

Jacques Hétu's Compositional Process in *Suite pour guitare*, Op.41

by

Michael Gregory Dias  
BMus, University of Calgary, 2006  
MMus, University of Victoria, 2008

A Dissertation Submitted in Partial Fulfillment  
of the Requirements for the Degree of

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University of Victoria

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## **Supervisory Committee**

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Dr. Susan Lewis, (Department of Music)  
**Supervisor**

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**Departmental Member**

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Dr. Marc Lapprand, (Department of French)  
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## Abstract

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The National Library of Canada houses 3.5 meters of textual documents related to the celebrated Quebecois composer, Jacques Hétu (1938-2010). Among the working documents and biographical material donated in 1997 to the Jacques Hétu Fonds are autograph compositional documents relating to Hétu's *Suite pour guitare*, Op. 41, written in 1986 (10 folios of sketch material and the composer's fair copy). After deciphering, transcribing, and ascertaining the chronology of the sketches, an examination of the documents yields a new understanding of Hétu's compositional process for Op. 41 (including the discovery of an unpublished movement entitled "Prelude II") and the work's form and structure. In addition, unpublished writings and correspondence by the composer are explored regarding Hétu's life, musical style and his reception in Quebec. The study differs notably from traditional sketch studies in its adoption of a theoretical framework and methodology borrowed from *critique génétique*, or genetic criticism, a French movement of literary criticism originating in the 1970s. As opposed to traditional approaches to "genetic" documents, *critique génétique* dismisses the notion of a singular definitive text in favor of textual plurality by elevating the status of variants produced during the creative process (i.e. rough drafts or discarded versions). The advantage of a "genetic" approach is that it allows for the preclusion of fundamental theoretical problems associated with the use of a composer's sketches to analyze a musical work. The extent to which the approach of *critique génétique* can be applied to music sketch is examined along with the consequences of adopting such a theoretical framework (including those regarding performance, editorial practice, and the ontology of completions of fragmentary works).

Key words: Jacques Hétu, Quebec, guitar music, twentieth-century music analysis, sketch studies, genetic criticism, *critique génétique*, textual criticism, literary criticism

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**Dedication**  
to J, D, E and V.

## Introduction

In 1997, the celebrated Canadian composer, Jacques Hétu (1938-2010), donated a vast number of compositional sketches and biographical material to the Jacques Hétu Fonds, housed in the National Library of Canada.<sup>1</sup> This rich archive contains historical documents related to Hétu's *Suite pour guitare*, Op.41 (1986), including the composer's compositional sketches (10 folios) and autograph fair copy (12 folios).<sup>2</sup> These sketches represent several stages in Hétu's compositional process – including early versions of the work's five movements as well as unpublished movements – and are the subject of this present doctoral dissertation. As with the majority of sketch studies in musicology that explore compositional documents (a composer's notes, sketches, drafts, versions or fair copies relating to a work), the goal of the present study is to answer the following questions: How do these compositional documents portray Hétu's craft as a composer? How do they inform an understanding of the composer's compositional process for Op. 41? Finally, how do sketches inform an analysis of the work's form and structure as represented by the published score? It builds on the handful of analytical studies that have examined Hétu's music, including François Fowler's traditional analysis of Hétu's musical language used in Op. 41, and contributes to an understanding of one of Canada's

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<sup>1</sup> Stéphane Jean, *The Jacques Hétu Fonds; Numerical List* (Ottawa: Library and Archives Canada, 1999), 12. This includes 3.11 m of textual records, 123 photographs, over 100 audio or visual items, and 6.53 gigabytes of electronic files.  
[http://collectionscanada.gc.ca/ourl/res.php?url\\_ver=Z39.88-2004&url\\_tim=2018-07-09T04%3A01%3A01Z&url\\_ctx\\_fmt=info%3Aofi%2Ffmt%3Akev%3Amtx%3Actx&rft\\_dat=206689&rft\\_id=info%3Asid%2Fcollectionscanada.gc.ca%3Apam&lang=eng](http://collectionscanada.gc.ca/ourl/res.php?url_ver=Z39.88-2004&url_tim=2018-07-09T04%3A01%3A01Z&url_ctx_fmt=info%3Aofi%2Ffmt%3Akev%3Amtx%3Actx&rft_dat=206689&rft_id=info%3Asid%2Fcollectionscanada.gc.ca%3Apam&lang=eng)

<sup>2</sup> Jacques Hétu, *Suite, Op. 41*, (Saint Nicholas, Québec: Les Éditions Doberman-Yppan, 1987).

foremost composer's compositional style in the mid-1980s, specifically, his approach to writing for the guitar.<sup>3</sup>

This study differs notably from traditional sketch studies in its adoption of a theoretical framework borrowed from *critique génétique*, or genetic criticism, a French movement of literary criticism originating in the 1970s.<sup>4</sup> *Critique génétique* takes a nuanced and theoretically rigorous approach to the study of writing as a process and the textual witnesses to this process, authors' manuscripts. The advantage of applying principles of *critique génétique* to the study of musical sketches is that it facilitates a framework from which to address a fundamental ontological question regarding the sketch/score relationship: How can a musical work's sketches, which are the textual traces of a diachronic process, be relevant in the pursuit of an understanding of the musical work as a closed, synchronic system represented by a single, definitive score? Analytic approaches to music following the formalist traditions of structuralism, post-structuralism and New Criticism understand the musical work as represented by a text – a closed system that needs to be studied synchronically in order to discover internal relationships within the work.<sup>5</sup> While these literary criticism movements are different in terms of their historical and geographical place and their nuanced approaches, they appeal to a universal and anti-positivist idea that should be celebrated: subjectivity. That is, the views of scholars that are privy to the creator's intentions hold no more legitimacy

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<sup>3</sup> François Fowler, "Jacques Hétu's *Suite pour Guitare*, op. 41: An Analysis" (DMA diss., Florida State University, 2003).

<sup>4</sup> The French term "critique génétique" will be used when referring to this literary criticism movement. Following several English-language publications, the English translation "genetic criticism" will be used when referring to more interdisciplinary and global practice.

<sup>5</sup> A full explication of the term New Criticism is found in section 1.2.

than the views of someone who is not. In other words, the evaluation and interpretation of art works need not be undertaken solely from a place of privilege. The consequences of these approaches are that historical and biographical dimensions of the work and its composer are considered external to the text and thus dismissed. As such, music sketches – which often represent an array of textual variants – can rightfully be deemed irrelevant: they are simply historical artefacts. Any information that they contain that is already present in the final definitive score is seen as redundant and unnecessary. Material that is not found in the definitive score is dismissed as superfluous as it is external to the text.

*Critique génétique*, on the other hand, taking into consideration a well-developed set of theories regarding textual genesis, finds that the textual variants produced during the creative process and interpreted by a scholar – what is termed the *avant-texte* – are texts in their own right.<sup>6</sup> These variants, too, represent the work in question. In contrast to the aforementioned formalist approaches in literary criticism based on a singular view of text, scholars of *critique génétique* elevate the status of textual variants to equal that of the definitive text. Put another way, *critique génétique* takes an approach in which the definitive text “loses its privileged, foregrounded status and has to be pushed back into its own formerly devalued background” – the background repository of textual traces created in the compositional process.<sup>7</sup> Applied to sketch study, whether one sees this theoretical stance as elevating the textual status of musical sketches or devaluing the definitive score, the very concept of a singular, “definitive” score is refuted and a shift in

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<sup>6</sup> The term *avant-texte*, coined by Jean Bellemin-Noël, has been translated in English as “pre-text.” Following the practice of most translations, the French original will be used in this study. See Jean Bellemin-Noël, *Le Texte et l'Avant-texte: Les Brouillons d'un Poème de Milosz* (Paris: Larousse, 1972), 15.

<sup>7</sup> Michel Pierssens, “French Genetic Studies at a Crossroads,” *Poetics Today* 11, no. 3 (1990): 622.

the theoretical paradigm results. The sketch/score division is blurred and the textual system is taken to include a temporal dimension – the “text as process,” or, in more appropriate terms considering the musical nature of this study, “the score as process.”<sup>8</sup>

Some sketch study scholars have responded to the sketch/score problem by dismissing autonomous, text-centric analysis altogether in favour of a contextual and historically informed “criticism” in which sketches have a relevant place.<sup>9</sup> This is one valid approach. However, *critique génétique*, as conceived by its pioneering scholars, allows one to keep the anti-positivistic and universal benefits of a formalist analysis while acknowledging and embracing the textual plurality of musical works. In literary criticism, *critique génétique* offered a way to break from both the dominant positivist notions in literary criticism that appealed to authorial intention (following the spirit of structuralism, post-structuralism, and New Criticism) as well as the problematic teleology inherited from traditional philology.

As it will be shown, *critique génétique* offers a useful approach to examining Jacques Hétu’s *Suite pour guitare* as a textually plural entity. Op. 41, as represented by its published version as well as the genetic variants of the sketches, is found to be a work that exhibits a high degree of structural unity (within and between movements) with regard to intervallic and harmonic structures as well as the use of twentieth-century pitch collections. In addition, the sketches reveal Hétu’s creative process to be an organic one in which structural elements (including large-scale form in addition to motivic material) undergo successive revisions until they are molded into a satisfactory state. Notably, Hétu

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<sup>8</sup> The phrase “text as process” is taken from Sally Bushell, *Text as Process: Creative Composition in Wordsworth, Tennyson, and Dickinson* (Charlottesville and London: University of Virginia Press, 2009).

<sup>9</sup> For a detailed dissection of these publications and arguments, see Chapter 1.

continued his revisions into the final stages of the compositional process underscoring the illusion of fixity of late textual states that *critique génétique* strives to point out.

This study is divided into Parts I, II and III, addressing (respectively) the theoretical framework of the approach, the historical context of Hétu and Op. 41, and the analysis of Op. 41 and the *avant-texte*. Beginning the first part of the study is Chapter 1, which summarizes the state of research into the theory and principles of sketch study as it developed in the nineteenth, twentieth and twenty-first centuries. The focus is on sketch study's theoretic crisis in the late 1970s with regard to analysis and the responses of scholars in the field to this crisis. A similar historical narrative within literary studies is offered and the principles of *critique génétique* are presented as a possible way out of sketch study's theoretic predicament. Outlining the theoretical framework of *critique génétique*, Chapter 2 presents a summary of the movement for the uninitiated reader. This includes the historical events that led to the theory and practice of *critique génétique* in France, the intellectual climate at the time of its emergence, its basic principles and, finally, some of the important criticism inside and outside the movement. As this movement was conceived within literary criticism, Chapter 3 examines the issues concerning the application of the principles of *critique génétique* to the study of music. Has a *critique génétique* of music been undertaken before? Are there fundamental problems in an application of a literary theoretic framework to music? What are the consequences of such an application? These issues are addressed. Part II continues with Chapter 4, an introduction to Jacques Hétu's life and work taken from unpublished autobiographical documents found in the Jacques Hétu Fonds.<sup>10</sup> An examination of the

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<sup>10</sup> Jean, *The Jacques Hétu Fonds*.

historical circumstances surrounding the writing of Op. 41 is provided in Chapter 5. Part III provides the analysis of the *avant-texte* and draws conclusions regarding Hétu's compositional process. After presenting transcriptions of the sketch material and a chronology of the compositional documents in Chapter 6, Chapters 7-12 examine each movement individually (including a discarded "Prelude II" in Chapter 8). Chapter 13 synthesizes the analysis in Chapters 7-12 providing a summary Hétu's compositional process and analytical conclusions of Op. 41 as a textually plural entity. Finally, in the concluding chapter, the consequences of adopting a theoretical framework of *critique génétique* in music are examined including considerations regarding performance, editorial practice, and the ontology of musical completions.

## Part I Theoretical Framework

## Chapter 1 Sketch Studies: Analytical Polemics

While the fascination with composers' sketches has existed since the beginning of the Romantic period, the systematic study of these documents as a part of a broader musicological pursuit is a significantly younger practice.<sup>11</sup> The study of composers' sketches that was initiated in the latter half of the 19<sup>th</sup> Century within Beethoven studies only gained significant momentum in the latter half of the following century. Younger still is the discourse within sketch studies that rigorously scrutinizes the theoretic assumptions that are made when using sketches as aids to an analysis of a "definitive" work rather than simply as historical artefacts. It can be argued that the issues brought to bear on this type of activity – what we can call "sketch analysis" – in the late 1970s within Anglo-American musicology have not been sufficiently attended to. Rather, after an initial polemical flurry beginning in the late 1970s, the musicological landscape underwent the paradigmatic shift of "New Musicology" in the 1980s that, for some scholars, seemed to render this issue as out-of-date. The objective of this present study is not to rehash the thirty-year-old polemic regarding sketch analysis, but to reinvigorate a spirit of theoretical self-scrutiny with an eye towards a possible interdisciplinary solution. It is thus within this spirit that sketch studies can benefit from an understanding of analogous discourses within literary criticism in the 20<sup>th</sup> Century regarding the ontological relationship between a work and its genesis.

This chapter first provides a summary of sketch study's emergence as an essentially historical pursuit with respect to Beethoven's sketches and its development as an

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<sup>11</sup> Friedemann Sallis and Patricia Hall, "Introduction," in *A Handbook to Twentieth Century Musical Sketches*, eds. Patricia Hall and Friedemann Sallis (Cambridge: Cambridge University Press, 2004), 1.

autonomous and pan-musicological sub-discipline. Second, an account is offered of the theoretical crisis in sketch studies in the late 1970s that left the relevance of sketches to the analysis of “definitive” works in question. This was initiated by the position that appeals to principles of such approaches in literary criticism as New Criticism and the structuralism and post-structuralism of Roland Barthes and Jacques Derrida which find that sketches are valuable only for their biographical and historical information and, as such, have no place in the critical analysis of their “definitive” counterparts.<sup>12</sup> Following this, common responses to the crisis put forth by scholars in the ensuing decades are presented. These responses range from the notion that sketches are valuable in types of analysis that takes into account historical context, to the idea that sketches can be useful aids to a “close” analysis of a musical work because they can suggest fruitful analytical approaches to the “definitive” score. Some scholars have even suggested that sketches provide necessary corroboration for analyses. Outside the sub-field of Beethoven Studies, scholars have suggested that sketches can be more useful for works that are written within highly systematic yet historically unstable idioms such as serialism compared to those written using common-practice tonality. Finally, the application of a theoretical framework borrowed from *critique génétique* is presented as a solution to this crisis, as it served as a fruitful solution to an analogous impasse in the historical discourse of literary criticism regarding the relevance of authors’ manuscripts to hermeneutic pursuits. Following the approach of *critique génétique*, the spirit of New Criticism’s “close” reading, as well as structuralist and post-structuralist notions of “text” as the site of

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<sup>12</sup> New Criticism is discussed below in section 1.2.

meaning production, can be maintained while expanding the “text” of the work to include the “definitive” score as well as variant texts such as sketches.

### 1.1 The Emergence of Sketch Studies

The critical examination of variant texts created during the compositional process of music – what can be called sketch studies – began in Germany in the mid-19<sup>th</sup> Century. The publications of German scholar Gustav Nottebohm (1817-1882) and, to a lesser extent, other early biographers of Beethoven such as Ludwig Nohl and Alexander Wheelock Thayer, paved the way for the large amount of Anglo-American Beethoven scholarship published in the second half of the 20<sup>th</sup> Century which focused on the composer’s sketches.<sup>13</sup> The sheer quantity of extant sketches, combined with an early biographical interest in Beethoven as a historical figure, made this study ripe for pursuing. As William Kinderman writes, Beethoven’s

unusual and consistent reliance on these papers and attachment to them after use have preserved a uniquely detailed record of the creative process, providing documentation that is unparalleled in any other artistic field.<sup>14</sup>

The broader consequence of these scholarly activities was an increase in attention given to the sketches of other composers as well as the establishment of sketch studies as a discreet sub-discipline in the late 20<sup>th</sup> Century. The particularly German origin of Nottebohm’s scholarship had the consequence of rooting sketch studies – specifically

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<sup>13</sup> Douglas Johnson, “Beethoven Scholars and Beethoven’s Sketches,” *19<sup>th</sup> Century Music* 2, no. 1 (1978): 4. See also Lewis Lockwood, “Nottebohm Revisited,” in *Current Thought in Musicology*, ed. John W. Grubbs (Austin, 1976), 139-91.

<sup>14</sup> William Kinderman, ed., *Artaria 195: Beethoven’s Sketchbook for the Missa solennis and the Piano Sonata in E Major, Opus 109* (Urbana, Ill; Chicago, Ill.: University of Illinois Press, 2003), 4.

Beethoven sketches studies – in a tradition of using sketches as an aid to historical and biographical scholarship rather than analytical activity.

The publication of Nottebohm’s pioneering essays on Beethoven’s sketches began with his monograph on the Kessler Sketchbook, *Ein Skizzenbuch von Beethoven* (1865), and culminated in the two collections of articles from the *Allgemeine Musikalische Zeitung* and *Musikalisches Wochenblatt* entitled *Beethoveniana* (1872) and, posthumously, *Zweite Beethoveniana* (1887).<sup>15</sup> These studies were biographical in nature and sought to ascertain the chronology of Beethoven’s works, identify unpublished projects, and describe the sketches’ content.<sup>16</sup> As Lewis Lockwood writes, *Zweite Beethoveniana* is “centrally concerned with description of sketchbooks and presentation of sketches as preliminary stages of well-known works.”<sup>17</sup> This concern with the description of the sketches and their chronology, rather than the analysis of them and their related published counterparts, can be explained by Nottebohm’s belief that these sketches only provided historical and biographical interest – a position that did not receive rigorous critique in the discourse until almost one hundred years later. As Douglas Johnson notes, Nottebohm establishes his position regarding a sketch-based analysis in the introduction of the *Zweite Beethoveniana*.<sup>18</sup> Here, he unequivocally states that, because the sketches only reveal “isolated incidents” of the creative process and do not testify to an “organic development” that he finds inherent in Beethoven’s music, “the sketches do not

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<sup>15</sup> Gustav Nottebohm, *Ein Skizzenbuch von Beethoven* (Leipzig, 1865); *Beethoveniana* (Leipzig, 1872); *Zweite Beethoveniana*, ed. E. Mandyczewski (Leipzig: J. Rieter-Biedermann, 1887).

<sup>16</sup> Johnson, “Beethoven Scholars,” 3.

<sup>17</sup> Lockwood, “Nottebohm Revisited,” 144.

<sup>18</sup> Johnson, “Beethoven Scholars,” 4.

contribute to the understanding and actual enjoyment of a work.”<sup>19</sup> Emphasizing their biographical import, Nottebohm adds, “[the sketches] are superfluous to the understanding of a work of art, certainly – but not to the understanding of the artist....”<sup>20</sup> The continuation of Beethoven sketch studies after Nottebohm’s *Zweite Beethoveniana* mostly adhered to this position.<sup>21</sup> Up until the 1930s, only a few scholars such as Heinrich Schenker and Paul Mies employed the sketches as evidence for analytical findings in the published scores, partly due to the fact that a sufficiently complete description of the sketches had yet to be made.<sup>22</sup> It was not until the 1950s and early 1960s that the Beethovenhaus, in association with the Beethoven-Archiv, began to systematically publish transcriptions of sketchbooks.<sup>23</sup> Thus, until this point, the largely-German study of Beethoven sketches remained mostly descriptive and historically oriented.

In 1982, Joseph Kerman advocated the term “sketch studies” as a new “subfield of musicology.”<sup>24</sup> By the end of the 20<sup>th</sup> century, the study of composers’ sketches from inside and outside the canon and from a wide range of time periods proliferated as a

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<sup>19</sup> Gustav Nottebohm, *Zweite Beethoveniana* (Leipzig, 1887), viii-ix, quoted in Johnson, “Beethoven Scholars,” 4.

<sup>20</sup> *Ibid.*

<sup>21</sup> For a summary, see Johnson, “Beethoven Sketches,” 7-8.

<sup>22</sup> Heinrich Schenker, *Beethoven: Sonata C moll op. 111. Kritische Einführung und Erläuterung von Heinrich Schenker*, ed. Oswald Jonas (Vienna: Univesrial Edition, 1971). Original edition, 1915; Paul Mies, *Die Bedeutung der Skizzen Beethovens zur Erkenntnis seines Stiles* (Leipzig: Brietkopf and Härtel, 1925) and its English translation, *Beethoven’s Sketches: An Analysis of his Style Based on a Study of His Sketch-books* (London: Oxford University Press, 1929; reprint ed., New York: Dover Publications, 1974).

<sup>23</sup> Johnson, “Beethoven Scholars,” 10.

<sup>24</sup> Joseph Kerman, “Viewpoint: Sketch Studies,” *19<sup>th</sup>-Century Music* 6, no. 2 (1982): 180. This article was also published as Joseph Kerman, “Sketch Studies” in *Musicology in the 1980s: methods, goals, opportunities*, ed. D. Kern Holoman and Claude V. Palisca (New York: Da Capo Press, c1982), 53-65.

fruitful way to conduct music scholarship.<sup>25</sup> The continuing series by Oxford University Press, *Studies in Musical Genesis, Structure & Interpretation*, initiated in 1995 by Lewis Lockwood, attests to this in its exploration of composers other than Beethoven, such as Webern, Wagner, Richard Strauss, Mahler, Vaughn Williams, Mendelssohn, Debussy, Bartók, Terry Riley and Berg. At its inception, the series aimed to reveal the “genesis of the work from its known antecedent stages to its final realization... and in each case a view of the genesis of the work will be connected to an analytical overview of the finished composition.”<sup>26</sup> Sketch studies had arrived. It is perhaps ironic then, that, as sketch studies solidified as an independent subfield in the second half of the 20<sup>th</sup> Century, Michael Broyles has noted that “by the late 1970s doubts about the value of sketch studies were creeping into Beethoven scholarship.”<sup>27</sup> In 1978, Johnson surmised that Beethoven sketch study was part of an “aging discipline” and that interest in it will “not be sustained at present levels unless some sort of consensus is reached about basic goals and acceptable results.”<sup>28</sup> As Sieghard Brandenburg put it in 1979, even though “special

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<sup>25</sup> Some important scholarship in twentieth-century sketch studies include: David Jason Beard, “‘From the Mechanical to the Magical’ Birstwhistle’s Pre-compositional Plan for *Carmen Arcadiae Mechanicae Perpetuum*,” *Mitteilungen der Paul Sacher Stiftung* 14 (Basel, 2001): 29-33; A.C. Schreffler, *Webern and Lyric Impulse: Songs and Fragments of Poems of Georg Trakl* (Oxford and New York: Oxford University Press, 1994); E. Haimo, *Schoenberg’s Serial Odyssey: The Evolution of his Twelve-Tone Method, 1914-1928* (Oxford and New York: Oxford University Press, 1990); Patricia Hall and Friedemann Sallis, eds., *A Handbook to Twentieth Century Musical Sketches* (Cambridge: Cambridge University Press, 2004); Patricia Hall, *A View of Berg’s Lulu Through the Autograph Sources* (Berkeley and London: University of California Press, 1996); M. Hyde, *Schoenberg’s Twelve-Tone Harmony: the Suite Opus 29 and the Compositional Sketches* (Ann Arbor: UMI Research Press, 1982); László Somfai, *Béla Bartók: Composition, Concepts, and Autograph Sources* (Berkeley and London, 1996); Richard Taruskin, “Russian Folk Melodies in *The Rite of Spring*,” *Journal of the American Musicological Society* 33, no. 3 (1980): 501-431; Thomas M. Whelan, “Towards a history and theory of sketch studies,” (Ph.D. diss., Brandeis University, 1990); James L. Zychowicz, *Mahler’s Fourth Symphony* (Oxford: Oxford University Press, 2000).

<sup>26</sup> Lewis Lockwood, “Editor’s Preface,” in *Beethoven’s Diabelli Variations*, William Kinderman (Oxford: Clarendon; New York: Oxford University Press, 1987), ix.

<sup>27</sup> Michael Broyles, *Beethoven in America* (Bloomington; Indianapolis: Indiana University Press, 2011), 128.

<sup>28</sup> Johnson, “Beethoven Scholars,” 3-4.

Beethoven issues and the [Beethoven] congresses are the serum injected every fifty years to keep an aging discipline healthy,” these “injections” resulted in “skepticism and rejection.”<sup>29</sup> He continues, “Sketch research, a patient now more than a hundred years old, lapses once again into its prior comatose condition after a brief period of artificially hyped-up activity.”<sup>30</sup>

In 1985, a watershed of Anglo-American scholarship in the field of Beethoven sketch studies following the trajectory initiated by Nottebohm a century earlier, culminated in its most important publication, *The Beethoven Sketch Books: History, Reconstruction, Inventory*.<sup>31</sup> The specifically American nature of sketch studies was not lost on major commentators. Kerman proclaimed that sketch studies was “one of [American musicology’s] recent distinctive contributions.”<sup>32</sup> While Anglo-American activity in Beethoven sketch studies during the 1960s and 1970s did serve to give the field new life, this stream of scholarship naturally did not inherit the German tradition that saw sketch study as only a historical and biographical pursuit. By the 1970s and early 1980s, the publication of American PhD dissertations in Beethoven sketch studies according to work rather than sketchbook included opp. 31, 111, 131, 18, 92.<sup>33</sup> As Johnson observed, the

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<sup>29</sup> Sieghard Brandenburg, William Drabkin and Douglas Johnson, “On Beethoven Scholars and Beethoven’s Sketches.” *19th-Century Music* 2, no. 3 (1979): 270.

<sup>30</sup> Brandenburg, Drabkin, and Johnson, “On Beethoven Scholars,” 270.

<sup>31</sup> Douglas Johnson, Alan Tyson, and Robert Winter. *The Beethoven sketchbooks: history, reconstruction, inventory*, ed. Douglas Johnson (Berkeley: University of California Press, 1985).

<sup>32</sup> Kerman, “Viewpoint: Sketch Studies,” 175.

<sup>33</sup> See Richard A. Kramer, “The Sketches for Beethoven’s Violin Sonatas, Op. 30: History, Transcription, Analysis” (Ph.D. diss., Princeton University, 1973); William Drabkin, “The sketches for Beethoven’s piano sonata in C minor, op. 111,” (Ph.D. diss., Princeton University, 1976); Robert Winter, “Compositional origins of Beethoven’s String quartet in C# minor, op. 131,” (Ph.D. diss., University of Chicago, 1978); Donald Greenfield, “Sketch studies for three movements of Beethoven’s string quartets, opus 18 #1 and 2,” (Ph.D. diss., Princeton University, 1983); John Knowles, “The sketches for the first movement of Beethoven’s Seventh symphony,” (Ph.D. diss., Brandeis University, 1984). Note that several important monographs and edited collections were published in the early 1990s as well. See Barry Cooper, *Beethoven and the Creative Process* (Oxford: Clarendon Press, 1990); William Kinderman, ed., *Beethoven’s Compositional Process*,

Anglo-American emphasis on organizing individual sketch studies according to their related published works “contradicts both the accepted [German] approach to the publication of sketchbooks and the discussion of their content for biographical purposes.”<sup>34</sup> Thus by 1978, while Johnson could state that, regarding analysis and sketch studies, “the debate has finally been engaged,”<sup>35</sup> this generation of Anglo-American scholars, “would have to be persuaded anew to accept the traditional assumptions concerning the sketches.”<sup>36</sup>

Johnson’s oft-cited article, “Beethoven Scholars and Beethoven’s Sketches,” armed with arguments gleaned from literary criticism, attempted this very directive.<sup>37</sup> The result was that, while activities within sketch studies that remained within the realm of biography and history were not questioned (such as ascertaining the chronology and date of works, understanding the composer’s style and discerning the composer’s intentions), the relevance of sketch studies toward an analysis of a work, previously left as self-evident, was open to questioning inside and outside the field. Indeed, the barrage of polemics within the musicological discourse that was spurred by Johnson’s article led to what can be appropriately referred to as a fully-fledged theoretical crisis in the field of sketch studies, the effects of which lingered into the 21<sup>st</sup> Century.

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(Lincoln: University of Nebraska Press in association with the American Beethoven Society and the Ira F. Brilliant Center for Beethoven Studies, San Jose State University, 1991); Lewis Lockwood, *Beethoven: Studies in the Creative Process* (Cambridge, Mass.: Harvard University Press, 1992).

<sup>34</sup> Johnson, “Beethoven Scholars,” 12.

<sup>35</sup> *Ibid.*, 10.

<sup>36</sup> *Ibid.*

<sup>37</sup> *Ibid.*, 3-17.

## 1.2 Sketch Analysis in Crisis: the Sketch and the “Definitive” text

In Johnson’s 1978 article and subsequent rebuttal in 1979,<sup>38</sup> he buttresses the German approach to sketch studies by directly and indirectly appealing to central ideas of the Anglo-American literary movement of the early twentieth-century, New Criticism. The Beethoven scholar states that,

whether or not the evolution of Beethoven's style can be chronicled by compositional choices documented in the sketches, such a chronicle itself belongs ultimately to the realm of biography and has only indirect implications for our study of individual works.<sup>39</sup>

Here, Johnson articulates a basic premise of his argument: that the “study of individual works” is separate from the study of “the evolution of Beethoven’s style.” In other words, there is a difference between understanding a work by Beethoven and understanding the way Beethoven wrote that work. As such, Johnson, himself the co-author of the aforementioned, *The Beethoven Sketch Books*, a pillar of Beethoven sketch studies, relegates sketches to the “realm of biography,” finding them irrelevant in the analysis of the “definitive” work. He explicitly implies his alignment by referring to sketch studies that seek analytical conclusions about the “definitive” work to be an “indictment of the New Criticism.”<sup>40</sup> Specifically, he appeals to the idea of “close” reading and, to a lesser extent, the “intentional fallacy” which are pillars of this early twentieth-century Anglo-American movement of literary criticism.

While a single definition of the New Criticism is difficult to produce due to the differences in theoretical positions amongst its advocates, most of its representative

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<sup>38</sup> Brandenburg, Drabkin, and Johnson, “On Beethoven Scholars,” 270-279.

<sup>39</sup> Johnson, “Beethoven Scholars,” 13.

<sup>40</sup> *Ibid.*, 15.

literary critics (such as I.A. Richards, René Wellek, Cleanth Brooks and others) sought to legitimize the role of the literary critic as objective observer.<sup>41</sup> This movement, which culminated in the 1940s and 1950s, was exemplified primarily by the prescribed practice of “close reading” which is a “general orientation” in which “the poem or literary text is treated as a self-sufficient verbal artifact.”<sup>42</sup> For proponents of the New Criticism, as Leroy Searle states, “the meaning of the poem is not conveyed by any prose paraphrase and is valued as the source of an experience (for the reader) available in no other way.”<sup>43</sup> Important for this discussion of Johnson’s argument, elements of biography, authorial intent, or historical context are considered extrinsic.

The nature of Johnson’s prescribed analysis follows New Criticism’s “close reading” practice. He specifically states, that from his point of view, the “domain of the analyst” excludes “external specifics” such as biography and history circumstance.<sup>44</sup> Specifically citing Dahlhaus’s 1975 article, “Some Models of Unity in Musical Form,” Johnson’s article promotes a type of analysis that seeks to discern a work’s “functional coherence.”<sup>45</sup> The New Critical connotations of this are acute as Dahlhaus, the source of Johnson’s stance, explicitly states that his is a “musical form analysis” which “can be properly compared aesthetically and methodologically with that of literary New

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<sup>41</sup> See I.A. Richards, *Practical criticism: a study of literary judgment* (London: K. Paul, Trench, Trubner, 1929); Cleanth Brooks, *The well wrought urn; studies in the structure of poetry* (New York: Reynal & Hitchcock, 1947); William K. Wimsatt and Monroe C. Beardsley, “The Intentional Fallacy,” *Sewanee Review* 54 (1946): 468-488; René Wellek and Austin Warren, *Theory of Literature* (New York: Harcourt, Brace & World, Inc., 1956).

<sup>42</sup> Leroy F. Searle, “New Criticism,” *The John Hopkins Guide to Literary Theory and Criticism*, Second Edition 2005.

<sup>43</sup> Ibid.

<sup>44</sup> Brandenburg, Drabkin and Johnson, “On Beethoven Scholars,” 277.

<sup>45</sup> Ibid.

Criticism.”<sup>46</sup> Johnson, in his rebuttal of 1979, regarding Dahlhaus’s mode of analysis states, “Treated rigorously, [Dahlhaus’s] objective dictates the exclusion of such external specifics as the date of a work, the circumstances of its composition, ultimately even its composer.”<sup>47</sup> Johnson also appeals, albeit indirectly, to the famous “intentional fallacy” put forth by Wimsatt and Beardsley in their literary study of 1946 which can be considered a core concept of New Criticism.<sup>48</sup> Wimsatt and Beardsley’s notion finds that “the design or intention of the author is neither available nor desirable as a standard for judging the success of a work of literary art.”<sup>49</sup> In the article, Johnson questions Philip Gossett’s assertion in 1974 that sketch study eschews the trappings of the “intentional fallacy.”<sup>50</sup> Gossett’s contentious argument asserts that, because musical sketches are not verbal accounts from the composer regarding the nature of his or her work, such as letters, program notes, or self-analyses, they do not fall under Wimsatt and Beardsley’s definition of “external”. Wimsatt and Beardsley make a distinction between “internal” and “external” evidence for proper hermeneutical activity. They state,

There is a difference between internal and external evidence for the meaning of a poem. And the paradox is only verbal and superficial that what is (1) internal is also public: it is discovered through the semantics and syntax of a poem, through our habitual knowledge of the language, through grammars, dictionaries, and all the literature which is the source of diction aries, in general through all that makes a language and culture; while what is (2) external is private or idiosyncratic; not a part of the work as a linguistic fact: it consists of revelations (in journals, for example, or letters or reported conversations) about how or why the poet wrote the

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<sup>46</sup> Carl Dahlhaus, “Some Models of Unity in Musical Form,” *Journal of Music Theory* 19, no. 1 (1975): 9.

<sup>47</sup> Brandenburg, Drabkin and Johnson, “On Beethoven Scholars,” 277.

<sup>48</sup> William K. Wimsatt and Monroe C. Beardsley, “The Intentional Fallacy,” *Sewanee Review* 54 (1946): 468-488.

<sup>49</sup> *Ibid.*, 468.

<sup>50</sup> Philip Gossett, “Beethoven's Sixth Symphony: Sketches for the First Movement,” *Journal of the American Musicological Society* 27, no. 2 (1974): 260-261.

poem? to what lady, while sitting on what lawn, or at the death of what friend or brother.<sup>51</sup>

Gossett's argument contends that Wimsatt and Beardsley's definition of "external" evidence "must be statements divorced from a reading of the poem itself and usually expressed in language not derived from it."<sup>52</sup> In this way, evidence from sketches would not fall in the completely "external" category. On this point, whether Gossett's position is a misreading or simply does not lie within the spirit of the argument regarding the dangers of intentionalism, Johnson does not elaborate. Regardless, Gossett's reading of the "intentional fallacy" regarding the place of genetic documents, while having merit in its questioning of the ontological status of sketches, does not align with other important New Critical tomes, such as *Theory of Literature* by Warren and Welleck (which will be discussed below). Johnson simply states that, "in the abstract it would seem axiomatic that any analytical technique is powerless to discover something in the sketches that it cannot discover in the work."<sup>53</sup>

### 1.3 Responses to the Crisis

Johnson's position was certainly not singular in the musicological discourse around this time. In fact, Kerman notes that, "it is worth stressing that the consensus among commentators who have considered the genesis of works of art as material for analysis

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<sup>51</sup> Wimsatt and Beardsley, "The Intentional Fallacy," 477-478.

<sup>52</sup> Gossett, "Beethoven's Sixth Symphony," 260.

<sup>53</sup> Johnson, "Beethoven Scholars," 16.

and criticism is thumbs down on the whole idea.”<sup>54</sup> He cites scholars that have raised doubts such as Donald Tovey,<sup>55</sup> Leonard B. Meyer,<sup>56</sup> and Edward T. Cone.<sup>57</sup> For example, Meyer states, that, “tracing the genesis of a musical idea or composition from the first sketch through to the finished work may be illuminating psychologically and biographically, but it is not the same as, and cannot be substituted for, serious analytic criticism.”<sup>58</sup> Meyer’s stance, taken years before Johnson’s article, resonates with Johnson’s distinctions between biography and analysis. Within the sub-discipline of sketch studies, the issues brought up by Johnson were responded to in a variety of ways. The most common counter-argument amongst Beethoven sketch scholars attacked Johnson’s definition of analysis itself which was deemed to be overly narrow in its disregard of history and biography.

For example, Beethoven sketch scholar Sieghard Brandenburg took issue directly with Johnson’s stance finding that sketches cannot be glossed over in any analysis that claims to be more than merely descriptive. Brandenburg advocated a “music gestalt-analysis” that includes critical interpretation and valuation.<sup>59</sup> This alludes to Gestalt psychology analysis founded in the early 20<sup>th</sup> Century which was “a reaction against the associationist and structural schools’ atomistic orientation (an approach which fragmented experience into

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<sup>54</sup> Kerman, “Viewpoint: Sketch Studies,” 177.

<sup>55</sup> Donald Francis Tovey, *Essays in Musical Analysis, vol. III, Concertos* (London: Oxford University Press, 1936), 4-5.

<sup>56</sup> Leonard B. Meyer, *Explaining Music* (Berkeley and Los Angeles: University of California Press, 1973), 78-79.

<sup>57</sup> Edward T. Cone, “The Authority of Music Criticism,” *Journal of the American Musicological Society* 34 (1981): 9.

<sup>58</sup> Meyer, *Explaining Music*, 78-79.

<sup>59</sup> Brandenburg, Drabkin and Johnson, “On Beethoven Scholars,” 270-4.

distinct and unrelated elements).”<sup>60</sup> For Brandenburg, sketches are relevant to an analysis that is more holistic than Johnson’s “atomistic” structural approach. Similarly, Kerman finds Johnson’s claim that an analysis defined as understanding the internal relations of an autonomous work represented by a single “definitive” text to be “a tautology” that “reflects badly on the currently overrated discipline of analysis.”<sup>61</sup> Kerman makes a definitive distinction between “criticism” and “analysis,” stating that the former is concerned with biography, sociology, and culture in its consideration of the art work. He agrees with Johnson in that sketches indeed do not have relevance to an definition of analysis that is narrow in contextual scope, such as Schenkerian analysis, and, while he concurs with Johnson that analysis does not need the confirmation of sketches as proof of its findings, sketch analysis can reveal Beethoven’s conceptions of certain formal and structural practices, such as sonata form. This can be useful in analytical pursuits.

