to C major, the E♭7 chord shifts to $E^{ø7}$ as the root and seventh slide down a semitone, and the harmonic progression falls away. Additionally, the *fugato variation* is transposed down to start

on an F-E pair rather than an A♭-G pair. In this way, the shift between subsections is much more subtle.

Ex. 7: The *triplet idea* with connections to the *fugato theme* and the *ostinato theme*, Passacaille, fig. 18



The third related object, a new quarter-note *triplet idea*, emerges at fig. 18 (ex. 7). The five-note motif of the lower line corresponds to the five notes that start on the fourth note of the *fugato theme,* inverted like the *fugato variation*. Above, another set of pitches correspond to the A minor arpeggio of the *ostinato theme*. Thurlow claims that the lower line of this theme is simply counterpoint unfolding downwards from each melodic note of the upper ostinato part; however, this seems unlikely given that the movement in the lower part is more perceptible through being doubled by the winds.[201] Moreover, at fig. 19, the E-C-A portion of the *triplet idea* disappears while the fugato portion continues. Thus, this idea can be more convincingly identified as a new combination of both the *ostinato theme* and the *fugato theme*.

To review: the associations between the ideas presented at fig. 11, fig, 14, and fig. 18 exist between isolated parameters – specifically the intervallic content of the first eight pitches of the *fugato theme* – transferred to new contexts. The new ideas do not necessarily register as variants of the same theme, however, but as separate ideas because shared parameters are isolated from the original thematic identity. Moreover, by manipulating the *fugato theme* through

[201] Thurlow, *The Music of Henri Dutilleux*, 133.

inversion and fragmentation, and then further combining it with elements of the *ostinato theme* in the *triplet idea*, the surface identities of both original ideas are stripped away, and a new homogenized object emerges.

After fig. 20, the fugato objects die away, and the *ostinato theme* is truncated as the music generally begins to build towards the principal climax of the movement at fig. 21+5. The other voices join in a gradually rising chromatic harmony which begins from a short F-G-A♭ cluster, in a fast paced, homophonic dotted rhythm in a textural crescendo as more instruments are added. The structurally arresting principal climax at Fig 21 +5 marks the second time the *ostinato theme* disappears entirely. In fact, all the main objects of the movement disappear, and only colouristic effects remain. Each instrument group variously takes up tremolo effects, glissandi, and repetitive, fast paced ostinati. Harmonically, the clearest focus in this section is on a B♭, specifically a B♭ minor seventh chord, though the C♯ pitch and a C minor chord are also prominent. This moment is significant in Dutilleux's musical oeuvre as a whole because it marks the first use of timbre and colour as structurally significant objects in themselves.

The timbral and colouristic effects remain through fig. 22, when the coda begins, but the *ostinato theme* returns. On its return, it is altered rhythmically, transposed down three semitones to begin on C♯, and situated in the highest instruments rather than the bass. The flutes and the piccolo play the first half of the theme in sixteenth notes, such that the rhythm of each pitch of the original theme is reduced, but the theme itself has the same duration as before. The second half of the theme is still in a legato articulation, played by the oboes. Despite these timbral and rhythmic changes, the theme sounds relatively familiar, especially given the drastically new surrounding texture. At fig. 24, the legato *ostinato theme* portion in the oboe ends with the last measure repeated and sequenced up a fifth such that it shifts from the C♯ focus back to its

original pitch level, E. At Fig. 25 the legato version continues in an augmented rhythm, but with only the first three pitches that outline the A minor triad so that the final note rests quietly on E. Underneath, a quiet chromatically rising figure leads into the final extended chord, which could be notated as a C♯ half-diminished seventh with an added ninth, eleventh, and flat thirteenth, which creates an ambiguity between a final E sonority and a sonority on C♯.

Tonal Backgrounds

The relationship between the original focus on E, the pivot note shift to G, the B♭ focus at fig. 21 +5, the C♯ transposition of the *ostinato theme* at fig. 22, and the ambiguity between C♯ and E to close is structurally important. To state that any of these pitches, perhaps apart from the focus on E, articulates a distinctly functional tonal area would be excessive, given that the music within each section does not necessarily appear to progress through any diatonic progression. But they do structure the music the way tonal areas might. Caroline Potter has written about Dutilleux's fondness for "tonal backgrounds" – essentially the use of pivot notes not only as stabilizing focuses within an unstable context, but also to form hierarchal levels across a work or movement to structure given sections.[202] She identifies the use of pivot notes used as focal points across a movement or work that spell simple diatonic triads or seventh chords in *San Francisco Night*, the Second Symphony, and *Ainsi la nuit*. These tonal backgrounds are not necessarily reflected in the harmonic foreground of the piece.

The same principle of a "tonal background" seems to be operating here. Unlike those exploring integral serialism at the time, Dutilleux did not see the need to dispose of tonal principles altogether.[203] The E, G, B♭, and C♯ could be seen as a tonal background of either a C♯

[202] Potter, "Referential Devices and Tonal Backgrounds," in *Henri Dutilleux*, 96-121.
[203] Dutilleux and Glayman, *Henri Dutilleux: Music--Mystery and Memory*, 21.

fully-diminished seventh or the enharmonically equivalent E fully-diminished seventh chord, setting up a crucial ambiguity between E and C♯. Yet the key relationships implied are used as a structuring device and are not necessarily reflective of audible or functional key relationships within the work itself. These relationships set up within the Passacaille do have implications for the inter-movement structure of the work, particularly between the endings of the second and fourth movements, which both begin with a focus on C♯, and the Finale which ends in an unambiguous Db major triad.[204] Consequently, despite being divorced from the conventional bithematic model, the Passacaille introduces many of the elements that carry through the remaining movements, on small-scale levels and large-scale levels, which allow for coherence between them.

3.4.2 Scherzo

Unlike the use of the passacaglia procedure for the first movement, a scherzo movement is wholly conventional within the genre of the symphony. Yet, as Ballantine has pointed out, the scherzo has been the site of development and extension in symphonic writing of the twentieth century, probably because of the flexibility of the form and its history of eccentricity prior to the twentieth century.[205] Among the various extensions of the scherzo Ballantine identifies, the use of dissimilar trios and extended ternary form are operative in Dutilleux's Scherzo.

Dutilleux described the Scherzo as a "perpetuum mobile," referring to the repetitive eighth-note material that predominates throughout the movement. This *perpetuum mobile idea* remains present throughout a significant amount of the movement, however unlike the *ostinato*

[204] For more, see section 3.4.5 below.

[205] Developments include the use of dissimilar trios, extended ternary forms or binary forms instead of the typical ternary form, duple meter instead of triple meter, and most importantly, the change in the symphonic role, i.e., giving the symphony enough weight and substance that the movement becomes "the turning point that makes possible the finale as the 'solution' to the dualistic 'problem' that has preoccupied the symphony." (102); Ballantine, *Twentieth Century Symphony*, 96-98, 102.

theme from the Passacaille, it is associated with several different contours which keep it fluid and non-repetitive. The lyrical themes of the movement are much more dissimilar, but like the fugato objects in the Passacaille are associated to each other through progressive growth techniques.

The ternary form of Dutilleux's Scherzo can be inferred by the near exact repetition of the material from fig. 26 at fig. 75. Four additional sections occur between the two larger A sections. The sections at fig. 36 and fig. 58 can be associated because they develop similar presentations of the *perpetuum mobile* idea through gradual thickening and fluctuation of the orchestration. Similarly, the sections at fig. 46 and fig. 66 can be associated with each other in the way they present unique, but related ideas. In this way, these can be considered dissimilar trios within a kind of compound ternary form. These sections are described below, in Table 3.

Table 3: Formal divisions of the second movement, Scherzo

Section	Fig.	Description	Form
Intro	26	Flourishes establish a focus on a set of tritones, C# and G, and C and F# (as well as A, which is paired with Eb later)	
I		Both the *perpetuum mobile idea* and the l*yrical B motive* are introduced, along with the focus on the pitches F#-C, C#-G, and A-Eb. This section could be seen as a trio in miniature.	A
	29	Three layers: - The *perpetuum mobile idea*, alternating between a focus on C and F# - The lyrical B motive – F#-A-B-C - A chordal layer, highlighting the set of triads, F#-C, C#-G, and A-Eb Six measures at the end develop the *perpetuum mobile idea*, thickening in texture and crescendoing to provide momentum into fig. 32	
	32	The *perpetuum mobile idea* drops out, and the *lyrical B motive* moves up a semitone to G-Bb-C-Db. The chordal layer is more chromatic, starting on a G major, but over a bass C# pedal	
	34	The *lyrical B motive* disappears and the *perpetuum mobile idea* returns, ascending and then descending chromatically, thickening in texture, and growing to crescendo into fig. 36	
II	36	The *perpetuum mobile idea* appears alone, in octatonic ascending stepwise and alternating steps contours, beginning on A and transposed to D at fig. 40. Texturally, the section begins thinly orchestrated in cellos and bass, growing to an eight-part string divisi at fig. 41.	B
III	46	*Idea C*, consisting of a chromatically ascending line of minor seconds and augmented fourths ornamented with additional flourishes, appears. D-G# becomes the most prominent tritone.	C
IV	58	The *perpetuum mobile idea* returns, recalling the ascending octatonic stepwise and alternating leaps contours, and adding descending inversion of these.	B'

		Statements of the idea shift through instrument groupings, first alternating sections in the lower and upper strings and then including the rest of the orchestra, growing to a crescendo at fig. 65.	
V	66	*Idea D*, consisting of a more melismatic and rhythmically regular lyrical line made up of five irregular phrases extending from the pivot note A, appears. Three contours characterise these phrases: a major second-perfect fourth motive, a major second-minor third motive, and an augmented fourth-perfect fourth-augmented fourth motive.	D
	72	The e*xtended theme B* appears, bringing together *idea D, the lyrical B motive,* and *idea C* and foregrounding the C#-G tritone pair.	
Coda	75	Fig. 29 recurs almost identically but transposed to from a focus on the C-F# tritone to the G-C# tritone.	A’
	78	Instead of moving to a lyrical object (the *lyrical B motive*), the *perpetuum mobile idea* continues to the octatonic contour of the “B” sections, but now on D instead of A. The material builds to a brilliant D major chord across the orchestra.	