This last point by Kerman resonates with a second position common amongst scholars using sketches as aids for analysis. Sketches can illuminate an analytical angle from which to hear the “definitive” work that may not have been otherwise considered. The aforementioned 1974 article prefiguring the Johnson debate by sketch study scholar, Philip Gossett, gives two categories of sketch study analysis: a “suggestive” category which pertains to revelations indicated by the sketches that lead to fruitful analyses of the “definitive” work; and a “confirmatory” category which concerns the corroboration of analytical conclusions, such as those by Schenker and Forte, that were evident without

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<sup>60</sup> “Gestalt Psychology,” *Encyclopedia Britannica* (online), accessed July 7, 2014, <http://www.britannica.com/EBchecked/topic/232098/Gestalt-psychology>.

<sup>61</sup> Kerman, “Viewpoint: Sketch Studies,” 178.

the aid of the sketches.<sup>62</sup> While Gossett's categories predate Johnson's 1978 article, Kinderman's 1987 study of the genesis of Beethoven's *Diabelli Variations* can be considered an indirect response to Johnson in his advocating of both of Gossett's two categories. Kinderman states that, although revelations from the sketches are provisional, "the relevance to analysis of musical sketches is obvious: they can function as a guide to critical investigation [Gossett's "suggestive" category], and even as a corrective for analysis gone astray [Gossett's "confirmatory" category]."<sup>63</sup> Thus, for Kinderman sketch analysis can be used "as a corrective" to both corroborate and refute analytical conclusions based solely on the "definitive" score. Following this approach, Kinderman casts doubt over previous analyses of the *Diabelli Variations* that emphasize a symmetrical form that is comparable to Bach's *Goldberg Variations* by pointing to the sketch evidence of Beethoven's compositional process. He states that because of the late addition of two early variations and several later ones, the piece evolved in a distinctly asymmetrical manner. Kinderman describes this as "an overall progression culminating in the last five variations" which contradicts previous analyses.<sup>64</sup> While Gossett's "suggestive" category seems to allow a type of analysis congruent with the New Critical approach – as long as the evidence for any one analytical finding comes from the "definitive" work alone – the "confirmatory" category leads to a positivistic and intentionalist approach that, within the New Critical approach, is considered anathema.

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<sup>62</sup> Gossett, "Beethoven's Sixth Symphony," 268. Note: Gossett gives a third category here which refers to as "conceptual" for which intentions evident in the sketches do not figure in the final "definitive" work.

<sup>63</sup> Kinderman, *Beethoven's Diabelli Variations*, xvi.

<sup>64</sup> *Ibid.*, xvii-xviii.

Perhaps for this reason, Gossett's "suggestive" category has had more legs especially outside the sub-field of Beethoven studies.

As noted above, it has been argued by scholars, such as Patricia Hall and David Headlam that sketch studies can be more relevant to the analysis of styles of music written in those musical languages outside of strict tonality common in the 20<sup>th</sup> Century.

On the use of sketches in on twentieth-century music, Headlam writes,

while most of the sketches-versus-analysis debates center on tonal music, sketches have also been used as aids for analysis of twelve-tone music by many writers. Indeed, twelve-tone compositions seem to be one area in which sketches have a demonstrable analytical impact.<sup>65</sup>

Giselher Schubert and Friedemann Sallis agree contending that the growing number of compositional techniques over the course of the 20<sup>th</sup> Century "has led to an increased production of sketches concerned with the preparation of material and general principles."<sup>66</sup> These sketches "offer information concerning the musical axioms which govern the development of general structural principles."<sup>67</sup> Schubert and Sallis refer to the sketches of Boulez, Stockhausen, Cage and Carter as examples of divergent approaches to pre-compositional "systematic organization" that can yield consequences for analysis.<sup>68</sup> Regarding the developments of post-war serialism of Boulez and Stockhausen, Pascal Decroupet agrees. He asks, "How do we define serial music in such

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<sup>65</sup> Dave Headlam, "Sketch Study and Analysis: Berg's Twelve-Tone Music," *College Music Symposium* 33, no. 34 (1993/1994): 157.

<sup>66</sup> Giselher Schubert and Friedemann Sallis, "Sketches and sketching," in *A Handbook to Twentieth Century Musical Sketches*, eds. Patricia Hall and Friedemann Sallis (Cambridge: Cambridge University Press, 2004), 8.

<sup>67</sup> *Ibid.*

<sup>68</sup> *Ibid.*

a rapidly evolving context?”<sup>69</sup> Decroupet turns to the sketches to provide analytical insight as these documents of serialist composers can reveal the “abstract foundations of the composer’s works.”<sup>70</sup> He states,

if the raw material constitutes the focus of the analyst’s attention, the developmental strategies can often broaden considerably the conceptual framework with which the analysis takes place, opening up previously unexplored lines of thought.<sup>71</sup>

Decroupet’s notion that sketches can lead to the “opening up” of “previously unexplored lines of thought” aligns well within Gossett’s “suggestive” category. However, the extent to which the musical language of a work affects the relevance of its compositional sketches remains in contention.

For example, Hall theorizes that with tonal compositional systems in which a “comprehensibility of common and understood language limits our use of sketches... there is little we cannot discover about a passage simply by looking at the music.”<sup>72</sup> In other words, Hall contends that, when we use sketches to analyze music based on a highly systematized but fully understood language such as common-practice tonality, the tendency is for sketches only to have value in a “confirmatory” way rather than one that is crucial to the analysis.<sup>73</sup> Hall suggests that, in contrast to this, “sketches are most helpful for highly defined theoretical systems, which, because of their complexity or

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<sup>69</sup> Pascal Decroupet, “Floating hierarchies: organization and composition in works by Pierre Boulez and Karlheinz Stockhausen during the 1950s,” in *A Handbook to Twentieth Century Musical Sketches*, eds. Patrica Hall and Friedemann Sallis (Cambridge: Cambridge University Press, 2004), 146.

<sup>70</sup> *Ibid.*

<sup>71</sup> *Ibid.*

<sup>72</sup> Hall, *A View of Berg’s Lulu*, 5.

<sup>73</sup> *Ibid.*, 7.

unapparent relationships, *we do not yet fully understand* [my italics].”<sup>74</sup> For example, Hall posits that in the study of serial music in particular, one such case of a “highly defined theoretical system,” sketches can suggest avenues of analysis that would not otherwise be sought. In contradiction to this, Sallis finds that Hall’s notion of the existence of unfamiliar yet “highly defined musical systems” such as serialism that are “somehow standing outside of the historical flux of musical thought” to be erroneous and, as he says, “a figment of my colleague’s imagination.”<sup>75</sup> Thus, Sallis disagrees with Hall’s notion that sees sketch study offering “suggestive” information when regarding poorly understood musical languages and “confirmatory” information when regarding well-understood musical languages. For Sallis, sketch studies are a way that a “plausible analytical hypothesis can be established.”<sup>76</sup> In fact, regardless of the musical language, following Gianmario Borio, he posits that, rather than having a confirmatory role, “philological research (i.e. sketch studies) should not be used to confirm analytical hypotheses formulated in advance, but rather it becomes the *condition sine qua non* for the formulation of these hypotheses.”<sup>77</sup> For example, regarding his study of the sketches of Luigi Nono, Sallis finds that the composer’s enigmatic pitch content structure

is of course all in the score to be uncovered. But there, relationships have to be identified among the multitude of all possible relationships that can be produced from the data at hand, and more importantly, the analyst has to be alerted to the significance these structures can have for his or her object of study.<sup>78</sup>

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<sup>74</sup> Ibid., 11.

<sup>75</sup> Friedemann Sallis, “Segmenting the Labyrinth: Sketch Studies and the Scala Enigmatica in the Finale of Luigi Nono’s *Quando stanno morendo*, *Diario Polacco* n.2 (1982),” *ex tempore* 13, no. 1 (2006), accessed July 20, 2014, <http://www.ex-tempore.org/sallis/salis.htm>.

<sup>76</sup> Ibid.

<sup>77</sup> Ibid.

<sup>78</sup> Ibid.

Rather than clambering to defend sketch analysis against Johnson's attack, some recent scholar's, with the benefit of hindsight, have simply dismissed Johnson's argument. Patrick McCreless, for example, finds that the "disciplinary landscape" since the late 1980s has drastically changed adopting a "critical musicology" that nullifies the previous opposition of "positivistic musicology and theory-based analysis."<sup>79</sup> The "predominant polarity in American musical scholarship, that between historical musicology and post-1950s music theory" is extinct and based on antiquated assumptions about the nature of analysis (being "formalist") and historical musicology (being "positivistic").<sup>80</sup> Echoing this sentiment, Schubert and Sallis state,

Sketch studies have been and will no doubt remain a locus for controversy. The benefits of studying the composer's working documents have been both wildly exaggerated and summarily dismissed. Douglass Johnson's old argument concerning their relevance for analysis now seems tinged with that naivety we often attribute to ideas from another age.<sup>81</sup>

In a 2015 article entitled "Sketch Studies and Analysis," Sallis confirmed that since the pioneering work of Richard Taruskin in 1996, who "almost single-handedly expanded the scope of musical analysis," Johnson's argument has been quashed as grounds for a theoretical crisis in sketch studies.<sup>82</sup> For Sallis, it is the manner in which one looks at the sketches which dictates the relevance of one's findings towards an analysis of the final work.

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<sup>79</sup> Patrick McCreless, review of *Wagner: Das Rheingold*, Warren Darcy (Oxford, 1993), *19th-Century Music* 18, no. 3 (1995): 277.

<sup>80</sup> *Ibid.*, 278

<sup>81</sup> Sallis and Hall, "Introduction," 4.

<sup>82</sup> Friedemann Sallis, "Sketch Studies and Analysis," in *Genèses Musicales*, edited by Nicholas Donin, Almuth Grésillon, Jan-Louis Lebrave (Paris: Presses de l'Université Paris-Sorbonne, 2015), 80. Sallis cites Richard Taruskin, *Stravinsky and the Russian traditions: a biography of the works through Mavra* (Berkeley: University of California Press, 1996).

It is important to note here that Johnson published a third article on this issue of sketches and analysis 20 years later entitled “Deconstructing Beethoven’s Sketchbooks” in which he softens his stance against the validity of sketches in analysis.<sup>83</sup> Renouncing his bias toward the “definitive” score – what he calls his “fundamentalist’s faith in the authority of sacred texts” – he concedes that sketch study has a place in analysis. However, he takes issue with the assumptions and methods of much this type of activity.<sup>84</sup> Rather than appealing to New Criticism’s “close” analysis as in his earlier articles, Johnson specifically cites Roland Barthes’ and Jacques Derrida’s post-structuralist notions of “reader authority” and the multiplicity of meaning that can be drawn from a text. From within this theoretical outlook, Johnson finds fault with two important sketch studies of the 1980s, Lockwood’s “Beethoven’s Earliest Sketches for the Eroica Symphony,”<sup>85</sup> and Kinderman’s *Beethoven’s Diabelli Variations*.<sup>86</sup> He not only condemns the use of sketches when they do not go far enough in terms of their hermeneutic pursuits (as in his critique of Lockwood) or have a positivist agenda (as in his critique of Kinderman), but he finds fault with sketch analysis that is limited to teleological or what can be termed “finalist” readings of the compositional process, or as Johnson states, “the idea that every sketch is a response to problems in the ones that preceded it.”<sup>87</sup> He elaborates,

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<sup>83</sup> Douglas Johnson, “Deconstructing Beethoven’s Sketchbooks,” in *Haydn, Mozart, and Beethoven: Studies in the Music of the Classical Period*, ed. Sieghard Brandenburg (Oxford: Clarendon, 1998), 225-235.

<sup>84</sup> *Ibid.*, 225.

<sup>85</sup> Lewis Lockwood, “Beethoven’s Earliest Sketches for the Eroica Symphony,” *Musical Quarterly* 67 (1981): 457-78.

<sup>86</sup> Kinderman, *Beethoven’s Diabelli Variations*.

<sup>87</sup> Johnson, “Deconstructing,” 232.

On one level this does seem self-evident. After all, as long as the composer is free to make any version of his work the last, additional sketching must mean dissatisfaction. Particularly in a set of variations, however, many are called and few are chosen. Even towards the end of the process the last sketch is not always adopted, and it may be presuming too much analytically to expect the last things added to provide the key to a work's structure.<sup>88</sup>

Thus, while Johnson, admits that his earlier position came erroneously from a stance in which a single text was privileged (made "sacred," as he states), what has not changed is his demand for a rigorous self-scrutiny of assumptions upon which sketch analysis is based. While scholars are justified in finding the spirit of Johnson's argument in 1978 as out of date, his unwillingness to advocate for a type of sketch analysis that does not situate itself within explicit theoretical underpinning remains valid and appeals to similar standards of rigor as the French founders of *critique génétique*.

Johnson's argument in his 1978 article, 30 years later, still had, as Sallis states, "extraordinary resonance" even if it was "more often than not rebutted."<sup>89</sup> McCreless writes that a kind of analysis which acknowledges that "the essence of any art resides in the relationships of elements within an artistic work itself" was in 2013 "still cherished by some, scorned by other."<sup>90</sup> While the term "formalist" may carry an ideology which "favors *lifeless* structure over *human* meaning," this does not stand as basis upon which to dismiss it as a legitimate analytical approach.<sup>91</sup> Instead of rejecting Johnson's argument as predicated on an invaluable or out-of-date analytical approach, one asks: is there a way to confront the debate on its own grounds?

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<sup>88</sup> Ibid.

<sup>89</sup> Sallis, "Sketch Studies," 74.

<sup>90</sup> Ibid.

<sup>91</sup> Patrick McCreless, "Formalism, Fair and Foul," Nonsite.org 8 (2013), accessed July 11, 2018, <https://nonsite.org/article/formalism-fair-and-foul>.

#### 1.4 Critique Génétique: A Solution

Turning away from musicology and casting an interdisciplinary glance across the Humanities towards its older and more developed relative, literary criticism, we find a similar narrative to the one present above within the literary discourse regarding manuscripts and variant texts. That is, parallel to sketch studies, within dominant literary critical movements that emphasize the autonomy of literary texts such as the New Criticism in Anglo-American criticism of the earlier half of the 20<sup>th</sup> century and French structuralism and post-structuralism in the 1960s and 1970s, the use of variant texts for hermeneutic pursuits was anathema as these genetic sources were considered external. The crucial difference between the discourse in literary criticism and sketch studies regarding genetic sources lies in the historical response to such autonomous approaches as New Criticism and structuralism and post-structuralism. While sketch study scholars have scrambled to defend their academic pursuit in the decades since the publication of Johnson's article, a clear solution to Johnson's problem has not yet been articulated within a single significant body of scholarship. This is not the case in the discourse of literary criticism.

The accepted historical narrative in French literary criticism presents *critique génétique* as a direct response to structuralist and post-structuralist approaches that focus solely on a work's singular text as the site of the production of meaning, thereby deeming pre-publication documents irrelevant. In this context, literary structuralism refers to the semiological approach to literature, here exemplified by Roland Barthes' writing in the

1950s and early 1960s such as *Writing Degree Zero* (1953) and exemplified in *On Racine* (1963). This approach deems that, just as Ferdinand de Saussure's notion that "language is a system of difference that generates meaning through its own internal mechanisms"<sup>92</sup> – the basis of the Saussure's semiology – the same can be said of literature. French structuralism in literary criticism followed Claude Lévi-Strauss's influential application of linguistic principles of semiology to anthropology (he is considered by some to be the founder of structuralism) and inherited Russian Formalism's "rejection of the explanatory value of any data external to the text, such as its socio-cultural background or the writer's biography, and a strictly empirical analysis of the text's form and composition at different analytical levels."<sup>93</sup> Post-structuralism, here is exemplified by Barthes' writing in the late 1960s and 1970s such as "The Death of the Author" (first published in 1968) and Jacques Derrida's deconstructionist notions such as those put forth in his 1966 lecture, "Structure, Sign and Play."<sup>94</sup> While post-structuralism differs significantly from structuralism with regard to the extent to which Saussure's semiological ideas are applied to understanding the nature of language as a system, it too follows an approach that considers the text of a work to be autonomous. Barthes' "The Death of the Author" (1968) fully realizes the goal of emancipating the meaning of a text from the intentions of its author. As Barthes states, "a text is not a line of words releasing a single 'theological' meaning (the 'message' of the Author-God) but a multi-dimensional space in which a variety of

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<sup>92</sup> Susana Onega, "Structuralism and narrative poetics," in *Literary Theory and Criticism: An Oxford Guide*, ed. Patricia Waugh (Oxford and New York: Oxford University Press, 2006), 262.

<sup>93</sup> *Ibid.*, 265.

<sup>94</sup> Jacques Derrida, "Structure, Sign and Play in the Discourse of the Human Sciences," in *Writing and Difference*, trans. Alan Bass (Chicago: University of Chicago Press, 1978), 278-294.

writings, none of them original, blend and clash.”<sup>95</sup> In Derrida’s “Structure, Sign and Play,” he extends the Saussurian notion of language as a system of signs but decentres the idea of structure itself.<sup>96</sup> As he states, language is “a system in which the central signified, the original or transcendental signified, is never absolutely present outside a system of differences. The absence of the transcendental signified extends the domain and the play of signification infinitely.”<sup>97</sup> Commentator, Susan Onega states, “Barthes’s full-fledged attack on the author in favour of the reader and his definition of the text as the site of a resistance to stable signification constitute his most original contributions to a discussion that has its roots in the work of Saussure, the Russian formalists, and Roman Jakobson.... and runs parallel to Jacques Derrida’s postulation of the abandonment of the ‘transcendental signified’ and his definition of writing as a free play of signifiers, which lies at the heart of the theory of deconstruction.”<sup>98</sup> As a reaction to a perceived oversight in these structuralist and especially post-structuralist notions of a literary work’s text as being definitive and singular (while its meanings may be infinite and reader-oriented), *critique génétique* claimed that this over-emphasis on one textual variant succumbs to what genetic scholar Almuth Grésillon calls the “finalist illusion.”<sup>99</sup> A single text simply does not exist.

While *critique génétique* represents a direct reaction to the dominant structuralism and post-structuralism of the 1960s and 1970s in France, its emendation of textual theories

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<sup>95</sup> Roland Barthes, “The Death of the Author” in *Image-Music-Text*, trans. Stephen Heath (New York: Hill and Wang, 1977), 146.

<sup>96</sup> Jacques Derrida, “Structure, Sign and Play,” 278-294.

<sup>97</sup> *Ibid.*, 280.

<sup>98</sup> Onega, “Structuralism and narrative poetics,” 272.

<sup>99</sup> Almuth Grésillon, *Elements de critique génétique* (Paris: Presses Universitaires de France, 1994), 138.

could have equally been applied to the New Critical practice of “close reading” that is espoused by Johnson. One finds a critique of the genetic study of literary works in Warren and Wellek’s *Theory of Literature*, first published in 1949.<sup>100</sup> It is no surprise that a position parallel to Johnson’s New Critical stance is found squarely within such a canonical New Critical text. Here, the authors fire an often-cited attack on literary criticism that focuses on pre-publication documents of literary works. The objections are remarkably similar to Johnson’s in that they first acknowledge that there is an interest in “the genesis of works, the early stages, the drafts, the rejected readings” and that this “study of variants seems to permit glimpses into an author’s workshop.”<sup>101</sup> Like Johnson, they conclude, however, that “the critical relevance” of this is “surely overrated” and “if we examine drafts, rejections, exclusions, and cuts more soberly, we conclude them not, finally, necessary to an understanding of the finished work or to a judgment upon it.”<sup>102</sup> Regardless if variant states of the text have “actually passed through the author’s mind,” they find that “they do not belong to the work of art; nor do these genetic questions dispense with the analysis and evaluation of the actual work.”<sup>103</sup> Wellek and Warren specifically align their advocated approach to that of the “the Russian formalists and their Czech and Polish followers” as well as their fellow pioneering proponents of New Criticism such as I.A. Richards, Cleanth Brooks and William Empson among others.<sup>104</sup> It is clear that Johnson’s position within musicology and Warren and Wellek’s position

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<sup>100</sup> René Wellek and Austin Warren, *Theory of Literature* (New York: Harcourt, Brace & World, Inc., 1956).

<sup>101</sup> *Ibid.*, 90-91.

<sup>102</sup> *Ibid.*

<sup>103</sup> *Ibid.*

<sup>104</sup> *Ibid.*, 139.

within literary criticism regarding the status of pre-publication documents are clearly aligned under a New Critical outlook which dispenses with “external circumstance – political, social, economic – in which literature [or music] is produced.”<sup>105</sup>

While we must differentiate between the discourse of Anglo-American New Criticism in the 1940s and 1950s and French structuralism and post-structuralism of the 1960s and 1970s (for example, post-structuralist approaches tended to decentre evident unity in a work while proponents of the New Criticism attempted the opposite, to expose the underlying unity amongst seemingly disparate elements of a work), we can identify similar stances regarding the status of genetic textual variant which associate the two. Both movements can be seen to have the same rejection of genetic documents whether it be as a result of central ideas such as the “intentional fallacy” or the “death of the author” – that is, in so much as both practices see textual origins (i.e. the author) as irrelevant to meaning production.

Acknowledging the parallels regarding the place genetic documents have in literary criticism and critical musicology, a new cross-disciplinary historical narrative can be emphasized. In 1979 the founder of genetic criticism, Louis Hay, published *Essais de critique génétique*,<sup>106</sup> the “landmark defense and illustration of genetic theory and practice.”<sup>107</sup> In this publication, the term *critique génétique* was coined and the foundations of a theoretically-girded way of considering variant texts within literary criticism were offered. *Critique génétique*, whose foundational concepts were solidified

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<sup>105</sup> Ibid.

<sup>106</sup> Louis Hay, ed., *Essais de critique génétique* (Paris: Flammarion, 1979).

<sup>107</sup> Jed Deppman, Daniel Ferrer and Michael Groden, “Introduction: A Genesis of French Genetic Criticism,” in *Genetic Criticism: Texts and Avant-Textes*, eds. Jed Deppman, Daniel Ferrer and Michael Groden (Philadelphia: University of Pennsylvania Press, 2004), 17.

one year after the debate initiated by Johnson's 1978 article, represents a theoretical way out of the New Critical impasse in sketch analysis discourse.

Theoretic developments in French literary criticism and Anglo-American musicology regarding the status of genetic documents took place concurrently, yet the nature of the disciplinary divide between the two resulted in the fact that it took Anglo-American musicologists 30 years (if we take Kinderman's 2009 "Beyond the Text: Genetic Criticism and Beethoven's Creative Process" as the marker) to begin to integrate the ideas presented by *critique génétique* into musical sketch studies.<sup>108</sup>

The benefits of a sketch study founded on the principles of *critique génétique* are two-fold. First, the internal examination of sketch study's basic assumptions informed by *critique génétique*'s ideas about the creative process is a step toward accepting a contemporary view of the nature of a work's text and text production. The conception of "text as process," well-established in *critique génétique*, resonates with ideas in German editorial theory and streams of Anglo-American textual criticism (following scholars such as Jerome McGann) in the second half of the 20<sup>th</sup> century.<sup>109</sup> An update of musicology's stance toward the creative process would take advantage of the progress made in these areas. Second, the approach of genetic criticism can aid the integration of disparate critical endeavors in musicology, what Beethoven scholar Lewis Lockwood

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<sup>108</sup> William Kinderman, "Beyond the Text: Genetic Criticism and Beethoven's Creative Process," *Acta Musicologica* 81, no. 1 (2009): 99-122.

<sup>109</sup> For an introduction to Anglo-American textual stances that refute Romantic ideas of text production, see Jerome J. McGann, *A Critique of Modern Textual Criticism* (Chicago: University of Chicago Press, 1983). For an introduction to German editorial principles embracing textual plurality see Hans Walter Gabler, George Bornstein and Gillian Borland Pierce, eds., *Contemporary German Editorial Theory* (University of Michigan Press, 1995).

calls “the unfortunate split in our time between analysis and history.”<sup>110</sup> As Kinderman stated in 2012,

The approach of genetic criticism offers a valuable antidote to the fragmentation of music scholarship into subdisciplines cultivating discrete methodologies. The integrated field as understood by Guido Adler and others in earlier times has split into a colourful array of discrete subdisciplines, with weakened connections between what have become largely autonomous areas of activity.... Genetic criticism might appear to undermine the work-concept, deconstructing the work through its own history. However, such an approach often opens perspectives that serve as a promising platform for critical interpretation, and analysis remains vitally important to the evaluation of sketches and drafts, whose significance can be elusive and enigmatic.<sup>111</sup>

As will be seen in Chapter 2, the field of *critique génétique* is not free of its own internal polemics and contradictions between its practitioners, and to present the genetic approach as the saviour of an ailing field would be misleading. *Critique génétique* simply provides a large and well-defined source of theoretical and methodological literature which, with some modification inherent in an interdisciplinary application, addresses pertinent issues in sketch studies such as textual variation and textual production in the creative process. Furthermore, *critique génétique*'s theories and methodologies (up until recent times mostly applied to literary study) provide a useful framework for the musicological study of Hétu's sketches for *Suite pour guitare* presented in this dissertation.

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<sup>110</sup> Lewis Lockwood, “The State of Sketch Research,” in *Beethoven's Compositional Process*, ed. William Kinderman (University of Nebraska, Lincoln and London, 1991), 11.

<sup>111</sup> William Kinderman, *The Creative Process in Music from Mozart to Kurtág* (University of Illinois, 2012) 2-11.

## Chapter 2 *Critique Génétique*

To the reader unfamiliar with this French literary movement, getting a grasp of its basic principles can be a difficult and intimidating task. This is partly due to the fact that in the theoretical literature available regarding *critique génétique*, a definition of its theory and practice that is both succinct and adequate is hard to come by. Oliver Davis, a literary scholar who has questioned the integrity of elements of the genetic approach, has noted a characteristic “disarming effusiveness” in much of the movement’s theoretical writing.<sup>112</sup> The definition put forth by Almuth Grésillon, a former director of *critique génétique*’s scholarly hub, the Institut de Textes et Manuscrits Modernes (ITEM), is typical in this regard. She defines *critique génétique* as having a “vision [of] literature as a doing (‘un “faire”’), as an activity, as a movement.”<sup>113</sup> She completes her definition with a series of dialectic pairs, elaborating that the genetic perspective prefers,

production over the product, writing over what is written, textualization over the text, multiplicity over uniqueness, possibility over the finite, virtuality over the *ne varietur*, the dynamic over the static, the operation over the opus, genesis over structure, the strength of the act of writing over the form of the printed word.<sup>114</sup>

While Grésillon cannot be faulted for having a certain eloquence in stressing *critique génétique*’s diachronic emphasis in its approach to literature, her definition is decidedly fulsome and suggestive rather than concrete. Pierre-Marc de Biasi, the current director of ITEM, also confirms Davis’ observation when he states that,

genetic criticism proposes to renew the knowledge of texts through the light of their manuscripts in moving the critical interrogation from the author towards the

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<sup>112</sup> Oliver Davis, “The Author at Work in Genetic Criticism,” *Paragraph* 25, no. 1 (2002): 93.

<sup>113</sup> Almuth Grésillon, “Slow: Work in Progress,” trans. Stephen A. Noble and Vincent Vichit-Vadakan, *Word & Image* 13 (1997): 106. Originally published as “Ralentir: travaux,” *Genesis, manuscrits, recherche, invention* 1 (1992): 9-31.

<sup>114</sup> *Ibid.*

writer, the written towards the writing, from the structure towards the processes, from the work towards its genesis.<sup>115</sup>

In communicating a practical understanding of *critique génétique*'s theory and practice, Biasi and Grésillon opt for a style that is in a frankly post-structuralist spirit: the reader understands *critique génétique* by the difference between the dialectical components ("writing" vs "written," "operation" vs "opus" etc.) rather than stating this in positive terms. Rather than being a criticism of these two scholars' prose style, this "effusive" character can be considered appropriate based on the plural nature of the movement and its historical emergence in the intellectual climate of structuralism and post-structuralism. However, for a more pragmatic definition, one can look to Davis himself, who succinctly describes *critique génétique* as

an approach to the study of literature which, in addition to and sometimes in place of, the final published text, takes sketches, notes, drafts, letters and other preparatory documents as its objects of analysis.<sup>116</sup>

While his definition lacks the suggestiveness of the two directors of ITEM, Davis's definition is a useful starting point for the uninitiated reader because it identifies *critique génétique*'s object of study and hints at its non-traditional approach. First, it identifies *critique génétique*'s focus on the genesis of a text via its textual variants – the "sketches, notes, drafts, letters and other preparatory documents" – while maintaining that its primary goal is the elucidation of literary works, the domain of literary criticism. Most importantly, however, it hints at a stance in which the interest in the "final published text," as opposed to traditional literary criticism, is balanced by an interest in its

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<sup>115</sup> Pierre-Marc de Biasi, *Le Génétique des Textes* (Paris: Nathan, 2000) 9. Original: "La "critique génétique" se propose de renouveler la connaissance des textes à la lumière de leurs manuscrits en déplaçant l'interrogation critique de l'auteur vers l'écrivain, de l'écrit vers l'écriture, de la structure vers les processus, de l'œuvre vers sa genèse."

<sup>116</sup> Davis, "The Author at Work," 92.

“preparatory documents,” even to the extent that the scale is tipped toward the latter. The brevity and clarity of Davis’s definition is appreciated. Still, one is left wondering: How can *critique génétique* engage in literary critical activity centered both on works of literature *and* their preparatory documents?

*Critique génétique* seems to encompass two divergent areas of criticism. On one hand, as the study of literary works *critique génétique* lies squarely within the field of literary criticism and its goal of elucidating and deriving meaning from texts. On the other hand, its study of preparatory documents places *critique génétique* within the broad field of philology, or what we can term textual criticism, the study of textual variants and their relation to an authoritative text. The descriptions cited by Grésillon, Biasi and Davis, all lack a deeper characterization of the literary critical aims of *critique génétique* and the difference between its approach towards preparatory manuscripts compared to that of traditional textual criticism (traditional textual criticism is distinguished here from modern textual criticism as innovations in Anglo-American and German discourses in the latter subject in the second half of the twentieth century have resulted in considerable parallels with French *critique génétique* ). In attempting to clarify this and provide a summary of the important theoretical principles of *critique génétique*, one soon realizes that this is not an easy task in the space of a few lines of text.

One reason for this is the diverse nature of *critique génétique* itself. Foundational scholars of the movement agree that *critique génétique*, in practice, is characterized by an inherent plurality. According to the founding father of the movement, Louis Hay, a “spirit

of paradox” pervades *critique génétique*.<sup>117</sup> Biasi emphasizes that *critique génétique* is not a “school in the official sense” citing the “panoply of ideas and concepts” which come from its “widely diverging critical outlooks.”<sup>118</sup> Robert Pickering, a literary critic and Valéry expert, finds that it has no “monolithic assertiveness” or consistent “central unifying thrust” and that there even exists a “fundamental openness of identity which characterizes genetic criticism.”<sup>119</sup> This “fundamental openness” is a result of the fact that specific methodologies and theoretical approaches taken up by practitioners of *critique génétique* are widely varied depending on the body of work being studied. The nature of one author’s personal manuscripts and their function within his or her creative process compared to another’s is bound to be different and, thus, they are studied from appropriately divergent points of view.

The explanation of *critique génétique* as a “panoply of ideas and concepts” does not stop with pointing out the diversity of its objects of study. Its nature as a scholarly apparatus is undefined as well. Hay drew attention to this when he asked, “What is the discipline we are talking about here? Is it a method, an epistemology or a general approach that is peculiar to each discipline?”<sup>120</sup> Surveying the literature, the answer is not clear. Commentators vacillate between emphasizing *critique génétique* as a “theory of

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<sup>117</sup> Louis Hay, “La critique génétique: Origines et perspectives,” *Essais de critique génétique*, ed. Louis Hay, (Paris: Flammarion, 1979), 227.

<sup>118</sup> Pierre-Marc de Biasi, “What Is a Literary Draft? Toward a Functional Typology of Genetic Documentation,” trans. Ingrid Wassenaar, *Yale French Studies* 89 (1996): 26.

<sup>119</sup> Robert Pickering, “Preface,” *L’esprit créateur* 41, no. 2 (2001): 5-7.

<sup>120</sup> Louis Hay, “Qu’est-ce que la Critique Génétique?,” ITEM (online), accessed Dec. 9, 2008. <http://www.item.ens.fr/index.php?id=384032>. Original: “Quelle est la discipline dont nous parlons ici? Est-ce une méthode, une épistémologie de portée générale ou bien une démarche qui appartient en propre à chaque discipline?”

text”<sup>121</sup> and as a practical “methodology.”<sup>122</sup> In addition to this vagueness, commentators have referred to *critique génétique* by a variety of epistemological monikers. In 1979, it was put forth as “new *field* of research.”<sup>123</sup> In 1990, it was described as a “fledgling *discipline*.”<sup>124</sup> While finally, in 2004, when a significant historical distance had been achieved, it was deemed a fully-fledged “French literary *movement*” that could be considered alongside other literary movements.<sup>125</sup>

To top it off, while this last label will be adopted for this study, describing *critique génétique* as a “French movement of literary criticism” does not, in principle, sufficiently reflect the global and cross-disciplinary state of *critique génétique* as it is practiced today and, thus, should be further modified. With the increase in interest in *critique génétique* around the globe, *critique génétique* is “no longer a French idiosyncrasy.”<sup>126</sup> Furthermore, considering the numerous interdisciplinary applications of *critique génétique* in recent years – genetic criticism is practiced in musicology, cinema and theatre studies, and the study of visual arts – one could discard the literary distinction and refer to *critique génétique* simply as an interdisciplinary intellectual “movement.”<sup>127</sup>

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<sup>121</sup> Louis Hay, “Does ‘Text’ Exist?” *Studies in Bibliography* 41 (1988): 68. Originally published as “Le Texte n'Existe pas. Réflexions sur la Critique Génétique,” *Poétique* 62 (1985): 147-58.

<sup>122</sup> Geert Lernout, “Genetic Criticism and Philology,” *Text: An Interdisciplinary Annual of Textual Studies* 14 (2002): 65.

<sup>123</sup> Hay, “La Critique Génétique,” 227.

<sup>124</sup> Pierrsens, “French Genetic Studies,” 617.

<sup>125</sup> Deppman, Ferrer and Groden, “Introduction,” 1.

<sup>126</sup> Jed Deppman, Daniel Ferrer and Michael Groden, “Genetic Criticism,” *Johns Hopkins Guide to Literary Criticism* (2nd ed., 2005), accessed Sept. 6, 2013.

<http://litguide.press.jhu.edu/cgi-bin/view.cgi?eid=119&query=genetic%20criticism>.

<sup>127</sup> See the bibliography of genetic criticism scholarship in Graham Falconer and David Sanderson, “Bibliographie des Études Génétiques Littéraires” *Texte* 7 (1988): 287-352. Specifically see the journal *Genesis* for cinema, *Genesis* 28, (2007); theatre, *Genesis* 26, (2005); visual arts, *Genesis* 15 (2000); architecture, *Genesis* 14 (2000); and music, *Genesis* 4 (1993) and *Genesis* 31 (2010).

While this kind of deconstruction of how one labels *critique génétique* obviously leads to an increasingly vague meaning of the label, it is indicative of the difficulties encountered in describing such a diverse and paradoxical 45-year-old critical practice. There are challenges in summarizing the exact nature of *critique génétique*. However, in contrast to its murky nature as a unified literary critical movement, the history of its emergence is surprisingly clear. The focalization of the emergence of *critique génétique* within a specific time and place makes outlining the history of this movement a concrete way to introduce its basic principles.

## 2.1 The Institutional History of *Critique Génétique*: ITEM

*Critique génétique*'s success within the broad practice of literary criticism is undeniable. Writing in 2002, Geert Lernout, an expert in the application of *critique génétique* to the work of James Joyce, finds that *critique génétique* is "one of the most successful methodologies in the last two decades in France."<sup>128</sup> In his comprehensive bibliographic survey of genetic studies publications, Graham Falconer lists 676 titles published from 1970 to 1988 (with a distinct global trend amongst them).<sup>129</sup> One routinely finds articles on *critique génétique* in general reference books on literary criticism in both French and English publications. Undeniably, its permanence as a significant literary movement is clear. The question arises: What events led to this?

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<sup>128</sup> Lernout, "Genetic Criticism," 65.

<sup>129</sup> Falconer and Sanderson, "Bibliographie des études génétiques littéraires," 287-352.

As opposed to many other literary movements that emerged in France in the early 1970s, the modern practice of *critique génétique* (as opposed to precursors within literature and literary criticism that can be found since the 19<sup>th</sup> century) began outside the academy and within the French government-funded research institution, *Centre National de la Recherche Scientifique* (CNRS). The precipitating event was the donation of a large amount of manuscript material produced by the German poet Heinrich Heine which was donated to the Bibliothèque Nationale in 1966. Louis Hay led a team dedicated to identifying, classifying, and cataloging upwards of five thousand folios.<sup>130</sup> The Heine team combined with teams of researchers working on Proust and Zola manuscripts led to the creation of the Centre d'Analyse des Manuscrits Modernes (CAM) in 1974. This later expanded to include studies on other canonical French authors such as Flaubert, Valéry, Nerval, Sartre as well as contemporary writers such as Triolet and Aragon.<sup>131</sup> In 1982, CAM became the Institut des Textes et Manuscrits Modernes (ITEM) under CNRS. Since then, ITEM has maintained its status as the most important locus of activity for the research and dissemination of *critique génétique* scholarship. This includes the production of *Genesis*, an academic journal dedicated to *critique génétique* since 1992, and the scholarly collection *Textes&Manuscrits*.<sup>132</sup> Today, it supports just under 40 teams and one hundred people (researchers and staff) “that share the same object of study: the manuscript document and a same methodological approach: genetic criticism.”<sup>133</sup>

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<sup>130</sup> Louis Hay, “Qu’est-ce que la Critique Génétique?”

<sup>131</sup> Pierssens, “French Genetic Studies,” 619-620.

<sup>132</sup> Louis Hay, “Qu’est-ce que la Critique Génétique?”

<sup>133</sup> Institut de Textes et Manuscrits Modernes, “Enjeux de recherché,” ITEM, accessed May 30, 2013. <http://www.item.ens.fr/index.php?id=106>. Original: “qui partagent un même objet d’étude : le document manuscrit et une même approche méthodologique : la critique génétique.”

## 2.2 Historical Context

The emergence of *critique génétique* can be considered against a background of three fields: traditional textual criticism, early studies of authorial manuscripts, and the dominant movements of structuralism and post-structuralism in literary criticism of the 1960s and 1970s. While *critique génétique* as a modern practice is just over 40 years old, the study of variant texts and the transmission of these texts have a much older history. This is specifically exemplified by the discipline of textual criticism which includes classical philology and editorial theory. Like *critique génétique*, textual criticism's object of study is a text and its variants. *Critique génétique* can largely be defined by how its approach differs from traditional philological approaches to the text. It is therefore necessary to expound upon the basic approach of textual criticism in the first half of the 20<sup>th</sup> century in order to give some context to the emergence of *critique génétique* in the early 1970s.

In textual scholarship concerned with variants of ancient texts that came about as a result of text transmission (whether it be scribal or typographical), which is often referred to as classical philology, the dominant method of producing an "authoritative text" was advocated by Karl Lachmann in the early 19<sup>th</sup> Century.<sup>134</sup> As Jerome McGann states, the Lachmann method had as its aim "to work out textual errors by revealing the history of their emergence."<sup>135</sup> Lachmann's approach was contingent upon considering the textual variation or "errors" produced through its transmission as a "corruption" and, as McGann

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<sup>134</sup> Sally Bushell, *Text as Process: Creative Composition in Wordsworth, Tennyson, and Dickinson* (Charlottesville and London: University of Virginia Press, 2009), 10.

<sup>135</sup> Jerome J. McGann, *A Critique of Modern Textual Criticism* (Chicago: University of Chicago Press, 1983), 15.

puts it, “ultimately, the method sought to ‘clear the text’ of its corruptions and, thereby, to produce (or approximate) – by subtraction, as it were – the lost original document, the ‘authoritative text.’”<sup>136</sup> This could be done by first comparing existent variant texts and then producing a *stemma* showing their relation (which parts of what variant text derive from the oldest source). From this stemma, the original – or a close approximation of it – could be constructed that represented the text as the original author intended.

However, as the focus of study shifted from the ancient texts of classical philology, where the original authorial text is often lost, to more modern works, for which there often existed a variety of authorial pre-publication documents, Lachmann’s approach was seen as insufficient by European and Anglo-American textual critics. A first “radical challenge” to the Lachmannian Method came from France’s Joseph Bédier in the 1920s. For Bédier, the Lachmannian method was flawed in that it too often resulted in a bipartite stemmata pre-figured by the textual critic in which two texts could be used to construct the authoritative text.<sup>137</sup> For Bédier, rather than have a text “manufactured eclectically by a modern scholar” it provided more historical grounding to select a single best text. In cases where there existed multiple pre-publication texts Bédier’s “best-text” editing was influential.<sup>138</sup> Deciding which text was the best text was based on authorial intention as proponents of the “best-text” method searched for a final authoritative text based upon a

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<sup>136</sup> McGann, *A Critique*, 15.

<sup>137</sup> Conr Fahy, “Old and New in Italian Textual Criticism,” in *Voice, text, hypertext: Emerging practices in textual studies*, eds. Raimonda Modiano, Leroy F. Searle, and Peter Shillingsburg (University of Washington Press, 2004), 403.

<sup>138</sup> Fahy, “Old and New,” 403.

theory of final intentions which found that the author's final manuscript before publication had the most authority.<sup>139</sup>

Other Anglo-American textual critics such as R.B. McKerrow, W.W. Greg and Fredson Bowers, put forth methods in the first half of the 20<sup>th</sup> Century that sought a “copy-text” – a “definitive” text derived from elements of several variants – via an approach to editing referred to as eclecticism.<sup>140</sup> Outlined in his “The Rationale of Copy-Text”<sup>141</sup> (1950-51), Greg's approach was widely adopted and advocates considering the first published edition of a literary work as best for “accidentals” (“surface” variants that do not engage or affect meaning) but not necessarily for “substantives” (variants that alter the semantic content of the text).<sup>142</sup> Thus, within this model, a definitive text is produced that reflects various aspects of different historical variants (hence the term eclecticism). Regardless of their differences, the three widely-adopted traditional approaches to textual criticism outlined above all find textual variants to be problematic and, regardless of the editorial methods taken, all appeal to what McGann terms “final authorial intention” to construct or identify a “definitive” text.<sup>143</sup>

Proponents of French *critique génétique* find that these philological approaches are problematic in two basic ways, one methodological and one epistemological. Biasi finds that traditional philological approaches to works for which substantial pre-publication documents exist, such as “best-text” and eclectic methods, imported the basic idea of

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<sup>139</sup> McGann, *A Critique*, 19.

<sup>140</sup> Erick Kelemen, *Textual Editing and Criticism: An Introduction* (New York: W. W. Norton & Company Incorporated, 2009), 105.

<sup>141</sup> W.W. Greg, “The Rationale of Copy-Text,” *Studies in Bibliography* 3 (1950/1951): 21.

<sup>142</sup> Kelemen, *Textual Editing*, 103.

<sup>143</sup> McGann, *A Critique*, 23.

source and textual corruption from classical philology without objectively considering that a scribe creating a variant by copying a text was wholly different from an author rewriting text.<sup>144</sup> For Biasi, traditional textual criticism appeal to “final authorial intention” in their ultimate goal of identifying or producing a “definitive” text (whether this is a single historical text or a text derived from a multitude of competing historical textual variants). In contrast, *critique génétique* can be viewed as attempting to achieve the opposite. Practitioners of *critique génétique* deny the notion of a “definitive” text by seeking and appealing to genetic textual variants while conducting literary critical acts. Biasi points out the difference in approach by asking, “how does one speak of ‘variants’ in the absence of anything invariant?”<sup>145</sup> If variants are not defined by their relationship to a “definitive” text, the notion of “variant” is undermined. As will be discussed below, this division between text and variant (what *critique génétique* terms the *avant-texte*) is a central notion in *critique génétique*.

From a wider, epistemological point of view, rather than taking part in mainstream literary criticism, these traditional philological pursuits were seen as isolated from literary criticism proper. Louis Hay finds that that there has been a “sometimes-discrete and sometimes-gaping fissure” between literary criticism and textual criticism in Europe and, particularly, the United States.<sup>146</sup> Indeed, Anglo-American textual scholars such as Jerome McGann, as early as 1983, have noted the “failed marriage” between textual

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<sup>144</sup> Biasi, *Le Génétique des Textes*, 20.

<sup>145</sup> Ibid. Original: “comment parler de ‘variantes’ en l’absence de tout invariant?”

<sup>146</sup> Louis Hay, *La Littérature de Écrivains* (Paris: José Corti, 2002), 59.

criticism and literary criticism despite, as D.C. Greetham finds, “the attempt to create a dialogue between literary theory and the textuists.”<sup>147</sup> Hay states,

From the 19<sup>th</sup> century and under the influence first of medieval [or classical] philology, textual criticism wanted to preserve its autonomy by refraining from interfering with literary interpretation. A century later, under the attraction of formalist models, hermeneutics wants in turn to remove all that is raised by the philological outlook.<sup>148</sup>

Hay finds that this fissure was exacerbated during the hey-day of the French *Nouvelle Critique*.

The *Nouvelle Critique*, which can be said to have Barthes as its most well-known representative, was a movement of post-war literary criticism which reacted against the neo-positivist study of literature in French academic circles at the time. It is said to have begun with Barthes’ *Mythologies* in 1957 and after flourishing in the 1960s ended around 1980.<sup>149</sup> It includes such diverse literary critics as Lucien Goldmann, Charles Mauron, Jean-Pierre Richard, Jean Starobinsky, Georges Poulet and, importantly, Roland Barthes.<sup>150</sup> Consisting of scholars who tended to use sociology, psychoanalysis, Marxism and existentialism in their critical practice.<sup>151</sup> The *Nouvelle Critique* reacted against the dominant type of “academic criticism” (or to use the French term, *critique universitaire*) that, as Wasiolek states, espoused a view of a literary work “which may be apprehended

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<sup>147</sup> David C. Greetham, *Theories of the Text* (Oxford: Oxford University Press, 1999), 2.

<sup>148</sup> Hay, *La Littérature*, 59. Original: “Dès les XIXe siècle et sous l’influence première de la philologie médiéval, la critique textuelle a voulu préserver son autonomie en s’interdisant d’interférer avec l’interprétation littéraire. Un siècle plus tard, sous l’attraction des modèles formels, l’herméneutique veut à son tour écarter tout ce qui relève des conjonctures de la philologie.”]

<sup>149</sup> George Watson, “La Nouvelle Critique Portrait of a Dinosaur,” *The Sewanee Review* 90, no. 4 (Fall, 1982): 541.

<sup>150</sup> Edward Wasiolek, “Introduction,” in *The New Criticism in France*, Serge Doubrovsky, trans. Derek Coltman (The University of Chicago Press, 1973), 2.

<sup>151</sup> *Ibid.*, 4.

by patient accumulation of historical evidence and the analysis of such evidence according to the generally accepted norms of rational discourse.”<sup>152</sup> Rather, than be “self-effacing before an objective text,” the *Nouvelle critique* movement emphasized “highly subjective reasoning.”<sup>153</sup> While some commentators, mainly within Anglo-American discourse, have reduced this polemic to biographism versus textualism – or “intrinsic” versus “extrinsic” criticism, of which can be found in the American New Criticism discourse – this does not reflect the French situation accurately.<sup>154</sup> Nor is it just to say that the French *Nouvelle Critique* follows American New Criticism wholly. The two movements can be seen to have much in common, following Barthes’ writing in particular, but there are significant differences. For example, while Barthes advocates a type of criticism that is congruent with the notions of “the intentional fallacy” and denigrates “the reduction of a literary work to biographical or historical correspondences,”<sup>155</sup> he differed in that, unlike the American New Critics, he, and the *Nouvelle Critique*, did not appeal to the idea of “an objective text, which could be elucidated by critical process.”<sup>156</sup> For Barthes, and the French *Nouvelle Critique*, an objective text was an illusion and subjectivity was an unavoidable reality in any critical activity taken regarding a text. Thus, commentator Edward Wasiolek can state that, “Barthes is, then, at one with American New Critics in wanting to read the literary work *immanently*, but he is very far from them in the way that he believes it can be done.”<sup>157</sup>

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<sup>152</sup> *Ibid.*, 3.

<sup>153</sup> *Ibid.*, 4.

<sup>154</sup> *Ibid.*, 3.

<sup>155</sup> *Ibid.*, 5.

<sup>156</sup> *Ibid.*, 9.

<sup>157</sup> *Ibid.*, 8.

Hay finds that under the dominance of the French *Nouvelle Critique*, “criticism abandoned *the explication of the text* as a major exercise of literary study” in that from its *immanent* perspective, it was not interested in the text’s production.<sup>158</sup> *Critique génétique*, as Hay conceived it, attempts to unify the “explication of the text” with hermeneutical activity.

Importantly, Biasi notes, rather than emerging from a vacuum, *critique génétique* as a literary critical activity was preceded by scholarly publications (which Biasi refers to as “les anciennes études de genèse”) from the turn of the 19th century until the 1950s who “had sporadically revived the critical discourse on the rails of a certain positivist scholarship.”<sup>159</sup> Studies undertaken in the 1920s and 1930s by scholars such as G. Rudler, P. Audiart, Thibaude and Lanson prefigured modern *critique génétique* but either had methodological problems – such as identifying the source of influence on an author “without following a previous complete study of the documentary dossier” – or fell within the bounds of traditional textual critical activity by showing the need for corrections of a published edition based on a “definitive copy.”<sup>160</sup> Likewise, a significant number of genetic studies of literary works emerged in France during the 1950s and 1960s, but their lack of unified approach made them easily relegated to the positivist type of literary endeavour and therefore easily eclipsed during the reign of structuralism during these years in France.<sup>161</sup> Thus, it is not without a certain amount of irony that the

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<sup>158</sup> Hay, *La Littérature*, 60. Original: “la critique délaisse l’explication du texte comme exercice majeur des études littéraires.”

<sup>159</sup> Biasi, *Le Génétique des Textes*, 18. Original: “ont sporadiquement relancé le discours critique sur les rails d’une certaine érudition positiviste.”

<sup>160</sup> Ibid. Original: “sans procéder préalablement à une étude complète des dossiers documentaires réunis par l’écrivain.”

<sup>161</sup> Ibid., 25.

modern practice of *critique génétique* occurred within the structuralist and post-structuralist intellectual climate of France in the early 1970s.

In order to unify the genetic method and solve the problems associated with the traditional philological approach, *critique génétique* needed the “critical panorama” of structuralism and post-structuralism that was indispensable to a “coherent approach towards problems that faced the study of manuscripts.”<sup>162</sup> Specifically, the necessary catalyst was the concept of text that was so key to both movements. While, as Biasi states, the concept of text from structuralism and post-structuralism “was (at least in appearance) diametrically opposed to the genetic hypothesis,” the formalist period gave *critique génétique* “immense profit.”<sup>163</sup> Literary critic, Marion Schmid, summarizes the historical narrative in the following passage:

Whilst the dominant schools of thought from the 1940s onwards (The Russian Formalists, the American New Critics, the French Structuralists, or the German Werkimamente Methode) had treated texts as closed entities with no outside referent and explained in terms of their internal relations only, the post-structuralist avant-garde, led by Roland Barthes, Julia Kristeva and Jacques Derrida, refutes the notion of text as a closed literary system and replaced it by that of text as production.<sup>164</sup>

Specifically, post-structuralist theories of text allowed *critique génétique* to, as Schmid writes, “liberate itself from the premises of classical scholarships [philology and literary history] and to define its own anti-teleological and anti-normative stance.”<sup>165</sup> Biasi agrees. Following these conceptions, a work’s text is “the space of a deconstruction-

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<sup>162</sup> Ibid., 26. Original: “une approche cohérente des problèmes que posent les études de manuscrits.”

<sup>163</sup> Ibid. Original: “était (au moins en apparence) diamétralement opposé à l’hypothèse génétique.”

<sup>164</sup> Marion Schmid, *Processes of literary creation: Flaubert and Proust* (Oxford: European Humanities Research Centre of the University of Oxford, 1998), 12.

<sup>165</sup> Ibid., 13.

reconstruction open to the infinity of exchanges placed in evidence by intertextuality.”<sup>166</sup>

While the concept of the production of text being diachronic by the nature of writing conflicted with the “synchronic obsession”<sup>167</sup> of structuralism and post-structuralism, *critique génétique*’s theoretical claim of a temporal and diachronic aspect of the text was an “unexpected extension of structural research.”<sup>168</sup>

It was a year after the Heine manuscripts arrived at the Bibliothèque Nationale that Hay wrote a seminal article “Des Manuscrits, Pour Quoi Faire?”<sup>169</sup> Under the heading “Les études de genèse et la nouvelle critique,” Hay called for a scholarly approach to manuscripts couched within concepts relating to the emerging movements of post-structuralism and *nouvelle critique* in France.<sup>170</sup> He writes that this comes,

at a moment where all currents of criticism that reclaim structuralism tend to privilege the study of the complete work, to postulate meaning exclusively of the definitive text... Linguists and critics have up until now [been] hurried and have hardly have had the leisure of applying to the “work-in-becoming” the analyses attempted on the finished work. One such approach is not however at all illegitimate: it seems difficult to decide the meaning of a work in denying all sense to the steps that gave birth to it. A pragmatic examination confirms elsewhere the inanity of one such opposition and this of the lexical level: if in the final text the word is enlightened by a network of correlations, in the elaboration, its weight is clarified by a series of confrontations with the other terms envisioned in its place.<sup>171</sup>

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<sup>166</sup> Biasi, *Le Génétique des textes*, 26. Original: “l’espace d’une déconstruction-reconstruction ouverte sur l’infinité des échanges mis en évidence par l’intertextualité.”

<sup>167</sup> *Ibid.*, 27.

<sup>168</sup> *Ibid.*

<sup>169</sup> Louis Hay, “Des Manuscrits, Pourquoi Faire?” *Le Monde* 8 (1967), printed in Louis Hay, *La Littérature de Écrivains* (Paris: José Corti, 2002), 33-35.

<sup>170</sup> *Ibid.*, 34.

<sup>171</sup> *Ibid.*, 34. Original: “à un moment où tout un courant de critique qui se réclame du structuralisme tend à privilégier l’étude de l’œuvre achevée, voire à postuler la pertinence exclusive du texte définitif... Linguistes et critiques sont jusqu’alors allés au plus pressé et n’ont guère eu loisir d’appliquer à l’œuvre en devenir les analyses tentées sur l’œuvre terminée. Une telle démarche n’est pourtant nullement illégitime: il paraît bien difficile de statuer sur la signification d’une œuvre en déniait tout sens à la démarche qui l’a fait naître. Un examen pragmatique confirme d’ailleurs l’inanité d’une telle opposition et cela dès le niveau du lexique: si dans le texte final le mot s’éclaire par un réseau de corrélations, dans l’élaboration, son poids se précise par une série de confrontations avec les autres termes envisagés à sa place.”

Hay sought to consider textual variants associated with a text with the post-structuralist “network of correlations” that result in deriving meaning from it. This highly influential and brief article at once called for an expansion of the literary object of analysis to include the production of a text and distanced the study of manuscripts from the positivist traditional of philology. He continues,

The diverse aspects of criticism will be confronted in their turn with historical and philological research. The work that will be forged around the writing of Heinrich Heine will open new perspectives not only on a singular or significant work but on their own methods.<sup>172</sup>

Thus, for Hay, literary criticism could address manuscripts free from constraints of authorial intention of the traditional philological approach to the creative process by appealing to the structuralist and post-structuralist concepts of the text. The text was not viewed as having “profane or sacred authority of the immutable written word,”<sup>173</sup> but as “mobile, multistranded, and overflowing with referential codes.”<sup>174</sup> *Critique génétique* follows a structuralist and post-structuralist view of the “text,” yet the emphasis on the process of writing by a human subject inherent in the materiality of the manuscript page goes against the anti-authorial approaches of these literary movements. Acknowledging this, Hay admits that the author “has little place in modern criticism, fallen into disrepute first because of the banality of biographical commentaries, and subsequently removed from the text by the strict theoretical approach of formal analysis”<sup>175</sup> But, he notes that,

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<sup>172</sup> Ibid., 35. Original: “Les divers aspects de la critique seront confrontées à leur tour avec les recherches historiques ou philologiques. Les travaux qui noueront autour des écrits d’Henri Heine ouvriront des perspectives nouvelles non seulement sur une œuvre singulière et significative mais sur leurs propres méthodes.”

<sup>173</sup> Deppman, Ferrer and Groden, “Introduction,” 5.

<sup>174</sup> Ibid.

<sup>175</sup> Hay, “Does ‘Text’ Exist?,” 73.

“in dealing with writing, criticism inevitably encounters the moment of the writing itself. It is stretched out between the author's life and the sheet of paper like a drumskin on which the pen beats its message.”<sup>176</sup> In this way, Hay sees *critique génétique* as a resurgence of the “writing subject” and advocates taking the “author into consideration once again.”<sup>177</sup> These foundational concepts led to a paradoxical relationship with the principles of traditional philology and those of structuralist and post-structuralist thought. While *critique génétique*'s object of study (genetic documents) overlaps with that of philology and textual criticism, the adoption of concepts of text from structuralist and post-structuralist thought distances it from the traditional practice in these fields. Paradoxically, at the same time, the acknowledgement of textual origins and the insistence on a diachronic aspect of text distanced *critique génétique* from post-structuralism and aligned it closer to philology.

### 2.3 Foundational Principles of *Critique Génétique*

Scholars such as Jean Bellemin-Noël, Grésillon, Daniel Ferrer, Biasi, and Hay himself, would follow the call for a literary critical analysis of variant texts found in Hay's aforementioned article. By the 1980s, *critique génétique* had carved out a theoretical space for itself within literary criticism that was distinct from traditional philology as well as post-structuralism. Following Graham Falconer, this theoretical framework can be broadly categorized according to *critique génétique*'s approach to three basic textual issues. These are: the refutation of *singularity*, the refutation of *finalism*, and the re-

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<sup>176</sup> Ibid.

<sup>177</sup> Ibid., 74.

evaluation of *authorial intention* and its role in the creative process and literary critical activity. As will be seen, these concepts significantly overlap within *critique génétique*'s theoretical framework, especially with regard to the theoretical import of the concept of the *avant-texte* and are not easily considered separately. The amalgam of them can be said to represent the genetic approach.

*Critique génétique*'s earliest proponents, Hay and Bellemin-Noël, contested a singular and definitive conception of a work's text. This was a radical stance considering the fact that the notion of a text as one fixed set of signifiers is an assumption at the heart of the structuralist and post-structuralist approach to literary criticism that dominated literary criticism in France in the early 1970s. For example, Barthes had advocated an inversion of the traditional conception of the text/work relationship in his "From Work to Text" (1971) from *Image-Music-Text*. In this essay Barthes inverts the traditional notions of "text" and "work" by stating that the "work," is the thing "held in hand" and the "text" is "held in language" rather than the other way around. In other words the text is "experienced," "an activity," something abstract whose existence is subject to the "infinite postponement of the signified."<sup>178</sup> While signification may be postponed infinitely by "the engendering of the perpetual signifier... in the field of the text," in Barthesian terms, the signifiers themselves (the words on the page) are fixed. The critical disinterest in the "becoming" of that fixed text – or set of signifiers – was seen by Hay and Bellemin-Noël as a blind-spot in the structuralist and post-structuralist approaches.

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<sup>178</sup> Roland Barthes, "From Work to Text," in *The Rustle of Language*, trans. Richard Howard (Berkeley: University of California Press, 1989), 58-59. Originally published in 1971.

As described above, as early as Hay's 1967 seminal article, the validity of deriving "meaning exclusively of the definitive text" as a literary critical practice had been questioned and would become a foundational conception within *critique génétique*.<sup>179</sup> Hay would summarize the plurality of the text this in his often-cited 1985 article, "Does 'Text' Exist?"<sup>180</sup> Here, Hay acknowledges the linguistic mode of thought in France in the 1950s to the early 1970s which held that "the aim of the critic is to build up the text as a scientific object to analyse, with precision, its constitutive system of forms, signification and functions."<sup>181</sup> But, Hay points out that this mode of thought "assumed the classical notion of text," that is, a single "closed" text.<sup>182</sup> Hay posits that a single text simply does not exist, but, rather, one can find many texts depending on which of four parameters one chooses. These parameters are "the history of the text, its internal coherence, the act of reading and the author's design."<sup>183</sup> Following these distinctions, the published text, for example, which is often considered to be the definitive text of a work, is de-privileged to be one text among possibilities. It is simply the text of a work under Hay's parameter of authorial design or intention "which becomes manifest in the act of publication."<sup>184</sup> Thus, the production of the text, or "the history of the text" as Hay puts it, as represented by often numerous variant texts and revisions created in the writing process is simply another, equally valid, representation of the text. However, as Hay notes, it was Bellemin-Noël that first articulated this theoretical problem and, most importantly,

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<sup>179</sup> Hay, "Des Manuscrits, Pourquoi Faire?," 34.

<sup>180</sup> Hay, "Does 'Text' Exist?"

<sup>181</sup> *Ibid.*, 67.

<sup>182</sup> *Ibid.*

<sup>183</sup> *Ibid.*, 72.

<sup>184</sup> *Ibid.*, 71.

“rekindled” the “old binary opposition between text and non-text” by introducing the concept of the *avant-texte*.<sup>185</sup>

In his pioneering work, *Le texte et l'avant-texte*, which has been considered the “true beginning of modern French genetic criticism,”<sup>186</sup> Jean Bellemin-Noël advocated a conception of text that included a “definitive,” published text as well as all the pre-existing variants created in the creative process.<sup>187</sup> He referred to the latter by the term *avant-texte* and, in doing so, appealed to structuralist and post-structuralist connotation of text as a set of signifiers but also expanded this notion to include a temporal dimension. He defines the *avant-texte* as “the group of items consisting of rough drafts, manuscripts, proof sheets, [and] ‘variants,’ viewed from the stance of that which materially precedes a work is treated as a text and can make a [relational] system with [that text].”<sup>188</sup> Ferrer notes that Bellemin-Noël’s “text” in this conception has the connotations of the post-structuralist “text” of the 1970s, that is, “it enters in a systematically exploitable relationship.”<sup>189</sup> He also notes that this conception in Bellemin-Noël’s publication is particularly “audacious” coming one year after Roland Barthes’ aforementioned essay “From Work to Text.”<sup>190</sup> While Barthes’ synchronic approach to the text denies the

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<sup>185</sup> Ibid.

<sup>186</sup> Jed Deppman, Daniel Ferrer, Michael Groden, “Genetic Criticism,” *The Johns Hopkins Guide to Literary Criticism* (2nd ed., 2005), accessed Sept. 6, 2013.

<http://litguide.press.jhu.edu/cgi-bin/view.cgi?eid=119&query=genetic%20criticism>.

<sup>187</sup> Bellemin-Noël, *Le Texte et l'Avant-texte*, 15.

<sup>188</sup> Ibid. Original: “l’ensemble constitué par les brouillons, les manuscrits, les épreuves, les “variantes,” vu sous l’angle de ce qui précède matériellement un ouvrage quant celui-ci est traité comme un texte, et qui peut faire système avec lui.”

<sup>189</sup> Daniel Ferrer, “Avant-texte,” ITEM’s online *Dictionnaire de critique génétique*, accessed Dec. 21, 2010. <http://www.item.ens.fr/index.php?id=577463>. Original: “avec lequel il entre dans une relation systématiquement exploitable.”

<sup>190</sup> Ibid.

import of a text's origins, Bellemin-Noël expands this connotation of text by acknowledging its diachronic aspect – and the *writing* of the text, thus, a writing subject (the author). In essence, Bellemin-Noël's conception gives pre-publication documents created in the writing process the status of "text."<sup>191</sup> He writes, "what is *before* the published *text* is *already text* and *already the text*."<sup>192</sup>

While being at the heart of subsequent studies in *critique génétique*, the concept of *avant-texte* is, as Michel Contat states, "enormously complicated."<sup>193</sup> While some scholars use the term as a substitute for pre-publication documents, Bellemin-Noël clarified the concept of *avant-texte* in his 1977 publication by putting forth a nuanced definition that emphasized that the *avant-texte* is a critical construction. A result of critical activity, it consists of genetic documents arranged in a system according to a chosen critical principle.<sup>194</sup> Spurred by the necessity to address a "fuzzy-ness of vocabulary,"<sup>195</sup> Bellemin-Noël states, "an *avant-texte* is a certain reconstruction of that which has preceded a text, established by a critic with the aid of a specific method, in order to make the object of a reading in continuity with the given definitive [text]."<sup>196</sup> He distinguishes this from the "manuscript" which he defines as "a group of physical media

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<sup>191</sup> Jean Bellemin-Noël, "Psychoanalytic Reading and the Avant-texte," in *Genetic Criticism: Texts and Avant-textes*, eds., Jed Deppman, Daniel Ferrer, and Michael Groden (Philadelphia: University of Pennsylvania Press, 2004), 31. Originally printed as "Avante-texte et Lecture Psychanalytique," in *Avant-texte, Texte, Après-texte*, eds., Louis Hay and Péter Nagy (Paris: CNRS; Budapest: Akadémia Kiadó, 1982), 161-165.

<sup>192</sup> *Ibid.*, 30.

<sup>193</sup> Jacques Derrida, "Archive et Brouillon," in *Pourquoi la Critique Génétique? Méthodes, Théories*, eds. Michel Contat and Daniel Ferrer (Paris: CNRS Editions, 1998), 92.

<sup>194</sup> Jean Bellemin-Noël, "Reproduire le Manuscrit, Présenter les Brouillons, Établir un Avant-texte," *Littérature* 28 (1977): 3-18.

<sup>195</sup> *Ibid.*, 3. Original: "le flou du vocabulaire."

<sup>196</sup> *Ibid.*, 9. Original: "un avant-texte est une certaine reconstruction de ce qui précède un texte, établie par un critique à l'aide d'une méthode spécifique, pour faire l'objet d'une lecture en continuité avec le donné définitif."

baring on text that are fixed.”<sup>197</sup> Thus, for Bellemin-Noël, the *avant-texte* is an abstract construction rather than the physical group of documents themselves. Hay agrees finding that *critique génétique*, as the “theory of the text,” has two things as its object of study: the material document and also the “intellectual construction” of the *avant-texte*.<sup>198</sup> A more recent practitioner of genetic criticism, Marion Schmid, defines the stance of *critique génétique* as seeking to “redefine the status of *avant-texte* and published text, and examine the relation in which they stand to each other.”<sup>199</sup> The nature of the relationship and exact theoretical limits of the *avant-texte* and text within *critique génétique*’s theoretical framework is debated both internally and externally. Related to *critique génétique*’s denial of the singularity of a text is what can be termed the movement’s anti-finalist stance. One reason that *critique génétique* finds that there is no single, “definitive” text is that it does not valorize the “final” text simply based on its chronology compared to other textual variants. The *avant-texte* concept allows the questioning of relative status of the *avant-texte* and published text and, as Schmid states, “if we only consider a text in *statu nascendi*, we realize that the so-called ‘final’ version is only one version of a far more diverse and perhaps richer set of possibilities.”<sup>200</sup>

*Critique génétique* exposes the illusion of this finalist approach, that a textual variant only has literary critical value in terms of what it can bring to light about the final “definitive” text. This notion is possible because of *critique génétique*’s conception of the creative process. It refutes a teleological conception of the writing process as a linear

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<sup>197</sup> Ibid. Original: “un ensemble de supports matériels portant du texte, qui sont fixés.”

<sup>198</sup> Hay, “Does ‘Text’ Exist?,” 68.

<sup>199</sup> Schmid, *Processes of Literary Creation*, 18.

<sup>200</sup> Ibid.

progression from a nascent state of the text to the fully-formed final text. Bellemin-Noël's impetus for creating the concept *avant-texte* is telling as it arose from this anti-teleological stance toward the creative process. He found the term, *brouillon* (rough draft), objectionable as it implied that these documents were written with a perfect final state in mind.<sup>201</sup> However, in Bellemin-Noël's view, a rough draft was, in fact, a potentially acceptable formulation of the text that, only afterwards, an author found to be unwanted. He states:

The difficulty is that the text is not the point of culmination referred to during the writing, but a moment of balance. When we consider [this] only, more or less, a [moment of] instability, where and when does this decision occur that we call the work and that [which] is not a completion? [...] We therefore posit that in principle the *avant-texte* is the text and vice versa.<sup>202</sup>

For Bellemin-Noël, the expansion of the text of a work to include versions and variants created during the writing process is part and parcel with a non-teleological view of the writing process. A text is a "moment of balance" rather than a teleological "point of culmination" of the writing process. He elaborates on this non-teleological position in 1982, stating,

it is too idealistic to assume that somewhere a perfect Text already exists that writers must find like a treasure, nor, theoretically, from the perspective of how writers work, can one assume that Meaning of given writing exists and that writers need only obtain the most appropriate words for it, as through recipes.<sup>203</sup>

In other words, because Bellemin-Noël sees the conception of the creative process as groping towards perfection as "too idealistic" and that drafts represent one possible

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<sup>201</sup> Bellemin-Noël, "Psychoanalytic Reading," 30.

<sup>202</sup> Bellemin-Noël, *Le Texte et l'Avant-texte*, 15. Original: "La difficulté vient de ce que le texte n'est pas le point d'aboutissement visé pendant la rédaction, mais un moment d'équilibre; dès lors qu'on envisage seulement un plus ou moins d'instabilité, où et quand commence cette décision qu'on appelle l'œuvre et qui n'est pas un achèvement? [...] On pose donc en principe que l'avant-texte est le texte et réciproquement."

<sup>203</sup> Bellemin-Noël, "Psychoanalytic Reading," 30.

formulation of many, he posits that these drafts can be as valid, from a literary critical standpoint, as the final text. Indeed, finality holds no import in and of itself. Daniel Ferrer, a Director of Research at ITEM who has substantially contributed to *critique génétique* theory, refers to this “idealistic” notion of the creative process as the “myth of prefiguration” which he likens to the assumption that a text is like a “mental statue” which is “waiting to be disengaged from the block of marble.”<sup>204</sup> Ferrer goes so far as to blur the distinction between programmatic writing, the process of writing with an intended final structure in mind, and process writing, writing without an intended final structure. He finds that programmatic writing is simply “a special case of process writing” and that “the intention shapes up along the way, in the course of the elaboration of the work...., and to situate it at a point of origin is nothing but a convenient myth.”<sup>205</sup>

Almuth Grésillon agrees with Bellemin-Noël that a “teleological stance,” under the adoption of the “finalist illusion,” “perverts interpretation.”<sup>206</sup> However, she argues that all the connotation of teleology cannot be thrown out completely due to the nature of the writing process taking place in a chronological sequence.<sup>207</sup> In doing so, Grésillon admits a taking a certain teleological conception of the process of writing in the classification and organization of the genetic dossier (she advocates the term “genetic dossier” as a replacement for *avant-texte*). She states that

the reading, classifying, and transcribing of the documents finally in restoring the successive writing operations – can resemble a formidable teleologic enterprise, that is to say, a reader oriented by a *telos*, a formality, pre-established as a

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<sup>204</sup> Daniel Ferrer, “Clementis’s Cap: Retroaction and Persistence in the Genetic Process,” *Yale French Studies* 89 (1996): 232.

<sup>205</sup> *Ibid.*, 227.

<sup>206</sup> Grésillon, *Éléments de Critique Génétique*, 138.

<sup>207</sup> *Ibid.*, 136.

function of a certain textual ‘ideology’: the text in this perfect form, complete, towards which all the magma of pre-textual drafts inexorably tends.<sup>208</sup>

She finds that arranging the manuscripts following an order of “successive operations” seems to reflect a conception of writing as a “linear progression.”<sup>209</sup> That, “without a doubt, no more than in writing is an activity oriented by time. We cannot dispute this. Like the group of the production of language, the acts of writing or rewritings identified in the genetic dossier are thereby subordinated by the law of successivity.”<sup>210</sup> However, she warns that there is a temptation to yield to the “teleological illusion” with regard to the import of this “successively.”<sup>211</sup> She warns that the genetic practitioner must be careful not to “transform the chronological discourse to the evaluative discourse” by “replacing a ‘before/after’ relationship with ‘worse/better’.”<sup>212</sup>

Ferrer echoes this caveat when he states, “teleology is not a critical artifact, it is inherent in the genetic mechanisms.”<sup>213</sup> He, in fact, does not renounce a teleological stance toward the relationship between the *avant-texte* and the text but advocates a plural teleology, “a teleology that is multiple.”<sup>214</sup> Ferrer identifies a type of reverse teleology in which the *avant-texte* is “retrogradedly” affected by the projected “intention” of the final work, just as the final work is affected, in hindsight, by the *avant-texte* and its

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<sup>208</sup> Ibid. Original: “lire, classer, et transcrire des documents afin d’en restituer les opérations successives de l’écriture – peut ressembler à une formidable entreprise téléologique, c’est-à-dire une lecture orientée par une *telos*, une formalité, préétablis en fonction d’une certain “idéologie” du texte: le texte comme cette forme parfait, achevée, vers laquelle tend inexorablement tout le magma avant-textuel des brouillons.”

<sup>209</sup> Ibid.

<sup>210</sup> Ibid., 139. Original: “Nul doute non plus que l’écriture est une activité orientée par le temps, on ne sortira pas de celà. Comme l’ensemble de la production langagière, les actes d’écriture ou de réécriture repérables dans un dossier génétique sont ainsi subordonnés à la loi de successivité.”

<sup>211</sup> Ibid., 137.

<sup>212</sup> Ibid., 138.

<sup>213</sup> Ferrer, “Clementis’s Cap,” 230.

<sup>214</sup> Ibid.

procedures. For Ferrer, this implies “a radical shift from a logic of anticipation to a logic of retroaction.”<sup>215</sup> The “logic of anticipation” describes the ways in which the final text can be seen to be anticipated, in various degrees, in the *avant-texte*. As opposed to this traditional formulation of the teleological approach, Ferrer’s point is that, additionally, there is a “logic of retroaction” in which we can find the effects of the projected final text in the *avant-texte*. In summary, he finds that, “one could say in this sense that it is not the genesis that determines the text, but the text that determines its genesis.”<sup>216</sup>

At its core, what differentiates *critique génétique* from traditional philology (as described above), for Biasi, is that traditional philologists concentrate on final texts or, at least, very late compositional states, while practitioners of *critique génétique* deem “these disorderly documents, covered with crossings-out and additions, often difficult to order and decode” as worthy objects of study.<sup>217</sup> Thus, to summarize, while *critique génétique* does not deny a chronological orientation to the writing process, it refutes the finalism in interpretive or evaluative activity.

Finally, aside from the aspects of singularity and finality, *critique génétique* considers the role of the authorial intention in its critical activity in various ways that challenge those of traditional philology as well as structuralism and post-structuralism. This is perhaps the most complex aspect of *critique génétique* as it at once acknowledges some aspects of authorial intention and denies others. The seeming contradiction is avoided, however, as, rather than seeing authorial intention as a monolithic single entity, *critique génétique* appeals to the author in variety of ways. On one hand, *critique génétique*

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<sup>215</sup> Ibid., 228.

<sup>216</sup> Ibid., 230.