Introduction and Harmonic Foci

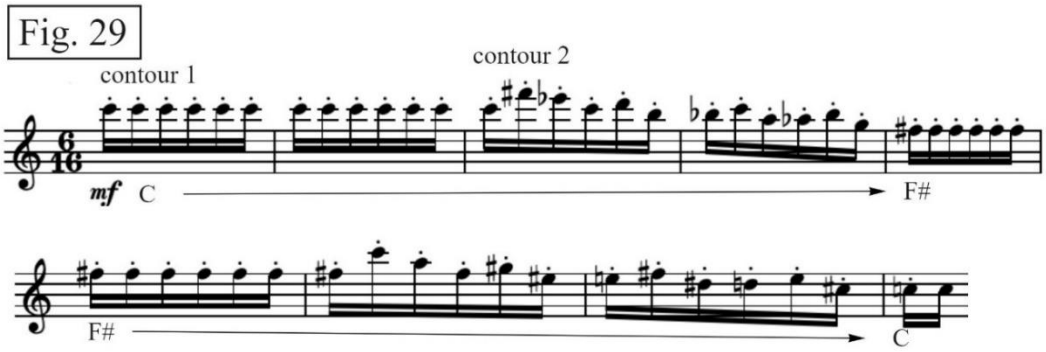
The short introduction of the Scherzo does not present any one thematic idea, but instead establishes the main pitches that remain as focal points throughout the movement. Unlike the Passacaille, where the pivot notes of the movement created a diminished seventh chord, these pivot notes are structured through tritone pairs. Quiet pizzicati in the strings move from C♯ to G, then land on a tremolo on C, ending with a flourish leading to F♯. The second repetition of this idea includes a flourish in the clarinet, foregrounding the pitch A, which later becomes associated with its tritone, E♭. At fig. 36, when the A section begins, the chordal underpinning stacks all these pitches on top of each other, creating a chord based on superimposed tritones. Importantly, these tritones contribute to an octatonic collection on C♯, lacking two of its constitutive pitches. This octatonic collection appears throughout the movement, in both vertical and linear forms.

The Perpetuum Mobile Idea

After this introduction, the movement launches into the repetitive eighth-note idea that makes up the perpetuum mobile effect of the movement. This *perpetuum mobile idea* does not remain stable in either its intervallic content or its melodic contour but does maintain its essential

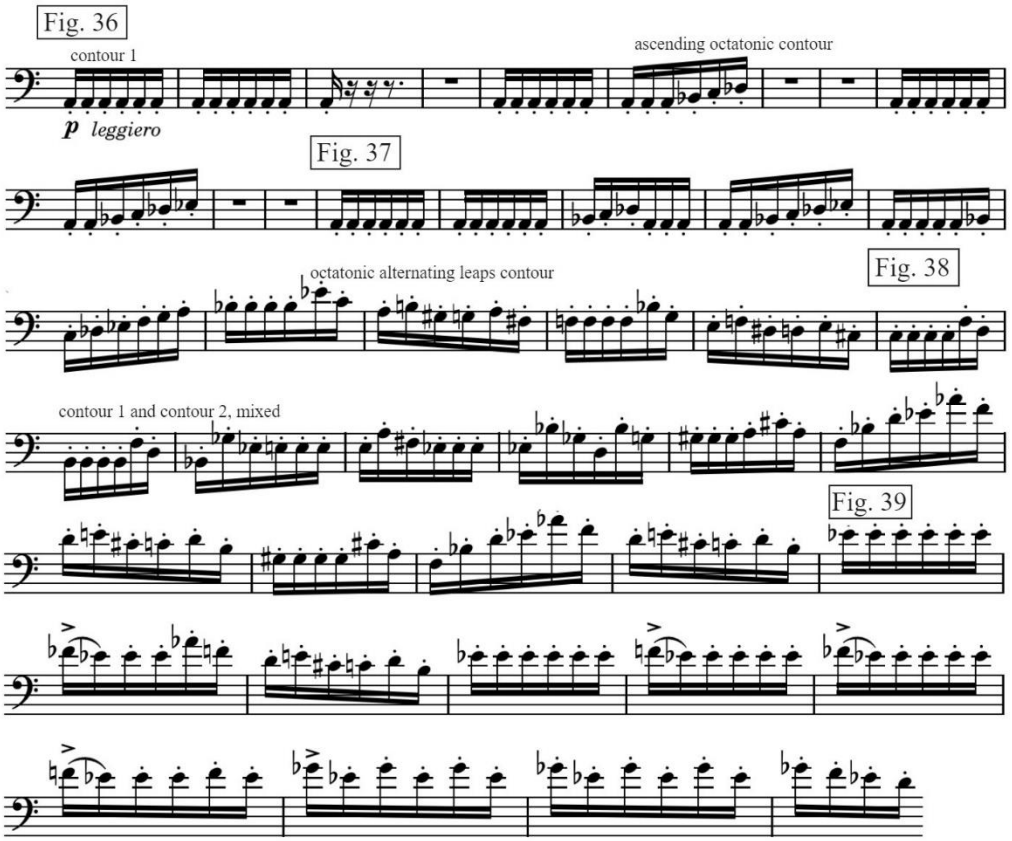
identity throughout. The immediate commonality among its various permutations is its rhythmic persistence. Though different contours emerge in various sections, the idea's rhythmic drive produces the effect of continuity. As outlined in Table 3, the repetitions of the various contours occur in parallel sections, and thus delineate the structure of the movement.

Ex. 8: Contours 1 and 2 of the *perpetuum mobile idea*, Scherzo, fig. 29



Throughout the A section, three contours of the *perpetuum mobile idea* can be identified. The repeated pitches, which often begin a new phrase, can be found in nearly every permutation, which often allows for a momentary focus on a single pitch. The second contour is a descending pattern of alternating up and down steps (ex. 8), which allow for rapid shifts in pitch focus. The subsection from fig. 29 only contains these two permutations, fluctuating between a focus on C and on F♯ and thus highlighting one of the tritone pairs. After a short subsection where the *perpetuum mobile idea* drops out, and *the lyrical B motive* (discussed below) takes over, the *perpetuum mobile idea* returns with the third contour at fig. 34: the descending pattern is reversed to an ascending pattern. This new contour fluctuates through many brief pitch foci, and voices are gradually added to create a crescendo, which reaches B♭ at the highest point of the first small climax to end section A.

Ex. 9: ascending octatonic contour and ascending octatonic leaps contour of the *perpetuum mobile idea*, Scherzo, fig. 36 to fig. 39



At fig. 36, in a strikingly new texture and a new contour establish the first major sectional break to B, shown in ex. 9. The section begins with an A repeated in just the timpani. After two measures of silence, the A pitch returns in the basses and cellos, adding a slight stepwise ascent to D♭ at the end. After another two measures of silence, the repeated A pitches appear again, followed by an ascent that reaches further to E♭. Eventually, the stepwise ascent reaches all the way to the B♭ above which then turns around to fall through the familiar descending pattern. This stepwise ascending pattern creates an octatonic sonority and establishes the fourth contour of the *perpetuum mobile idea*. The orchestration is also significant as a delineation of form because it is, as it is purely orchestrated only with strings, beginning with piano dynamics with just the basses and cellos, and gradually adding voices to reach an eight-part divisi texture.

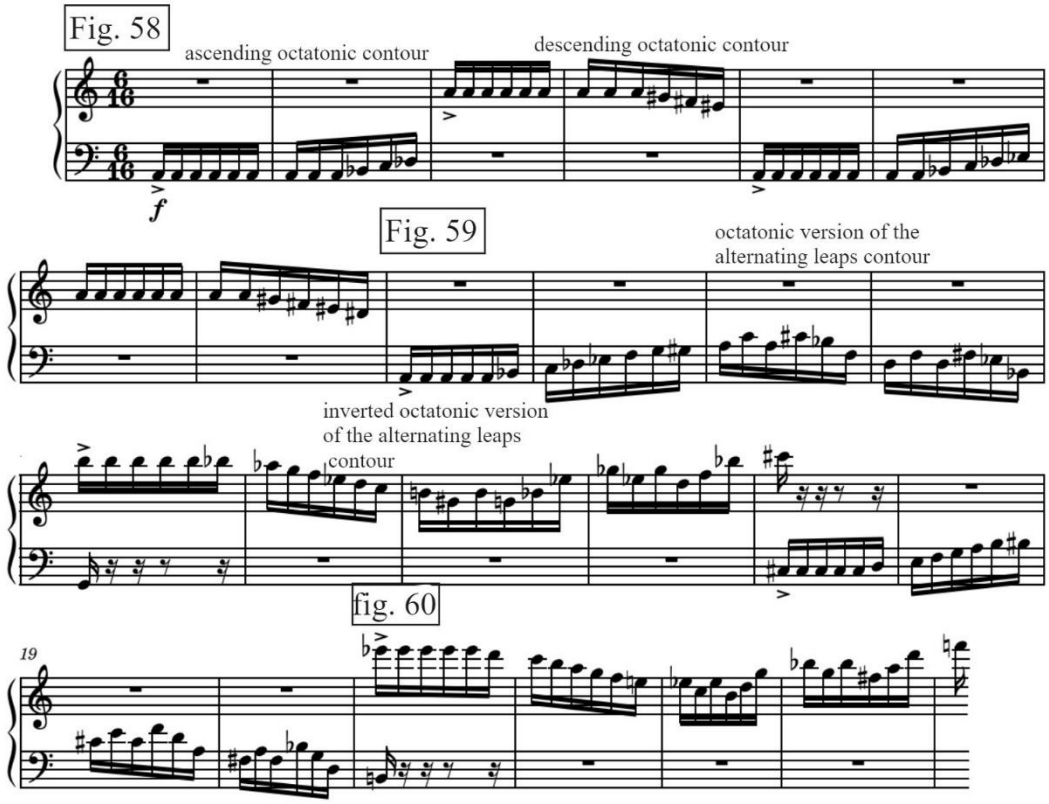
Fragments of the stepwise octatonic scale and the descending and ascending patterns facilitate fluctuations of brief pitch foci, articulated by repeated notes. Thus, momentum is really created through the rapid shifting of pitch areas and a wave of gradually thickening textures.