<sup>217</sup> Biasi, “What Is a Literary Draft?,” 28.

appeals to authorial intention in identifying the division between the text and *avant-texte*. As Hay finds, “the authors intention which becomes manifest in the act of publication” leads to this division.<sup>218</sup> On the other hand, while this private/public division of the *avant-texte/text* is accepted, the critical importance and weight given to “final authorial intention” is denied in *critique génétique*. This distinguishes it from traditional philology as practiced by Bédier and Anglo-American editorial theorists before McGann. As outlined above, while these early textual critics consistently held final authorial intention as the factor upon which to base critical editions of works, genetic critics expand the notion of a work’s text in favour of a mobile *avant-texte/text* relationship.

In addition, while *critique génétique* does emphasize the origins of a text and, thus, a writing subject, it does not valorize intentions that exist outside the written word. Grésillon finds that, as opposed to the Barthesian structuralist and post-structuralist view in which the “death of the author” negates any consideration of origins, “manuscripts force us to understand, to take seriously the question of the agency of the writing. There is no way to avoid it.”<sup>219</sup> That said, *critique génétique* is not concerned with the personal intentions of the author, but only with textual elements. As Lernout states, *critique génétique* rejects the author’s intentions “which precede or otherwise transcend the written traces in the manuscript record.”<sup>220</sup> Practitioners of *critique génétique* are not interested in the author as such, but the act of writing by a writing subject. For example, genetic theorists often speak of the “text’s intentions.” As Lernout states,

a really radical philology limits the inquiry to the original desire-to-say of any form of writing and to its participation in a saturable and constraining context. If

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<sup>218</sup> Hay, “Does ‘Text’ Exist?,” 71.

<sup>219</sup> Grésillon, “Slow,” 120.

<sup>220</sup> Lernout, “Genetic Criticism,” 72-73.

it did not, it would forfeit all relevance. Take away a text's intentions and context, and the only thing left to say about it is that it can mean anything at all.<sup>221</sup>

In this way, while scholars of *critique génétique*, like those of structuralism and post-structuralism, are careful to avoid the intentionalist traps of other historically-based and positivist approaches especially with regard to hermeneutical pursuits, “in dealing with writing, criticism inevitably encounters the moment of the writing itself.”<sup>222</sup> Hay saw a resurgence of the importance of “writing subject” and advocated taking the “author into consideration once again.”<sup>223</sup>

## 2.4 Internal and External Polemics

These basic principles of *critique génétique* outlined above (regarding singularity, finalism, and authorial intention) amount to what Schmid calls an “orthodox” position within the movement of *critique génétique*. In fact, practitioners of *critique génétique* tend to fall within a gradient of stances regarding issues that range from being aligned with those of traditional philology to more radical “orthodox” notions.

The largest issue of contention is regarding the status of the *avant-texte*, specifically its theoretical delimitation as an entity distinct from the text, and its value as a literary critical object of study compared with that of the text. Sally Bushell, a genetic critic focusing on English poetry, observes an “ongoing tension” regarding the “question of the extent to which the *avant-texte* is, or is not, to be considered as just another kind of

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<sup>221</sup> Ibid., 72.

<sup>222</sup> Hay, “Does ‘Text’ Exist?,” 73.

<sup>223</sup> Ibid., 74.

text.”<sup>224</sup> Literary theorist Laurent Jenny, for example, finds the concept of *avant-texte* to be one of the “myths” of *critique génétique* because, as he states, an *avant-texte*,

derives its value from the consecration of the text that it precedes. But paradoxically, the establishment of the pre-text [read: *avant-texte*] tends to dissolve the textual entity that was precisely the one that gave it this value. The pre-text is therefore constantly threatened with becoming the antecedent of something nonexistent.<sup>225</sup>

Grésillon at once acknowledges this contradiction and embraces it while slightly modifying the conception of the difference between *avant-texte* and text in term of their social fields. She notes that the text is not the *avant-texte* by way of the fact that the text is “consecrated by a definitive edition.”<sup>226</sup> Thus, she sees the difference between *avant-texte* and text in terms of social function: a text “takes its social function from the existence of a real reader for whom it was written and published while “the manuscript is a document written for oneself, and is not generally meant to be seen by others.”<sup>227</sup> However, like Jenny, Grésillon sees that the publication of genetic editions in which the *avant-texte* is presented as a something to be read leads to the conclusion that there can be no “supposed otherness” that separates text and *avant-texte*.<sup>228</sup> She states that “the pre-text [or *avant-texte*], while retaining its specificity as a ‘laboratory product,’ as a ‘non-work,’ joins the ranks of the readable corpus of literature.”<sup>229</sup> She admits that these two

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<sup>224</sup> Bushell, *Text as Process*, 32.

<sup>225</sup> Laurent Jenny, “Genetic Criticism and its Myths,” trans. and Richard Watts, *Yale French Studies*, no. 89, Drafts (1996), 23.

<sup>226</sup> Grésillon, “Slow,” 115.

<sup>227</sup> *Ibid.*

<sup>228</sup> *Ibid.*

<sup>229</sup> *Ibid.*

notions are contradictory, but it is this “internal contradiction” that *critique génétique* seeks to expose.<sup>230</sup>

While defining the limits of the *avant-texte* has its difficulties, the degree of potential for critical activity contained in a work’s *avant-texte* is also understood as varied within the movement. As Lernout states, internal conflict arises “on the one hand from an avant-garde of hardliners who claim that official genetic critics still privilege the final text and on the other from those editors and critics who accuse it of the opposite sin.”<sup>231</sup> As an example of a scholar that could be accused of “the opposite sin” – that is, taking the *avant-texte* to be equal or even more valid than the text itself – Jean Levaillant’s approach can be considered.<sup>232</sup> In his collected essays on Valéry, he suggests “substituting the study of the genesis with the interpretation of drafts *considered as a text*.”<sup>233</sup> Because of the non-linear nature of writing, he refutes a conception of the draft, like Bellemin-Noël and Ferrer, as representing a text that is progressing toward completion. He elevates the critical import of the *avant-texte* (although he does not use this term) to be equal to that of the final text and takes the reading of the draft to replace the function of the “definitive” text.<sup>234</sup>

An intriguing response to the accepted “non-linear” conception of the writing process as described by Bellemin-Noël, Ferrer and Levaillant above, comes from Schmid in what she refers to as the “anti-teleology fallacy.”<sup>235</sup> She finds that, ironically the “hard line” position of many *critique génétique* practitioners “promote[s] one particular image of the

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<sup>230</sup> Ibid.

<sup>231</sup> Lernout, “Genetic Criticism,” 65.

<sup>232</sup> Jean Levaillant, “Écriture et génétique textuelle,” in *Écriture et Génétique Textuelle. Valéry à l’Œuvre*, ed. Jean Levaillant (Lille: Presses Universitaires de Lille, 1982), 13.

<sup>233</sup> Ibid. Original: “Substituer à l’étude de genèse l’interprétation du brouillon considéré comme un texte.”]

<sup>234</sup> Ibid., 14.

<sup>235</sup> Schmid, *Processes of Literary Creation*, 23.

genesis of texts which is that of disruption, randomness and incompleteness.”<sup>236</sup> Just as Grésillon’s description of *critique génétique* at the beginning of the chapter suggests, Schmid observes that some genetic critics can be accused of “overemphasiz[ing] the act of writing in comparison to broader aspects of literary production, such as the textual and linguistic” which results in a “fetishizing of writing.”<sup>237</sup> She finds that this is an “extreme stance” that “stem[s] from a desire to separate genetic criticism from other critical theories (structuralism, biographism) and from traditional philology (which tends to privilege the teleological reading).”<sup>238</sup>

Some criticism, from commentators outside the movement, focuses on the rhetoric and terminology employed by *critique génétique* practitioners. Lernout finds that *critique génétique*, as specifically advocated from research teams at ITEM, “exaggerates the novelty of its approach by exaggerating its post-structuralist legacy and simultaneously forgetting or obscuring the continuity with previous textual and editorial studies.”<sup>239</sup> As being referred to as a positivist endeavour “is the worst insult in French intellectual circles,”<sup>240</sup> Lernout finds that practitioners of *critique génétique* have couched their approach superficially in the rhetoric and terminology of structuralism and post-structuralism in order to seem more legitimate within the intellectual climate of 1970s France. Other commentators have gone further. As noted above, Davis accuses practitioners of *critique génétique*, such as Hay and Bellemin-Noël, of repressing a

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<sup>236</sup> *Ibid.*, 26.

<sup>237</sup> *Ibid.*, 24-25.

<sup>238</sup> *Ibid.*, 26.

<sup>239</sup> Lernout, “Genetic Criticism,” 61.

<sup>240</sup> *Ibid.*, 59.

subtext of a “cult of the manuscript [which] transforms material objects into holy relics” and avoiding “engaging with the theoretical debate surrounding the death of the author.”<sup>241</sup> For him, they are motivated “by their desire to get close to the author” but, through “self-censoring caution,” take pains not to state as much outright when referring to the author.<sup>242</sup> He finds Bellemin-Noël’s statement in *Le texte et l’avant-texte* telling. Davis identifies an implicit intellectual alignment with post-structuralism when Bellemin-Noël states, “the poem writes itself in spite of, even against, he who imagines he is master of his writer’s craft.”<sup>243</sup> For Davis, Bellemin-Noël sought to “be consonant with the post-structuralist notion that it is language which ‘speaks man’ and not the other way round” while Bellemin-Noël’s literary critical practice in the exploration of actual work by authors (such as Milosz) “remains fundamentally unchanged.”<sup>244</sup>

It should also be noted that *critique génétique*’s emergence in such close association with ITEM has led some critics to identify a latent aspect of *critique génétique* as being like a “contemporary collective science” with a “well-defined methodological process focusing on a well-defined corpus” rather than a being a literary critical movement as such.<sup>245</sup> Some scholars have even questioned the merit of the movement, wondering if *critique génétique* would have been so successful had it not been attached to this government body. For example, it has been asked “whether genetic criticism had any existence independent from ITEM or was simply a Parisian fad kept alive by the support

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<sup>241</sup> Davis, “The Author at Work,” 97 and 100.

<sup>242</sup> *Ibid.*, 95.

<sup>243</sup> Bellemin-Noël, *Le Texte et l’Avant-texte*, 12, quoted in Davis, “The Author at Work,” 95. Original: “*le poème s’écrit malgré, voire contre celui qui croit administrer tous ses gestes d’écrivain [...]*.”

<sup>244</sup> Davis, “The Author at Work,” 95-96.

<sup>245</sup> Pierssens, “French Genetic Studies,” 620.

of a state agency.”<sup>246</sup> Regardless of the answer, *critique génétique*’s value in this study will be derived from the innovation and usefulness of its concepts rather than its historical success as an intellectual movement. Indeed, even Hay states, “Unlike many [other approaches], *critique génétique* is not the daughter of a theory. It was born of empirical experience and always keeps in its method the traits of a practice.”<sup>247</sup>

Lernout finds that attacks on *critique génétique* have been common “as a result of its accomplishments.”<sup>248</sup> In any case, regardless of *critique génétique*’s accomplishments or internal and external polemics, it can be seen as a particular approach to the status of the text of a work based on objectively evaluating basic assumptions about the creative process. While not all the paradoxes and contradictions of *critique génétique* have been sufficiently laid to rest, a large body of literature resulting from its genetic critical activity should be capitalized on. However, if this application is to be fruitful, the crucial question remains: can the application of principles of *critique génétique* to sketch studies solve the arguments presented by Johnson which were explored in Chapter 1?

Some scholars such as Philip Gossett, perhaps prematurely, seem to suggest that sketch studies has already benefited from *critique génétique* and has even been incorporated into it thus neutralizing the threat that Johnson represented. Forty years after Johnson’s initial article, in Kinderman’s *Genetic Criticism and The Creative Process*, Gossett touts *critique génétique* as the antidote to Johnson’s argument.<sup>249</sup> Although he

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<sup>246</sup> Deppman, Ferrer and Groden, “Introduction,” 9.

<sup>247</sup> Hay, “Qu’est-ce que la Critique Génétique?,” 2. Original: “à la différence de tant d’autres, la critique génétique n’est pas fille d’une théorie. Elle est née d’une expérience empirique et garde toujours dans sa méthode les traits d’une pratique.”]

<sup>248</sup> Lernout, “Genetic Criticism,” 65.

<sup>249</sup> Philip Gossett, “Afterword,” in *Genetic Criticism and the Creative Process*, eds. William Kinderman and Joseph E. Jones (Rochester: University of Rochester Press, 2009), 217-220.

does not name Johnson by name, Gossett suggests that “a distinguished scholar who has devoted himself to the physical description of the Beethoven sketches” could only proclaim such “‘new critical’ thinking, which treasured and analyzed the art-work as if were born and completed in a vacuum” since music studies often adopts dominant notions in literary criticism after some time.<sup>250</sup> He states that Johnson “could – in the late 1970s – attack the entire enterprise of interpretive study of sketches by claiming that one couldn’t learn anything about the music from them: only a Schenkerian analysis of the independent and complete art-work could provide analytical insight. What a narrow definition of ‘analytical insight’!”<sup>251</sup> He continues: “Fortunately this perspective was subsequently attacked from two directions. The first viewpoint, often referred to as the ‘new musicology,’ was concerned largely with the cultural conditions of composition.”<sup>252</sup> This is the point taken up by Sallis and McCreless, as described in Chapter 1, when they find Johnson’s notions of analysis too antiquated and naïve thirty years later to be taken seriously.<sup>253</sup> The passage continues: “The second viewpoint built on techniques that had been developed, often in English-speaking countries, in studies of what was referred to as ‘compositional process,’ but which can trace their proud line of descent from mid-nineteenth century Germany. Thanks largely to our French and German colleagues, studies of ‘compositional process’ were broadened to develop into what the French have called *la critique génétique*, at term now circulating in English – as this book

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<sup>250</sup> Ibid., 217.

<sup>251</sup> Ibid.

<sup>252</sup> Ibid., 217-218.

<sup>253</sup> Sallis and Hall, “Introduction,” 4.

demonstrates – as ‘genetic criticism.’”<sup>254</sup> As the second viewpoint which attacks Johnson’s argument, Gossett clearly refers to sketch studies as the largely Anglo-American activity devoted to the “compositional process” that was “broadened” by *critique génétique*. However, it is not clear how sketch studies, according to Gossett, has been informed by *critique génétique* and by what particular scholars, principles, theories, or methodologies. To say that sketch studies “were broadened to develop into” something equivalent to *critique génétique* either means that Gossett does not have an understanding of *critique génétique*’s multifarious history as a movement or that Gossett over-estimates much of sketch studies’ theoretical parallels with *critique génétique*. It would be more apt to say that sketch studies should seek to appeal to principles of *critique génétique* (such as the denunciation of the singularity of text, finalism, and teleology and authorial intention). But, rather than seeing this as a “broadening” of sketch studies to be included in a interdisciplinary category of “genetic criticism” along with French *critique génétique* (as Gossett states), it would be better to prescribe a different action. There needs to be a “narrowing” of sketch studies such that its conception of the creative process appeals to the orthodox principles of foundational scholars of *critique génétique* such as Bellemin-Noël and Hay (and other contemporary-yet-similar-minded scholars such as Daniel Ferrer). To suggest that sketch studies has already achieved a solution to Johnson’s critique by referring to it as “genetic criticism” is simply pandering to epistemological labels rather than making fundamental changes in the theories and methods held within sketch studies. If such an approach continues without fundamental change, the idea

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<sup>254</sup> Gossett, “Afterword,” 217-218.

espoused by some intelligent music theorists that sketch studies is nothing more than fetishization of compositional artefacts will be rightly subject to reinforcement.

The application of the literary-specific concepts of *critique génétique* to musical works and texts requires some modification and raises some important questions that relate to Gossett's views. How does the historical discourse of sketch study incorporate (or not) *critique génétique*'s basic principles in its scholarship? Can *critique génétique*'s theories of text and the creative process apply to musical works as they apply to literary works? What are some of the distinctions or parallels? Does traditional sketch study and music philology in general follow the same theories of text as textual criticism in literary criticism? These questions must be tackled before undertaking a full genetic analysis of Hétu's *Suite* and are the subject of Chapter 3.

### Chapter 3 Sketch Studies and *Critique Génétique*: A Synthesis

Armed with the theoretic and methodological toolbox of *critique génétique*, musicologists have the ability to confront head-on the nexus between the study of the structure of the single, definitive text and its production history. The basic principles espoused by the literary movement of *critique génétique* in the 1970s, particularly the concept of a plural text, gave literary scholars the potential to address basic theoretic inconsistencies inherent in traditional approaches to studying sketches, drafts, and versions in literary and textual criticism. In the same way, the approach of *critique génétique* offers musicologists the capability of addressing similar inconsistencies pointed out most famously by Johnson in 1978 (as detailed in Chapter 1). However, naturally, questions arise. First, and most important, are there fundamental, or even irreconcilable, ontological differences between the dominant conceptions of the work-text relationship (or work-score relationship in music) espoused by the literary and musical arts that discourage such an application? Second, have music scholars utilized the approach espoused by *critique génétique* in the past? Finally, are there drawbacks in the cross-disciplinary act of directly applying the literary-specific theories of *critique génétique* to the study of music sketches?

It must be admitted that, as expected in any cross-disciplinary activity, challenges exist. One such challenge is the application of the mobile and relativist distinction between *avant-texte* and text espoused in *critique génétique* to the realm of music – a key conception for a theoretically-grounded sketch analysis. In the field of literary study, practitioners of *critique génétique* consider the assemblage of traces created during the writing process as a type of text, the *avant-texte*, which has a fluid status in relation to the

so-called definitive text (if a distinction is even decided to be made). Regarding music, can we speak of the score (the written trace of music) as a text that is ontologically analogous to the literary text? If so, can the written traces of the musical creative process (*i.e.* sketches) be considered a musical *avant-texte*? There is a multiplicity of conceptions within the musicological discourse on the ontological nature of the musical work, the musical text, and musical score.<sup>255</sup> Thus, to explore the possibility of a musical *critique génétique*, some of these most dominant conceptions must be examined and considered. The specific challenge in the application of *critique génétique* principles to music is the retention of the key concepts of *avant-texte* and *text* in the context of a performing art. After these considerations, this study finds that, while there are differences between the work-text ontology of music and literature, these differences do not preclude the applicability of key concepts of *critique génétique*, specifically that of the *avant-texte/text* distinction. This chapter argues that Jean-Jacques Nattiez's semiological theory of music presented in his *Music and Discourse*, with some modification, provides the best ontological positioning of work and text for the application of an orthodox conception of the *avant-texte*.<sup>256</sup> Nattiez's theory of a musical semiology is itself the result of a cross-disciplinary application of linguistics and structuralist literary theory to music and therefore seems to provide the most space for common ground.

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<sup>255</sup> A detailed explication of these ideas are found in section 3.2.

<sup>256</sup> Jean-Jacques Nattiez, *Music and Discourse: Toward a Semiology of Music* (Princeton, N.J.: Princeton University, 1990).

### 3.1 A “Genetic Criticism” of Music?

Closing the interdisciplinary divide is a slow process. In a 2015 article, Sallis states that, while *critique génétique* “has gained a foothold in North American universities and is gradually making itself felt in musicological circles” he still finds that “musicologists (even in France) have been slow to adopt the techniques and methodologies of genetic criticism.”<sup>257</sup> He advocates for the continuation of sketch studies to embrace *critique génétique*. This more than just a tip of the hat to this movement as the article itself was published in a book dedicated to genetic inquiry in music and edited by a leading practitioner and theorist of *critique génétique* and former director of ITEM.<sup>258</sup>

However, it is suggested here that a scholarly endeavor within musical sketch studies that wholly commits to the foundational principles of *critique génétique* (such as those put forth by Bellemin-Noël and Hay as explored in Chapter 2) has yet to be undertaken. The sub-discipline of sketch studies has not adopted these principles and a rigorous attempt to explore the potential of such a cross-disciplinary application is practically non-existent.<sup>259</sup> Certainly, some French and North-American musicologists active in sketch studies in the last 30 years have alluded to concepts and terms borrowed from *critique génétique*. Still, although the movement of *critique génétique* has been acknowledged in the discourse of musicology, scholars are divided on the validity of its approach. As it

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<sup>257</sup> Sallis, “Sketch Studies,” 83.

<sup>258</sup> Ibid.

<sup>259</sup> An exception comes from Jean-Louis Lebrave, a French literary scholar and *critique génétique* practitioner, who has broached the topic in two articles: Jean-Louis Lebrave, “Can Genetic Criticism be Applied to the Performing Arts?” in *Genetic Criticism and the Creative Process*, eds. William Kinderman and Joseph E. Jones (Rochester: University of Rochester Press, 2009) 68-80; and Jean-Louis Lebrave, “Textualité Verbal, Graphique, Musicale,” in *Genèses Musicales*, edited by Nicholas Donin, Almuth Grésillon, Jean-Louis Lebrave (Paris: Presses de l’Université Paris-Sorbonne, 2015), 21-33.

will be shown, some scholars see *critique génétique* as a fruitful resource for the study of sketches and the creative process while others are resistant to the epistemic change that a *critique génétique* of music would represent.

While “genetic” approaches to musical sketches in French-language scholarship have been undertaken at least as early as 1994,<sup>260</sup> the earliest references to this movement in English-language musicology can be found in William Kinderman’s 2003 publication, *Artaria 195: Beethoven’s Sketchbook for the Missa solemnis and the Piano Sonata in E Major, Opus 109*, in which the author nominally references the central concept of *critique génétique*, the *avant-texte*, and the *critique génétique* scholar, Jean-Louis Lebrave.<sup>261</sup> Kinderman, a scholar largely working in the field of Beethoven biography and sketch study, seems to have seen here the potential of a musicological *critique génétique* but it seems that the foundational principles of the movement were not explored. Since then, he has published several musicological studies under the heading of “genetic criticism,” including a collection of studies that include both literary and musicological research.<sup>262</sup> Kinderman’s identification of the potential benefits of a field of sketch studies that appeals to ideas of *critique génétique* (without adopting them wholesale himself) is not unique within Anglo-American and French music scholarship. For example, Philip Gossett states, regarding the state of the sub-discipline of sketch studies, “the French school of *critique génétique* has provided invaluable models for

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<sup>260</sup> The journal, *Genesis*, dedicated to mainly literary studies of *critique génétique* have dedicated two volumes to research in music: *Genesis* 4 (1994) and *Genesis* 31 (2010).

<sup>261</sup> Kinderman, *Artaria 195*, xii.

<sup>262</sup> See William Kinderman, “Beyond the Text: Genetic Criticism and Beethoven’s Creative Process,” *Acta Musicologica* 81, no. 1 (2009): 99-122; William Kinderman, *The Creative Process in Music from Mozart to Kurtág* (University of Illinois, 2012); and William Kinderman and Joseph E. Jones, eds. *Genetic Criticism and the Creative Process: Essays from Music, Literature, and Theater* (Rochester: University of Rochester Press, 2009).

future developments.”<sup>263</sup> Nicolas Donin, a French musicologist who has spear-headed a type of *in vivo* application of *critique génétique* to the study of the compositional process, edited a 2010 issue of *Genesis* devoted to music.<sup>264</sup> In an article exploring the theoretic issues inherent in his approach to studying new works during the compositional process, Donin notes that applying *critique génétique* ideas (such as the notion of *avant-texte*) to music is fruitful, but implies that an integration has yet to be established. He finds that, during the 20th Century, musicology, as a field, came very close to fixing its identity as being distinct from the rest of the humanities, and secluding itself, such that confrontations and overlaps with other fields in the humanities were minimized.<sup>265</sup> He finds that “musicology has seemed to fail, alone, to constitute composition as an object of study as a whole” and therefore needs to “intersect” with other fields in the humanities such as *critique génétique*.<sup>266</sup> That two musicologists, Gossett and Donin, prescribe an intersection of *critique génétique* and musicology in 2009 and 2010, suggests that a scholarly activity that sufficiently commits to the principles of this movement had yet to be fully undertaken.

While some scholars within the study of creative process in music have called for a continued intersection between *critique génétique* and musicology, others have had reservations as early as 2004. While it is true that Kinderman’s 2003 mention of the *avant-texte* concept can be considered the first hint at an interdisciplinary approach to

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<sup>263</sup> Gossett, “Afterword,” 220.

<sup>264</sup> Nicolas Donin, “Quand l’Étude Génétique est Contemporaine du la Processus de Création : Nouveaux Objets, Nouveaux Problèmes,” *Genesis, manuscrits, recherche, invention* 31 (2010), 13-36.

<sup>265</sup> Donin, “Quand l’étude,” 15.

<sup>266</sup> Ibid. Original: “la musicologie avait paru échouer, seule, a constituer la composition en objet d’étude à part entière.”

Anglo-American sketch study, a more substantial reference can be found only a year later in Friedemann Sallis's chapter, "Coming to Terms with the Composer's Working Manuscripts," in *A Handbook to Twentieth Century Musical Sketches*.<sup>267</sup> While Kinderman's passing mention of the term *avant-texte* is not central to his argument (that of examining the sketches of Beethoven) and seems to be an attempt to position sketch study within a broader critical activity examining the creative process, Sallis devotes more space to examining the movement. But, the latter has reservations about the general relevance of *critique génétique* to the study of the compositional process and, in particular, musical sketch study.

Sallis seems to invalidate the approach of *critique génétique* and affirm the inequality of the *avante-texte*/text relationship that *critique génétique*, in its most orthodox form, attempts to denounce. He cites Laurent Jenny and puts forth the latter's observation that proponents of *critique génétique* can be seen as belonging to two groups: "geneticists of the text" and "geneticists of writing."<sup>268</sup> Sallis agrees with Jenny in that the difference between the two lies in the teleological approach taken by the former group that is not taken by the latter. "Geneticists of the text" can be aligned with a traditional finalist type of literary manuscript study in which the critic "establishes an interpretation of the [product] via an examination of the [process]."<sup>269</sup> The latter group "seeks to understand the process of creative thought, using the traces of its wanderings" and is clearly more aligned with the movement of *critique génétique* as represented by its earliest proponents

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<sup>267</sup> Friedemann Sallis, "Coming to Terms with the Composer's Working Manuscripts," in *A Handbook to Twentieth Century Musical Sketches*, eds. Patricia Hall and Friedemann Sallis (Cambridge: Cambridge University Press, 2004), 43-58.

<sup>268</sup> Sallis, "Coming to terms," 56.

<sup>269</sup> *Ibid.*

such as Bellemin-Noël and Hay (although Sallis does not name them as such).<sup>270</sup> Sallis disagrees with Jenny, minimizing the validity of *critique génétique*, finding that his “sharp division” between the two groups is “overstated.”<sup>271</sup> Sallis states, “sketches produced as a part of a creative process are collected only after a creative artist has actually produced something of interest and the knowledge of that production inevitably acts as a background against which the working documents are studied.”<sup>272</sup> Here, Sallis’s “product of interest” is the final text. He finds that, because of the inevitable chronology of the creative process (*i.e.* working documents are usually only studied after the production of the final text has been published), critical activity is automatically and irrevocably skewed to study working documents against the “background” of the final text. It seems that this is enough for Sallis to dissuade himself from being a musical “geneticist of writing.”

Sallis’s observation is welcome criticism of *critique génétique*, but he fails to mention that, in fact, this point is a well-known trope in *critique génétique* discourse. Bellemin-Noël, for example, expresses a similar idea: “We never forget this paradox: what was written *before* and had, at first no *after*, we meet only *after*, and this tempts us to supply a *before* in the sense of a priority, cause, or origin.”<sup>273</sup> The crucial difference is that Bellemin-Noël acknowledges that a criticism that appeals to teleology is a temptation that should be suppressed while Sallis sees it as something that is unavoidable. Sallis finds that the *critique génétique* ideal of breaking free, as he states, “*ex nihilo*,” from

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<sup>270</sup> *Ibid.*

<sup>271</sup> *Ibid.*

<sup>272</sup> *Ibid.*

<sup>273</sup> Bellemin-Noël, “Psychoanalytic,” 31.

traditional assumptions regarding text and textual process is to believe it is possible to disregard an inheritance of “terms and concepts” that are inevitably “tainted by their own historicity.”<sup>274</sup> For Sallis, a textual criticism that appeals to teleology is inescapable not because of the nature of the creative process, but because of this “taint” of history. He states, “To this day, the study of the composer’s working documents remains influenced by the procedures, scholarly habits and modes of thought inherited from the discipline of philology” and that “to suggest... that this inheritance can be simply abandoned is naïve.”<sup>275</sup> Putting the issue of its naivety aside, this rigorous examination of inherited modes of thought (which consequently may have to be abandoned) is exactly in the spirit of *critique génétique*.

Aside from Sallis’s historical explanation, it seems that one major reason that sketch study scholars have not fully committed to *critique génétique*’s foundational principles is the difficulty in making a direct parallel between the ontological status of the work/text relationship within literature and the work/score relationship within music. Even within the scholarship that sees *critique génétique* as an opportunity to theoretically ground sketch-study scholarship, the foundational ideas of the movement have yet to be taken up as central principles. For example, while Kinderman adopts a stance that sees manuscripts “not as repositories of fixed texts but as partial records of a *process*,” he gives a caveat for the study of music in comparison to literature: that “music poses special interpretive challenges since it exists as perceived or imagined sound and not merely as notation.”<sup>276</sup> Similarly, regarding the application of ideas developed within the

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<sup>274</sup> Sallis, “Coming to terms,” 57.

<sup>275</sup> Sallis, “Coming to terms,” 53-57.

<sup>276</sup> Kinderman, “Beyond the Text” 100.

study of literary manuscripts to sketch study, Sallis points out that “literary and musical manuscripts are in many ways fundamentally different.”<sup>277</sup> He finds that, within some accepted ontologies of musical works, the “discrepancy between the score and the work as a sounding object effectively cancels the notion that one document can definitively represent the composer’s idea of the work.”<sup>278</sup> Sallis appeals to Roman Ingarden’s conclusions regarding the ontology of the musical work, particularly the latter’s refusal to grant that the score of a musical work can be “considered identical with the work itself,” but rather “only a schematic rendering of the composer’s ideas.”<sup>279</sup>

Thus, music scholars have been quick to point out the potential challenges of such seemingly divergent ontological accounts. It is notable, that the scholars that *have* attempted to broach a perceived gap between the status of work and text within literature and the performing arts have originated mainly within the field of literary criticism – albeit with inconclusive results. In 1994, Almuth Grésillon noted that the application of *critique génétique* to domains other than literature (including science, philosophy, and other artistic creation) was part of the goal of *critique génétique* in its early days.<sup>280</sup> She states,

If *critique génétique* can take its part in this venture by confronting its own data methods and genetic research with other domains of knowledge, if in return it is enriched by the contact with the whole of the written heritage [l’ensemble du patrimoine écrit], then it will have attained the promises it dared to make in its younger years.<sup>281</sup>

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<sup>277</sup> Sallis, “Coming to Terms,” 43.

<sup>278</sup> *Ibid.*, 53.

<sup>279</sup> *Ibid.*

<sup>280</sup> Grésillon, *Éléments de Critique Génétique*, 225.

<sup>281</sup> *Ibid.* Original: “Si la critique génétique peut prendre sa part dans cette aventure en confrontant ses méthodes aux données et recherches génétiques propres à d’autres domaines du savoir, si en retour elle s’enrichit au contact de l’ensemble du patrimoine écrit, alors elle aura tenu les promesses qu’elle a osé faire dans ses jeunes années.”

She finds that it is not prohibited to extend *critique génétique* theory outside the domain of writing to include other “semiotic systems” such as music and theatre. She does, however, foresee issues in this extension regarding the nature of text in other performing arts.<sup>282</sup> For example, she asks regarding theatre: “Is the theatrical text not inevitably incomplete as long as it has not been staged?”<sup>283</sup> She suggests that the genetic study of theatre must allow for a theatrical text that includes elements of performance or staging such as the “repeated visual and sounded material.”<sup>284</sup> Should this basic textual question not also be asked with regard to music?

This question was taken up by another practitioner of literary *critique génétique*. Jean-Louis Lebrave’s “Can Genetic Criticism Be Applied to the Performing Arts?” examines the ontological status of the aesthetic objects and agents present in the performing arts, including the concept of work, text, and performance.<sup>285</sup> In his examination of the creative process in Antoine Vitez’s theatrical staging and translation of Sophocles’ *Electra*, he specifically asks, “How should the roles of the director, the actors, and the author be defined? How does a theatrical text – a script – relate to its performance on stage?”<sup>286</sup> In applying a text-oriented theoretic framework such as *critique génétique* to music, one could easily modify Lebrave’s questions to the following: How should the

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<sup>282</sup> Ibid., 232.

<sup>283</sup> Ibid. Original: “Le texte théâtral n’est-il pas nécessairement inachevé aussi longtemps qu’il n’a pas connu de mise en scène?”

<sup>284</sup> Ibid, 234.

<sup>285</sup> Jean-Louis Lebrave, “Can Genetic Criticism be Applied to the Performing Arts?” in *Genetic Criticism and the Creative Process*, eds. William Kinderman and Joseph E. Jones (Rochester: University of Rochester Press, 2009) 68-80.

<sup>286</sup> Ibid., 68.

roles of *the musical performer and composer* be defined? How does a *musical* text – a *score* – relate to its performance on stage?

Regarding the nature of the written trace in the theatrical creative process, Lebrave finds that scripts are “clearly, the instructions for a future performance” and “not the performance itself.”<sup>287</sup> He contrasts this with the literary arts stating that, in the case of “novels or poems, the genesis of a staging leaves traces of the creating process, but the result of this process vanishes forever at the very moment it comes to fruition.”<sup>288</sup>

Lebrave finds that, “in contrast, in written prose or poetry, the genetic process terminates in a fixed durable product.”<sup>289</sup> Lebrave sees that performing arts such as music and theatre depend on a performance of a score or script. He asks “Can performance instructions, and therefore performance itself, be reduced to something ephemeral laid upon a work that is immortal only as a text in the case of a play, or as a score in the case of a musical work?”<sup>290</sup> In other words, can the script or score be equated with the text of a literary work, what Lebrave calls “a fixed durable product”? For Lebrave, this depends on whether the script or score can be read in the same way as a literary text. He is skeptical: “One might argue that a trained musician is able to read a score mentally, just as a reader reads a novel silently. But it is unlikely that musical scores will ever undergo the same evolution as written texts, with mental reading supplanting performances of the work. Likewise, silent reading is possible for the text of a play, but such readings will

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<sup>287</sup> *Ibid.*, 79.

<sup>288</sup> *Ibid.*

<sup>289</sup> *Ibid.*

<sup>290</sup> *Ibid.*

never make a performance superfluous.”<sup>291</sup> Lebrave’s account, as expected, leaves more questions than answers. While he seems adamant that *critique génétique* can be applied to music, he does not equate the literary text with the musical score. Rather, he sees the musical score as a set of “performance instructions” which is not the ultimate result of a creative process (the ultimate result would be the performance of the score – which for Lebrave is “ephemeral”).

Lebrave’s ontological examination of literature and music is advanced but, perhaps because of his literary background, he neglects to consider the dominant ontological accounts found within music aesthetics and music philosophy given by Roman Ingarden, Nelson Goodman, Carl Dahlhaus, Peter Kivy, Jerrold Levinson, and Jean-Jacques Nattiez. The following section summarizes some prominent ontologies put forth regarding the musical work and its written trace (the score) in order to better attend to the question of the applicability of the *avant-texte*/text conception to music.

### **3.2 Prominent Ontologies of the Musical Text-Work Relationship**

Philosophers, theorists, and scholars – inside and outside the field of musicology – have tackled the task of describing the work/text relationship in music and, specifically, the ontological status of the written score since the 1960s. Because the critical theoretic framework of *critique génétique* is wholly centered on the written traces of the compositional process, an obvious feature to look for in a sympathetic ontology is one which is score-oriented – in which the written notations for a musical work are the basis

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<sup>291</sup> *Ibid.*

for the definition of the musical performance and, thus, the musical work. One such approach is offered by the American philosopher Nelson Goodman who put forth in his *Languages of Art* (1968) what can be termed the nominalist view of the musical work.<sup>292</sup> Goodman's theory is centered on the notated score in music and draws qualified ties to notation in literature. Jerold Levinson and Peter Kivy prefer what can be termed the Platonist view, which acknowledges an abstract existence of musical works that is related to its performance or notation but is defined independently of both. Others, such as Roman Ingarden, Carl Dahlhaus, and Jean-Jacques Nattiez (the last, within a semiological theoretic framework) take a relativist approach, seeing that the work is not wholly defined by its creation, performance nor its notated score.<sup>293</sup> As one will see, there is no single dominant ontology. An explanation for the diversity of accounts might be that there are divergent reasons one has for describing and prescribing to a particular ontology. Some scholars' approaches are motivated by the agenda of joining a philosophy of music to a larger philosophical account of the arts, and, even broader, the universe and its objects, while others are interested in an ontology that allows for a particular analytical approach.

### 3.2.1 The Nominalist Position vs. the Platonist Position

Lydia Goehr, in her pioneering study *The Imaginary Museum of Musical Works*, provides a useful starting point. She gives an exploration of the work-text relationship by

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<sup>292</sup> Nelson Goodman, *Languages of Art: An Approach to a Theory of Symbols*, 2nd edition (Indianapolis, Ind.: Hackett, 1976). Originally printed: Nelson Goodman, *Languages of Art* (New York: Bobbs-Merrill Company, 1968).

<sup>293</sup> Roman Ingarden, *The Work of Music and the Problem of its Identity*, ed. Jean G. Harrell, trans. Adam Czerniawski (Berkeley: University of California Press, 1986).

framing the arguments around two divergent positions regarding musical works: the nominalist view, represented by Nelson Goodman's theory of notations systems, in which music notation is understood to delimit what constitutes a work's performance (and thus for Goodman, the work itself), and the "qualified Platonist" view, represented by Jerold Levinson's philosophical ideas, in which a musical work is understood to have an abstract existence outside of its score or performances.<sup>294</sup> Goehr's Goodmanian-Levinsonian dialectic is a useful way to introduce these divergent ontologies and other related notions.

Goodman's nominalist account of the musical work, defines musical works by their notation, and performances of musical works by their compliance to that notation. Goodman's position can be taken as being represented by the following statement: "... to take notation as therefore nothing but a practical aid to production is to miss its fundamental theoretical role."<sup>295</sup> The score of a musical work has the function of defining that relationship of score and work: "A score, whether or not used as a guide for a performance, has as a primary function the authoritative identification of a work from performance to performance."<sup>296</sup> As Goehr summarizes, Goodman views a musical work as "a class of performances compliant with a score."<sup>297</sup> Thus, it is not that Goodman's theory does not value or consider the production of sound – in fact, it depends on it – but he does find notation to be the delimiting agent involved in defining the relationship between score and performance, work and text.

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<sup>294</sup> Jerold Levinson, "What a Musical Work Is," *The Journal of Philosophy* 77, no. 1 (Jan., 1980): 5-28.

<sup>295</sup> Goodman, *Languages*, 127-128.

<sup>296</sup> Goodman, *Languages*, 128.

<sup>297</sup> Lydia Goehr, *The Imaginary Museum of Musical Works: An Essay in the Philosophy of Music* (Oxford: Clarendon Press, 1992), 22.

Goodman's theory provides a way to relate notation in the literary arts and musical arts: they both are heavily dependent on a type of notational scheme (though not a notational system – Goodman maintains a distinction). While he refers to music as a two-stage art and literary arts as a single-step art, both depend heavily on the score/text. Goodman sees it as obvious that in literary arts, “utterances are not the end-products as are performances in music.”<sup>298</sup> For Goodman, the musical work is therefore defined as all the performances which comply with a written notation. The difference then between a musical score and a literary text is that “a musical score is in a notation and defines a work” and “a literary script is not in a notation and is itself a work.”<sup>299</sup> He states, “An unrecited poem is not so forlorn as an unsung song; and most literary works are never read aloud at all.”<sup>300</sup>

On the surface, Goodman's account seems to offer a convenient ontology of musical works that would value the written trace of music (the notated score) and thus might be a good ontology for a musical *critique génétique*. However, while Goodman's theory is interesting and uncompromising, it does not provide the best way to define the work/text relationship in music because of its many drawbacks. Goehr, for example, points out many objectionable aspects of Goodman's ontological account. She objects to Goodman's theory because of its score dependence, or notation dependence. That is, because he privileges pitch specifications in notation over dynamics, timbre and articulations in his conditions of a notation and that his theory fails to describe improvisatory music – not written down in notation – she finds it inadequate. Her point is not to produce better ontologies, but to point out the futility of mapping theory onto

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<sup>298</sup> Goodman, *Languages*, 208.

<sup>299</sup> *Ibid.*, 210.

<sup>300</sup> *Ibid.*, 114.

historical practice. She argues that it is not possible to achieve an “equilibrium between philosophy theory and musical practice.”<sup>301</sup> Peter Kivy, who is a self-proclaimed “qualified Platonist,” responds to Goodman’s ideas by insinuating the latter’s philosophical motivations. Kivy finds that Goodman succumbed to a desire to erase the mysteriousness of the idea of the musical work. He says, “Goodman had a very strong aversion to ‘mysterious objects’ in all areas of philosophy. And he thought he could avoid the conclusion that the musical work is a kind of mysterious, ghostly apparition by defining the music as follows: the compliants of a score are performances and the compliance class is a work.”<sup>302</sup> But, Kivy, like Goehr, finds Goodman’s conception of work limited, at least where our day-to-day familiar usage of the term is concerned. For one thing, people like to talk about works as being works even if they have never been performed. They also do not talk about a work and a performance of a work in the same terms (a work is not defined by its performances). These counterintuitive notions are a consequence of Goodman’s theory and thus show his theory to be anti-normative. Kivy, writing 22 years later, does however subscribe to Levinson’s Platonist notion.

In Levinson’s article, “What a Musical Work Is,” the author proposes that musical works are a “structural type or kind.”<sup>303</sup> That is, an abstract entity that “can be heard through its instances [*i.e.* its performances], and yet exists independently of its instances.”<sup>304</sup> Rather than a musical work simply being a sonic object or “sound structure,” indicated by a printed score, a specific group of performances, or a mental

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<sup>301</sup> Goehr, *The Imaginary Museum*, 21.

<sup>302</sup> Peter Kivy, *Introduction to a Philosophy of Music* (Oxford: Clarendon Press, 2002), 206.

<sup>303</sup> Levinson, “What a Musical Work Is,” 6.

<sup>304</sup> *Ibid.*

production only existing in someone's head, it is an abstract type in the Platonist sense. The Platonist view of the musical work is that it exists outside of a physical demarcation. Kivy provides an apt explanation of the Platonic notion of type. He states, "To talk about 'a performance of a work' sounds very much as if one were talking about two things: the performance and the work, one of which is standing in for the other, as in 'a copy of the original.' But a lion is not a stand-in for the kind: he is an *instance* of it. Similarly, to hear a performance of a symphony *is* to hear the symphony: *is* to hear the work, not a stand-in for it. The performance is an *instance* of the work, not a substitute for it; and to make a statement about the work is to make a statement about its instances. It seems to me that once one lets musical Platonism really sink in psychologically, the gap between theory and intuition in this regard closes considerably."<sup>305</sup> Specifically, Levinson finds music works to be "initiator types" that "begin to exist only when they are initiated by an intentional human act of some kind"<sup>306</sup> and "brought into existence by [compositional] activity."<sup>307</sup> Thus, for Levinson, a musical work's identity is tied with the composer who created it, the time in which it was created, the instruments that were meant to be used for it. He explains, "The type that is a musical work must be capable of being created, must be individuated by context of composition, and must be inclusive of means of performance."<sup>308</sup> So, musical works, for Levinson and Kivy, are neither defined by their sound structures nor defined simply by their "performing means" structures (such as

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<sup>305</sup> Peter Kivy, *The Fine Art of Repetition; Essays in the Philosophy of Music* (Cambridge: Cambridge University Press, 1993), 38.

<sup>306</sup> Levinson, "What a Musical Work Is," 21.

<sup>307</sup> *Ibid.*, 9.

<sup>308</sup> *Ibid.*, 19.

instrumentation).<sup>309</sup> These are what Levinson calls “implicit types,” types whose existence is “implicitly granted.”<sup>310</sup> Goehr summarizes Levinson’s notion of implicit types. For Levinson, the existence of these implicit types of sound and performing-means “is implicitly granted when a general framework of possibilities is given. Given that individual sounds exist, the existence of all possible combinations of these sounds is implicitly granted; given that instruments exist, all combinations are implicitly granted; given, finally, the existence of sounds and instruments, all possible combinations of sound and instrumental properties are implicitly granted.”<sup>311</sup> Musical works are derived from these “implicit types” and are thus an example of what he called “initiated types.”<sup>312</sup> True Platonism finds that the “type” already has existed regardless of time or place and we simply discover them. Levinson does not appeal to this conception but a qualified version of it: that music works are “initiated types” or created types.<sup>313</sup> Levinson sees a similar Platonist existence for literary works of art. He finds that as musical works are initiated types, “The same is true of poems, plays, and novels—each of these is an entity more individual and temporally bound than the pure verbal structure embodied in it.”<sup>314</sup> Literary works somehow exist in a more substantiated way than musical works due to the latter’s necessity of being a sonic object. Unlike music, for Levinson, literary works need not be sounded to exist in their “pure verbal structure.”<sup>315</sup>

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<sup>309</sup> Ibid.

<sup>310</sup> Goehr, *The Imaginary Museum*, 48.

<sup>311</sup> Ibid.

<sup>312</sup> Levinson, “What a Musical Work Is,” 19.

<sup>313</sup> Kivy, Introduction, 221.

<sup>314</sup> Levinson, “What a Musical Work Is,” 22.

<sup>315</sup> Ibid.

Goehr finds that “Levinson places musical works in an ontological category of initiated types that is neither straightforwardly universal nor particular, as these categories have traditionally been conceived.”<sup>316</sup> She finds fault with the qualified Platonist position when putting it to the test of evaluating how it accounts for a number of hypothetical cases. She asks how do we ontologically account for the situation in which two composers independently produce identical scores and performances; or the situation when a musical work calls for antiquated instrumentation that is impossible to produce in modern times. In each case, she finds Levinson’s account to be lacking due to pre-critical intuition or common usage. For example, in the case of twin compositions by two independent composers, Levinson’s account would necessarily find that these are two different works. This is at least partially counter-intuitive. In the case of impossible instrumentation, Levinson’s theory also leads to counter-intuitive conclusions. Levinson’s theory would find that an approximation of the instrumentation (substituting a piano for a harpsichord, for example) would produce a different work. Transcriptions are also considered by Levinson as different works than the originals on which they are based. She also finds Levinson’s view difficult because of competing ontological theories. As she states, these cases cannot be accounted for “by simple consideration of alternative aesthetic theories nor by pure ontological arbitration.”<sup>317</sup> She finds opposing theories to Levinson’s (such as Wolterstorff’s Platonist notion that composition does not mean creation but rather a discovery of a work) and sees the difference between them a matter of pre-critical ideology. She states, “Might it be that stipulations, sometimes made

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<sup>316</sup> Goehr, *Imaginary Museum*, 51.

<sup>317</sup> *Ibid.*, 57.

out of allegiance to pre-established ontological positions, at other times out of allegiance to pre-critical evidence provided by the phenomena themselves?”<sup>318</sup> While Goehr’s criticism of Levinson and Goodman’s theories should be considered within the context of her thesis – that the ontology of the musical work is a socially constructed concept which cannot be accounted for in purely theoretic terms – it nevertheless is a symptom of the fact that the ontology of the musical work and its written trace (the text or score) is not agreed upon.

### 3.2.2 The Relativist Position

A prominent alternative to the nominalist and Platonist positions is what can be called the relativist position – that there is no single ontology of the musical work and text. For example, Carl Dahlhaus notes a tendency to “minimize the contribution of visual experience toward the understanding of musical works of art”<sup>319</sup> such that he deems that “paper music” deserves an apology. He insists that musical scores are also in a sense a *text* stating, “the opinion that only what is audible has any right to musical existence is a questionable prejudice”<sup>320</sup> and that “it would be an exaggeration to derive written music of the status of text, in the undiluted sense of the word, and to see in notation nothing but a set of instructions for musical practice.”<sup>321</sup> Regarding the difference between music and literature’s ontology of the written trace, Dahlhaus ultimately finds that “written speech

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<sup>318</sup> *Ibid.*, 58.

<sup>319</sup> Carl Dahlhaus, *Esthetics of Music*, trans. Willian W. Austin (Cambridge: Cambridge University Press, 1982), 13. Originally published as *Musikästhetik* (Cologne: Musikverlag Hans Gerig, 1967).

<sup>320</sup> Dahlhaus, *Esthetics*, 13.

<sup>321</sup> Dahlhaus, *Esthetics*, 12.

represents speech to a greater extent than notated music represents music.”<sup>322</sup> While it is difficult to make an unconditional parallel in the ontological status of the written trace between the two media, “The difference between written speech and notated music – between the echo of living speech in reading a literary work and the imagination of sound in reading a score – is a difference of degree, not of principle.”<sup>323</sup>

As previously discussed, musicologists such as Sallis have found Roman Ingarden to have provided an influential account of the ontology of the musical work of art. Beginning in 1931 with his *Das Literarische Kunstwerk*,<sup>324</sup> Ingarden practiced what can be termed phenomenological ontology – what Graves summarizes as “a combination of a primary interest in the ontological structure of an object of philosophical investigation, and the acuteness of observation typical of the method of phenomenology”<sup>325</sup> Ingarden finds that the musical work is a “purely intentional object.”<sup>326</sup> In his *Controversy over the Existence of the World*, in which he proposes an exhaustive ontology of the world, he gives four existential-ontological categories or “modes of being”: “absolute” (which accounts for God), “real” (which accounts for physical entities such as mountains and trees), “ideal” (which accounts for Platonist types such as numbers), and “purely intentional” (which “owe their existence and nature to acts of consciousness”).<sup>327</sup> For

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<sup>322</sup> Ibid.

<sup>323</sup> Ibid., 13.

<sup>324</sup> Roman Ingarden, *Das Literarische Kunstwerke: Eine Untersuchung aus dem Grenzgebiet der Ontologie, Logik, und Literaturwissenschaft* (Halle: M. Niemeyer 1931).

<sup>325</sup> Herbert Graves, “Three Theories of Literary Worldmaking: Phenomenological (Roman Ingarden), Constructivist (Nelson Goodman), Cognitive Psychologist (Schank and Abelson),” In *Cultural Ways of Worldmaking: Media and Narratives*, eds. Vera Nünning, Ansgar Nünning, and Birgit Neumann (New York: de Gruyter, 2010), 47.

<sup>326</sup> Ingarden, *The Work*, 117.

<sup>327</sup> Amie Thomasson, “Roman Ingarden,” *The Stanford Encyclopedia of Philosophy*, ed. Edward N. Zalta (2012), <http://plato.stanford.edu/archives/fall2012/entries/ingarden>.

him, the mode of existence of all art works is as purely intentional objects. Rather than be a real object, as aptly put by Leo Treitler, an intentional object is one whose “mode of existence” is “like that of a unicorn.”<sup>328</sup> That is, mentally constructed and “dependent on acts of consciousness.”<sup>329</sup> For Ingarden, like the literary work of art, the musical work of art is a “purely intentional object.”<sup>330</sup> While the real object “possesses its essence” the purely intentional object does not.<sup>331</sup> Ingarden also found that as opposed to an “existentially autonomous” object, which “possesses in itself the foundation of its being,” a work of art is “existentially heteronomous,” – that is, “the foundation of its being is located in something else.”<sup>332</sup>

For Ingarden, the musical work is neither ontologically the same as the score nor a performance of the score. Regarding the latter, he finds that, while the musical work “manifests itself to us through a variety of performances,” it “is radically different from its various performances and forms no elements of them.”<sup>333</sup> For Ingarden, “the musical work” does not “manifest itself directly or immediately through the auditory aspects.”<sup>334</sup> This is because the musical performance has characteristics that are untrue of the musical work and *vice versa*. For example, “all the movements of the musical work itself exist

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<sup>328</sup> Leo Treitler, “History and the Ontology of the Musical Work,” *The Journal of Aesthetics and Art Criticism* 51, no. 3 (Summer, 1993): 483.

<sup>329</sup> Ingarden, *The Work*, 117.

<sup>330</sup> Andrzej Pytlak, “On Ingarden’s Conception of Musical Composition” in *On the Aesthetics of Roman Ingarden*, eds. B. Dziemidok and P. McCormick, (Dordrecht: Kluwer Academic Publishers, 1989), 233.

<sup>331</sup> *Ibid.*, 234.

<sup>332</sup> Jeff Mitscherling, *Roman Ingarden's Ontology and Aesthetics* (Ottawa: University of Ottawa Press, 1997), 90.

<sup>333</sup> Ingarden, *The Work*, 33.

<sup>334</sup> *Ibid.*, 20.

together in a completed whole” which is different than the performance of that work.<sup>335</sup>

The work, in comparison to the performance, has one chosen structure and temporal unfolding (chosen by its author) while the performance varies in tempo, succession, *etc.*

The “causes of its coming to be” are different than a performance: the work does not exist simply with “the action of the fingers upon the keyboard.”<sup>336</sup>

Even recording technology that allows the aural aspects of a performance to be fixed and retrievable does not fix the work for Ingarden. He states, “Surely, what is recorded on wax or tape is not the work itself but certain effects arising from sound waves broadcast by the vibrant part of the instrument upon which a given piece has been performed.”<sup>337</sup>

The work is not the performance or the “sound-base” of the performance (*i.e.* the sound itself). The work is fully present when the sound-base is perceived and interpreted.

Ingarden states, “Only through the understanding of this base and through appropriate acts of consciousness do these sounds designate the artistically significant remainder of the musical work, beginning with sound-constructs and ending with the non-sounding elements of the work, in particular its aesthetically valuable qualities and the aesthetic value itself.”<sup>338</sup> The musical work can be equated with the “concrete sound” meaning the performance product, because, as Ingarden states, “these sounds are spatially and temporarily individuated objects, whereas a musical work is a supra-individual and supratemporal structure, its individuality being purely qualitative.”<sup>339</sup>

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<sup>335</sup> *Ibid.*, 16.

<sup>336</sup> *Ibid.*, 17.

<sup>337</sup> *Ibid.*, 118.

<sup>338</sup> *Ibid.*

<sup>339</sup> *Ibid.*, 120.

The musical work, for Ingarden, is also different than its score. As Ingarden states, “The work is totally different from its score. It is mainly or wholly a sounding work, while the notation of the score is simply a defined arrangement, usually of graphic signs.”<sup>340</sup> On the question of the relationship between the work and score, as opposed to Goodman’s nominalist account, Ingarden finds that “it is not, however, possible to bring about the identification of a musical work with its score.”<sup>341</sup> Perhaps, he says, “the score is only a system of select properties or is a determined part of the printed paper, namely the system of conventionally agreed-upon colored shapes on paper.”<sup>342</sup> For Ingarden, the score is an ‘incomplete, schematic prescription for performance.’<sup>343</sup> The score, however, does not define or account for all of the performance. Ingarden finds that “because of the imperfection of musical notation, the score is an incomplete, schematic prescription for performance. It fixes only certain aspects of its sound-base whereas the remaining ones and especially the non-sounding elements are only partially defined and within certain limits open to various interpretations.”<sup>344</sup>

Rather than being the set of performances defined by the score (as Goodman purports), the musical work “belongs” to a “whole variety of intentional acts” from “the composition of a musical work or in its realization in new performances or in listening to successive new performances.”<sup>345</sup> But, it is equated with none of these. It is “neither the perceptual experience in which it is given nor an experience that creatively designates the

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<sup>340</sup> *Ibid.*, 2.

<sup>341</sup> *Ibid.*, 35.

<sup>342</sup> *Ibid.*, 36.

<sup>343</sup> *Ibid.*, 116.

<sup>344</sup> *Ibid.*

<sup>345</sup> *Ibid.*, 119.

objects nor yet any part or element of these experiences [...]. It is solely something to which these experiences refer; it is neither mental nor subjective.”<sup>346347</sup> Ingarden himself proposes a kind of tripartition in viewing the musical work in that “we have to distinguish between (a) the musical work as an artistic product taken in exactly the way it is intentionally determined by the musical score; (b) the musical work as an ideal aesthetic object; and (c) the musical work as a concrete aesthetic product.”<sup>348</sup>

However, Ingarden’s theory of the musical work, leaves some scholars with questions. Benson asks “To what extent is the composition distinguishable from the score?”<sup>349</sup> Benson finds that Ingarden’s insistence on the division between the score and the musical work is problematic as “the score ends up taking on a centrality which almost seems to eclipse that of the composition.”<sup>350</sup> In his proposed semiological theory of music, Jean-Jacques Nattiez takes an approach to the ontology of the musical work and its written trace that is in line with Ingarden’s relativist position.

### 3.3 A Semiological Approach

Nattiez’s theory is similar to Ingarden’s in that, as Nattiez states, “within ‘human works,’ the phenomena of production, the traces that result, and the facts of perception do not necessarily coincide.”<sup>351</sup> Nattiez’s theory of a musical semiology is necessarily

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<sup>346</sup> *Ibid.*, 120.

<sup>347</sup> *Ibid.*, 121.

<sup>348</sup> *Ibid.*, 138.

<sup>349</sup> Bruce Ellis Benson, “Phenomenology of Music,” in *The Routledge Companion to Philosophy and Music*, eds. Theodore Gracyk and Andrew Kania (New York: Routledge, 2011), 585.

<sup>350</sup> *Ibid.*, 584.

<sup>351</sup> Nattiez, *Music and Discourse*, 30.

grounded in an exploration of the ontology of music. He asks, “If musical semiology has an object, then that object is *music*. But do we really know what music is?”<sup>352</sup> Nattiez adopts Ingarden’s postulation that a work is a “purely intentional object”<sup>353</sup> and does not lie in any one aspect of its “heteronymous existence.”<sup>354</sup> He states, “Ingarden’s ontology of the work is critical to my analytic arguments, since it shows unequivocally that every analysis of a particular work will by necessity stop somewhat short of that work’s being proper.”<sup>355</sup> For example, according to Ingarden’s ontology, the musical work is neither a particular performance, nor any one person’s perception of the work, nor the sounding of the work (what Nattiez calls the “the acoustic reality”), nor the score.<sup>356</sup> For Nattiez, the important notion that Ingarden provides is that the musical work has multiple “existential manifestations” stating that “we cannot remain content with a unidimensional approach.”<sup>357</sup> He also cites Dahlhaus’s contention that a work cannot be separated from the interpretational process. For Nattiez, this is a key element of his semiological theory of music. He states,

[Dahlhaus] defines the musical work as a text, located beyond either its notated form or any acoustic rendering, guaranteed by an explicit or implicit ‘intentional element.’ He stresses that, as a text, the work cannot exist independently of the hermeneutic process by which we attempt to understand its meaning.<sup>358</sup>

Nattiez presents his “general theory of musical semiology” in his *Music and Discourse* which he finds is needed to explore the “essence of a musical work” – an essence that is

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<sup>352</sup> *Ibid.*, 41.

<sup>353</sup> *Ibid.*, 69.

<sup>354</sup> *Ibid.*

<sup>355</sup> *Ibid.*, 70.

<sup>356</sup> *Ibid.*, 69.

<sup>357</sup> *Ibid.*, 70.

<sup>358</sup> *Ibid.*

“at once its genesis, its organization, and the way it is perceived.”<sup>359</sup> This tripartite way of analyzing, theorising, and thinking about music, adopted from Jean Molino, proposes three vantages from which to “define a total musical fact”: the poietic, immanent, and esthetic levels (see Figure 3.1).<sup>360</sup>



Figure 3.1 Nattiez’s semiological tripartition.

The term “poietic,” meaning “to make,” refers to the creation of the work.<sup>361</sup> In the case of literature and notated music, the poietic process results in a literary text or a musical score, the material trace of the work. In notated music, the immanent level (what Molino refers to as the *niveau neutre*) encompasses the score as well as the sonic result of the interpretation of the score.<sup>362</sup> The esthetic process is the way in which the work is perceived. Molino adopts the term “esthetic” from Paul Valéry who used it to differentiate from the word “aesthetic” but to still connote the concept of perception.<sup>363</sup> As one can see, the semiological tripartition is linked to Ingarden’s idea that the musical work is situated beyond any “existential manifestation” – it is, according to Nattiez, a “dispersal between three spheres, in the *interaction* between its symbolic components, as a total musical fact; as poetic strategies, a resultant trace, and esthetic strategies unleashed by that trace.”<sup>364</sup>

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<sup>359</sup> *Ibid.*, ix.

<sup>360</sup> Jean Molino, “Esquisse d’une Sémiologie de la Poésie,” *Le Petite Revue de Philosophie* 6, no.1 (1984): 1-36.

<sup>361</sup> Nattiez, *Music and Discourse*, 13.

<sup>362</sup> *Ibid.*, 15.

<sup>363</sup> *Ibid.*, 12.

<sup>364</sup> *Ibid.*, 70.

In *Music and Discourse* Nattiez addresses the ontological question: “What status should we assign to the score in semiological analysis?”<sup>365</sup> Within his semiological model of music, he considers the score to be essential to the music work. Nattiez finds in fact that “musical semiology is in effect rendered possible by musical notation.”<sup>366</sup> According to Nattiez, music notation has two roles: it is “the trace that renders the work’s identity possible” and it is a transcription of musical sounds.<sup>367</sup> He finds that, at least in the Western music tradition (as opposed to the orally transmitted music), the score holds an important place in the semiological tripartition. Like Ingarden, Nattiez perceives that, “In the western tradition, the thing that ensues from the composer’s creative act is the score; the score is the thing that renders the work performable and recognizable as an entity, and enables the work to pass through the centuries.”<sup>368</sup> But, importantly, for Nattiez “the score seems to represent something more than a mere schema of the work” as Ingarden proposes.<sup>369</sup> One reason for this is that “writing facilitates manipulation of elementary musical units [important to a semiological analysis], in a way not permitted by mere memory” and thus is an important aspect of the Western (non-oral) music.<sup>370</sup>

Nattiez’s tripartite model for a semiology of music is broad enough that it does not necessarily advocate a new type of analysis, but simply allows one to see where existing analytical approaches fit within the semiological model. It provides a “critical framework

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<sup>365</sup> *Ibid.*, 78.

<sup>366</sup> *Ibid.*, 72.

<sup>367</sup> *Ibid.*

<sup>368</sup> *Ibid.*, 71.

<sup>369</sup> *Ibid.*

<sup>370</sup> *Ibid.*

for existing music analyses.”<sup>371</sup> In other words, for Nattiez, “all semiology does is to take up in new terms the *eternal questions of music analysis*.”<sup>372</sup> The tripartition allows one to classify various modes of musical analysis according to one of the three semiological orientations: poietic, immanent, or esthetic. Based on these three orientations, there are six “main analytical situations”: analysis of the immanent work (in which the structures of the work itself are examined); external esthetic analysis (in which, for example, notions from the psychology of music would provide clues for the understanding of how a work is perceived); inductive esthetic analysis (in which an exploration of the work itself could explain a particular phenomenon of its perception); inductive poietic analysis (in which one draws conclusions about the compositional process of the work based on its structural organization); external poietic analysis (in which, for example, compositional sketches are used to understand the work); and, finally, analyses which claim to be at all levels (such as Schenkerian analysis).<sup>373</sup>

As the object of study for practitioners of *critique génétique* is the writing process, Nattiez’s two poietic analytical situations are worth exploring here. Nattiez cites Molino’s summary of poietic analysis in general as “the study of techniques and rules which, at any given moment, for a given form, define the state of the resources and procedures used by the poet.”<sup>374</sup> Molino continues to say that poietic analysis is the “analysis of particular strategies of production which, from evidence and clues left by the author, or from characteristics of the work itself, serve to furnish a model for the

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<sup>371</sup> Jean-Jacques Nattiez and Katherine Ellis, “Reflections on the Development of Semiology in Music,” *Music Analysis* 8, No.1/2 (1989): 40.

<sup>372</sup> *Ibid.*, 42.

<sup>373</sup> *Ibid.*, 37.

<sup>374</sup> Molino, “Equisse,” 9-10, quoted in Nattiez, *Music and Discourse*, 13.

production of the work.”<sup>375</sup> Figure 3.2 gives a graphical representation of the two analytical situations within the poetic level.

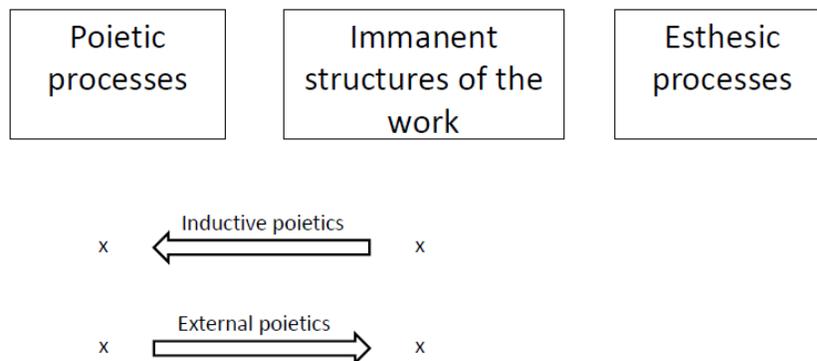


Figure 3.2 Inductive and external poietic analytical situations within the semiological tripartition.

The most common type of analytical situation is inductive poietic analysis in which one draws conclusions about the poietic process based on the structure of the work.<sup>376</sup>

Whether it is stated outright or not, often analyses of musical works examine the published score (or a performance of it) and address the question “how was the piece composed”? Traditional sketch analysis (the term used here to specifically denote analysis of a work of music based on its sketches), following Nattiez’s tripartition, is an example of external poietics.<sup>377</sup> He gives Paul Mies’ work on Beethoven’s sketches as a prime example.<sup>378</sup> Thus, Nattiez’s tripartition does a very good job of accounting for sketch study in which textual variants produced during the poietic process are used to discover more about the definitive work. However, how does it account for an approach of *critique génétique*?

<sup>375</sup> Ibid.

<sup>376</sup> Nattiez, *Music and Discourse*, 38.

<sup>377</sup> Ibid.

<sup>378</sup> Paul Mies, *Die Bedeutung der Skizzen*.

In order to address this question, one must explore the borders of Nattiez's tripartition. He finds that, in Western music, the border between the poietic process and the esthetic process occurs after the production of a written notation and before a sonic object results (the very act of creating a performance requires interpretation of a score by an agent, an esthetic act).<sup>379</sup> Nattiez calls the score "the material reality of the work" which he defines as "the physical traces that result from the poietic process."<sup>380</sup> But, rather than seeing a separation of the poietic process and the immanent structure, *i.e.* between the compositional process and its singular result, a musical *critique génétique* would engender a textual plurality into that immanent configuration. If one is under the impression that a musical work is represented by a single definitive text that comes as the final step in a poetic process, the semiological tripartition of music, as Nattiez defines it, holds up. However, *critique génétique* denies this notion singular and teleological notion of text.

Therefore, just as Bellemin-Nöel and Hay had to pluralize the dominant conception of "text" within French post-structuralism, to account for a musical *critique génétique* one must likewise modify Nattiez's conception of the tripartition to reflect a textual plurality. Figure 3.3 presents a graphic representation of a genetic semiological tripartition.

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<sup>379</sup> Nattiez, *Music and Discourse*, 72.

<sup>380</sup> *Ibid.*, 15.

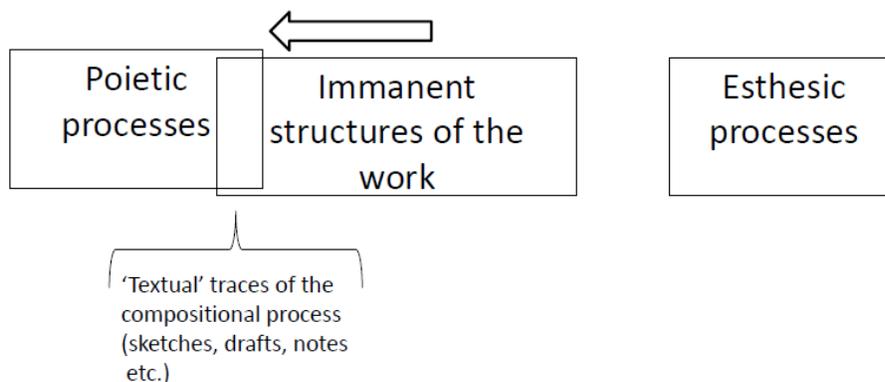


Figure 3.3 A 'genetic' semiological tripartition.

Traces of the poietic process are “neutralized”: the immanent structure of the work includes the definitive score plus all the textual variants produced during the work’s composition. Rather than the artifacts of the poietic process being clues to provide an understanding of a work represented by a singular “text” or score, these sketches would be included as part of the neutral level themselves.

That Nattiez’s tripartition allows for a modification such as this is a tribute to the universality of the model. However, this kind of ontological “switcheroo” is not done lightly. A tectonic shift on one side of the semiological tripartition has consequences on the other. Many questions for further study arise: For example, where does this “genetic” tripartition leave the esthetic process and the listener? By including sketches in the immanent level, the poietic-esthetic border is effectually expanded such that the listener (and performer) is confronted with the *avant-texte*. In literary *critique génétique*, the invention of the “genetic” edition (a publication of a literary work in which the text and genetic variants are presented together) meant that, just as Bellemin-Noël imagined, the *avant-texte* could be “read, continuously with the text” and “become part of a given work

of writing.”<sup>381</sup> Can there even be such a thing as a “genetic” performance or a “genetic” recording? These intriguing questions are discussed further in the conclusion (Chapter 13) of this study.

It is an interesting thought experiment to consider how the debate within sketch studies in the early 1980s would have been affected by knowledge of the historically concurrent developments within *critique génétique*. In reality, by the time that sketch studies had begun to look across the disciplinary divide, the concentrated vigour of the early ideas of *critique génétique* had become diluted – more palatable to a post-modern intellectual climate perhaps, but less radical and possibly less useful. We have a situation today where the term “genetic criticism” can mean something quite different than the “critique génétique” of 1979. In musicology, the term is in danger of attaining buzz-word status, in which “genetic criticism” can refer to any examination of the genesis of an artwork or be used synonymously with the term “sketch studies.” By the turn of the twenty-first century, musicology, too, had entered a new phase of life: the paradigm of analysis and historical musicology had changed such that there was decreased desire for a solution to the theoretical crisis of the 1980s. In the post-“new musicology” landscape, Johnson’s objections seem antiquated, a relic of an outdated musicological paradigm, easily ignored, dismissed or forgotten. In fact, today in sketch studies, there doesn’t seem to be a theoretical crisis at all. Scholars seemingly have no problem analysing works based on information only available in sketches. We do not hesitate to “verify” our hermeneutic theories or refute others by pointing to the “proof” in sketch material or,

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<sup>381</sup> Bellemin-Noël, “Psychoanalytic reading,” 31.

better yet, to that so-called “holy grail,” the composer’s intentions. And, we often do so without explicit appeal to any theoretical framework.

The mission of a musical *critique génétique* is not to destroy the traditional work-concept and thereby subvert our inherited canon of masterworks. But, to engage in what Sallis calls a kind of “productive deconstruction”<sup>382</sup> based on a nuanced and well-considered understanding of the creative process. Nor is the intent of this study to resurrect tired debates, but to combat an attitude of “theoretical thoughtlessness,” to ossify studies of the creative process in music through rigorously scrutinizing implicit theoretic assumptions. Looking forward, before an in-depth analysis of Hétu’s Op. 41 through the lens of this theoretical framework is undertaken, we must explore the historical context in which the piece was written (Hétu’s biographical history and reception) and the sketch dossier itself.

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<sup>382</sup> Friedemann Sallis, *Music Sketches* (Cambridge: Cambridge University Press, 2015), 11.

## Part II Historical Context

## Chapter 4 Jacques Hétu: Career, Style, and Reception

Before analyzing Hétu's sketch manuscripts for the *Suite*, it is necessary to historically contextualize their production in 1986 within the composer's compositional career. An understanding of Hétu's stylistic evolution from the onset of his professional career in the early 1960s until the mid-1980s is needed. While an in-depth biographical study of the composer has yet to be published, the most significant published biographical sources on Hétu are provided by Doberman-Yppan, the composer's main publisher, and the *Encyclopédie de la Musique au Canada*.<sup>383</sup> However, these sources do no more than provide a rough timeline of the composer's education, academic positions, and awards. The handful of analytical studies published on Hétu's works largely regurgitate the same information.<sup>384</sup> Unpublished autobiographical documents housed in the Jacques Hétu Fonds thus provide a welcome addition to the limited literature on the composer's life in his own words.<sup>385</sup> These archived sources range from Hétu's own curriculum vitae circa 1995, to drafts of published articles, and, most importantly, unpublished notes for several lectures on the composer's life and works. Of the latter, there are two significant archival documents. Hétu's notes for a lecture delivered at the Montreal Conservatory in 1996, which he titles "J.H. Se Raconte!," is an invaluable source on the composer's early musical life.<sup>386</sup> His notes for a 1993 lecture, "Entre le Drame et la Poésie," given at the Société Québécoise de Recherche en Musique (formerly the Association pour

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<sup>383</sup> Evan Ware and Irène Brisson, "Jacques Hétu," in *Encyclopédie de la Musique au Canada*. Accessed July 7, 2018. <https://www.encyclopediecanadienne.ca/en/article/jacques-hetu-emc>.

<sup>384</sup> See the Bibliography for a complete list of studies of Hétu's works.

<sup>385</sup> See the Bibliography for a complete list of the unpublished writings in the Jacques Hétu Fonds.

<sup>386</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | E,7, "Le Conservatoire Se Raconte," lecture notes for conference delivered in 1996.

l'Avancement de la Recherche en Musique du Québec) also contain valuable information on the composer's musical style.<sup>387</sup> In combination with published interviews and articles, these documents provide a nuanced portrayal of the composer, his self-proclaimed musical influences and Hétu's self-perceived reception within Canada and the musical avant-garde of Quebec.

#### 4.1 Early Musical Influences and Musical Self-Discovery: 1938-1953

Hétu is a self-described neo-Romantic composer.<sup>388</sup> There are two aspects of the early life that might have contributed to this particular musical outlook that was present throughout his compositional career. Hétu had a late start as a musician, not undergoing any formal study in his pre-teen years. When he did begin studying music, it was not as a performer but as a composer.

Hétu was born in Trois-Rivières, Québec, Canada, on August 8, 1938. His father, Jean Hétu, was a doctor and, thus, his upbringing was in a financially affluent environment.<sup>389</sup> His family was not an overly musical one, but there was always music available at a young age in the house. Hétu counts this musical exposure as resulting in his earliest influences. In a 2002 interview, Hétu said,

My parents lived in a great familial house, you know, with twenty-three or twenty-four apartments in a big house in Trois-Rivières, with nurses, and with, you know – great bourgeois. When I was three or four years old, in this big house,

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<sup>387</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | E,6, "Entre le Drame et la Poésie," notes for a lecture delivered at Hétu's composers' forum of the ARMuQ in 1993.

<sup>388</sup> Jacques Hétu, *Quatuor à Cordes No. 2, Op.50* (Saint Nicholas, Québec: Les Éditions Doberman-Yppan, 1991), composer notes.