A slight decrescendo and pairing down of voices at the end of section B facilitate a shift into the next, quieter section at fig. 46. This section can be considered the first trio section, as it establishes a primary focus on a new lyrical idea (discussed below), rather than the *perpetuum mobile idea.* The *perpetuum mobile idea* that appears at fig. 46 is nearly identical to the one that appeared at fig. 36, with the octatonic ascending line from A, but it is shifted from low strings to flute. The *perpetuum mobile idea* then fades into the background to facilitate a smooth transition into the new lyrical idea and disappears from fig. 48 until fig. 55. When the idea returns in fig. 55, it acts as another transition to a climax that ends the first trio section.

Fig. 58, shown in ex. 10, marks a return of the *perpetuum mobile idea* alone, and the similarity in texture and the contour of the *perpetuum mobile idea* marks this as a parallel section to the first B at fig. 36. Moreover, the climactic material from fig. 55 to fig. fig. 58 resembles the climactic material from the end of A which led into the first B section. The primary similarity, however, is the contour of the *perpetuum mobile idea*, which reuses the ascending octatonic pattern from the repeated A pitches just as in fig. 36. But the material progresses differently. In the second measure of the section, the upper strings respond with an inversion of the phrase. From the A two octaves above, the line turns to descend in a stepwise octatonic collection to E♯. The lower and upper strings continue to exchange statements of the material. Unlike the first B section that is restricted to the strings, the orchestration here extends into the winds at fig. 62. Much more variegated figures are also introduced at fig. 64, including a lilting double sixteenth note and eighth note figure that rises chromatically and a held tremolo with rapid scalar

flourishes that lend momentum into the next section, D, at fig. 66. Despite these differences, the *perpetuum mobile* contours and the texture are mirrored, suggesting a structural parallel between these sections.

Ex. 10: descending octatonic contour and inverted octatonic leaps contour of the *perpetuum mobile idea*, Scherzo, fig. 58 to fig. 61



Whereas the previous B section led into the new section of quieter, more delicate material with foregrounded upper woodwinds, the new B' section leads into much heavier, and thickly orchestrated material. Like the previous C section, however, the *perpetuum mobile idea* nearly disappears and another lyrical idea is foregrounded in the section (discussed below). At fig. 75, the *perpetuum mobile idea* returns, in a near-repetition of the A section. The only difference between the return of A and the original A section is that the material has been transposed from the earlier alternation of C and F♯ to an alternation of G and C♯. Before moving on to the *lyrical B motive*, however, the material moves instead into a return of the *perpetuum mobile* octatonic

contour of the B sections, but now on the pitch D instead of A. As in each of the B sections, this grows through additions of instruments, rising and falling through several pitch foci and using fragmentations of the earlier contours. This continues to build until a final, brilliant D major chord across the whole orchestra.

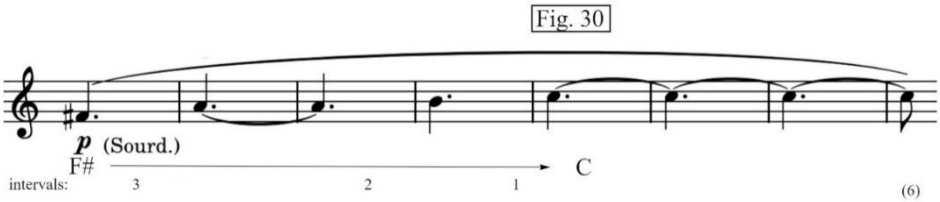
This brief overview of the different permutations of the *perpetuum mobile idea* is meant to illustrate the ways in which Dutilleux uses parametric associations to create structural divisions. The various permutations of the idea serve to articulate the form of the movement. For instance, the beginning of each B section utilizes the ascending and descending octatonic contours in texturally similar contexts, creating a parallelism between them. In this way, the progressive growth concept appears not to just create subconscious associations between ideas but also to articulate structural subdivisions.

The Lyrical Objects

Like the *fugato theme* objects of the Passacaille, the lyrical objects that appear in the first A section and each of the section C and D trios are associated with each other on subsurface levels. However, they do not share a specific motive as the fugato objects did, but rather connect through shared intervallic relationships. In this way, the progressive growth technique is much more subtle in this movement. Moreover, the ambiguity between the similarity and dissimilarity of these objects creates two dissimilar trios. The first object, the *lyrical B motive*, occurs in the trio of the embedded ABA form of the A section. Likewise, the associated lyrical objects occur in section C and section D, creating a connection between the trio sections of the movement despite the individuation of these objects. The progressive growth technique, therefore, is used to create a more complex approach to the conventional ternary scherzo model.

The associations occur through minor intervallic connections between the ideas. The first idea, the *lyrical B motive*, appears in the fifth measure of the A section. While the upper woodwinds and percussion pass around fragments of the *perpetuum mobile idea* alternating a focus on C and F♯, the brass and bassoons stretch the four notes that make up the motive, F♯-A-B-C, across eight measures (ex. 11). Underneath these two layers, the strings play static extended chord aggregates based around C and F♯. The extension from F♯ to C in the *lyrical B motive*, therefore, is significant in the articulation of the pivot note pitches. Given the simplicity of this motive, it could be taken as the kind of "short and unrecognizable" material that Dutilleux referred to in his comments about progressive growth, especially in that the two ideas that appear at fig. 46 and fig. 66 are more expanded and complex than the first heard *lyrical B motive.* However, the motive is too distinct within the texture to be called "unrecognizable." The use of progressive growth is more persuasively explained through shared intervallic relationships, which are fully illustrated in figure 2.

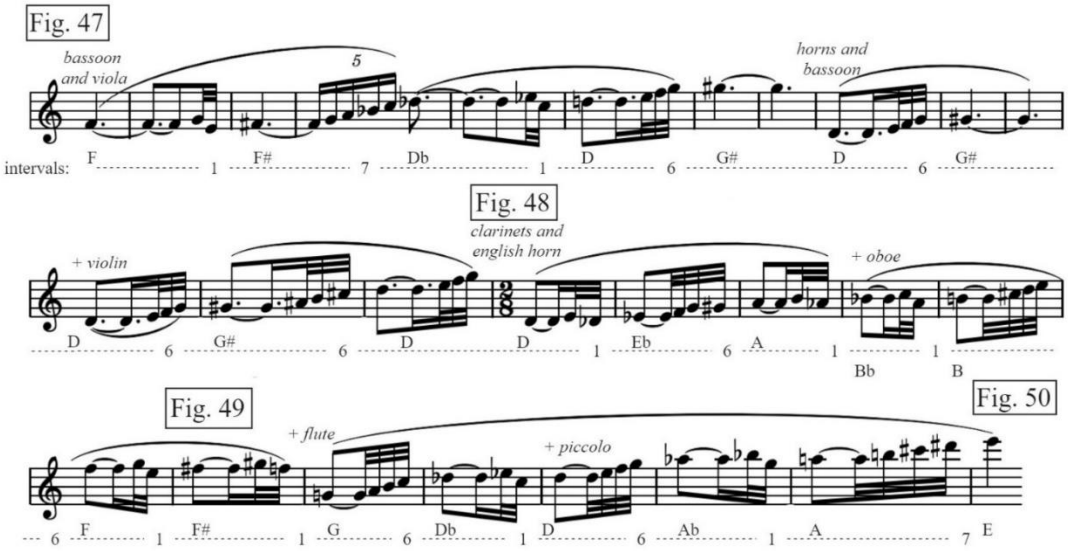
Ex. 11: the *lyrical B motive, S*cherzo, fig. 30 -4



The intervallic content of the *lyrical B motive* consists of a minor third, a major second, and a minor second, with an augmented fourth created between the first and last pitch of the idea and on the immediate repetition of the object from C-F♯. At fig. 47, this ascending contour and the intervals of a minor second and an augmented fourth are transplanted into a new, rhythmically altered idea, here labelled *idea C* (ex. 12). If the additional flourishes of *idea C* are omitted, it can be interpreted as a gradually rising series of minor seconds followed by augmented fourths, although the first and last large intervals are extended to diminished sixths

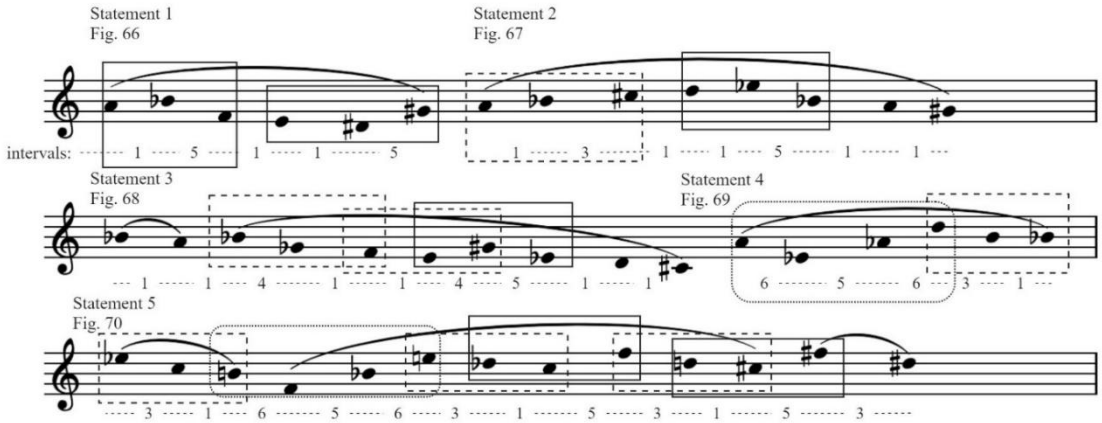
rather than augmented fourths. The augmented fourth is related to the tritone pivot note focuses, but the previously significant C♯-F pair is only present once. The tritone pair that occurs most frequently between D and G♯ foreshadows the brilliant D major chord that ends the movement.

Ex. 12: *Idea C*, Scherzo, fig. 47 to fig. 50



The third lyrical object to be heard, labelled *idea D*, occurs at fig. 66 as the main idea of the second trio section, D (ex. 13). It differs rhythmically from both the *lyrical B motive* and *idea C* and is much more melismatic in nature. The intervallic content itself is also much more fluid, but several recurring gestures can be identified if the idea is divided into five statements following the slurred phrasing, as shown in example 13.