<sup>389</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | H15,4, "Press clippings – 1958-1994," From a 1962 article in an unidentified Trifluvien newspaper.

there was a big Victrola, you know, a big -- with some records. So, I heard music of Liszt and Puccini sung by Beniamino Gigli.<sup>390</sup>

It was also on the family Victrola gramophone, that the four-year-old Hétu was enamored by Fritz Kreisler playing his *Caprice viennois*, Op. 2. Hétu writes, “At each return of the refrain, with these parallel thirds in double stops, I was transported. I literally entered a trance. There, these were my first contact with the universe of music.”<sup>391</sup> He remembers Caruso singing Verdi and Puccini also included in the dozen 78 RPM records of the family household. Other formative experiences took the form of live performances. At five years old, after starting school, he remembers hearing a fellow student perform on the violin. He states, “it was the first time that I saw a violin and heard music directly!”<sup>392</sup> The experience moved him so much that he could still sing the unidentified music in 1996. After his eighth birthday, Hétu remembered hearing a cousin play a simplified version of the second theme of the first movement of the Schubert’s Symphony no. 8 (‘Unfinished’). It made such an impression on him that he coerced his parents to let him buy the recording of the work by the Boston Symphony Orchestra under Serge Koussevitzky. He writes, “This grand and dramatic interpretation of the masterpiece must have nourished my musical universe during these years.”<sup>393</sup> Far from being incidental, these instances of musical exposure, in particular his contact with

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<sup>390</sup> Eitan Cornfield, Canadian Composers Portraits Series: Jacques Hétu Documentary, transcription by Michelle Ferreira (Canadian Music Center, 2005. Original documentary: Eitan Cornfield, producer. Jacques Hétu, Canadian Composers Portraits. Toronto: Centrediscs, 2002. 2 compact discs), 4. <http://www.musiccentre.ca/sites/www.musiccentre.ca/files/resources/pdfmedia/hetu-portrait-en.pdf>

<sup>391</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | E,7, “Le Conservatoire Se Raconte,” lecture notes for conference delivered in 1996, page 2. Original: “À chaque retour du refrain, avec ses tierces parallèles en doubles cordes, j’étais transporté. j’entrais littéralement en transe. Ce furent-là mes premiers contacts avec l’univers de la musique.”

<sup>392</sup> Ibid., 3. Original: “C’était la première fois que je voyais un violon et que j’entendais de la musique en direct!”

<sup>393</sup> Ibid., 4. Original: “Cette interprétation grandiose et dramatique de ce chef-d’œuvre devait nourrir mon univers musical pendant des années...[.]”

Schubert (a composer who would count as among his favorites throughout his life), must have contributed to aspects of the composer's neo-Romantic style. To the relatively “blank slate” that was Hétu's musical personality, the effects of these early influences may have been magnified. The composer himself may have thought so, too. He wrote, “I have always believed in melody and I believe in it more and more! Perhaps I inherited a tiny gene of this composer [Schubert] whose music on me made such a great impression at the age of 8?”<sup>394</sup>

At the age of nine, Hétu was placed at the College de Brébeuf à Montréal. For his six years there (1946-1952), Hétu remembered nothing of import occurring. He was exceptionally musical, but his talents had yet to be recognized. He states,

Because, even if I possessed a beautiful soprano voice, even if I made part of the of the college chorus, even if the universe of notes was familiar to me, even if my musical memory registered all that I heard, I did not ask myself about my musical disposition, all simply because I believed that all the other children were like me! It must be said that I was a timid child – solitary, minutely communicative, very sensitive and vulnerable, and above all very dreamy – as I escaped reality in the college, where I was profoundly bored...[.]<sup>395</sup>

It was not until the age of 14 that Hétu attained self-awareness of his musical abilities.

Hétu recounts the moment in 1952 when he realized that his musical gift was unique.

Upon hearing an organ recital, he was immediately able to play back parts of the music which he had just heard. It was only the subsequent shock of a schoolmate that made him

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<sup>394</sup> Ibid., 18-19. Original: “Je suis d’abord et avant tout un mélodiste! J’ai toujours cru à la mélodie et j’y crois de plus en plus! Peut-être ai-je hérité d’un tout petit gène ce compositeur dont la musique fit sur moi une si grande impression à l’âge de 8 ans?”

<sup>395</sup> Ibid., 5. Original: “...car, même si je possédais une jolie voix de soprano, même si je faisais partie de la chorale du Collège, même si l’univers des sons m’était familier, même si ma mémoire musicale enregistrerait tout ce que j’entendais, je ne me posais pas de question sur mes dispositions musicales, tout simplement parce que je croyais que tous les autres enfants étaient comme moi! Il faut dire que j’étais un enfant timide, solitaire, pas communicative, très sensible et vulnérable, et surtout très rêveur, car je fuyais la réalité dans ce Collège ou je m’ennuyais profondément...[.]”

realize that this ability was unusual and that he was not like the other kids at his school.

He writes,

One Sunday in February, after an organ recital that had been given by an alumnus of Brébeuf at the chapel of the college (a certain Raymond Davelisy...), I directed myself towards the music room, and after enclosing myself in a studio, I began to reconstitute at the piano some fragments I had come to hear. (Some pieces [~~Sœur Monique~~ by Couperin, the Toccata and Fugue in B minor by Bach, etc...). After many minutes of piano playing, a buddy opened the door of the studio and, all flabbergasted, made me understand that what I was in the middle of doing was not very common... I realized at this precise moment that I was maybe not completely 'normal'... musically! I had until then never played anything on the piano... In the days that followed, I continued to frequent the music rooms, but I only played pieces that I had composed.<sup>396</sup>

In 1953, following his self-discovery, the 15-year-old Héту began taking formal music lessons in clarinet and piano.<sup>397</sup> At the same time, Héту began ambitious compositional projects. During the following summer, he wrote a dozen pieces for piano, one four-movement symphony in F major, and “the elaboration of a symphonic poem” titled “La Nuit.”<sup>398</sup> According to Héту, these first compositions revealed the influence of Héту’s early contact with Classical and Romantic works. He also began studying theory. He writes,

Of course, all this was gauche and naïve, but I began to assimilate certain things. To orient myself, I procured a single theoretic work: the great orchestration treatise of Hector Berlioz. I also bought two scores: a symphony by Haydn (the 94<sup>th</sup>) and Schubert’s 8th Symphony, of course!<sup>399</sup>

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<sup>396</sup> Ibid., 6. Original: “Un dimanche de février, suite à un récital d’orgue qu’avait donné un ancien de Brébeuf à la chapelle du Collège, (un certain Raymond Davelisy...) je me suis dirigé vers la salle de musique, at après m’être enfermé dans un studio, j’ai commencé à reconstituer au piano des fragments de ce que je venais d’entendre. (Des pièces ~~Sœur Monique~~ de Couperin, le Toccate et fugue en Si mineur de Bach, etc...). Après plusieurs minutes de pianotage, un petit copain ouvrit la porte du studio et, tout éberlué, me fit comprendre que ce que j’étais en train de faire n’était pas très courant... Je réalisai à ce moment précis que je m’étais peut être pas tout-à-fait “normal”... musicalement! Je n’avais jusque-là jamais joué quoi ce soit sur un piano... Dans les jours qui suivent, je continuais à fréquentes la salles de musique, mais je me jouais que des pièces que j’avais composées...”

<sup>397</sup> Ibid.

<sup>398</sup> Ibid., 7.

<sup>399</sup> Ibid., 7. Original: “Bien sûr, tout cela était gauche et naïf, mais je commençais à assimiles certains choses. Pour m’orienter, je m’étais procure un seul ouvrage théorique: Le Grand Traité d’orchestration d’Hector

Notably, among these earliest compositions was an attempt at a choral setting of a poem by Emile Nelligan (“Le Vaisseau d’Or”). Nelligan would remain an important figure in his work (he would return to Nelligan’s poetry in 1972). After this summer, Hétu had no interest in regular schooling, and dreamt of quitting and seriously studying music. He writes, “Music had just entered my life and I knew that my life would be dedicated to music.”<sup>400</sup>

Thus, at the age of 16, Hétu made the decision to dedicate his life to composing and quit school in December of 1954. As his parents had moved to the Gatineau area (the city of Maniwaki), he began traveling by train once a week to take lessons in solfege, harmony, piano and Gregorian chant with Father Jules Martel at the University of Ottawa.<sup>401</sup> Of course, the decision to quit school and take up composing was a serious one which needed the approval of his parents. He writes,

Imagine, an adolescent of 16 years who just comes to discover music and to learn his notes... and that decides to become a composer! In Quebec, in 1954, that causes quite a stir and provokes some serious perturbation for parents and educators... It is only after a battery of psychological tests and meetings with music professionals that we finished by understanding that I was not foolish...! But, I know that I would have been able to become [a composer] even if one had not let me do what I wanted. I believe that this is what they call: a calling [la vocation]!<sup>402</sup>

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Berlioz. J’avais aussi acheté deux partitions: une Symphonie de Haydn (la 94<sup>e</sup>) et la 8<sup>e</sup> Symphonie de Schubert, bien entendu!”

<sup>400</sup> Ibid., 7. Original: “La musique venait d’entre dans ma vie et je savais que ma vie serait consacrée à la musique.”

<sup>401</sup> Fowler, “Jacques Hétu’s *Suite*,” 10.

<sup>402</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | E,7, “Le Conservatoire Se Raconte,” lecture notes for conference delivered in 1996, page 8. Original: “Imaginez, un adolescent de 16 ans qui vient tout juste de découvrir la musique et d’apprendre ses notes... et qui décide de devenir compositeur! Au Québec, en 1954, ça cause tout en émoi et ça provoque des perturbation assez graves chez les parents et les éducateurs... Ce n’est qu’après des batteries de test psychologique et des rencontres avec des professionnels de la musique qu’on finit par comprendre que je n’étais pas fou...! Mais, je sais que j’aurais pu le devenir si on ne m’avait pas laissé faire ce que je voulais. Je crois que c’est ce qu’on appelle: la vocation!”

## 4.2 Early Musical Development and Education: 1954-1962

After a childhood in which Romantic and Classical works made a deep impression, Hétu's initiation to modern works came soon after the decision to formally dedicate himself to composition. For a year and a half, Hétu undertook studies at the University of Ottawa as well as his own self-directed exploration of music. The latter was achieved through his subscription to a "club de disque." These recordings as well as concerts on CBC Radio-Canada allowed Hétu to discover canonic works of the Classical and Romantic periods, as well as twentieth-century works by Bartók and Shostakovich. But Hétu's love of more avant-garde works began upon hearing the work of Clermont Pépin, his future teacher, for the first time. He writes,

I remember turning on the radio, one evening, and coming across 'modern' music – strong, intense and lyrical – that made a great impression on me. I said: if this is the language of the 20<sup>th</sup> century, I agree, because one can express something in this manner! And I began to dream: would it be possible to become the student of the composer that wrote this piece? ...The music ended, the announcer identified the work: 'That was the *Le Rite du Soleil Noir* of the Montreal composer, Clermont Pépin.' On the off chance, I noted this name that I did not know, without questioning at which point my dream was going to become reality...!<sup>403</sup>

In September of 1956, the 18-year-old Hétu entered the Conservatoire de Musique de Montréal and achieved this dream. For five years he simultaneously took piano with Françoise Bertrand, oboe with Melvin Berman, chamber music, orchestra and harmony

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<sup>403</sup> Ibid., 9. Original: "Je me souviens d'avoir allumé la radio, un soir, et d'être tombé sur une musique 'modern,' forte, intense et lyrique, qui me fit grande impression. Je me suis dit: si c'est là le langage du 20<sup>me</sup> siècle, je suis d'accord, car on peut exprimer quelque chose de cette manière-là! Et je suis mis à rêver: serait-il possible de devenir l'élève du compositeur qui a écrit cette pièce?... La musique se terminée, l'annonceur identifié l'œuvre: 'C'était "Le Rite du Soleil Noir" du compositeur montréalais Clermont Pépin.' A tout hasard, je note ce nom que je connaissais pas, sans me douter à quelle point mon rêve allait devenir réalité...!"

with Isabelle Delorme, fugue with Jean Papineau-Couture, and counterpoint and composition with the composer whose music had made such an impression on him:

Clermont Pépin. Pépin's tutelage was to have a great influence on Hétu. Hétu described the importance of musical form which Pépin conveyed:

Clermont Pépin was for me an extraordinary teacher, because, apart from having compositional techniques to master, the styles of analysis or schools of thought to explore, there is one thing that a young composer must learn, a thing that Clermont Pépin instilled in me to the highest degree: I speak of a sense of form. To learn to compose is to learn to choose the most appropriate structures in order to develop a musical idea. I, of course, never reworked my sketches of when I was 16 years old, my style having evolved rather rapidly since!<sup>404</sup>

Pépin also influenced Hétu with regard to counterpoint, a highly developed aspect of Hétu's composition style. Hétu stated,

I was with Clermont Pépin in the composition class, but Clermont, after eight classes, he take [sic] me apart, and do counterpoint harmony and a little – you know, just because he sees that I can go quickly, you know. So, I make the counterpoint for two voices, you know, until the -- double the choir -- at eight or sixteen voices, in six months. So, he is my composition teacher, but Clermont gave me many things, many more than compositions.<sup>405</sup>

Under what the composer called his “apprenticeship” with Pépin, Hétu's output during these years consisted of some short pieces for piano (including his *Toccate pour piano*, Op. 1), some “melodies” for voice and piano in a post-impressionist style, and, his first work of significance, the *Symphonie pour Cordes*.<sup>406</sup> He writes, “Here were some very formative school exercises, but I was in a hurry to attack something of a grander scope.

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<sup>404</sup> Ibid., 10. Original: “Clermont Pépin fut pour moi un maître extraordinaire, car, au-delà des techniques d'écriture à maîtriser, des styles analyser ou des écoles de pensée à explorer, il y a une chose qu'un jeune compositeur doit apprendre, chose que Clermont Pépin m'inculqua au plus haut degré: Je veux parler du sens de la forme. Apprendre à composer, c'est apprendre à choisir les structures les mieux appropriées pour développer un idée musicale. Je n'ai évidemment jamais retravaillé les esquisses de mes 16 ans, mon style ayant évolué plutôt rapidement depuis!”

<sup>405</sup> Cornfield, *Canadian Composers*, 5.

<sup>406</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | E,7, “Le Conservatoire Se Raconte,” lecture notes for conference delivered in 1996, page 11.

Thus, it was born, the *Symphonie pour Cordes*... starting in pain, then, little by little, in joy and exuberance!”<sup>407</sup> Hétu completed the first movement of *Symphonie pour Cordes* during the 1958-59 school year.

At the time of Hétu’s work on the *Symphonie pour cordes*, he embarked on another often-mentioned event in his composition education. This was his summer studying composition with Lukas Foss at the 1959 course at the Berkshire Music Center in Tanglewood, Massachusetts. Under the advice of Pépin, Hétu attended the course where he would write the second movement of his *Symphonie pour cordes*. While Hétu does not mention Foss’s teaching in his writings, he does elaborate on an important moment during that summer: his meeting and befriending of the conductor Charles Dutoit. This relationship would last his whole life. In September of 1959, after leaving Tanglewood “having a head replete with ideas”<sup>408</sup> Hétu wrote the third movement of the *Symphonie pour cordes* in one month and the work had its premiere in December of 1959. This was Hétu’s first public work. However, according to the composer, this work did not represent his true personal style. He writes,

The *Symphonie pour cordes* is not a very personal work. It is completely normal that a 20-year-old composer, again at his studies, is subjected to the influence of composers and of works that he admires... we are all the son of someone... The *Symphonie pour cordes* has a sonic filiation with the music of Béla Barók, who I consider to be the Beethoven of the 20<sup>th</sup> century.<sup>409</sup>

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<sup>407</sup> Ibid., 11. Original: “C’était là des exercices d’école très formateurs, mais j’avais hâte de m’attaquer à quelque chose de plus grande envergure. C’est ainsi qu’est née la *Symphonie pour Cordes*... d’abord dans la douleur, puis, peu à peu, dans la joie et l’exubérance!”

<sup>408</sup> Ibid., 12.

<sup>409</sup> Ibid., 13. Original: “A propos cette œuvre, la *Symphonie pour Cordes* n’est pas une œuvre très personnelle. Il est tout-à-fait normal qu’un compositeur de 20 ans, encore aux études, subisse l’influence des compositeurs et des œuvres qu’il admire... on est tous le fils de quelqu’un... La *Symphonie pour Cordes* a une parenté sonore avec la musique de Béla Bartók, que je considérais être le Beethoven de la XX<sup>me</sup> siècle...”

In these lecture notes, Héту adds, “I say sonic, but not in the writing technique as such. At this level, it is much more near to Honegger that I situate myself.”<sup>410</sup> This text was later crossed out.

In 1960, during his fourth year of studies at the Conservatoire de Musique de Montréal, Héту started his *Adagio et Rondo*. This piece was written initially for string quartet and was planned to contain several movements. However, Héту eventually found two movements to be sufficient and also made the decision to transcribe it for string orchestra. According to the composer, this piece, in contrast to the *Symphonie pour cordes*, can be considered reflective of Héту’s personal musical style and specific recurring motives. He writes,

Although very near the *Symphonie pour cordes*, this piece already encompasses some more personal elements, such as the announcement of the theme of the Adagio, a theme that turns on itself before freeing itself, but, and above all, the few measures of the introduction that are constituted of the major 7<sup>th</sup> motive ascending by two leaps: a minor third and a minor sixth. Even today, it is kind of my signature melody.<sup>411</sup>

By this time, Héту also started an opera entitled *La Fille qui Aima le Vent* with a libretto by Ives Thévault. The libretto and music were never completed but some of the music is included in Héту’s *Prélude pour orchestra*, Op. 5 written in 1961. By his graduation in the spring of 1961, Héту had both his *Symphonie pour cordes* and his Second Symphony performed by the L’Orchestre de Conservatoire and had submitted to the conservatory

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<sup>410</sup> Ibid. Original: “je dis bien sonore, mais non pas dans la technique d’écriture comme tel. A ce niveau, c’est beaucoup plus près d’Honegger que je me situais.”

<sup>411</sup> Ibid., 14. Original: “Quoi que très près de la Symphonie pour Cordes, cette pièce renferme déjà des éléments plus personnel, comme l’énoncé du thème de l’Adagio, thème qui tourne sur lui-même avant de se dégager, mais, et surtout, les quelques mesures de l’introduction qui sont constitués sur un motif ascendant de 7<sup>e</sup> majeure en 2 hauts: une 3<sup>ce</sup> mineure et un 6<sup>te</sup> mineure. Encore aujourd’hui, c’est un peu ma signature mélodique.”

composition competition a dossier totaling nearly one and a half hours of music.<sup>412</sup> In it were his *Toccate pour piano*, a trio for flute, oboe and harpsichord, his *Adagio et Rondo* for string quartet, two symphonies, and two first scenes of an opera. For this, Hétu, received only the competition's second prize, but he would find out that this was due to the mistaken perception by the jury that he was not graduating from the Conservatory that year. Had this not been the case, he would have been awarded the 1<sup>st</sup> prize.<sup>413</sup> However, Hétu did win the Prix d'Europe and the Prix de Composition des Concours de Musique du Québec. The experience led him to distrust competitions, prizes and the like. He would write, "music is not a sport!"<sup>414</sup>

Following the earning of the Prix d'Europe, and with the aid of a Canada Council Grant, Hétu traveled to Paris for a two-year stint. He studied composition with Henri Dutilleux at the École Normale de Musique from 1961 to 1963, where he would receive a diploma.<sup>415</sup> Hétu was also in Olivier Messiaen's famous analysis class at the Conservatoire de Paris from 1962 to 1963. According to a local newspaper of Trois-Rivières in 1963, of the 80 people that applied to the class – including six Canadians – only 15 people were admitted (Hétu was the sole Canadian).<sup>416</sup>

According to Hétu, his time studying in Paris was an experience that resulted in a great evolution in his orchestration practice and thinking, but his personal musical language remained more or less intact. He writes,

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<sup>412</sup> Ibid., 15.

<sup>413</sup> Ibid., 16.

<sup>414</sup> Ibid.

<sup>415</sup> René Champigny, "L'expression de la Polarité dans le Concerto pour Orgue et Orchestra, Op.68 de Jacques Hétu" (PhD diss., Université Laval, 2008), 11.

<sup>416</sup> Library and Archives Canada, Jacques Hétu Fonds, Mus 279 | H15,4, "Press clippings – 1958-1994," From a 1963 article in an unidentified Trifluvien newspaper.

My two-year sojourn in Paris made me discover the intensity and diversity of a real musical life. Because, in addition to the courses of Henri Dutilleux and Olivier Messiaen, I regularly frequented the innumerable concerts offered by Radio-France and directed by the great orchestra conductors of the time, or those of the Domaine Musical that was directed by Pierre Boulez. The discovery of this new sonic world greatly developed my attraction for orchestration, for transparency of sonorities, for the variety of timbres and colours... in short, my orchestral thought passed from 'black and white' to 'colour'!<sup>417</sup>

In 1963, Hétu, looking to fulfill a necessary symphonic component of his graduate requirements with Dutilleux, conceived of a new project for which to put this orchestral prowess into practice: “a vast oratorio for narrator, soloists, choir and orchestra, based on the text of the Apocalypse of Saint John.”<sup>418</sup> Working on the oratorio, which would eventually be re-worked as the 1967 symphonic fresco, *L'Apocalypse*, allowed Hétu the opportunity to “refine” and “professionalize” his orchestration.<sup>419</sup>

However, Hétu down-played the effect of the music of the Parisian avant-garde on his own musical language. He writes,

...as far as my language and expression is concerned, this music stood the most often at the opposite of my own sensibility. Of course, the serial technique left some traces on my writing style, but I never was truly diverted from the principle of natural resonance. And, despite a great complexity at the level of construction, my language evolved towards a rather consonant music, of a rather evident romanticism, and [would] flow in rather traditional forms!<sup>420</sup>

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<sup>417</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | E,7, “Le Conservatoire Se Raconte,” lecture notes for conference delivered in 1996, page 17. Original: “Mon séjour de 2 ans à Paris me fit découvrir l’intensité et la diversité d’une véritable vie musicale. Car, en plus des cours de Henri Dutilleux et d’Olivier Messiaen, je fréquentais assidûment les innombrables concerts offerts par Radio-France et dirigés par les grands chefs d’orchestre du temps, ou ceux du Domaine Musical que dirigeait Pierre Boulez. La découverte de ce nouveau monde sonore développa grandement mon attrait pour l’orchestration, pour la transparence des sonorités, pour la variété des timbres et des couleurs... bref, ma pensée orchestrale est passée du ‘noir et blanc’ à la ‘couleur’ au ‘Technicolor’!”

<sup>418</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279/E,6, “Entre le Drame et la Poésie,” lecture notes for talk delivered in 1993, page 3. Original: “un vaste oratorio pour narrateur, solistes, chœur et orchestre, basé sur le texte de l’Apocalypse de Saint-Jean.”

<sup>419</sup> *Ibid.*, 6.

<sup>420</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | E,7, “Le Conservatoire Se Raconte,” lecture notes for conference delivered in 1996, page 17. Original: “Mais, sur le plan du langage et de l’expression, cette musique se dressait le plus souvent à l’opposé de ma propre sensibilité. Bien sûr, la technique sérielle laissera des traces sur mon style d’écriture, mais je n’ai jamais pu me détourner vraiment du principe de la résonance naturelle. Et, malgré une complexité grandissante au niveau de la construction, mon langage

Regarding his composition style at this time, Hétu recounts feeling stylistically caught between the avant-garde camps of Paris – between Dutilleux at the Conservatoire de Paris and Boulez and his *Domaine musical* – which led to a feeling of isolation. It would not be the last time that Hétu would feel isolated from the musical avant-garde. He tells a story that exemplifies this,

I was returning from Henri Dutilleux's course in composition with a vague sense of anxiety. After looking at my last work, [Dutilleux] concluded: 'It is very interesting, you should show it to those in the *Domaine musical*.' A few days later, I met a student enrolled in the course of Pierre Boulez, then set up in Switzerland [Basel]. Without being too specific about which class I attended, I showed him the work in question. 'It is very interesting,' he says, 'you should show this to Henri Dutilleux ....' My feeling of anxiety turned into a feeling of solitude. Since then, I have cultivated this solitude ... and it proved to be my real wealth.<sup>421</sup>

So, while Paris may not have left a stylistic mark on Hétu's long-term style, it did galvanize his sense of place amongst the avant-garde musical scene. He stated in 2002 that,

It's really in Paris in '61, '62, '63, you know, that Boulez was the great master, you know. Messiaen, somewhat, but, Boulez was -- was God, you know. But, I had to make a choice. I just knew that, yes, I can write with serialism, and all this, in character, not only the notes, but the intensity – all that. But, my own expression has nothing to do with that.... For me, music must be here, you know, and not only here, but with written ideas. That's why the melodic may be – and the structural – classical structures – are, for me, essential for the intelligence of a work, and for me, what I have to tell in the music. So, I stayed with Dutilleux, and I had absolutely not the intention to go with Boulez. I respect Boulez. I was at all

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évoluera vers une musique plutôt consonante, d'un romantisme plutôt évident, et sera coulée dans des formes plutôt traditionnelles!"

<sup>421</sup> Jacques Hétu, "Pour un style composite," *Vie musicale* 11(1969): 12. Original: "Un jour, à Paris, il y a six ans, je revenais d'un cours de composition d'Henri Dutilleux avec un vague sentiment d'inquiétude. Après avoir regardé ma dernière œuvre, il avait conclu: C'est très intéressant, vous devriez montrer cela à ceux du *Domaine musical*. Quelques jours plus tard, je fis la connaissance d'un étudiant inscrit aux cours de Pierre Boulez, alors installé en Suisse. Sans trop préciser quelle classe je fréquentais, je lui montrai l'œuvre en question. *C'est très intéressant*, dit-il, *vous devriez montrer cela à Henri Dutilleux...* Mon sentiment d'inquiétude se transforma en sentiment de solitude. Depuis lors, j'ai cultivé cette solitude... et elle s'est avérée ma véritable richesse."

his concerts and all these things, but not interested to make – to write *du Boulez*.<sup>422</sup>

Héту completed his studies in 1963 returning to Quebec with a large portfolio of works, six public performances, and commendation from Dutilleux. Dutilleux would write,

Jacques Héту who, before his sojourn in France, had benefited from an excellent preparation, due in particular to the teaching of Mr. Clermont Pépin, has obtained, after two years of courses at the l'Ecole Normale, the supreme reward: the Diploma of Excellence in Musical Composition. This distinction, that he was the only candidate to obtain, was attributed to him unanimously by members of the jury.... It is with interest that I will follow the career of this very-happily-gifted musician possessing, here and now, an excellent skill.<sup>423</sup>

In 1964, shortly after his return, Héту began teaching music literature, analysis, orchestration and composition at Université Laval. He would have a long career as a professor of music teaching at Université Laval until 1977, and at Université du Québec à Montréal from 1979 until his retirement in 2000 (notably, from 1972-1973 and 1978-1979 Héту taught composition at the Université de Montréal).

### 4.3 Evolution of a Musical Style: 1963-1986

One can ascertain an idea of Héту's musical style and its evolution over his 51-year career by considering Héту's own writings and the handful of studies of his work (which

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<sup>422</sup> Cornfield, *Canadian Composers*, 6.

<sup>423</sup> Library and Archives Canada, Jacques Héту Fonds, Mus 279 | H15,4, "Press clippings – 1958-1994," From a 1963 article in an unidentified Trifluvien newspaper. Original: "Jacques Héту qui, avant son séjour en France, avait bénéficié d'une excellente préparation, due en particulier à l'enseignement de M. Clermont Pépin, a obtenu, après deux années de cours à l'École Normale, la suprême récompense: le Diplôme d'Excellence de Composition musicale. Cette distinction qu'il a été le seul candidat à obtenir, lui a été attribuée à l'unanimité des membres du jury.... C'est avec intérêt que je suivrai la carrière de ce musicien très heureusement doué et possédant, dès à présent, un excellent métier."

focus mainly on the keyboard works). In 1969, Hétu wrote a short declaration of his musical style entitled “Pour un Style Composite.” Here, he states that eclecticism was foundational to his musical style. In what Hétu called his *style composite*, the composer pronounced that his music incorporates aspects of serialism, common-practice tonality, and modality (referring to the modes of limited transposition catalogued by Messiaen).<sup>424</sup> This appeal to multiple techniques and idioms is something that Hétu would promote throughout his career. Throughout the 1980s and 1990s his works published by Dobermann-Yppan would unwaveringly describe the composer’s style as using “neo-classical forms and neo-romantic expression in a musical language of 20<sup>th</sup> century techniques.”<sup>425</sup> However, while his work can always be described as eclectic, his allegiance to 20<sup>th</sup> century compositional techniques changed over time to favor some over others. After a dalliance with serialism in the 1960s, Hétu seems to have dismissed this technique in favour of Messiaen’s modes of limited transposition.

The influence of Messiaen on Hétu is clear. The composer had intimate knowledge of Messiaen’s works and was exposed to the composer during his attendance of the French composer’s analysis class in 1961-62. As a student of Dutilleux, Hétu orchestrated two works by Messiaen.<sup>426</sup> He also taught the analysis of Messiaen’s music (including the identification of the modes of limited transposition) in a graduate-level course at the

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<sup>424</sup> Hétu, “Pour un Style Composite,” 12-15.

<sup>425</sup> Hétu, *Quatuor à Cordes No. 2, Op. 50*. Since the late 1980s, this phrase was included in the composer’s note in almost all of Hétu’s Dobermann-Yppan publications.

<sup>426</sup> Library and Archives Canada, Jacques Hétu Fonds, Mus 279 | A2,3 “École normale de musique – 1962.,” Hétu’s orchestrations of Messiaen’s *Préludes* No.1, “La Colombe,” and No. 4, “Instants Défunts,” from *Préludes pour piano* under the tutelage of Dutilleux.

Université du Québec à Montréal in 1984.<sup>427</sup> Héту published a tribute to Messiaen on the latter's 75th birthday that underscores his influence. Héту writes:

Olivier Messiaen is a teacher who makes one love things, of course, in a logical way but also in an instinctive way. The works which he talked about and which I already knew well, I rediscovered under entirely new aspects. During that first month when I studied with Messiaen, I learned more than in all the previous years put together. Messiaen the pedagogue and analyst remains for me without the question the master. The thing which influenced me the most in Messiaen was the harmonic aspect as a whole, even though he would most likely consider himself as a 'rhythmician.' One always finds in his music a great concern for the vertical dimension, and it is this harmonic colour which I appreciated above everything else.<sup>428</sup>

He admired Messiaen's continuity with the past – something which Héту cultivated in the later years of his career. He writes, "Olivier Messiaen is one of those rare modern composers in whose works one perceives a continuity of language comparable to that which one encounters in a Wagner or a Beethoven. It is this which struck me and which I admire."<sup>429</sup>

Héту's preferred phrase structure and musical gestures – what is referred to as his musical "expression" in the Dobermann-Yppan publications – were not static throughout his career. Héту's musical expression would solidify over time to exhibit classical structures such as the classical period and sentence phrase structure. A full stylistic survey of Héту's 82 published works has yet to be undertaken. However, one valuable source that can shed light on his stylistic evolution is Valérie Dallaire's survey of the seven solo piano works that were written between 1959 and 2003.<sup>430</sup> Here, the Dallaire

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<sup>427</sup> Library and Archives Canada, Jacques Héту Fonds, Mus 279 | B2,2, vol. 1, "Analysis Course – 1983-1994," Course material for a twentieth-century analysis course.

<sup>428</sup> Jacques Héту, "Jacques Héту Classe 1962-63," *Variations* 2, no. 2 (1978) : 11.

<sup>429</sup> *Ibid.*

<sup>430</sup> Valérie Dallaire, *L'Oeuvre pour Piano de Jacques Héту* (Saint-Nicolas, Québec: Doberman-Yppan, 2004).

identifies a stylistic evolution in Hétu's piano writing that can roughly be divided into three creative periods.<sup>431</sup> The first creative period, which includes *Toccate*, Op.1 (1959), *Petite Suite*, Op.7 (1962), and *Variations pour piano*, Op. 8 (1964), sees the use of serial techniques, the rigorous development of a small amount of motivic material, as well as the use of Messiaen's mode of limited transposition. The piano works of this period that contain serial techniques are the *Petite Suite* and *Variations*. In both cases, Hétu takes a very free approach to serial techniques and does not adhere to the technique uniformly throughout each work. For example, of the six movements of *Petite Suite*, only two are based on Hétu's complete 12-tone row. In the opening movement, one can immediately hear 12-tone writing within a Webernian texture and rhythmic structure (see Figure 4.1).

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<sup>431</sup> *Ibid.*, 71.

Figure 4.1 The opening movement of *Petite Suite*, for piano, Op. 7, written in 1962. © With kind authorization from Les Éditions D'OZ.<sup>432</sup>

The other movements are centered on fragments of the row. The introduction and four variations of Hétu's *Variations* freely use dodecaphonic techniques combined with chromaticism and the frequent use of the tritone.<sup>433</sup> A common feature of both pieces is that the organization of the tone rows for *Petite Suite* and *Variations* exhibit a structure that is based on non-dodecaphonic sources. The row of the *Petite Suite* tips its hat to J.S. Bach: it contains two symmetrical iterations of the B-A-C-H motive (B $\flat$ -A-C-B $\sharp$ ). The row for *Variations* contains two symmetrical hexachords, each based on

<sup>432</sup> Jacques Hétu, *Petite suite: for piano, opus 7* (Saint-Nicolas, Québec: Les Éditions Yppan, 1985).

<sup>433</sup> Dallaire, *L'Oeuvre pour Piano*, 31.

transpositions of Messiaen's second mode (the octatonic collection). *Variations* would be an important work in Hétu's compositional career as well as a significant benchmark for his musical style. In 1967, Glenn Gould would record the piece and this, according to Hétu, would launch his career as a composer. He writes, "shortly after, there was a succession of commissions... that have not ceased since."<sup>434</sup> However, it cannot be said to be stylistically representative of his later work. As Hétu himself states, this piece contained a watershed of techniques learned during his student-composer days: "[Variations] appears to me now as a synthesis of aesthetics and techniques of my apprentice years."<sup>435</sup>

According to Dallaire, Hétu's second and third periods are differentiated from the first period by their lack of serialism. The second period includes *Prélude et Danse*, Op. 24 (1977), *Ballade*, Op. 30 (1978), and *Sonate*, Op. 35 (1984). Here, Dallaire notices more reliance on three specific types of chords: a minor chord with added major 7<sup>th</sup>, a major chord with added minor 6<sup>th</sup>, and a major chord with an added augmented 4<sup>th</sup>. These chords are present in most of Hétu's music, but they particularly prominent here. There is no reliance on serialism in these works. Instead, modes of limited transposition (II and III in particular) are emphasized. A 2013 article by Stephanie Lind further supports Dallaire's argument. Lind surveys four works written after 1970 and, instead of serialism, identifies a distinct debt to Messiaen in Hétu's modal layering and motivic repetition.<sup>436</sup>

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<sup>434</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | E,7, "Le Conservatoire Se Raconte," lecture notes for conference delivered in 1996, page 19. Original: "Brusquement, ce fut alors une successions de commandes... qui n'a pas cesse-depuis!"

<sup>435</sup> Ibid. Original: "Ce sera les Variations pour Piano, une œuvre qui m'apparait maintenant comme une synthèse des esthétiques et des t techniques de mes années d'apprentissage."

<sup>436</sup> Stephanie Lind, "Jacques Hétu's Style Composite: A Transformational Approach to Modal Superimposition," *Perspectives of New Music* 51, no. 1 (Winter 2013): 135-160.

Regarding form, Hétu consistently wrote in forms and genres that are found in the oeuvres of such Romantic composers as Schubert or Beethoven. Titles such as prelude, ballade, and nocturne are consistently present in his work. Sonata form, variations, and rondo form are common. However, on a smaller structural level, Hétu's more frequent use of classical sentence phrase structure demarks his later creative periods from the early one.<sup>437</sup> Dallaire finds the prominent use of classical sentence structure in his piano works from 1977 to 2003.<sup>438</sup> Hétu acknowledged his use of another classical phrase structure, the classical period, in his analysis of the fifth movement of his *Clartes de la Nuit* for voice and piano (1972). He writes, "the first strophe, part A, presents a melodic phrase constructed like a period: antecedent, consequent. The consequent restarts the antecedent (since the head is identical) but a minor third lower and with a different ending."<sup>439</sup> His predilection for classical structures is based on a need for unity and structural coherence. He states, "For me, music must be here, you know, and not only here, but with written ideas. That's why the melodic may be – and the structural – classical structures – are, for me, essential for the intelligence of a work, and for me, what I have to tell in the music."<sup>440</sup>

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<sup>437</sup> Dallaire, *L'Oeuvre pour Piano*, 71.

<sup>438</sup> Dallaire, *L'Oeuvre pour Piano*, 62-63.

<sup>439</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | E,6, "Entre le Drame et la Poésie," notes for a lecture delivered at Hétu's composers' forum of the ARMuQ in 1993, page 14. Original: "La première strophe la partie (A) présente un phrase mélodique construit comme un période: antécédent, conséquent, le conséquent reprenant l'antécédent (puisque le tête est identique) mais un 3<sup>e</sup> min. plus bas et avec une terminaison différente."

<sup>440</sup> Cornfield, *Canadian Composers*, 6.

Dallaire's third creative period, which includes Hétu's *Fantaisie*, Op.59 (1996) and *Impromptu*, Op.70 (2003), synthesizes elements from the previous period with a particular frequency of final cadences by a descending semitone. Hétu stated regarding this cadential gesture, 'My preferred 'signature' is the 'descending leading tone' ['sensible inférieure']: re ♭ -do, a descending semitone. This way of concluding is probably the unconscious result of the lowered second degree chord (the neopolitan chord) from tonal music or from some other ancient mode with a descending leading tone (the mode of *mi*).'<sup>441</sup>

Thus, the most conspicuous change in Hétu's piano works from his days as a student composer until 2003 is the abandonment of serial techniques in favor of chromaticism and the modes of limited transposition. While Dallaire's periods specifically categorize his piano music, one can assume that they roughly describe Hétu's stylistic evolution for his entire oeuvre. While early works in Hétu's career show his declared *style composite* in their mixture of serialism, tonality, and modern modes, this is not a descriptor of his works after 1970.

Hétu himself acknowledged this stylistic shift at various points in the composer's career by noting a departure from serialism in favour of a simplification of his musical language and what he calls lyricism. He noted that the second movement of his 1969 *Concerto pour piano* is "one of the most *lyrical* pages I dared to write. I say 'dare,'

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<sup>441</sup> Dallaire, *L'Oeuvre pour Piano*, 13. Original: "Ma 'signature' préférée est la 'sensible inférieure': ré♭-do, un demi-ton descendant. Cette manière de conclure est probablement issue inconsciemment de l'accord du II<sup>ième</sup> degré abaissé (l'accord napolitain) de la musique tonale ou de quel qu'autre mode ancien à la sensible descendante (mode de *mi*)."

because at that time... integral structuralism [serialism] was the fashion.”<sup>442</sup> Figure 4.2 shows the first fifteen measures of the the second movement of the concerto.

The image shows a musical score for the opening of the second movement of Jacques Héту's first Piano Concerto, Op. 15. The score is in 4/4 time, marked 'Adagio' with a tempo of quarter note = 50. It features a piano (p) dynamic and a highly chromatic, atonal melody in the right hand, supported by a complex harmonic structure in the left hand. The score includes first and second endings, a crescendo (cresc.) marking, and a forte (f) dynamic marking.

Figure 4.2 The opening (mm. 1-15) of the second movement of Héту's first Piano Concerto, Op. 15, written in 1969. © With kind authorization from Les Éditions D'OZ.<sup>443</sup>

While heavily chromatic, it is clear on first hearing, that Héту's writing here is far from the serialism of the *Petite Suite*.

Héту would state that, in 1976, “I declared that my preoccupations tended towards the simplification of my language through a broadening of my framework and a consistently more *lyrical* expression... (since then I think that I have made some headway in this direction...)”<sup>444</sup> Héту noted that his third cycle of Nelligan poems, *Les Illusions Fanées*

<sup>442</sup> Library and Archives Canada, Jacques Héту Fonds, MUS 279 | E,7, “Le Conservatoire Se Raconte,” lecture notes for conference delivered in 1996, page 25. Original: “Le second mouvement de cette œuvre est une des pages les plus lyrique que j’ai osé écrire. Je dis bien osé, car à cette époque, il y a 30 ans, le structuralisme intégral était à la mode, et j’étais perçu comme une espèce de dinosaure... mais les dinosaures ont la peau coriace...”

<sup>443</sup> Jacques Héту, *Concerto no. 1 pour piano, opus 15* (Saint-Nicolas, Québec: Les Éditions Doberman-Yppan, 1994).

<sup>444</sup> Library and Archives Canada, Jacques Héту Fonds, MUS 279 | E,6, “Entre le Drame et la Poésie,” notes for a lecture delivered at Héту's composers' forum of the ARMuQ in 1993, page 26. Original: “... j’avais déclaré

(for acapella choir), composed in 1988, has music which “adopts a more *simple* language, more stripped down, characteristics that one finds in my more recent works.”<sup>445</sup> Indeed, Hétu made so much headway in this direction that he would comment in 1988 that “in the last five or six years I’ve barely used the serial technique...”<sup>446</sup>

Thus, one finds in Hétu’s work an increased emphasis on melody that are often drawn from the modes of limited transposition. He described his musical language in 2002 as having chromatic melodies that are “very often inside the twelve tones, but the harmony it comes from – from modal scales [...]. So, you know, I mix modal scales with tonal effects, with chromatic melodies.”<sup>447</sup> Dallaire finds that Hétu relies mostly on the second mode of limited transposition in his piano works.<sup>448</sup> While the third mode of limited transposition catalogued by Messiaen (three symmetrical chains of four notes separated by a tone and two semitones, see Figure 4) can be found in his works, Hétu has stated that this was not a conscious adherence to this mode (as he did for the octatonic collection) but a compositional by-product of utilizing favorite chords. He states, “even if this mode [III] is found in my music, I never employed it in a calculated way like mode II. This is much more the harmonic (vertical) result of certain chords that emerge than a horizontal control (scale) on my part.”<sup>449</sup>

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que mes préoccupations tendaient vers la simplification de langage à travers un élargissement du cadre et une expression toujours plus lyrique... (Je crois avoir fait un bout de chemin dans cette direction depuis...)”

<sup>445</sup> Ibid., 19. Original: “la musique adopte un langage plus simple, plus dépouillé, caractéristiques que l’on retrouve dans mes œuvres plus récentes.”

<sup>446</sup> Renée Larochelle, “Jacques Hétu Interview,” in *Anthology of Canadian Music: Jacques Hétu* (Toronto: Radio Canada International, 1988, CD ACM 31), 30.

<sup>447</sup> Cornfield, *Canadian Composers*, 8.

<sup>448</sup> Dallaire, *L’Oeuvre pour Piano*, 11-12.

<sup>449</sup> Ibid, 12. Original: “Même si ce mode se trouve dans ma musique, je ne l’ai jamais employé de manière calculée comme le mode II. C’est beaucoup plus par le résultat harmonique (vertical) de certains accords qu’il émerge que par un contrôle horizontal (gamme) de ma part.”

Thus, a general evolution in Hétu's musical language can be traced that spans his works from the early 1960s to those composed after the year 2000. Over his compositional career, Hétu relied less on the use of serial techniques and increasingly favoured the "world of Messiaen,"<sup>450</sup> particularly his second mode of limited transposition, and free chromaticism. Hétu's predilection for melodies and harmonies that draw on the modes of limited transposition increased along with the emphasis on triadic chords and tonal effects (allusions to the harmonic functions of common-practice tonality) that these modes offer.

That Hétu felt self-conscious about this overt move to lyricism is telling of the state of the Quebec's avant-garde scene in the 1960s: serialism was orthodox and modernist composers such as Webern, Boulez and Stockhausen were championed in the media, universities and musical institutions.

#### **4.4 Reception**

Jacques Hétu's reception in Quebec represents an interesting musicological case. Despite the composer's extraordinarily successful career beginning in the 1960s, it seems that Hétu was not accepted by the musical avant-garde of his home province. From the mid-1960s until his death from cancer in 2010, Hétu was continually commissioned to write in genres that range from solo instrumental works to operas and symphonies and his oeuvre contains over 80 works with opus numbers. The high number of performances of his works on the concert and stage and radio consistently garnered him national

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<sup>450</sup> Larochelle, "Jacques Hétu Interview," 25.

recognition from 1993 to 2005.<sup>451</sup> Notably, he has composed the greatest number of concertos of any other Canadian composer.<sup>452</sup> But, while his career as a composer could not be considered anything but stellar, Hétu would often remark that he did not feel a sense of place amongst the European, American and Quebecois avant-garde.

In a short essay published in 1975 Hétu describes a composer (himself) who feels isolated in Quebec after returning from Europe. He writes,

So, the primary function of the composer is to compose this music ... but on the condition that he is born and can develop himself in a world ready to receive him. If this is not the case, the composer is obliged to take a role of pioneer, promoter [vulgarisateur] and educator which requires of him a strong dose of faith and patience. In fact, the composer from here [Québec] is an isolated being. After bathing himself in the cultural sources of European countries, he returns home and finds himself in a kind of ghetto geographically cut off from Europe by distance and cut off from the rest of America by the language and culture. Soon, he realizes that he finds himself, also, at home, in a kind of vaguely socio-cultural ghetto that becomes at times suffocating and stifling. Perhaps he is satisfied with his lot? After all, it is not the commissions and subsidies that are missing (there is enough for everyone, just wait your turn), and he is thus relatively well fed ... as well [fed] as a bird in a cage! So, he sings, eats a little, and sings again ... for the pleasure of the one who feeds him! Is it in this way that he should survive? Does his singing not deserve to be heard outside his cage? If it is true that the composer from here [Québec] lives in a changing world, the 'movements' of our society are not all parallel: the 'cultural movement' is particularly slow and serious planning is necessary for its proper functioning, mainly at level of the dissemination and promotion of works.<sup>453</sup>

Hétu not only felt isolated from America and Europe, but also amongst his own generation of avant-garde Quebecois composers.

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<sup>451</sup> From 1993 to 2005, he was awarded the Jan V. Matejcek New Classical Music Award for the Canadian composer with the highest number of performances seven times. See the SOCAN Website, accessed September 30, <http://www.socan.ca/about/socan-awards>.

<sup>452</sup> Champigny, "L'Expression de la Polarité," 15.

<sup>453</sup> Jacques Hétu, "Le Compositeur est là pour Composer...," *Canada Music Book* 11-12 (Autumn-Winter 1975, Spring-Summer 1976, Montreal: Canadian Music Council): 277.

Two unpublished sets of lecture notes from 1993 and 1996 – which are housed in Library and Archives Canada – offer some pertinent autobiographical tidbits about Hétu’s early career in Quebec.<sup>454</sup> By sifting through these documents and several interviews from the early 1970s, one can construct an account of a composer who felt perceived by his peers as a stylistic “dinosaur,”<sup>455</sup> aesthetically isolated from the musical modernist movement that dominated Montréal in 1960s. Beginning with his first teaching post at Université de Laval in 1964, Hétu would find himself amidst a musical modernist revolution largely led by the composer, Serge Garant. Like his counterpart, Pierre Boulez, in Paris, Garant has been called “*the promoter of Quebec musical modernity*”<sup>456</sup> and advocated a musicality that above all broke with the past. For a composer like Hétu who described his music as using “neo-classical forms and neo-romantic expression,”<sup>457</sup> his music, while in demand outside Quebec, was anathema to Garant’s modernist agenda.

At the time of Hétu’s birth in 1938, a general *conservative ideology* reigned within the political and religious realms of Quebec. This conservatism also dominated the musical scene. Sacred music was *de rigueur* and secular music was generally neo-classical.<sup>458</sup> During the decades following the Second World War, Quebecois society underwent rapid cultural change and a socio-political separation from Catholicism. One result of this so-

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<sup>454</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | E,6, “Entre le drame et la poésie,” notes for a lecture delivered at Hétu’s composers’ forum of the ARMuQ in 1993; and Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | E,7, ‘Le Conservatoire Se Raconte,’ lecture notes for conference delivered in 1996.

<sup>455</sup> For two instances, see Cornfield, *Canadian Composers*, 10; and Library and Archives Canada, Jacques Hétu Fonds, MUS 279/E,7, ‘Le Conservatoire se raconte,’ lecture notes for conference delivered in 1996, 25.

<sup>456</sup> Jean-Jacques Nattiez, “La Fondation de *Circuit* et sa Première Décennie : un Coup d’Oeil Rétrospectif et Autocritique” *Circuit: Musiques Contemporaines* 20, nos. 1-2 (2010): 20.

<sup>457</sup> Hétu, *Quatuor à Cordes No. 2, Op. 50*.

<sup>458</sup> Marie-Thérèse Lefebvre. *Serge Garant et la Révolution Musicale au Québec. Biographie et écrits (1954-1984)* (Montréal: Louise Courteau, 1986).

called “Quiet Revolution” was a distinct and deliberate injection of modernism within Quebec’s cultural fabric in the 1950s and 60s in order to “catch up” with the rest of Europe, in particular France.<sup>459</sup>

In this way, beginning in the 1950s, Quebecois composers began writing music following the techniques developed by their European colleagues such as Webern, Messiaen and Boulez.<sup>460</sup> A decisive step in the modernist movement occurred in 1954. Garant along with fellow Quebecois composers, François Morel and Gilles Tremblay, organized the first important concert of contemporary music in Quebec. Another important event occurred in 1961. Quebec composer Pierre Mercure organized the International Contemporary Music Week<sup>461</sup> which included participation by the top names in the world of modern music of the time.

The modernist movement can be said to have fully arrived with the establishment the Société de Musique Contemporaine du Québec (or SMCQ) in 1966. It was founded to promote contemporary music from Quebec, Canada and abroad, and began its performance series under the artistic direction of Garant. As one of Hétu’s contemporaries stated, one had the feeling that the SMCQ “stood for all that was revolutionary in music. You had the sense that they were taking orders from Paris and from Boulez.”<sup>462</sup> Having commissioned more than 100 works mostly by Canadian composers and performed over 900 pieces, the SMCQ must be considered Quebec’s most important avant-garde musical institution. By examining the programming choices of the

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<sup>459</sup> Paul-André Linteau, René Durocher, Jean-Claude Robert, and François Ricard, *Quebec Since 1930*, trans. Robert Chodos and Ellen Garmaise (Toronto: James Lorimer & Company Ltd., 1983), 568.

<sup>460</sup> Lefebvre, *Serge Garant*, 50.

<sup>461</sup> Linteau, *Quebec Since 1930*, 578.

<sup>462</sup> Cornfield, *Canadian Composers*, 10. The quoted interviewee is Arthur Kaptainis.

SMCQ with regard to Hétu's work, one can get a hint of Hétu's reception within the modernist camp in the 1960s.

The SMCQ, to date, has performed only four of Hétu's works (see Figure 4.3).

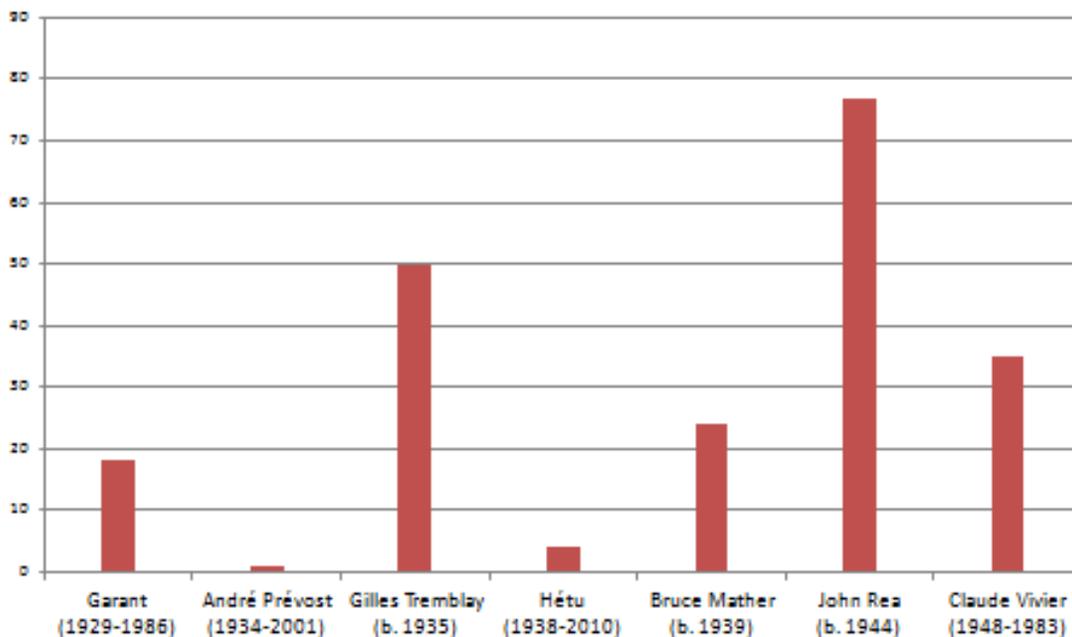


Figure 4.3 The number of works performed by some of Hétu's contemporaries throughout the history of the SMCQ to date.<sup>463</sup>

As you can see from Figure 4.3 giving the number of works performed by some of Hétu's contemporaries, four works is negligible compared to Tremblay, for example, who had 50 works performed or Bruce Mather, with 24.<sup>464</sup> Furthermore, of the four works by Hétu that have been performed, only one can be considered representative of the SMCQ's regular concert-series programming within Quebec. According to the SMCQ website, two of Hétu's works were exclusively performed outside of Quebec and another can be

<sup>463</sup> "The Works," Société de Musique Contemporaine du Québec, accessed March 1, 2016, <http://www.smcq.qc.ca/smcq/en/oeuvres/>

<sup>464</sup> In 2007, the SMCQ began the biennial *Séries Homage* (Tribute Series), in which a single composer's works are emphasized during a whole concert season. Rea, Vivier, and Tremblay were all honored in this way which naturally results in these composers having a greater number of performances. However, Hétu's absence from this list of honorees is telling.

set aside because it was part of the Montreal Expo '67. The only work performed inside Quebec that reflects the SMCQ's programming choices was Héту's *Cycle*, for piano and winds, Op. 16, written in 1969 and commissioned by the SMCQ itself. It must be surmised that Héту's 80-plus works other than *Cycle* were considered outside the stylistic agenda of the society.

Garant was artistic director of the SMCQ from 1966 to 1986 and the general avoidance of Héту's music is revealing of Garant's perception of the composer's style as conservative. For Garant, "To be modern, it is to approach music other than through the past."<sup>465</sup> That he thought Héту was a composer that looked to the past is clear. In a 1966 interview, the year the SMCQ was formed, Garant specifically mentioned Héту and his conservative style. Garant stated, "In my generation, there are a group of musicians – Morel, Pépin, Mercure, Matton, Tremblay – who approximately speak the same language. Amongst the younger, I know Prévost and Héту, who speak a language not more evolved than ours; they belong almost to our generation. It is this that worries me: that I do not know any younger [composers] actually that are pushing us in the back – that are writing music that can shock us."<sup>466</sup> Aware of the perception of himself as a conservative composer, Héту reacted in his writings and interviews in three ways.

First, he denied the validity of criticisms solely based on the criteria of innovation and originality. In fact, he reproached his peers for thinking that progressiveness alone was a hallmark of good music. In a 1970 interview that seems to speak directly to Garant's

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<sup>465</sup> Marie-Thérèse Lefebvre, "La Modernité Dans la Création Musicale," in *L'Avènement de la Modernité Culturelle aux Québec*, eds. Yvan Lamonde and Esther Trépanier (Quebec: Institut Québécois de recherche sur la culture, 1986), 181.

<sup>466</sup> Noël Bisbrouck, "Un Musicien Canadien; Serge Garant," in *Ici Radio-Canada, culture-information 1*, no. 2 (mai-juin, 1966), quoted in Lefebvre, *Serge Garant*, 115-116.

criticism, Héту states: “We say sometimes that I write music from fifty years ago, but the system of Boulez is not the only one.... I find it curious the attitude of today: formerly, we would reproach the composer of being too modern, too audacious, whereas now we reproach him for not being enough.”<sup>467</sup>

Second, he accused his critics of falsely categorizing himself and other Quebecois composers according to an overly simplistic modernist agenda. He dismissed the reductionism of cataloguing composers by only one of two styles: “one aesthetic marked by Webern and another by all that is not Webern.”<sup>468</sup> He says in a 1971 interview that, “I have tried as much as possible to not lock myself in a category, unfortunately others have taken responsibility to do that themselves.”<sup>469</sup> In the same interview, one senses a particularly dismissive attitude from Héту toward Garant. Héту takes pains to point out the futility of cataloguing Quebec composers by category because of the complex nature of influence and expression. However, when he gets to Garant, he simply says: “Garant, needless to say, falls directly in line with Webern.”<sup>470</sup> That same year, when asked what Héту dislikes most in current trends of contemporary music, he replied: “What do I deplore most? Rampant Fanaticism.” One cannot help but think this was directed at Garant.

Finally, Héту responds to Garant’s criticisms by distancing himself from the avant-garde scene and its highly specialized audience. For example, it is clear that Héту was

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<sup>467</sup> Jacques Thériault, “Recontre avec le Compositeur Jacques Héту: ‘J’Écris pour le Public et pour le Public Québécois.’” *Le Devoir*, February 12, 1970, 12.

<sup>468</sup> Marc Samson, “La Constant Difficulté d’Être Compositeur,” *Le Soleil*, May 1, 1971, 64. Original: “une esthétique marquée par Webern et une autre part tout ce qui n’est pas Webern.”

<sup>469</sup> *Ibid.*

<sup>470</sup> *Ibid.*

aware that his music rarely was played on the SMCQ stage, but this apparently did not bother him as he was not interested in the aesthetic limitations that writing for the avant-garde audience would impose upon him. In 1996, Hétu wrote: “Over time, [the Quebec avant-garde] have probably realized that I do not write for the specialized public and the *forced restraint* of contemporary music concerts...”<sup>471</sup>

For all Hétu’s staunch defense of his personal brand of neoclassicism, the composer’s self-imposed stylistic isolation did bring with it negative consequences for the composer in the late 60s and early 70s. When asked his opinion in 2007 on the evolution of music in Canada since the start of his career, he finds that the Quebec classical *avant-garde* has softened its orthodox dogmatism of the 1960s and 70s. He also posits that the rest of Canada at that time did not suffer such a bifurcation of the art-music scene that he witnessed in Quebec. He states, “There is a need here to make an aesthetic distinction [between]: (a) the composers whose training comes from the great European tradition based on the music of previous centuries, and (b) composers who have rejected all or part of this tradition by favoring a music ‘for the eye’ where the sonorous result is incidental ... The music of the former is obviously more ‘accessible’ than that of the others. The ostracism of the ‘middle’ who were the first victims in the 60s and 70s gradually faded thanks to the emergence of major performers more interested in making music than participating in experiments. Even if this cleavage is still present today, (one concert society will never program a type-‘a’ composer and an other will do the same for type ‘b’), there is no obstacle to the development of “a” composers [créateurs]. In this sense,

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<sup>471</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | E,7, ‘Le Conservatoire Se Raconte,’ lecture notes for conference delivered in 1996, pages 18-19.

the same thing happens here as in Europe, especially in France. In other words, it is now accepted that one can write ‘audible’ music in Quebec without being called reactionary or a dinosaur ... This has changed in Quebec! The rest of Canada was not affected by this segregation. (I was recognized and appreciated by the ROC [rest of Canada] well before Quebec!). I believe that the evolution of music in English Canada has been ‘normal.’ In the middle of the 20<sup>th</sup> century, the arrival of many immigrant composers from many European or American schools favored an enriching diversity of aesthetics. Outside Quebec, there is no ‘ghetto’ of current music [musique actuelle]. Anglophone music societies are open to all talented composers, regardless of their aesthetic.”<sup>472</sup> It seems that Hétu did feel pressure to avoid certain stylistic features of the past. He writes that in his later years, “I recovered some elements of writing that I would not have dared 25 years earlier – notably, the simple major chord.”<sup>473</sup> And, we have noted already Hétu’s feeling of tempting fate when he wrote such a lyrical second movement of his first piano concerto. He would later note in a 2005 interview that the pressure to adhere to a

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<sup>472</sup> Library and Archives Canada, Jacques Hétu Fonds, R13942/42/1, “Letter to Mr. Lacroix on Aug 1, 2007.” Original: “Il y a lieu ici de faire une distinction d’ordre esthétique : (a) les compositeurs dont la formation est issu de la grande tradition européenne basée sur la musique des siècles précédents, et (b) les compositeurs qui ont rejeté en tout ou partie cette tradition en favorisant une musique “pour l’œil” où le résultat sonore est accessoire... La musique des premiers est évidemment plus ‘accessible’ que celle des autres. L’ostracisme du “milieu” dont furent victimes les premiers dans les années 60 et 70s s’estompa graduellement grâce à l’émergence d’interprètes d’envergure plus intéressés à faire de la musique qu’à participer à des expériences. Même si ce clivage est toujours présent aujourd’hui, (telle société de concert ne programmera jamais un compositeur de type ‘a’ et telle autre agira de même pour le “type b”), il ne fait pas obstacle à l’épanouissement des créateurs “a.” En ce sens, il se passe ici la même chose qu’en Europe, en France notamment. En d’autres termes, il est maintenant admis qu’il puisse s’écrire de la musique ‘audible’ au Québec sans être taxé de réactionnaire ou de dinosaure... C’est ce qui a changé au Québec! Le reste du Canada ne fut jamais touché par cette ségrégation. (Je fus reconnu et apprécié par le ROC bien avant le Québec!). Je crois que l’évolution de la musique au Canada anglais s’est réalisée ‘normalement.’ Au milieu du 20<sup>e</sup> siècle, l’arrivée de nombreux compositeurs immigrants issus de plusieurs écoles européennes ou américaines a favorisé une enrichissante diversité d’esthétiques. Hors le Québec, il n’existe pas de ‘ghetto’ de la musique actuelle. Les sociétés musicales anglophone sont ouvertes à tous les compositeurs de talent, toute esthétique confondue.”

<sup>473</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | E,7, ‘Le Conservatoire Se Raconte,’ lecture notes for conference delivered in 1996, page 19.

modernist aesthetic was personally difficult. He states, “It was supposed to be the only way to think of music, you know. You must be avant-garde or nothing. I was not avant-garde, and I think that I was not nothing. You know, I was considered, like a kind of a *dinosaure*, we say in French, not for my music, but for myself. Yes, that was hard. That was hard.”<sup>474</sup>

Even when, overt modernism of the 1950s and 1960s in Quebec waned in favour of post-modernism exemplified by those composers such as Claude Vivier, John Rea and José Evangelista in the 1970s and 1980s, Hétu’s feeling of stylistic solitude would continue into his late career – along with it was his commitment to personal expression. He wrote in 1993: “I continue to advance on the path that I have chosen, aware of being perceived as a rather solitary hiker ... but what do you want, I love this creative solitude...”<sup>475</sup>

In 1996, Hétu wrote concerning his stylistic place amongst the Québécois avant-garde of the time:

I write for musicians who devote their talent to traditional repertoire. These are the ones commissioning works and allowing me for 30 years to compose on commission. I have always said it, to compose is to choose! Although I was aware of the major musical shifts that have occurred since the last war, I chose [not] to repeat them for the most part because they are incompatible with my temperament, and because they do not match the appropriate techniques for developing my musical ideas. So, for me, how does one present a ‘musical idea’? Always in the same way: as a melody! Without adhering to any schools or ‘sect’ in particular, I am first and foremost a melodist!<sup>476</sup>

<sup>474</sup> Cornfield, *Canadian Composers*, 10.

<sup>475</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | E,6, “Entre le drame et la poésie,” notes for a lecture delivered at Hétu’s composers’ forum of the ARMuQ in 1993, page 26.

<sup>476</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | E,7, ‘Le Conservatoire Se Raconte,’ lecture notes for conference delivered in 1996, pages 18-19. Original: “j’écris pour les musiciens qui consacrent leur talent au répertoire traditionnel. Ce sont eux qui me commandent des œuvres et qui me permettent depuis 30 ans de me composer que sur commande. Je l’ai dit tout-à-l’heure, composer, c’est choisir! Même si je n’ignore pas les importants revirements musicaux qui se sont produits depuis la dernière guerre. J’ai choisi de les répéter pour la plupart, parce qu’ils sont incompatibles avec mon tempérament, et qu’ils ne correspondent pas aux techniques appropriées pour développer mes idées

The tendency toward a personalized take on the past would increase later in his life. Hétu wrote in 2000 that, “I remain always (and even more and more) in this European classical tradition. I will only leave when I stop composing....”<sup>477</sup>

Instead of succumbing to the temptation to turn his back on the past, Hétu hunkered down and embraced aesthetic isolation – as he put it, he cultivated a stylistic solitude. “Dinosaurs have thick skin,”<sup>478</sup> he once said, and it was this “thick skin” – his imperviousness to the modernist movement – that contributed to the stylistic evolution in Hétu’s composing during the 1960s. As we have seen, this was an evolution that, ironically, moved away from serialism (a hallmark of musical modernism) to a more simplified “lyricism.” The *Suite pour guitare*, written in the mid-1980s, is representative of this move to modal lyricism. With a preliminary overview of Hétu’s life and musical style achieved, it is now necessary to examine the historical context of the composition of the *Suite*.

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musicales. Mais alors, comment se présente une “idée musicale” pour moi? Toujours de la même manière: sous la forme d’une mélodie! Sans adhérer aucune école ou “secte” en particulier, je suis d’abord et avant tout un mélodiste!”

<sup>477</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | Folder 1, Box No. 27, “Email Correspondence with François Fowler,” Feb. 26, 2000. Original: “je reste toujours (et même de plus en plus) dans cette tradition européenne classique. Je n’en sortirai que lorsque j’arrêterai de composer...”

<sup>478</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | E,7, ‘Le Conservatoire Se Raconte,’ lecture notes for conference delivered in 1996, page 25b. Original: “les dinosaures ont la peau coriace...[.]”

## Chapter 5 Op. 41: Historical Context

*Suite pour guitare* was published in 1987 by Dobermann-Yppan Editions, the Quebecois publishing company that would publish the majority of Hétu's works until his passing in 2010.<sup>479</sup> The piece was commissioned by guitarist Alvarro Pierri (b.1953) with the aid of a grant from the Canada Council for the Arts. Pierri, an Urugayan guitarist based in Montreal at the time, provided fingering and articulations for the publication and premiered the *Suite* at the 1986 Festival International de Tarbes in France. However, beyond these basic facts, there are several questions regarding the history of the composition of the piece that can be explored with the help of archival documents from the Jacques Hétu Fonds and email correspondence with Pierri.

What role did Pierri play in the compositional process? How did Hétu approach writing for the guitar (an instrument that he did not play)? By examining two historical sources, it seems that, after the agreeing to write the piece for Pierri, Hétu engaged in research to acquaint himself with the guitar and its possibilities for his own musical language. Pierri helped guide Hétu in his research: not only did he give him technical advice but also introduced him to repertoire from the classical guitar canon upon which to model his own guitar writing. Following some clues from correspondence with Pierri and Hétu, it is possible to identify some of these model guitar works.

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<sup>479</sup> Hétu, *Suite*.

## 5.1 Historical Timeline of Op. 41: Pierri and Hétu

A timeline tracking the compositional process of the *Suite* from its inception to its publication can be deduced from testimony from the composer and Pierri as well as an examination of the sketch material. There are two important primary sources that detail important developmental aspects of Hétu's process for writing Op. 41. The first is an archival file consisting of printed copies of email correspondence between François Fowler and Jacques Hétu between September 1999 and April 2000. These were saved by Hétu and housed in the Jacques Hétu Fonds.<sup>480</sup> Fowler, who carried out an analysis of Op. 41 as part of a document in completion of a Doctor of Musical Arts degree at Florida State University in 2002, instigated the correspondence which functions as an interview regarding the composer's guitar works and his style in general.<sup>481</sup> Another significant source is a brief email correspondence between the author and Pierri in 2010 relaying the guitarist's recollection of Hétu's writing process for the piece. Pierri's relationship with Hétu and the eventual agreement to write the *Suite* can begin to be understood through these two sources.

In his email correspondence with Hétu, Fowler asks the composer about the origin of the commission from Pierri. According to Hétu, the two met in 1981 on the occasion of a concert by Pierri at a music festival in Orford, Quebec.<sup>482</sup> Hétu's impression of Pierri's musicality and skill is clear: Hétu, as director of the Université du Québec à Montréal

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<sup>480</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | Folder 1, Box No. 27, "Email Correspondence with François Fowler," Sept 1999 to April, 2000.

<sup>481</sup> Fowler, "Jacques Hétu's *Suite*."

<sup>482</sup> Andrei Burdetti, "Complete Organicism in the Guitar Music of Jacques Hétu," (DMA diss., Peabody Conservatory of Music Johns Hopkins University, 2016), 2-3.

(UQAM) school of music from 1980 to 1982, hired Pierri as professor of guitar

performance at the school. Héту writes,

I hired him exactly because I found his playing to be exceptional. I would never had written for guitar had he not very nicely insisted almost every day [quasi quotidiennement] during some years... Finally, his superb musicality ended up overturning my fears of tackling this instrument that seemed to me really very far from my aesthetic.<sup>483</sup>

That Pierri was in contact with Héту “almost everyday” may not be an exaggeration.

Their offices at UQAM were directly across from one another.<sup>484</sup> It seems that Pierri was a pivotal agent in the composition of the work. Not only was he the commissioner of the piece but, as a companion of the composer, an agent that would reinforce the guitar as a concert instrument – one that could successfully act as a medium for Héту’s language and expression. This is confirmed by Pierri’s testimony:

I got to know Jacques Héту in 1981, when I went to Canada to give concerts. Our mutual friend Jean Cousineau [violinist and composer] introduced us to each other. Some weeks later, Jacques Héту proposed me to become professor at the University of Quebec in Montreal. He started getting interested in the guitar then. He came to a lot of concerts of mine and little by little we started naturally talking about contemporary music and also about guitar music. In a certain moment it came the idea of a quintet for guitar and string quartet (which he always thought to do and finally never could), a concerto for guitar and orchestra, a sonata and a suite for guitar.<sup>485</sup>

Following the agreement to write for solo guitar, Héту reserved February of 1986, a sabbatical year for the composer, for the entire compositional process.<sup>486</sup> Having never

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<sup>483</sup> Library and Archives Canada, Jacques Héту Fonds, MUS 279 | Folder 1, Box No. 27, “Email Correspondence with François Fowler,” September 26, 1999. Original: “Je connais Alvaro Pierri depuis 1981, année où je l’ai engagé comme professeur à l’Université du Québec à Montréal. Je l’ai engagé justement parce que je trouvais son jeu exceptionnel. Je n’aurais jamais écrit pour guitare s’il n’avait pas insisté très gentiment quasi quotidiennement pendant des années... Finalement, sa superbe musicalité a fini par prendre le dessus sur mes craintes d’aborder cet instrument qui me semblait vraiment très loin de mon esthétique.”

<sup>484</sup> Library and Archives Canada, “Email Correspondence with François Fowler,” Oct. 07, 1999.

<sup>485</sup> Alvaro Pierri, email message to author, June 6, 2011.

<sup>486</sup> Library and Archives Canada, “Email Correspondence with François Fowler,” Oct. 07, 1999.

written for the instrument, Hétu took the first three weeks to familiarize himself with the instrument and wrote the piece in one week.<sup>487</sup> Although the piece was completed by the end of February, Pierri received the piece in September of that year. He writes,

Then I went in the summer to concerts in Europe and abroad. When I came back to Montreal in September, Jacques called me and said to me that he had something to show me. He presented me then the *Suite* Op.41 almost as we know it today. I learned the piece, and we worked on it a couple of times, mostly concerning textures and resonance possibilities. I did then the fingering proposals for the edition at Doberman-Yppan. At that time I also did the world premiere in Paris and in Montreal.

Hétu relays the completion of the piece in a similar way. With the exception of fingering issues, Hétu states that the piece was published as completed in February, 1986. He states, “During this month [February], Pierri was doing a concert tour in Germany. On his return, I showed him the final product... He did not modify anything except for some fingering changes for some harmonics!”<sup>488</sup> However, in later correspondence, Hétu relates that Pierri had provided advice on the resonance possibilities of the final measures of the “Ballade” (this is examined further in Chapter 10). The presence of Pierri’s suggestions in the fair copy suggests that it was written after or during Hétu’s consultation with the guitarist. There are also some articulation details in the fair copy of the “Final” that are not present in the published edition. The details of these changes are explored in Chapter 12.

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<sup>487</sup> Library and Archives Canada, “Email Correspondence with François Fowler,” Sept. 26, 1999.

<sup>488</sup> Ibid. Original: “Pendant ce mois, Pierri effectuait une tournée de concerts en Allemagne. A son retour, je lui montrai le produit final... Il ne modifia rien sauf quelques changements de doigtés pour certaines harmoniques!”

## 5.2 Héту and the Guitar

By the end of his life, Héту had composed three significant works for the guitar in addition to the *Suite: Concerto for Guitar and String Orchestra*, Op. 56 (1994), *Concerto for Two Guitars and Orchestra*, Op. 77 (2007), and *Intermezzo*, Op. 80 (2008), for solo guitar.<sup>489</sup> However, before meeting and hearing Pierri, Héту did not see the guitar as an appropriate medium for his musical expression. Pierri was a large factor in changing this notion, a fact that is conveyed by the composer. He states,

It is undeniable that, because of my musical formation and my tastes, that are issued from the grand European tradition, I feel comfortable expressing myself through the instruments and the traditional formations that, again today, remain my field of choice [predilection]. The first twenty years of my production do not deviate from this tradition. Happily, I have met musicians that have made me discover other timbres. These musicians all have two things in common: an entire confidence in me and a great knowledge of this “traditional” music. In this regard, Alvaro Pierri often repeated to me how much he would have liked to play the cello rather than the guitar... It is exactly this kind of openness of spirit [ouverture d’esprit] that fascinates me. That said, I confess that before hearing Pierri, I would not have considered the guitar among the rank of instruments truly “musical” [“musicable”]. The other guitarists that I knew had a great technical and musical gap [lacunes]. Their repertoire was rather... folkloric. The playing of Pierri made me discover that the guitar can phrase as well as any other instrument, the music thus becoming intelligible and coherent. (The same thing regarding the harpsichord which never had attracted me until the day that a ‘true’ musician made me discover it. I had to write him something but his premature death put an end to that project. Scott Ross will remain for me ‘the’ harpsichordist of the century.) In other words, I consider Pierri as a musician... that plays the guitar.<sup>490</sup>

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<sup>489</sup> Jacques Héту, *Concerto pour Guitare et Orchestre à Cordes*, Op. 56 (Saint-Nicholas: Doberman-Yppan, 1994); *Concerto pour Deux Guitares et Orchestre*, Op. 77 (Saint-Nicholas: Doberman-Yppan, 2007); and *Intermezzo*, Op. 80 (Saint-Nicholas: Doberman-Yppan, 2009).

<sup>490</sup> Library and Archives Canada, “Email Correspondence with François Fowler,” Sept. 28, 1999. Original: “Il est indéniable que, par ma formation musicale et par mes goûts, qui sont issus de la grande tradition européenne, je me sens à l’aise de m’exprimer à travers les instruments et les formations traditionnelles qui, encore aujourd’hui, restent mon champ de prédilection. Les vingt premières années de ma production ne dérogent pas de cette tradition. Heureusement, j’ai rencontré des interprètes qui m’ont fait découvrir d’autres timbres. Ces interprètes ont tous deux choses en commun : une entière confiance en moi et une très large connaissance de cette musique ‘traditionnelle’. À ce propos, Alvaro Pierri m’a souvent répété à quel point il aurait aimé jouer le violoncelle plutôt que la guitare... C’est justement ce genre d’ouverture d’esprit qui me fascine. Ceci dit, j’avoue qu’avant d’entendre Pierri, je ne considérais pas la guitare au rang des instruments vraiment ‘musicable.’ Les autres guitaristes que je connaissais avaient de grandes lacunes techniques et musicales. Leur répertoire était plutôt ... folklorique! Le jeu de Pierri m’a fait découvrir que la

Pierrri's role as an instigator and adviser is further underscored considering that, upon composing for the instrument, Hétu considered it very challenging. Hétu writes to Fowler, "It must also be known that for a non-guitarist like me, to write for the guitar, albeit fascinating, is a sort of very fertile 'intellectual torture' to learn, because I like to discover new things, but torture all the same...."<sup>491</sup> In particular, Hétu struggled to escape the habit of many non-guitarist composers in their inability to exploit the full range of the guitar, what he called "monoliner" writing. Hétu writes,

In reality, there is not just one aspect of writing for the guitar that makes me seek laboriously: the position of some chords (mine, of course) and their inversions. Of course, I manage to find some solutions that completely mask my problem because I do not deliver my 'struggles' ['luttés'] to the musicians. The research of possible fingerings in order to obtain something other than 'package' chords moving in parallel motion [parrélismes d'accords 'en paquet'], for example. Regarding the use of registers, [...] it is one of my constant preoccupations not only writing for the guitar but for all instruments... I am horrified of a static and 'monoliner' music, I like contrasts of register! To a non-guitarist student, I would say to him to do exactly what I have done: study, technically analyze the well written works for the instrument, create some models... and consult a guitarist at the occasion to verify the result of the work.<sup>492</sup>

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guitare peut 'phraser' aussi bien que n'importe quel autre instrument, la musique devenant ainsi intelligible et sensible. (Même chose à propos du clavecin qui ne m'avait jamais attiré jusqu'au jour où un 'vrai' musicien me la fasse découvrir. Je devais lui écrire quelque chose mais son décès prématuré mit fin ce projet. Il s'agit de Scott Ross qui restera pour moi 'le' claveciniste du siècle.) En d'autres termes, je considère Pierrri comme un musicien... qui joue de la guitare."