Ex. 13: reduction of *idea D*, "scherzo," fig. 66 to fig. 71



The pitch A can be heard as a pivot note in this section, which relates to one of the original tritone pairs, A-E♭, and to the pivot note focuses on A at each of the B sections. Every statement but the last extends from this pitch. The first statement, at fig. 66, establishes the initial melodic contour and intervallic content: from A, the line moves up a minor second and down a perfect fourth, and following a descending minor second, this m2-P4 motive is repeated in inversion. The second statement of *idea D* ends with an almost complete restatement of the m2-P4 motive, except for an omission of the last perfect fourth leap. However, a new gesture is added proceeding the m2-P4 motive. From the initial pitch A, a minor second is followed by an augmented second and another minor second, transposing the initial motive a perfect fourth up from A to D. This m2-A2(m3) gesture is used in inversion and retrograde in the third, fourth, and fifth statements of *idea D*. In the fourth statement, a third intervallic shape is introduced: from the beginning A pitch, a descending augmented fourth leads to an ascending perfect fourth and another augmented fourth. These three intervallic shapes – m2-P4, m2-A2/m3, and A4-P4-A4 – are all used together in the fifth and final statement.

This idea illustrates the growth from a small amount of intervallic material on multiple levels. On the smallest level, each statement grows organically from a relatively small intervallic shape, the m2-P4 motive. On the mid-level, the various constitutive intervallic shapes can be understood as permutations of intervallic parameters of the *lyrical B motive* in a new context. Additionally, the pivot note on the pitch A and the transposition of the first contour to begin on D in the second statement, provides an association to the pivot notes used in other sections, as well as the final D major chord of the movement. On the largest scale, the *idea D* has inter-movement associations as well. The first intervallic contour of this idea, the m2-P4 motive, is not only the primary material for *idea D* but is also a retrograded and inverted variation of *the*

triplet idea of the Passacaille. This connection is very subtle, and perhaps only apprehensible in detailed analysis, but the inter-movement connection illustrates the concept of progressive growth operative on a much larger scale. The technique of connecting objects through the progressive growth procedure across movements becomes much more frequent in later works, but the use here illustrates the unifying capability of the complex of subconscious associations.

By stringing together small motives to create small-scale, phrase-level structures, Dutilleux creates the possibility of detaching any of these small gestures for use in other contexts. Conversely, fragments of other ideas might be used to meld into an already existent idea. Importantly, these subtle connections are established more concretely in the extended variation of the *lyrical B motive* that immediately follows *idea D* at fig. 72, labelled here *the extended theme B*. Figure 2 shows this *extended theme B* in the center, given that it is formed through fragments taken from the three previous ideas, while the *lyrical B motive*, *idea C*, and *idea D* are positioned around it. Arrows and boxes illustrate the specific intervallic chunks that are transplanted among ideas and how these relationships manifest. The rhythmic profile of *extended theme B* reverts to that of the *lyrical B motive* but continues the initial m2-P4 intervallic idea that began *idea D* (ex. 14). This motive immediately dovetails into a restatement of the *lyrical B motive*, transposed up a perfect 5th to C♯, such that the new tritone outline is C♯-G rather than F♯-C. After an extension that closely resembles the shape of *idea D*, another restatement of the *lyrical B motive* occurs.

Ex. 14: reduction of the *extended theme B*, Scherzo, fig. 72

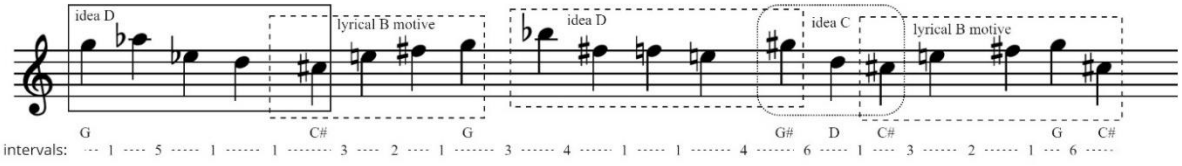
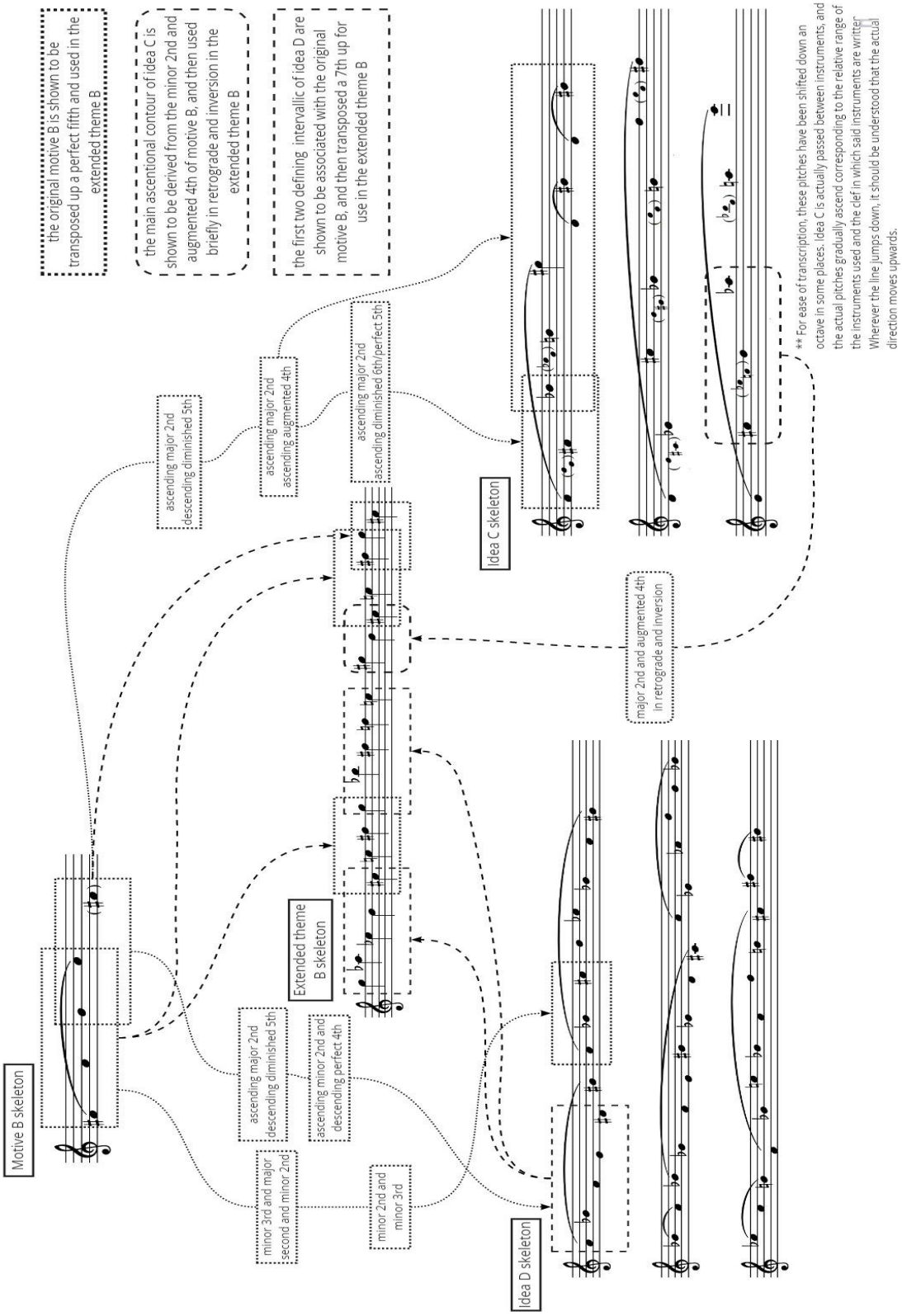


Figure 2: transplantation and transformation of intervallic ideas between the lyrical objects of the Scherzo



Although *idea C* is not exactly replicated in the *extended theme B,* a connection can be inferred in the last half of the idea, wherein a descending augmented fourth (C♯-G) leads to a descending minor second, suggesting the outline of *idea C* in retrograde and inversion. In this way, the initial *lyrical B motive, idea C,* and *idea D* are joined together to form the complete *extended theme B.* At the same time, however, it would not be entirely accurate to suggest that *lyrical B motive*, *idea C*, and *idea D* are somehow incomplete ideas that grow linearly into a final complete *extended theme B.* When they appear, they register as fully complete ideas in and of themselves. The complex of associations created between these distinct objects offers different perspectives of the same intervallic content at temporally distinct moments. A deeper understanding of the connections between these objects is simply the most salient retrospectively when the *extended theme B* emerges.

The likelihood of these objects being interpreted as essentially distinct is higher on first hearing of the movement, or when the listener is not aware of the subtle connections Dutilleux likes to create in his music. It would be plausible to argue that the objects were initially separate ideas, and they were combined to create a fundamentally new object in the *extended theme B.* When the movement is analyzed deeply, or the listener is concerned with listening for these subtle connections, the inter-relationship of these ideas is much clearer. Given Dutilleux's insistence on the essential mysteriousness of music and his fondness for creating buried connections, he seems to assume his listeners will be attentive enough to pick up on these connections, even subconsciously.[206] Yet, the ways in which Dutilleux creates parallelism in the placement of *perpetuum mobile idea* permutations aids in the apprehension of structural

[206] There is no evidence to suggest that Dutilleux did any research into perception and cognition scientifically, so in the context of this analysis, whether or not a listener actually picks up on these connections is of less importance than the fact that Dutilleux's method of unification assumed his listeners would. Of course, an interesting study of the actual perceptibility of these connections could be undertaken.

relationships, including the structural parallels between these ideas. The strength of the language rests on this ambiguity. The interplay between abstract and concrete associations between the objects illustrates the temporally non-linear development established by the progressive growth technique. The ideas are both separate and connected, and the perspective from which the objects are being considered changes their meaning within the music.

3.4.3 Intermezzo

The Intermezzo could be considered one of the more traditional movements in the First Symphony because it generally retains a melody-accompaniment, and not only begins and ends on an unambiguous E minor triadic harmony, but also includes a fair amount of functional, if highly chromatic, harmony in throughout. Moreover, the melody heard throughout the movement continuously foregrounds the pitches B and G, suggesting pivot notes that outline an E minor "tonal background." Yet, the harmonies foreground E, B, and C, creating a tonal background of a seventh chord, like the Passacaille.

Unlike the Passacaille and the Scherzo, the title Intermezzo does not necessarily suggest a single formal model. Dutilleux described the movement as having "a continuous melodic line that never repeats itself, even though it is framed by a curious, even aggressive motif.[207] This "continuous melodic line" extends from a short motive that I call *the intermezzo idea*, presented as a solo in the bassoon at fig. 1 (ex. 14). The aspect of transformation in this short movement is unique because it appears most clearly in the working out of this continuous idea but does not function through complex and covert associations between distinct objects within the movement. Rather, the movement is made up of a gradual morphing of the *intermezzo idea* through roughly

[207] Dutilleux and Glayman, *Henri Dutilleux: Music--Mystery and Memory*, 34.

four sections, as outlined in table 4, delineated by the general atmosphere of each section and the stage in the *intermezzo idea*'s development.

Table 4: Formal divisions of the third movement, Intermezzo

Section	Fig.	Description
Intro	0	Chordal introduction of the primary *intermezzo idea* contour Fig. 0 – A harmonic progression starts on a held E minor triad, with brief leaps down (a 5^{th} and a 4^{th}) that return to the held E minor. Fig. 1- the harmonic accompaniment becomes more developmental, moving through the progression III-iv-bII^7-I; the main intermezzo idea appears as a solo in the bassoon and then horns, with B as the focus pitch, dropping a 5^{th} to E first and then the full 7^{th} to C.
A		The continuous melody extends from the initial *intermezzo idea*
	2	Fig. 2 – the *intermezzo idea* is foregrounded and extended in the strings, and with the chordal accompaniment in B major (V) but shifting to B minor. Fig. 3 –the main intermezzo idea motive (B-C-D-B) is passed among instruments in a short closing section.
	4	Fig. 4 – the intermezzo idea uses the G^7 that underpins it to shift away from the B focus to C minor, by way of a D major arpeggio and is joined by a more chromatic line in the cellos. Fig. 5 – the *intermezzo idea*, now focussing on C minor, ascends stepwise until it reaches an F#, and the chromatic line becomes more foregrounded.
	6	In a transitional section, the melodic line, which has moved beyond the intermezzo idea contour, moves through outlines of an E♭ major-minor seventh sonority, then a rising chromatic line that leads back to a brief B minor focus
B		A new chromatic, melismatic idea appears while the melodic line continues in a new contour
	7	Fig. 7 - The melismatic idea starts with a focus on C (with a written-out trill to D), and subsequently highlights D (with Eb) and G (with A♭), suggesting C minor, which is supported by the melodic line which begins on B natural but includes D♯, G♯, and A♯. Fig. 8 – the melismatic idea disappears, replaced with more rhythmic movement and the melody shifts into a series of chromatic developmental chords. Fig. 9 – the rhythmic activity quiets, and the melodic line highlights C minor with the raised 7^{th} (B/C), leading to a modulation to, and cadence in, G major.
	10	The chromatic line returns, but now with a focus on B, then on E, and finally on D.
C	12	A new rhythmic momentum with the melodic line repetitively foregrounding the same contour which embellishes a move from B to G.
A'		The *intermezzo idea* returns in its original form, signalling a return of the beginning.
	16	The rhythmic momentum slows, reverting to the atmosphere of the beginning
	18	The intermezzo idea returns, but now on E rather than B.
Coda	20	The melismatic idea returns, first focussing on C#, then on E when the final statement of the *intermezzo idea* sounds on the pitch E. The final four measures alternate short eighth note chords, between Db major and an E/B dyad, underneath a held E pitch.

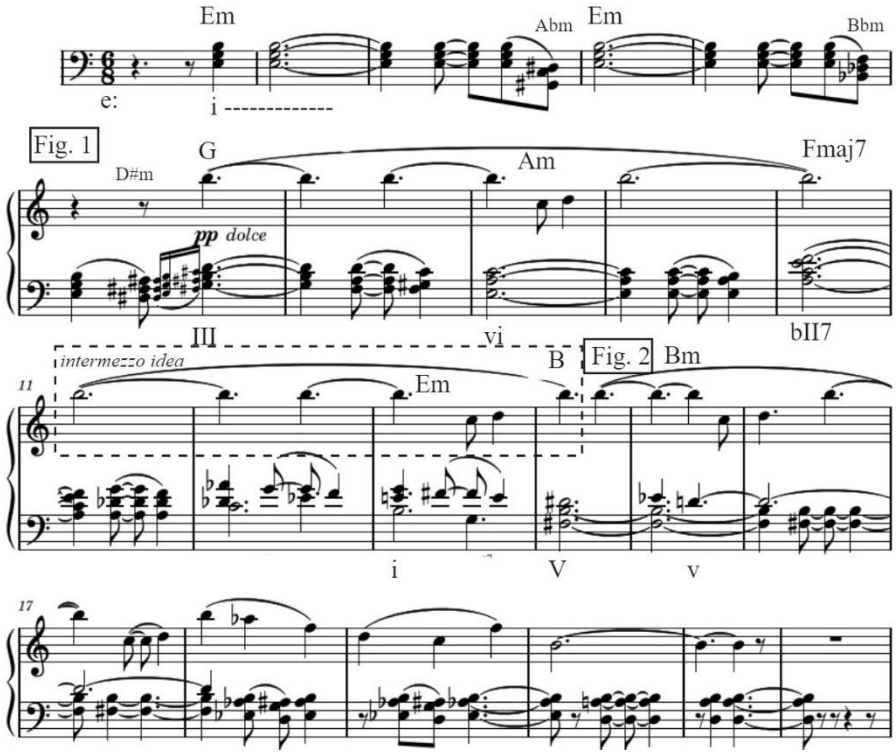
The Intermezzo Idea

Dutilleux's statement that the continuous melodic line never repeats itself is slightly misleading. Generally, it is true that between sections the line shifts to different contours, but the "melody" consists of short, strung together gestures that are repetitiously used through each section. One

crucial contour is used at both the beginning and the ending of the movement. This idea, which will be labelled the *intermezzo idea*, is primarily made up of a four-note motive, consisting of a single held pitch, a falling seventh, a step up, and then a return of the initial pitch (ex. 15).

The short chordal introduction of the movement suggests the contour of the *intermezzo idea*, but the intervals used do not yet reach their full size. Beginning with a long, held E minor triad in the strings, the progression leaps down several times before returning to E minor. The extended focus on E minor makes for a clear harmonic grounding, as the appearances of A♭ minor, B♭ minor, and E♭ minor are so brief that they do not establish clear tonal areas themselves. Nevertheless, the chromatic inclusion of these pitches foreshadows two other harmonic areas that become important later in the movement, B major and C minor.

Ex. 15: the *intermezzo idea* and the opening harmonic progression, Intermezzo, opening to fig. 3



The *intermezzo idea* really appears at fig. 1 as a solo passed between the bassoon and horns. The primary pitch here is B, highlighted as the fifth of E minor through the first leap,

which only reaches down to E, but in the second statement leaps down the full seventh to C. Resonances with the *ostinato theme* of the Passacaille can be found here. The falling seventh gesture is reminiscent of the earlier theme, but so is the focus on the fifth of the originally foregrounded triad – E as the fifth of A minor in the Passacaille and B as the fifth of E minor in the Intermezzo. Underneath, the harmony in the strings becomes more developmental, from G major through A minor, F^7 as a tritone substitution for the dominant, and back to E minor. At fig. 2, the *intermezzo idea* shifts to the strings and progresses on as a full-fledged melody. It still begins on B, and now is underpinned by a B major chord, which shortly becomes a B minor chord. Through fig. 3, this motive is highlighted over and over, at the same pitch level until fig. 4, when it modulates away from B pitch focus and this contour disappears until the end of the movement. The ability of labelling each of these harmonic areas suggests the traditionalism within this movement, despite the chromaticism and the fluidity of the main "melody."

Even after this main *intermezzo idea* disappears, the falling seventh gesture remains a recurring element in the melodic line. It appears, for instance, at fig. 7, fig, 9 and fig. 10, but between C and D instead of B and C. At fig. 16 it appears again fleetingly between B and C. Given the continuity of the melodic line, however, these falling seventh gestures can be understood as the line circling around the same pitches and gestures rather than permutations of a single parameter in different contexts in the way progressive growth implies. When the *intermezzo idea* reappears at fig. 18, it reappears in almost the exact same form as in the beginning. The only difference is that instead of focusing on B, the idea is transposed down a perfect fifth to a focus on E. This transposition allows for a kind of resolution between the main dominant and tonic relationship between E and B, which is another relatively traditional device.

The coda of this movement is significant for the prominence of the C♯ pitch and the D♭ triad. The quiet ending consists solely of an alternation between short E/B dyads and D♭ major triads in the low strings, landing finally on a quiet E pitch. E minor had already been highlighted throughout the movement, especially in the prominence of B and G throughout. The additional C focus in the harmonies create an ambiguity in the tonal background, between E minor and C major 7th. Yet, C♯/D♭ is not highlighted anywhere throughout the movement, as a pitch or a harmonic focus. The only conceivable connection within this movement could be made between C♯ and E as relative minor/major keys. But the tonal center E is articulated in the minor throughout, so the connection is not altogether obvious. But this juxtaposition of C♯/D♭ and E has important resonances between movements. The Passacaille foregrounded E throughout the movement, only to end on an extended C♯ chord, which given the added 9th, 11th, and flat 13th was harmonically ambiguous. Here, the same juxtaposition occurs, which then provides a smooth connection to the beginning focuses of both the Scherzo and Finale, and the final D♭ major triad of the work. In this way, the structural and unification capabilities of the progressive growth and referential device processes are not as significant within the movement, but in articulating inter-movement associations. By transplanting the crucial falling seventh gesture of the *ostinato theme* and by paralleling the tonal background pivot notes relationships of the Passacaille, Dutilleux sets up a parallelism and association on a large-scale.

3.4.4 Finale con variazione

Of the four movements of the First Symphony, the Finale has been recognized as the clearest example of progressive growth, particularly because of the amount of variegated material it

contains and the ways in which these materials proliferate.[208] The progressive growth techniques in the Finale are extended from the previous movements. In the Finale, objects proliferate and combine more freely with each other than those in the previous movements to create a much more nebulous complex of materials and associations. Moreover, while the object proliferation within the Passacaille and the Scherzo generally work to innovate within a received form, the objects within the Finale work to construct a wholly unique formal structure.

Despite being titled "Finale con variazione," and being described by Dutilleux as a theme and variations, the last movement of the symphony is quite distant from a conventional theme and variation model.[209] Early analysts such as Mari and Humbert have given credence to Dutilleux's description quite closely.[210] However, the range of melodies and transitional sections in the movement pose a problem to their theme and variation models. For example, the first distinct idea to be heard only appears at the beginning and is not heard again for 200 measures, and the second distinct object to be heard at fig. 5 does not function as a typical theme which undergoes a series of variations.

The movement could be seen instead as an imprecise restatement of the entire symphony in miniature. The sectional labels that Dutilleux offers across to the Finale lend itself to this interpretation: "allegro" at fig. 5, "scherzo" at fig. 28, and "lento" at fig. 55. Additionally, distinct metrical and textural shifts at both fig. 16 and fig. 47 suggest separate sections at those moments as well. The formal plan of this movement, and the appearance of the various themes are outlined in table 5. Mari's analysis of the sections is included to reflect the contrast between

[208] See Potter, *Henri Dutilleux* and Thurlow, *The Music of Henri Dutilleux.*
[209] Dutilleux and Glayman, *Henri Dutilleux: Music--Mystery and Memory*, 34.
[210] Mari, *Henri Dutilleux*, 162-4; Humbert, *Henri Dutilleux*, 48-51; Thurlow has also pointed this misinterpretation out; Thurlow, *The Music of Henri Dutilleux*, 110.

the interpretation of this movement as a conventional set and variations and my own interpretation.

Table 5: Formal divisions of the fourth movement, Finale con variazione

Section	Fig.	Description	Mari's Analysis
Introduction	[0]	A harmonic focus on E minor, with a series of triads in the intermezzo idea contour	(Introduction)
	3	the intermezzo idea appears fully in the strings, with a focus on B	Theme
I	5	"Allegro" in 2/4	Variation 1
	5	After a descending eight-note gesture, the intermezzo idea continues with additional colouristic material	
	9	The *intermezzo idea* disappears, and a new X/Y idea, made up of the X and Y contours, takes over	Variation 2
II		Theme A is introduced	Variation 3
	16	Theme A is presented as a fully rounded melody with harmonic accompaniment	
	18	Theme A is developed over rising accompanimental progression	
	24	The Y contour and theme A are combined, leading to a climactic point at fig. 27	Variation IV
III		"Scherzo", 3/8	Variation V
	28	The only material heard are the X and Y contours, shifting through various textures and developed through various procedures. The first is a *Klangfarbinemelodie* texture, then an augmentation canon at fig. 33, and finally an isorhythmic variation at fig. 39	
	44	A new lyrical Theme B is introduced	
IV		9/8, 3/4	Variation VI
	47	Theme B dissolves into oscillating harmonies, to which the X and Y contours are added.	
	49 +2	The intermezzo idea and theme A return, and all the previously heard objects circulate around each other	
V	55	"Lento", 5/4 A new coda idea is introduced, as theme A and references to the intermezzo idea continue. The coda idea concludes on a simple Db major triad.	Coda

Introduction and Allegro

The introduction of the movement largely acts as a bridge between the Intermezzo and the Finale, given that the introductory motive is a distorted recollection of the *intermezzo idea.* At first, it outlines an augmented fourth rather than a full major seventh, but this motive grows into a full-fledged recollection of the *intermezzo idea* on E by fig. 3, played by the solo cello and English horn. After the crashing fortissimo of the opening, the pianissimo fig. 3 where the

i*ntermezzo idea* really emerges acts almost as a false beginning because the same static atmosphere provides little development until the allegro section begins at fig. 5. The static, introductory nature of the entire first section, from the beginning to fig. 4, as well as the similarity between this theme and the *intermezzo idea*, undercuts the interpretation of this idea as the main theme of the movement, as Mari's analysis suggests.

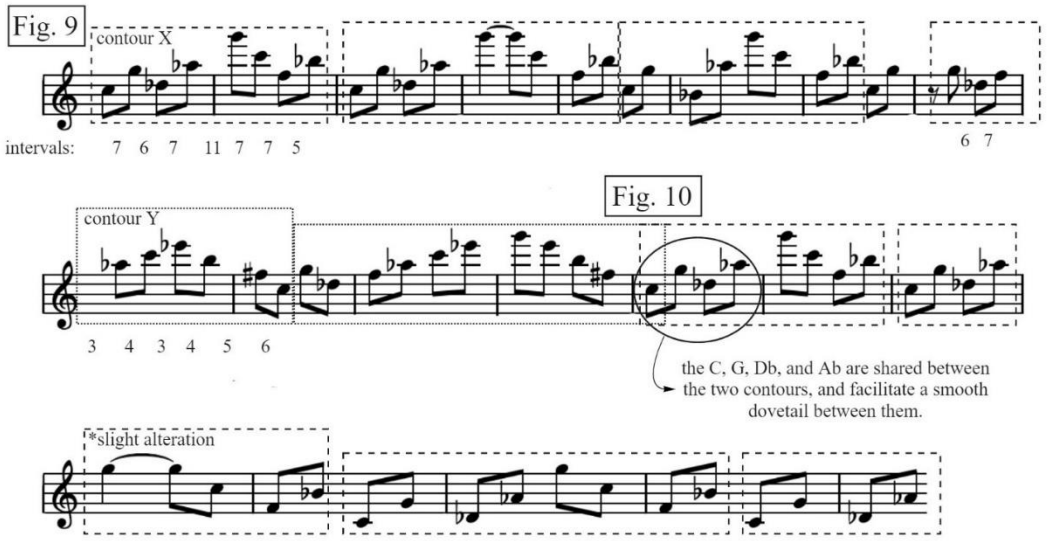
A sudden descending staccato sequence marks the "allegro" sub-division, and the real beginning of the movement. The *intermezzo idea* remains foregrounded within the texture but is joined by staccato eighth notes and other colouristic material such as scalar flourishes and glissandi. In this way, Mari's description of this section as the first variation of the theme makes some sense, given that the only thematic material presented up to this point occurs in a new orchestration and texture. Yet at fig. 9, the *intermezzo idea* disappears entirely and a new, contrasting idea emerges from the eight-note rhythmic texture that began the allegro section.

The variegated colouristic material falls away to leave a chromatic, wandering eighth-note figure in the piano, which becomes the most continuously present material of the movement. While the new idea, labelled here the *X/Y idea* (ex. 16), sounds almost melismatic and continuous, two distinct contours make up its appearance, a feature which Thurlow points out in his extensive analysis of this idea.[211] Because these two contours appear separately throughout the movement, they will be labelled contour X and contour Y, but it is important to note their essential connectedness in this first appearance. While Thurlow argues that these two contours comprise separate themes, it would be equally valid to regard the two contours together as a complete entity and the two contours separately as permutations of this main *X/Y idea,* given that they appear both separately and connected across the movement. Moreover, the melismatic

[211] Thurlow, *The Music of Henri Dutilleux*, 141,

styles of these contours are so similar that contour X will often dovetail into contour Y seamlessly, and vice versa. This shift is facilitated by the shared C, G, D♭, and A♭ of each contour, as shown in example 16. The ambiguity between these two interpretations of this idea illustrates underlines that the progressive growth concept is essentially mysterious, wherein the nature and usage of themes are never totally complete or fixed. Once again, the understanding of the object and its trajectory depends on the temporal perspective from which the object is viewed.

Ex. 16: The X and Y contours of the *X/Y idea*, Finale con variazione, fig. 9 to fig. 10

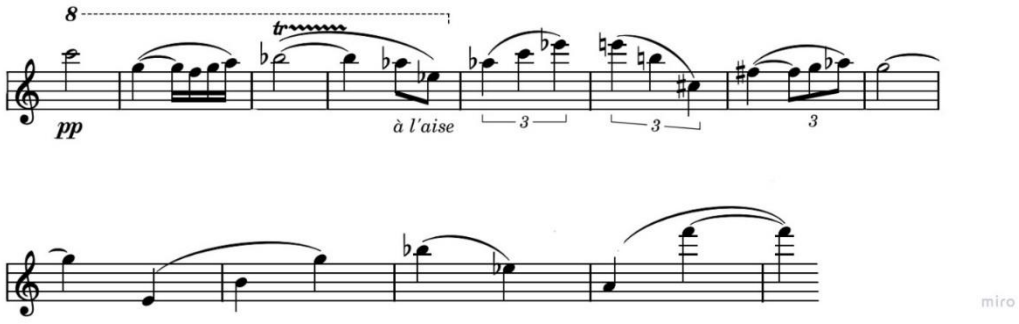


The contours X and Y dominate the music until fig. 16, where a new, contrasting idea is introduced. This new idea, which I label *theme A*, is strikingly conventional within the surrounding music (ex. 17). *Theme A* is lyrical in nature, with a roundedness to each phrase and a conventional texture of a melody with an accompanimental harmonic line. The harmonic language is fairly tonal, if chromatic, using mainly clear triadic and seventh chords, which can be divided into two halves, both starting with a clear C major, though utilizing common tone connections such that the phrase ends in a B♭ major. The first two statements of *theme A* remain

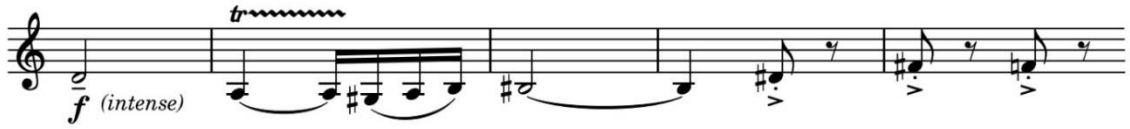
similar, only slightly altered rhythmically, but the stable harmonic phrase of the first statement gives way to more developmental harmonies at fig. 18. Despite the chromatic inclusions in this line, the traditionally leaning the more traditional sound of this idea makes for a distinct contrast to the more modal and tonally unstable *X/Y idea*.

Yet, this first appearance of *theme A* shares similarities with contour Y. The initial C, G, and B♭ mirror the initial G, D♭, and F of contour Y, transposed a perfect fourth up. Then the fifth and sixth measures of *theme A* roughly adhere to the second and third measure of contour Y at the same pitch level, but with subtractions and additions in the pitch content. This theme not only transplants some of the parameters of the Y contour in its first appearance, but also is then fragmented and used in a new context. The initial held, tremolo pitch and sixteenth-note flourish are isolated and combined with other materials. At fig. 24, for instance, the opening fragment of theme A is attached to staccato pitches that break with the original Y contour (ex. 18).

Ex. 17: *theme A*, Finale con variazione, fig. 16



Ex. 18: *theme A* without contour Y, "finale con variazione," fig. 24



Scherzo

By fig. 28, a distinct shift in texture and meter occurs, moving from the “allegro” section of the movement to the “scherzo” section. The material of this section is generally not new, as it

consists of the contours X and Y subjected to various permutations and treatments, including a canonic subsection and an isorhythmic section.[212] However, the shift in several parameters, including texture, meter, and articulation gives the effect of drastically different material. There is also a parallel with the Scherzo movement. Though the X and Y contours differ from the *perpetuum mobile idea* of the Scherzo, their rhythm and persistency are familiar. Moreover, textural effects of the X and Y ideas resemble those of the B sections of the Scherzo movement.

Before the "scherzo" section, a long crescendo section highlighting an augmented X contour with shifting layers of timbres and rhythms builds to a peak at fig. 27. Here, the thick texture, loud crescendo, and marked rhythms break into a more delicate, smooth mixture of colouristic material over a chromatically descending line. This new texture highlights Dutilleux's growing interest in colouristic material, and Bartók's influence, as each instrument group contains a different repeating cell of material. The low woodwinds and tuba alternate between a low C and F♯, recalling the pivot note focus of the Scherzo, with their attacks highlighted by the piano and the low strings. The second violins and violas play gradually descending chromatic glissandi, which is supported by chromatically descending chords in the horns, tuba, and vibraphone. The first violins play tremolo chromatically descending quartal harmonies in triplet thirds, which rhythmically contrasts the glissandi line of the lower stings, and well as the line in the upper woodwinds. The upper woodwinds have the most prominent material: a tremolo version of the Y contour in eighth notes. These layers effectively slow the momentum gathered through the previous section until fig. 28, when the scherzo section begins.

Along with the new meter, a new texture provides a renewed momentum at the "scherzo" section. The previously very differentiated orchestration coalesces as contour X, now staccato, is

[212] For further explanation of these two variations, see Thurlow, *The Music of Henri Dutilleux*, 147 - 150.

passed in a *Klangfarbenmelodie* style among various instruments across the orchestra. The only additional material here is a pattern of staccato chords (C♯halfdim7, C♯min7, and C♯min7add9) that, with the new staccato articulation, offer a rhythmic pulsation which contrasts with the smoothness of the previous material. Through these three sections, contours X and Y are articulated differently, despite being essentially linked. In fig. 26, the X contour is almost imperceptible, being augmented to quarter notes. The tremolo effect of the wave-like contour Y at fig. 27, paired with the sliding descending chromatic line is almost floating in comparison. The contour X of the "scherzo" section at fig. 28 is unlike either previous permutation. By using drastically different textures, articulations, rhythms, and so on, the contours sound qualitatively different and thus create structural divisions between sections.

Through most of the "scherzo" section, the X and Y contours are subjected to several procedures. Because the articulation and the rhythm remain consistent through shifts between the X and Y contours, the two contours once again sound continuous and connected. Four sections can be identified: 1) fig. 28 to fig. 30; 2) fig. 31 to fig. 32; 3) fig. 33 to fig. 38; and 4) fig. 39 to fig. 43. The first, as noted, consists of a subtle *Klangfarbenmelodie* presentation of the contour X starting on a low D that shifts to a transitional section of the only material that does not fit into the *X/Y idea* at Fig. 30, a stepwise descending chromatic line ending on a D major chord that begins the next subsection. At fig. 31, the X contour shifts into alternating orchestrations of contour Y, still starting on D and beginning with one statement of the idea in the flutes, clarinets, horns, and piano, then a repetition in trumpets and upper strings, and so on until fig. 33.

At fig. 33, another shift occurs back to contour X on D, but now isolated to the strings. At fig. 34, however, this morphs into what Thurlow has identified as an augmentation canon, first of

the contour Y and then contour X at fig. 37.[213] The eighth note rhythm that has remained constant throughout this scherzo section is shifted to the clarinets, horns, and piano, and a new augmented version underpins it at the same pitch level but at a rhythmic ratio of 3:1. At fig. 39, the augmentation canon gives way to an isorhythmic treatment that uses both contours, which Thurlow also identifies.[214] The intervallic contour is the *colour*, while the *talea* is formed by every third note being lengthened to a half-note length, cutting across the original eight-note pattern. At fig. 40 the contour X smoothly dovetails into contour Y, and back to contour X, and for the first time in the section the contours are transposed freely to begin on pitches other than D. This allows for a more developmental movement to the transitional section at fig. 43, which recalls the stepwise descending chromatic movement of the transition at fig. 30, but which also rises orchestrally through the instruments. Through these various procedures, the contours remain very consistent in rhythm and pitch, but are kept from getting too repetitive due to the quick procedural changes. These changes essentially involve shifting texture and timbre, and with a strong influence of contrapuntal procedure.

At fig. 44, a seemingly new lyrical idea appears, which I label *theme B*, creating a contrast between it and the rhythmically persistent X and Y contours that mirrors the contrast between the *perpetuum mobile idea* and the lyrical ideas of the Scherzo movement (ex. 19). Thurlow connects this new idea to a chordal accompaniment that appeared for the first time in fig. 2, because they share a melodic contour.[215] Yet, the earlier progression that appeared at fig. 2 was so buried within the texture that its hardly registers as a specifically delineated idea. It would be difficult to argue that the musical idea of fig. 44 directly recalls the idea at fig. 2, because the

[213] Thurlow, *The Music of Henri Dutilleux,* 150.
[214] Thurlow, *The Music of Henri Dutilleux,* 147-8.
[215] Thurlow, *The Music of Henri Dutilleux,* 142.

intervals are slightly condensed and because the contours at fig. 2 and fig. 44 are not perceptually present enough to make a strong impression. In this way, one could argue that the resemblance is more coincidental than anything. At the same time, the concept of an imperceptible idea playing a significant, foregrounded role much later in the musical narrative directly relates to Dutilleux's own descriptions of the progressive growth technique, as well as parallels Proust's process of introducing a character or event much earlier in the narrative than when they become important.

Ex. 19: *Theme B*, Finale con variazione, fig. 44 +1

[Section IV]

At fig. 47, a new section, which I label "section IV," begins. The meter and texture shift again – after the 3/8 of the preceding section, a 9/8 3/4 meter takes over and the orchestration dissolves into a thinner, gentler atmosphere. Because of this shift in atmosphere, along with the double barline that only appears once before at the beginning of the "scherzo" section, this is clearly a new section within the movement's structure. Unlike the preceding sections, section IV does not present any new material itself, but rather develops all the musical objects heard to this point. *Theme B* dissolves into a gentle oscillating harmony based on quiet chord clusters and contours X and Y are combined in more delicate melismatic fragments until fig. 49, where the *intermezzo idea*, which has not been heard since the beginning of the movement, and *Theme A* are added.

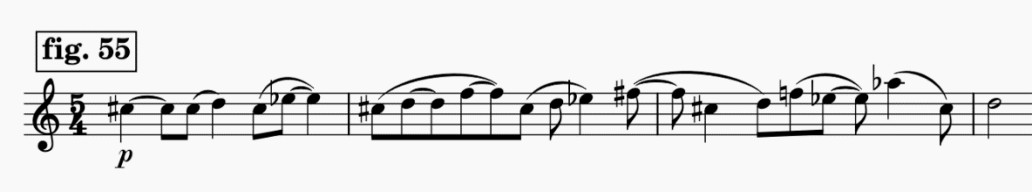
It is significant that the *intermezzo idea* returns at this point in the movement, following the "scherzo" section, because it suggests a parallel with the Intermezzo. Dutilleux de-emphasizes the potential cyclic effect by relying on the progressive growth technique to create inter-movement associations. In section IV of the Finale, the *intermezzo idea* does not dominate

the thinly orchestrated texture as it does in the Intermezzo. At fig. 49, the *intermezzo idea* emerges from the oscillating *theme B* and overlaps with *theme A*. In the thin, delicate texture of the section, the various lines are heard clearly, but within a kaleidoscopic atmosphere where neither *the intermezzo idea*, *theme A*, the oscillating *theme B*, nor the continuous X and Y contours emerge as the dominant material. As more colouristic materials – glissandi, tremolos, and pizzicati – are added to the texture, these previously heard materials become more mixed and more homogenous in a culmination point of the movement. Rather than transplanting a single parameter of an earlier idea into new contexts, the progressive growth procedure works through bringing together the previous separate materials into one homogenized sound atmosphere.

Coda

By fig. 55, section IV falls away to a quiet coda. Curiously, yet another new idea, labelled here the *coda idea* is presented (ex. 20). While the new *coda idea* resembles several previous ideas in its use of chromatic steps in alternating directions, the gradual expansion from a single note, and the ascending third pattern with which the idea ends, it does not directly correspond with any one previously heard idea. The sense of familiarity, however, is the ultimate consequence of the complex of associations created throughout the work. This kind of association differs in kind from the transformational process that was employed in the Passacaille of the Scherzo. In the first movement, the associations between the fugato objects were not necessarily overt, but still relied on a repetition of a fragmented motive from the original *fugato theme*. In contrast, the familiarity drawn on in the *coda theme* no longer necessitates a specific motivic connection.

Ex. 21: the *coda idea*, Finale con variazione, fig. 55



Throughout the coda, *theme A* is heard simultaneously with the *coda idea* and reminiscences of the *intermezzo idea*, providing a sense of continuity within the music from the previous section and the rest of the movement. But the *coda idea* takes precedence, eventually landing on a quiet D♭ major chord. The fact that this new theme appears so late in the Finale goes to show how distant the structure of this movement is from the set and variations model that the title suggests. Moreover, the movement is decidedly not monothematic, as the various musical object that proliferate across the movement are variegated in type and usage and the modifications, combinations, and fragmentations of these materials do not follow one another in neat sections but weave together throughout. The use of progressive growth across the Finale creates parallels between earlier movements and sections of the movements, and it is the placement of these different ideas, with their inherent associations, that creates the structure of the movement.

3.4.5 Large-Scale Relationships

Through each movement, most of the referential devices and cases of progressive growth function within each movement as methods of articulating structure in lieu of conventional formal models. Yet, as has been noted throughout the discussion of each movement, several devices also extend to inter-movement associations as well. These cases of inter-movement progressive growth function side-by-side with referential devices landmarked at specific structurally important moments, such that connection made through progressive growth and referential devices serve to create a unified large-scale structure.

The large-scale referential devices can be seen in the harmonic foci of each movement, as articulated through pivot notes. The actual harmonic underpinnings of the work shift from one extreme of plainly triadic harmonies, through modal sonorities, to the other extreme of overtly

atonal sections.[216] Additionally, triadic harmonies are sometimes superimposed onto a bassline that has contradicting harmonic implications. Unambiguous tonal writing is much more present in the inner movements than the outer movements, in which clear tonal areas tend to be more temporary. Nevertheless, the relatively unambiguous triads with which the movements either begin or end are the crucial structural markers. The Scherzo, for instance, ends in a brilliant D major chord, the intermezzo begins and ends in an unadorned E minor chord, and the finale ends in a D♭ major triad. The Passacaille is the most ambiguous, where its opening ostinato outlines a simple A minor triad but foregrounds the fifth, E, both in the ostinato and throughout the movement. It also ends ambiguously, with an extended triadic harmony amounting to a C♯halfdim7add9, add11, addb13. The Scherzo also begins ambiguously, establishing three tritone pairs: C♯-G, F♯-C, and A-E♭, foreshadowing the octatonic collections used in the movement, and the finale begins in what amounts to a C♯ minor triad.

The endings of both the "passacaille" and the "intermezzo" create an ambiguity between E and C♯/D♭. The extended sonority that ends the "passacaille" suggests a C♯ focus, but the repeated E-C-A arpeggio that led to this conclusion strengthens the perception of E. The "intermezzo" is slightly less ambiguous as it ends with a single E pitch. However, the final four measures alternate quick statements of a D♭ major triad and an E/B dyad. In a sense, this foreshadows the conclusion of the work on an unambiguous D♭ major triad. A similar parallelism occurs in the Scherzo and the Finale, which both begin with some focus on C♯, but the endings of these movements, with a D major triad in the Scherzo and a D♭ major triad in the Finale, differ.

[216] Unambiguously tonal writing and triadic harmonies become much less frequent in later works. In fact, the Second Symphony (1959) is the last work in which clear triadic harmonies begin or end a work.

There is a certain symmetrical property to the placement of these sonorities. These large-scale relationships show both a distance and a relation to conventional structural principles. Though Dutilleux wanted to move away from the traditional symphonic formal principles, in which key-relationships play a large role, he still valued coherence. In discussing the reason he never really took up serialist writing, Dutilleux said, "I could not really accept the basic principle of abolishing all hierarchies between the different degrees of the chromatic scale."[217] By constructing pitch and key relationships internal to the movement or the work through the use of referential devices and latent tonal relationships growing out of the perfect fifth or the tritone, Dutilleux maintained the organizing possibilities of key relationships without adhering to conventional tonal forms. Moreover, the cases of progressive growth between the initial ideas of the Passacaille and Intermezzo suggest a symmetrical parallelism in the large-scale structure of the work. A suggested opening tonic (A minor in the case of the Passacaille and E minor in the case of the Intermezzo), a focus on the fifth (E and B respectively), and the prominence of the falling major seventh gesture are all shared between the *ostinato theme* and the *intermezzo idea*. In this way, the progressive growth concept of transplanting primary parameters used in an earlier, independent object into a new context to create a convert association produces a salient inter-movement structural parallel.

These parallelisms between beginnings and endings of movements work in combination with the inter-movement associations between musical objects to create unity across the symphony. The most obvious inter-movement connection is the *intermezzo idea* that recurs in the Finale, but this is a very clear case of repetition. More covertly, and more fitting with the concept of progressive growth, is the recurring falling major seventh gesture that is first introduced in the

[217] Dutilleux and Glayman, *Henri Dutilleux: Music--Mystery and Memory*, 21.

ostinato theme of the Passacaille. Not only is this seen recurring in the Passacaille itself, such as at the first climax at fig. 10 or in the *fugato theme*, but also is seen in the *intermezzo idea*. Another example is recurrence of a contour from the *fugato theme* in retrograde and inversion in the in the *triplet idea* of the Scherzo and in the melismatic idea of the Intermezzo. These connections are so thoroughly integrated and varied that they could perhaps be passed by as coincidental. But Dutilleux's insistence on the essentially mysterious and unconscious nature of the progressive growth procedure begs the interpretation that these connections are intentional. Herein lies the connection to Proust's concept of unconscious memory; the idea is that a listener might not be aware of a connection to earlier material, but the material still evokes a feeling of familiarity.

Conclusion

The approach to progressive growth throughout the symphony suggests that Dutilleux's attitude towards variation procedure really stems from a working out of his self-conscious approach to the traditional sonata form and generally other conventional symphonic procedures. The more sophisticated and complex use of the progressive growth procedure in the Finale is certainly notable, but the first movement already provided a framework through which continuity and flexibility could be maintained despite the fundamental principle of a single continuous ostinato. The Scherzo and Intermezzo both develop this idea further. By the finale, then, the various approaches and frameworks for maintaining continuity, providing contrast, and creating structure based on the continual manipulation of musical objects is clearly prepared in earlier movements. Dutilleux's ideas of progressive growth only *begin* to appear in the First Symphony, and several of the complexities noted above are still accompanied by procedures that could be considered traditional. Yet, many of these more traditional elements, whether they be harmonic, thematic, or textural, are divorced from their traditional functional roles. Taken as a whole, the logic of the work rests on the complex of associations, conscious and unconscious, constructed as the symphony unfolds.

While past authors, such as Potter and Thurlow, explain the emergence of progressive growth in the First Symphony by discounting monothematicism as a procedure, an alternative interpretation could understand the concept of "monothematicism" and Dutilleux's progressive growth procedure as intimately linked rather than antithetical. Interestingly, in his interview with Nichols, Dutilleux remarks:

> It is difficult to explain this [procedure], but it is also important because it is a central preoccupation of mine from the First Symphony. When I started to use

> this 'procedure', if you want to call it that, I was not entirely conscious of it. I became aware of it later, and I have gradually exploited it.[218]

Dutilleux's acknowledgement that he was not totally aware of his progressive growth procedure when he began to use it goes some way towards explaining why he insisted on the "monothematicism" of the work. Dutilleux only really begins to indicate a conscious use of the progressive growth procedure when he discusses his later works, especially *Métaboles* (1963) and *Ainsi la nuit* (1973-3).[219] While Proust's ideas of time and memory are very useful in describing the ways in which progressive growth operates, it could be that Proust was not the impetus for developing these variational procedures as is often implied in the secondary literature on Dutilleux. If Dutilleux's main artistic aim was to develop an approach to symphonic thought that avoided traditional formal models that had determined procedures of contrast and development in symphonic writing in the past, then "monothematicism" can be understood as the conscious compositional approach to meet this aim, while "progressive growth" can be understood as the unconscious product of a desire to develop both complexity and unification.

This interpretation is purely speculative but made more plausible given Dutilleux's continuous care to distance the progressive growth procedure from traditional thematic transformation types. Dutilleux discursively separated his progressive growth procedure from both the Wagnerian leitmotif and Franckian cyclic procedures. For instance, in discussion with Claude Glayman, he said, "What I mean is something quite separate from the idea of the leitmotif. The leitmotif can become extremely irritating. It reveals an identity immediately: 'Here I am again, it's still me!'"[220] As for Franckian cyclic form, Caroline Potter points out that

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[218] Quoted in Potter, *Henri Dutilleux: His Life and Works*, 60.

[219] Though the dates of *Métaboles* (1963) and *Ainsi la nuit* (1973-7) seem quite distant from the First Symphony (1951), it is important to remember that Dutilleux's works had exceedingly long gestation periods, and he wrote relatively few works.

[220] Dutilleux and Glayman, *Henri Dutilleux: Music--Mystery and Memory*, 103.

Dutilleux never spoke in great detail about the *franckistes* or Franck himself.[221] Yet, when Dutilleux does discuss the influence of cyclic form on his music, he tends to refer to Debussy, his String Quartet (1893) rather than Franck, and has claimed his approach to thematic transformation is "more subtle" that Franck's.[222] On one level these comparisons serve to give a clearer definition of the procedure, but on a deeper level this could also be read as an intentional discursive move to distance himself from classicist or *scholiste* forms of symphonic writing.

This discursive positioning is especially important when considering the extreme polemics surrounding the symphony in the early twentieth century in France described in Chapter 2. By embarking on a symphony in the middle of the twentieth century, Dutilleux had to grapple with the genre's nationalist and traditionalist connotations earlier in the century. He also had to grapple with the criticism the genre had received from modern camps, such as the *debussystes*. But in this regard, it is interesting to remember that Dutilleux variously identified *La Mer* as both a symphony and not a symphony. In "Qui reste fidèle a la musique symphonique?" when Dutilleux described the stereotypical, historically determined "symphony" in which "you expect a succession of four movements of which you no doubt already know the relationships, the contrasts, the systems of development," Dutilleux reminded the reader to "[r]emember the words of Debussy: 'These studious and fixed exercises which we call symphonies.' And Debussy did not write a symphony. No more than Ravel, no more than Bartók."[223] Yet, in his interview with Glayman in 1991, Dutilleux again quoted one of Debussy's famous criticisms of the symphony, but then argued instead that "[a]gainst that point of view we have to set the fact that he went on to write a symphony of genius entitled La Mer."[224] By

[221] Potter, *Henri Dutilleux,* 60.
[222] Potter, *Henri Dutilleux,* 61.
[223] Dutilleux, "Qui reste fidèle à la musique symphonique?" 23.
[224] Dutilleux and Glayman, *Henri Dutilleux: Music--Mystery and Memory,* 35.

claiming *La Mer* as a symphony Dutilleux could then suggest that the symphony did not need to be beholden to the connotations of traditionalism that it had garnered earlier in the century.

Analysis of the First Symphony supports Dutilleux's discursive positioning between traditional symphonic thought and modern tendencies. The traditional elements within the symphony are often detached from their traditional function, and Dutilleux uses both traditional elements and modern elements as materials to be subjected to his own procedures of variation and unification. It is true that Dutilleux never rejected tradition in the way that some of his contemporaries did, and thus was sometimes seen as having a more classical style, particularly at this time. But despite the traditional connotations of the genre, Dutilleux's work's foundational premise is built on opposition to traditional convention and through the working out of alternative formal procedures that fundamentally develop into his most innovative compositional techniques, and look forward to later works like *Métaboles*, *Ainsi la nuit*, and *Timbres, éspace, mouvement*.

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