<sup>491</sup> Library and Archives Canada, "Email Correspondence with François Fowler," Oct. 7, 1999. Original: "Il me spécifia même de ne pas trop m'arrêter sur les aspects techniques de l'instrument et d'écrire ce que je voulais... (Il faut aussi savoir que pour un non-guitariste comme moi, l'écriture pour guitare, tout en étant fascinante, est une sorte de 'torture intellectuelle' très fertile pour l'apprentissage, car j'aime découvrir des choses nouvelles, mais torture quand même...)"

<sup>492</sup> Library and Archives Canada, "Email Correspondence with François Fowler," Nov. 23, 1999. Original: "En réalité, il n'y a qu'un seul aspect de l'écriture pour guitare qui me fait chercher laborieusement : la position des accords (les miens bien entendu) et leurs renversements. Bien sûr, je parviens à trouver des solutions qui masquent complètement mon problème car je ne livre pas mes 'luttés' aux interprètes. La recherche de doigtés possibles pour obtenir autre chose que des parallélismes d'accords 'en paquet' par exemple... Quant à l'utilisation de registres, [...] c'est là une de mes préoccupations constantes non seulement pour la guitare mais pour tous les instruments [sic]... J'ai horreur d'une musique statique et 'monolinéaire', j'aime les contrastes de registres! À un étudiant non guitariste, je lui dirais de faire exactement de faire ce que j'ai fait : étudier, analyser techniquement les œuvres bien écrites pour l'instrument, se créer des modèles... et consulter un guitariste à l'occasion pour vérifier le résultat du travail."

Not surprisingly, Hétu's understanding of the guitar played a large role in his composition for the instrument. He writes, "Obviously, I adapted my writing technique for the guitar (as is the case for all other instruments), but the musical ideas (thematic material, harmonic elaborations, etc.) were expressly conceived for the guitar!"<sup>493</sup> This is clear in the composer's choice of tonal centers for each movement that correspond to an open string: E ("Prelude," middle section of the "Nocturne," and "Ballade"), A ("Prelude II"), G ("Nocturne"), and D ("Rêverie"). There is also a marked frequency of the use of open strings in all five movements in general.

In search of such "well-written works for the instrument" to use as models, Hétu began the study of a large number of guitar scores given to him by Pierri as well as some guitar method books. Pierri states,

Then [Hétu] asked me to give him some music that I could consider being appropriate for him to better understand how to write for guitar. So, I wrote some sheets of paper about music and instrumentally important things for guitar-compositions, I gave him this paper together with a five or six pounds packet of music.<sup>494</sup>

This packet, containing guitar scores and Pierri's written advice, is naturally of great interest to this study. If Hétu did indeed find some "models" to follow within Pierri's hefty package of scores, what are they? If one knew the contents of Pierri's package of scores for the composer, one could say with surety what pieces Hétu may have consulted as models. While it is not possible to identify its exact contents in totality, there are some

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<sup>493</sup> Library and Archives Canada, "Email Correspondence with François Fowler," Oct. 2, 1999. Original: "Évidemment, j'ai adapté à la guitare ma technique d'écriture (comme c'est le cas pour tous les autres instruments), mais les idées musicales (matériel thématiques, élaborations harmoniques, etc.) furent expressément pensés pour la guitare!"

<sup>494</sup> Alvaro Pierri, email message to author, June 6, 2011.

clues from Hétu and Pierri's testimonies which enable the identification of a handful of possible models in the six-pound packet.

### 5.3 Hétu's Models for Composing for the Guitar

Upon being questioned by Fowler about specific sources that Hétu may have consulted for his study of composing for the guitar, Hétu is forthcoming. He writes,

Certain pieces of Barrios and the Études of Villa-lobos were the scores that were the most useful for me. Among the theoretic works, I principally consulted the volumes of George Van Eps but I found more practical the 'chords guides' of Hal Leonard or of Gérard Montreuil.<sup>495</sup>

So, it is safe to assume that among the scores in the six-pound packet, one would find the Twelve Etudes for the guitar by the Brazilian composer, Heitor Villa-Lobos (1887-1959), and some unidentified works of Agustín Barrios Mangoré (1885-1944), the Paraguayan composer and guitar virtuoso. In addition to these composers, while not specifying the exact contents of the six-pound packet, Pierri does provide the name of another composer's works that very likely were in the package. He states, "At this time (around 1985) I was playing often the 5 Bagatelles by William Walton, pieces that Jacques liked a lot."<sup>496</sup> Thus, one must assume that the Five Bagatelles for guitar by British composer William Walton (1902-1983) were included in the packet as well.

It is safe to assume that the six-pound packet would include scores from Pierri's personal library and that as professional classical guitarist, this collection would include

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<sup>495</sup> Library and Archives Canada, "Email Correspondence with François Fowler," Oct. 2, 1999. Original: "Certaines pièces de Barrios et les Études de Villa-Lobos furent les partitions qui m'ont été les plus utiles. Parmi les ouvrages théoriques, j'ai consulté principalement les volumes de George Van Eps mais j'ai trouvé plus 'pratique' les 'guides de accaods'[sic] de Hal Leonard ou de Gérard Montreuil."

<sup>496</sup> Alvaro Pierri, email message to author, June 6, 2011.

the canonical works of the guitar repertoire. However, to narrow down the possibilities, this personal collection would certainly contain scores for works that Pierri had performed or recorded in and around 1986. Pierri had recorded Walton's Five Bagatelles in 1985.<sup>497</sup> The guitarist had performed and recorded the 12 Etudes for guitar by Villa-Lobos as late as 1995 but was playing them as a whole or in portions on the concert stage as early as 1986.<sup>498</sup> So, the fact that the Walton and Villa-Lobos works were in the packet seems clear. But, the question remains: what are the "certain pieces of Barrios" to which Hétu refers? Based on Pierri's CD release in 1982, it is likely that some or all of the Barrios works recorded for that release were in the packet: *Vals No. 3, Julia Florida – Barcarola, Preludio en do menor, and Confession – Romanza*.<sup>499</sup>

Thus, in summary, from the Fowler-Hétu correspondence and Pierri's testimony, we can deduce at least three musical sources for guitar writing to which Hétu may have turned: the 12 Etudes of Villa-Lobos, the four works mentioned above by Barrios, and the Five Bagatelles by Walton. In addition, we can surmise that among Hétu's sources for common chord fingerings and fingerboard layout were the three volumes of *Harmonic Mechanisms for Guitar* by the jazz guitarist, George Van Eps,<sup>500</sup> *Accords pour Guitare*

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<sup>497</sup> Heitor Villa-Lobos, *Villa-Lobos, Alvaro Pierri – Choros No. 1, 12, Etudes, 5 Preludes*, Alvaro Pierri, Analekta FL2 3051, 1995, CD; and Alvaro Pierri, *Alvaro Pierri Spielt Llobet, Walton, Catone, Polak, Dluqoraj, Berkeley, Blue Angel BA 29003, 1985, CD*; Alvaro Pierri, *Südamerikanische Gitarrenmusik / Barrios, Villa-Lobos, Brouwer, Kaplan, Zweitausendeins, 1982*; and Alvaro Pierri, *Klangfarben – Colours / M. Llobet, Walton, Berkley, Renaissance-Tänze, Catone, Reys, Zweitausendeins, 1984, CD*.

<sup>498</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | D,50, Vol.3, "Suite pour guitare, Opus 41," file consisting of concert programs, program notes and a press clippings.

<sup>499</sup> Alvaro Pierri, *Gitarre. Werke von Kaplan, Brouwer, Barrios, Villa-Lobos*. Blue Angel BA29002, 1982, CD.

<sup>500</sup> George Van Eps, *Harmonic Mechanisms for Guitar*, Volume One (Fenton, MO: Mel Bay Publications, 1980); *Harmonic Mechanisms for Guitar*, Volume Two (Fenton, MO: Mel Bay Publications, 1981); and *Harmonic Mechanisms for Guitar*, Volume Three (M Fenton, MO: Mel Bay Publications, 1982).

by Québécois composer Gérard Montreuil,<sup>501</sup> and the *Hal Leonard Méthode de Guitare: Guide Instantané des Accords* by music pedagogue Will Schmid.<sup>502</sup>

That it is likely that Pierri had at least the Schmid chord guide in his personal collection is based on a fortuitous discovery: the copy of this publication housed at the UQAM library (as of 2018) is Pierri's old copy. The guitarist's name is written on the first page. Thus, it is probable that this copy was at one point in Pierri's collection (later donating it to the UQAM library). Regardless of the exact chord guide used, Hétu frequently uses practical chord shapes throughout the *Suite* that are featured in all these technical resources. For example, the E major chord found in measures 25 and 27 of the "Nocturne" is a common method of achieving that harmony, utilizing available open strings. The D major chord with an added ninth (from the addition of the guitar's lowest open string, E) that is employed throughout the "Rêverie" (measures 10-11, 14-15, 19-20, and 26-27) is also the "default" way of playing D major on the guitar. Figure 5.1 shows these passages.



Figure 5.1 Two chord shapes that Hétu may have found in chords guides by Schmid and Montreuil in mm. 25-27 of the "Nocturne" (A) and mm. 8-11 of the "Rêverie" (B).

<sup>501</sup> Gérard Montreuil, *Accords pour Guitare/Chords for Guitar* (Chambly, Québec.: Éditions Albani, 1975).

<sup>502</sup> Will Schmid, *Hal Leonard Méthode de Guitare : Guide Instantané des accords : 1116 positions d'accords pour guitare et guitare basse* (S.l. Shinko Music, 1981).

As a non-guitarist, it is likely that the Von Eps and Montreuil publications resulted in Hétu becoming acquainted with these and other “practical” (as Hétu testifies in the quoted correspondence above) chord shapes throughout the *Suite*.

Without knowing the degree to which Hétu consulted these technical resources, one must be careful not to overestimate their role in shaping the *Suite*. However, as the aforementioned works by Villa-Lobos, Barrios and Walton make up Hétu’s possible models for the composition of the *Suite*, attending to how these works exploit the range of musical possibilities of the guitar (affects, colors, textures, etc.) will give some context to Hétu’s intellectual study of the guitar in the first three weeks of February, 1986.

Villa-Lobos’s Twelve Etudes are standard repertoire for guitarists because they present such a variety of textures that are successfully achieved on the instrument. These pieces undoubtedly informed Hétu as to what textures were possible on the guitar. There are numerous examples. Etude No. 5 exhibits a high degree of contrapuntal writing in which a constant ostinato figure is repeat underneath a call and response structure in the upper and lower lines (see Figure 5.2).



Figure 5.2 Mm. 1-9 of Villa-Lobos' Etude No. 5 from his Twelve Etudes showing highly contrapuntal texture. © With kind authorization of Editions Durand.<sup>503</sup>

The highly contrapuntal writing of the “Nocturne” could have been informed by this etude as measures 1-28 of the “Nocturne” present a two-voice canon. The etudes as a whole also exhibit a common guitaristic way of “breaking” block chords by providing the bass note of the chord first in the right-hand thumb and leaving the rest of the chord to the rest of the right-hand fingers (or visa-versa). This can be seen in Etude No. 6 and No. 9 (see Figure 5.3).

<sup>503</sup> Heitor Villa-Lobos, *Douze Études pour Guitare* (Paris: Editions Max Eschig, 1953), 11.

A.



B.



Figure 5.3 Excerpts of Etude No. 6, mm. 28-31 (A), above, and No. 9, mm. 28-29 (B), below, showing a typical thumb-fingers chord texture often found in guitar music. © With kind authorization of Editions Durand.<sup>504</sup>

This is a texture that is prevalent in the “Nocturne” as can be seen in Figure 5.4.



Figure 5.4 Mm. 62-67 of the “Nocturne” showing the thumb-fingers chord texture.

It is possible that Héту observed this in his research and utilized in the piece as a direct result. The use of open strings to provide a toccata-like texture which is present in Etude No. 11 could be the inspiration for the last movement, “Final,” of the *Suite*. Here Villa-Lobos uses a combination of open strings and closed strings to produce a ringing-over texture (see Figure 5.5).

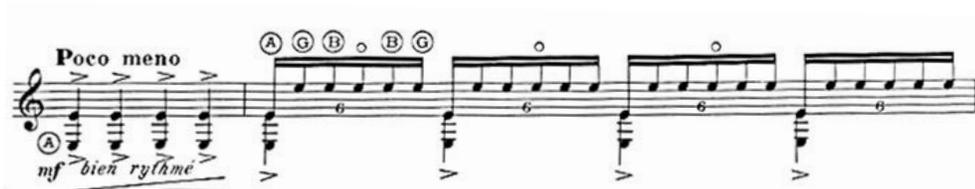


Figure 5.5 Mm. 48-52 of Villa-Lobos’ Etude No. 11 exhibiting the ringing over of pitches on open and closed strings. © With kind authorization of Editions Durand.<sup>505</sup>

<sup>504</sup> Villa-Lobos, *Douze Études*, 14 and 23.

<sup>505</sup> Villa-Lobos, *Douze Études*, 31

The arpeggiation throughout the “Final” utilizes open and closed strings in order to allow each to sustain. One can see in Figure 5.6 that the fingering that Hétu (or Pierri) provides for the arpeggiation figure used throughout the movement utilizes three strings for its five notes: B flat (6<sup>th</sup> string), low A (5<sup>th</sup> string), high A and B flat (4<sup>th</sup> string).

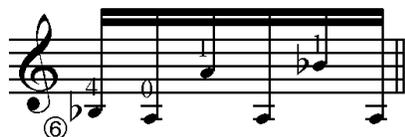


Figure 5.6 Mm. 10-11 of the “Final” showing an arpeggiation using opening and closed strings producing a ringing-over effect.

This is something which Hétu specified in the fingering for an early version of the motive in a draft of “Final” on folio 8 (see Chapter 12). It is an effect that could have been modeled on the Villa-Lobos Etude No. 11. The parallel chords that are key to the climactic middle section of the “Ballade,” can be seen prefigured in the Etude No. 12 (see Figure 5.7).



Figure 5.7 Mm. 1-7 of Etude No. 12 showing the parallel motion of a single chord shape.  
© With kind authorization of Editions Durand.<sup>506</sup>

<sup>506</sup> Villa-Lobos, *Douze Études*, 34.

Here the same chord shape is dragged around the guitar with the support of an open string in the bass – essentially the same parallel motion that occurs in measures 71-73 of the “Ballade” with a different chord shape (see Figure 5.8)



Figure 5.8 Mm. 71-73 of the Hétu’s “Ballade,” movement III of the *Suite*.

In general, the Villa-Lobos etudes avoid what Hétu termed the “mono-linear” way of writing for the guitar by utilizing a wide variety of textures and registers which is consistent with the *Suite* as a whole.

Looking to the Walton bagatelles, one also notices the prominent use of chords that move in parallel motion (“en paquet” as Hétu stated), over top of static open strings in the lower register as one sees in the above “Ballade” excerpt in Figure 5.8. For example, measures 110-114 of Walton’s Bagatelle No. 5, show parallel motion of a minor chord over a repeated low open string, E (see Figure 5.9).

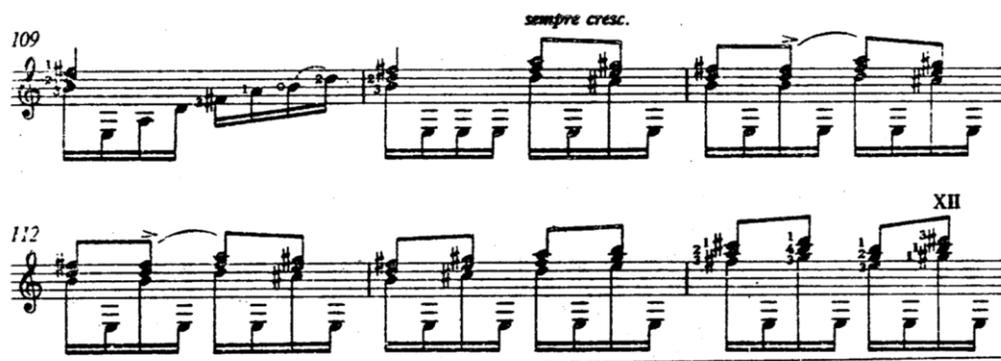


Figure 5.9 Mm. 109-114 of Walton’s fifth bagatelle showing a minor chord shape moved in parallel motion over the low open string, A. © With kind authorization of Oxford University Press.<sup>507</sup>

<sup>507</sup> William Walton, *Five Bagatelles for Guitar* (London: Oxford University Press, 1974).

This technique is also used in the opening of Bagatelle No. 2: a major chord triad in second inversion is moved around the fret board (see Figure 5.10).



Figure 5.10 Mm. 1-8 of Walton's second bagatelle showing a major chord shape in parallel motion with the use of low open strings. © With kind authorization of Oxford University Press.<sup>508</sup>

Of these four Barrios pieces, one is of interest for the structure, textures and arpeggio patterns used in Hétu's "Prélude." Pierri recorded Barrios's Prelude in C Minor on his 1982 recording so it is quite likely that this score was in the package. This may be one of the "certain pieces by Barrios" that Hétu refers to in his correspondence with Fowler. One can see in Figure 5.11 that Prelude in C Minor is a "model" prelude like Hétu's "Prélude," movement I of the *Suite*, in which an arpeggiation pattern is repeated over harmonic changes.



Figure 5.11 Mm. 1-2 of Barrios's Prelude in C Minor. © With kind authorization of Mel Bay Publications.<sup>509</sup>

While the length and content of the model arpeggiations in the two preludes differ, they do share a triplet-based division of the beat and a general upward and downward shape. It is also possible that Pierri's package of scores may have included Barrios's Prelude

<sup>508</sup> Ibid.

<sup>509</sup> Richard Stover, ed., *The Complete Works of Agustín Barrios Mangoré* (Pacific, MO: Mel Bay Publications, 2003).

in E major. However, one notes that the opening arpeggiation pattern of this prelude is very similar in its shape and pitch content to Hétu's "Prélude" (see Figure 5.12).

A.

B.

Figure 5.12 Mm. 1-2 of Barrios's Prelude in E major (A) and mm. 1-2 of Hétu's "Prélude" (B) showing a similar shape and content to "Prélude." © With kind authorization of Mel Bay Publications.<sup>510</sup>

While the Barrios's prelude is in 3/4 time, there is marked hemiola effect throughout the piece in which 6/8 division of the beat is emphasized (which makes it more similar to the triplet-based beat division of the "Prélude"). Interestingly, this piece is a "model" prelude as well, but, similarly to the "Prélude," has a free approach to the arpeggiation pattern, sometimes deviating from the full pattern in favour of repeating the first or second half.

It is not suggested here that this specific material cited above from Villa-Lobos, Barrios or Walton were direct models for Hétu's Op.41. However, it is very likely that Hétu was familiar with these pieces and that the general textures, approaches to writing for the instrument influenced his writing for the *Suite* as evidenced by the above similarities. With the above information regarding Hétu's research and writing process specifically for the *Suite* in hand, we can now turn to the physical historical artifacts, the

<sup>510</sup> Ibid.

sketch documents themselves. Chapter 6 catalogues each folio of the sketch documents for Op. 41, summarizes the contents of each folio, and reproduces each folio along with a diplomatic transcription.

### **Part III Avant-texte**

## Chapter 6 The Genetic Dossier for Op. 41

After examining the historical context within which Op. 41 was written, an analysis of the piece following the approach of *critique génétique* outlined in Chapters 2 and 3 can be undertaken. Pierre-Marc De Biasi (following Bellemin-Noël's approach<sup>511</sup>) gives three distinct objects of study for a practitioner of *critique génétique*: the published edition of the work, the genetic dossier, and the *avant-texte*.<sup>512</sup> As mentioned in Chapter 2, the term genetic dossier refers to the compositional documents themselves. In the case of Op. 41, the genetic dossier is the sketches themselves – the content of the 10 folios of sketch material and 11 pages of the fair copy – prepared in a way to allow relevant study to occur. Biasi, like Bellemin-Noël and other pioneers of the movement, makes a distinction between the genetic dossier and the *avant-texte*. These scholars define the *avant-texte* as an abstract construction – the result of literary critical activity. It contains all that was created during the compositional process preceding the published text arranged such that one could read it and the definitive text with a degree of continuity.<sup>513</sup> However, in order to examine the nexus between the discarded drafts of the *Suite* and its published score – the *avant-texte* and text – one needs a genetic dossier, a body of compositional documents arranged in chronological order that reflects the stages of the creative process.<sup>514</sup> In this chapter, the archival documents that make up the genetic dossier are identified, transcribed into notation, and assembled into chronological order. The genetic

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<sup>511</sup> Bellemin-Noël, "Reproduire le manuscrit," 9.

<sup>512</sup> Pierre-Marc de Biasi, "Manuscrits - la Critique Génétique," In *Encyclopaedia Universalis* (Encyclopaedia Universalis Editeur, 1989), 924-946.

<sup>513</sup> Bellemin-Noël, "Reproduire le manuscrit," 9.

<sup>514</sup> Biasi, "Manuscrits - la Critique Génétique."

dossier is then considered and interpreted in Chapters 7-12 as it pertains to each movement.

Almuth Gresillon has suggested that the *avant-texte*, a result of critical interpretation, should be subsumed within the term “genetic dossier” because, she argues, there is no absolute distinction between them.<sup>515</sup> Critical examination and interpretation are necessary for the establishment of an *avant-texte* and a genetic dossier. While Gresillon advocates for replacing the term *avant-texte* with genetic dossier, this study will adopt the differentiation of these concepts as pioneering scholars within *critique génétique* have done.

For scholarly inquiry following *critique génétique*, Biasi gives five basic steps.<sup>516</sup> The first four can be broadly adopted here to establish the genetic dossier for Op. 41. The practitioner of *critique génétique* should, first, assemble the documents that make up the genetic dossier, second, organize them in a chronological order, third, classify them according to the contents of the document, and fourth, transcribe them (this also entails deciphering their contents). It is helpful to explore these steps in some detail as to how they pertain to the study of Op. 41.

Assembling the dossier, the first step in Biasi’s methodology, entails finding and authenticating the available compositional documents that are related to the work of study. For Op. 41, this step in the research process was undertaken by Hétu himself when he donated his biographic, pedagogic, and compositional documents to Library Archives Canada in 1997, creating the Jacques Hétu Fonds.<sup>517</sup> For this study, the sketches were

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<sup>515</sup> Grésillon, *Éléments*, 136-139.

<sup>516</sup> Biasi, “Manuscrits - la Critique Génétique.”

<sup>517</sup> Stéphane Jean, *The Jacques Hétu Fonds; Numerical List* (Ottawa: Library and Archives Canada, 1999) 12.

photocopied (in black and white), digitally photographed (high resolution, color), and examined thoroughly in person. The second task of the researcher is to organize the genetic dossier according to, as Biasi states, “a globally teleological principle” – one must establish a chronology.<sup>518</sup> One should note that, as discussed in Chapter 3, this does not mean that teleology will be used to increase or decrease the legitimacy of a particular draft or version, but that composition is an act that takes place over time and this aspect needs elucidation. The chronology of Hétu’s work on the *Suite* as a whole is discussed below in section 6.2 of this chapter. Third, the researcher’s task is to classify each folio of the genetic dossier (“spécifier et classer”) according to its function in the compositional process. One needs to differentiate between a stable draft of a movement or an explorational sketch in which numerous fragmentary musical ideas are recorded for later use. This is done in section 6.2 in this chapter and in more detail throughout Chapters 7-12. Fourth, Biasi recommends that the researcher decipher and transcribe the genetic dossier. The 10 sketch folios for Op. 41 have been reproduced in sections 6.1.1 to 6.1.10 below along with their diplomatic transcriptions (reproductions of the sketch in digital notation retaining the spatial layout of the sketch material). After these four steps have been taken and a genetic dossier has been organized and examined, one can follow Biasi’s final step: to establish an *avant-texte*.<sup>519</sup> Biasi states that “it is the logic of these five operations that constitute the work of the practitioner of genetic criticism [le généticien] and establish the possibility of a genetic study.”<sup>520</sup>

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<sup>518</sup> Biasi, “Manuscrits - la Critique Génétique,” 930. Original: “un principe globalement *téléologique*.”

<sup>519</sup> Biasi, “Manuscrits - la Critique Génétique,” 928.

<sup>520</sup> Ibid. Original: “C’est la logique de ces cinq opérations qui constitue le travail du généticien et fonde la possibilité de l’étude de genèse.”

## 6.1 The Folios

There are two different systems for numbering documents written on paper: foliation and pagination.<sup>521</sup> Foliation considers each piece of paper one folio (or leaf). Pagination considers each side of a piece of paper, front and back, as two different pages. There are 10 loose documents that contain sketch material in the archival file for the *Suite*. Because of unbound nature of these documents, a system of foliation rather than pagination is used here. Each folio here is given a number based on its order in the fonds file. Following convention, the specific side is specified by the use of the term “recto” to indicate the front (abbreviated as “r”) or “verso” to indicate the back (abbreviated as “v”).<sup>522</sup> Thus, one can speak of folio 10 (recto), the front side of the tenth leaf in the archive file. This is abbreviated here as “fol. 10r.” The order that the sketches are found in the archival file in the Jacques Hétu Fonds is preserved for the numbering of each folio (this is not the chronological order of the folios as they pertain to the various stages of the creative process for Op. 41). The fair copy (Hétu’s neatly written final draft) of the *Suite* is an additionally important part of the genetic dossier. The manuscripts of the fair copy were gathered into collection (presumably by Hétu) and will thus be identified by page number (pages 1-12). A summary of the 10 folios of the sketches and the 12 pages of the fair copy are provided in Table 6.1 along with general summaries of their contents.

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<sup>521</sup> James Grier, *The Critical Editing of Music: History, Method, and Practice* (Cambridge: Cambridge University Press, 1996), 221.

<sup>522</sup> *Ibid.*

Table 6.1 The folios related to the *Suite* from the Jacques Hétu Fonds

<b>Folio</b>	<b>General Description</b>
fol. 1r	second version of “Prélude”
fol. 1v	draft of “Prelude II” (complete)
fol. 2r	second draft of “Nocturne” (A section) and first version of “Ballade” (incomplete)
fol. 3r	sketch of “Rêverie” (skeletal outline), first and second drafts of the last 13 mm. of “Rêverie”
fol. 4r	first and second drafts of the first 35 mm. of “Rêverie”
fol. 5r	second version of the A section of the “Ballade”
fol. 6r	second version of the B section of the “Ballade”
fol. 6v	sketch containing musical ideas for “Rêverie,” “Nocturne,” and “Final” (some discarded)
fol. 7r	three drafts of the first version of “Final”; the last 23 mm. doubles for the end of the fourth draft of the primary version (beginning on fol. 7v) and the end of the final version (beginning on fol. 8r)
fol. 7v	final version of “Final” including the opening and middle sections (two drafts)
fol. 8r	fourth draft of first version of “Final,” (mm. 1- 42)
fol. 8v	first version of “Prélude” and a early draft of mm. 186-189 of “Final”
fol. 9r	first draft of “Nocturne” material, early musical idea for B section of “Nocturne” (discarded) and some musical ideas for “Final” (discarded) and “Rêverie”
fol. 9v	scrap paper entitled “Resolution 83-A4409 (suite)” and dated Dec.13, 1983 (from the administrative duties of Hétu at UQUAM)
fol. 10r	second draft of the B section of “Nocturne” and transition to B
fair copy (12 pp.)	good copy of the five movements of the <i>Suite</i> , including a title page and table of contents, binded by tape into a booklet; contains erasures using correction fluid on the “Final” and “Rêverie”

At this point, it is useful to define the terminology used to describe the kind of material (musical or verbal) that results during the musical creative process. This study will follow the terminology in Sallis's *A Handbook to Twentieth-Century Musical Sketches*.<sup>523</sup> The term sketch can be used to describe a composer's working documents in general (such as in the sub-discipline of sketch studies). However, this term will also be used more specifically to describe compositional documents which are incomplete and fragmentary, used by the composer as a mnemonic repository or as a place to develop ideas.<sup>524</sup> For example, in the case of "Rêverie," Hétu began with a sketch containing a skeletal outline on the upper half of fol. 3r before moving to a first draft of the movement on fol. 4r and the second half of fol. 3r (this was followed by a second draft and numerous revisions on the same folios). However, before this skeletal outline, musical ideas that would be used in "Rêverie" were composed in sketches fols. 6v and 9r. Both these folios contain numerous unrelated musical ideas (used and discarded) for the "Nocturne" and "Final" as well. In contrast to sketches, the term draft will be used for a compositional document that shows a movement or a section of a movement in a significant degree of completion.<sup>525</sup> There, of course, can be numerous drafts of a passage of music. The term "second draft" is used here to denote the revision of a first draft in which the basic form and motivic material is retained. The differentiation of "first version" and "second version" refers to a relatively more significant change than that between first and second drafts. For example, the "Prélude" underwent a major revision to its phrase structure and form from the first version on fol. 8v to the second version on

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<sup>523</sup> Sallis, "Coming to Terms," 43-58.

<sup>524</sup> *Ibid.*, 44-45.

<sup>525</sup> *Ibid.*, 47.

fol. 1r. Similarly, the first version of the “Ballade” on fol. 2r reveals a smaller-scope movement with a significant formal difference compared to the second version on fols. 5r and 6r. These terms can be combined to reflect degrees of revision between passages with relatively similar form and structure. For example, the “Final” underwent two major versions: a large ternary-form first version and a shorter second version. There are four drafts in total of the first version (on fols. 7r and 8r) and two drafts of the second version (on fols. 7v and 7r). This includes the “Prelude,” “Nocturne,” and “Ballade.” These terms are invaluable in identifying the content of the folios as Hétu’s compositional process emphasized an organic procedure of revision and development. The only movement that did not undergo a significant revision process resulting in different drafts is the discarded “Prelude II” on fol. 1v. In comparison to the private nature of the sketches and drafts (they pose a challenge to decipher for anyone other than the composer), Sallis defines the fair copy as the document whose function is “to transmit a specific work to the outside world.”<sup>526</sup> Hétu wrote 12 pages of neatly written material that consists of his fair copy of the *Suite*.

One notes that the numerous folios which contain musical material for different movements (fols. 6r, 2r, 8v, and 9r) are useful in ascertaining the chronology of Hétu’s compositional process. However, before a chronology of the sketches is presented, the proceeding sections of this chapter provide a more detailed summary of the content of each folio and present the original of each alongside a diplomatic transcription (a legible

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<sup>526</sup> *Ibid.*, 51.

duplicate of the sketches in digital notation retaining the spatial layout of the original).<sup>527</sup>

In addition, the 12 pages of the fair copy of the *Suite* is provided.

### 6.1.1 Folio 1

Fol.1r , entitled “Prelude I” contains the second version of the “Prélude” which is nearly identical to the published movement. Figures 6.1 and 6.2 shows the original sketch and its diplomatic transcription. Having already composed a first version of the work on fol. 8v, which has a different formal scheme but contains similar motivic material, the pitch content is written with neatness and assurance. There are erasures throughout revealing revisions of pitch material, meter, texture, – the final measures of the cadential gesture (staff 11, measure 3) are a conspicuous exception. The final two measures show a high number of erasures (largely illegible) revealing Hétu’s struggles with the ultimate form of the ending. One aspect of the sketch that shows consistent revision is the beaming, voicing and meter. The folio acts as the title page of the piece providing Hétu’s notes summarizing the titles, keys, tempi, and lengths of each movement. Of particular importance, he provides a list of six movements in one list (top right of the page) and the titles for only five movements in another (top left of the page). This will be discussed further regarding the chronology of the sketches.

Figures 6.3 and 6.4 present fol.1v in its original form and its diplomatic transcription. Here, on the back of the second version of the “Prélude,” one finds a draft for an unpublished movement, “Prelude II.” There are five musical fragments present on the

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<sup>527</sup> Regina Busch, “Transcribing Sketches,” In *A Handbook to Twentieth-Century Musical Sketches* (Cambridge: Cambridge University Press, 2004), 85.

sketch. As one will see in Chapter 8, this sketch contains the musical material for a complete realization of a binary-form prelude that is in line with the scope and form of the first version of the “Prélude.” Two fragments on staff 3 of the sketch (one related to this prelude and one indirectly related) are not used in the realization of “Prelude II.”

*Prélude / Nocturne / Ballade / Marche / Finales*  
*Andante*  
*(♩ = 69)*

*Prélude I (1'25" )*

<i>mi</i>	<i>Mod</i>	<i>I</i>	<i>1'25"</i>
<i>Re</i>	<i>lent</i>	<i>II</i>	<i>40"</i>
<i>mi</i>	<i>Mod.</i>	<i>III</i>	<i>3'30"</i>
<i>Re</i>	<i>lent</i>	<i>IV</i>	<i>2'45"</i>
<i>mi</i>	<i>Rob.</i>	<i>V</i>	<i>3'30"</i>

13-2

Figure 6.1 Fol.1v. Library and Archives Canada, MUS 279 | C5,18, volume 22, photograph by Michael Dias, 2012.

Prelude / Nocturne / Ballade / Reverie / Final

[Finale]

(1'25")

Mi	Mod	I	1'25"
Sol	Lent	II	4'
Mi	Mod	III	4'
Ré	Rap	IV	- 3'30"
Mi	Lent	V	- 2'45"
Mi	Rap	VI	- 3'30"

## Prelude I

♩ Andante

(♩. = 69)

13 42

[staff 1] *p*

[staff 3] *Piu dolce* *Rit* *A tempo* *Rit*

[staff 4] *Poco Rit* *cresc* *dim*

[staff 5] *A tempo*

[staff 7] *Poco Accel.* *Poco Allargando* *ff*

[staff 9] *dim* *dim*

[staff 11] *Rit* *Rall.* *Piu Lento* *arm.* *8<sup>ve</sup>* *④* *arm 5* *pp* *⑤*

Figure 6.2 The diplomatic transcription of fol.1r.

vii Prelud II

The image shows a page of handwritten musical notation for a violin part. At the top left, it is labeled 'vii Prelud II'. The notation is written on ten staves. The first three staves contain a complex melodic line with many accidentals and slurs. The fourth staff has a large bracket underneath it. The fifth staff continues the melodic line. The sixth staff has a circled '2' at the beginning and a circled '3' later. The seventh staff has a circled '9' at the beginning. The eighth, ninth, and tenth staves are empty.

Figure 6.3 Fol.1v. Library and Archives Canada, MUS 279 | C5,18, volume 22, photograph by Michael Dias, 2012.

## vif Prelude II

The image displays a diplomatic transcription of a musical score for 'vif Prelude II'. The score is organized into six systems of staves, labeled [staff 1] through [staff 9].

- [staff 1]:** The first system, starting with a treble clef, a key signature of one sharp (F#), and a 3/4 time signature. It contains a melodic line with various ornaments and a final measure marked with a boxed '4'.
- [staff 2]:** The second system, continuing the melodic line from staff 1, ending with a boxed '8'.
- [staff 3]:** The third system, featuring a dense texture with many beamed notes and ornaments. A bracket labeled '4te' spans across the first few measures.
- [staff 5]:** The fifth system, showing a continuation of the complex texture from staff 3, ending with a boxed '13'.
- [staff 7]:** The seventh system, consisting of a rhythmic accompaniment line with a treble clef, a key signature of one sharp, and a 3/4 time signature. It includes a boxed '12' at the beginning and a boxed '13' at the end.
- [staff 9]:** The ninth system, continuing the accompaniment line from staff 7, starting with a boxed '9' and ending with a boxed '13'.

Figure 6.4 The diplomatic transcription of fol.1v.

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### 6.1.2 Folio 2

Figures 6.5 and 6.6 present the original fol. 2r sketch and its diplomatic transcription. Fol. 2r contains a second draft of the opening and closing sections of the “Nocturne” as well as an incomplete first version of the “Ballade” (including the opening and contrasting middle section material). The sketch is titled “Prelude II (en Sol!),” referring to the “Nocturne” material rather than the “Ballade” material. An erased title “Prelude III” is decipherable (this information is important in the discussion of the chronology of the sketches in the chapter below). The contrasting middle section of the “Nocturne” is contained on fol. 10r. This suggests that Hétu put this folio and fol. 10r side by side for this stage of the compositional process for that movement. There are some minor discrepancies between the draft presented here and the published movement (including the rhythm of the material on staff 4 of the folio). The kind of work here is different than that of the second version of the “Prelude” found on fol. 1r in that there is experimentation still undertaken on the motives. Because of this the final linear sequence jumps around to a high degree. There is one unrelated fragment on staff 6 that was not used directly in the published *Suite*. The “Ballade” material on the lower five staves consists of a clear linear sequence which contains the basic motivic material of the published movement. The proximity of this version of the “Ballade” to the “Nocturne” sketch shows a particular close relationship between these two movements. Chapter 9 points out evidence that the first version of the “Ballade” was initially conceived as a contrasting middle section for the “Nocturne.” Fol. 2v is left unused (a facsimile of this folio is not provided here).

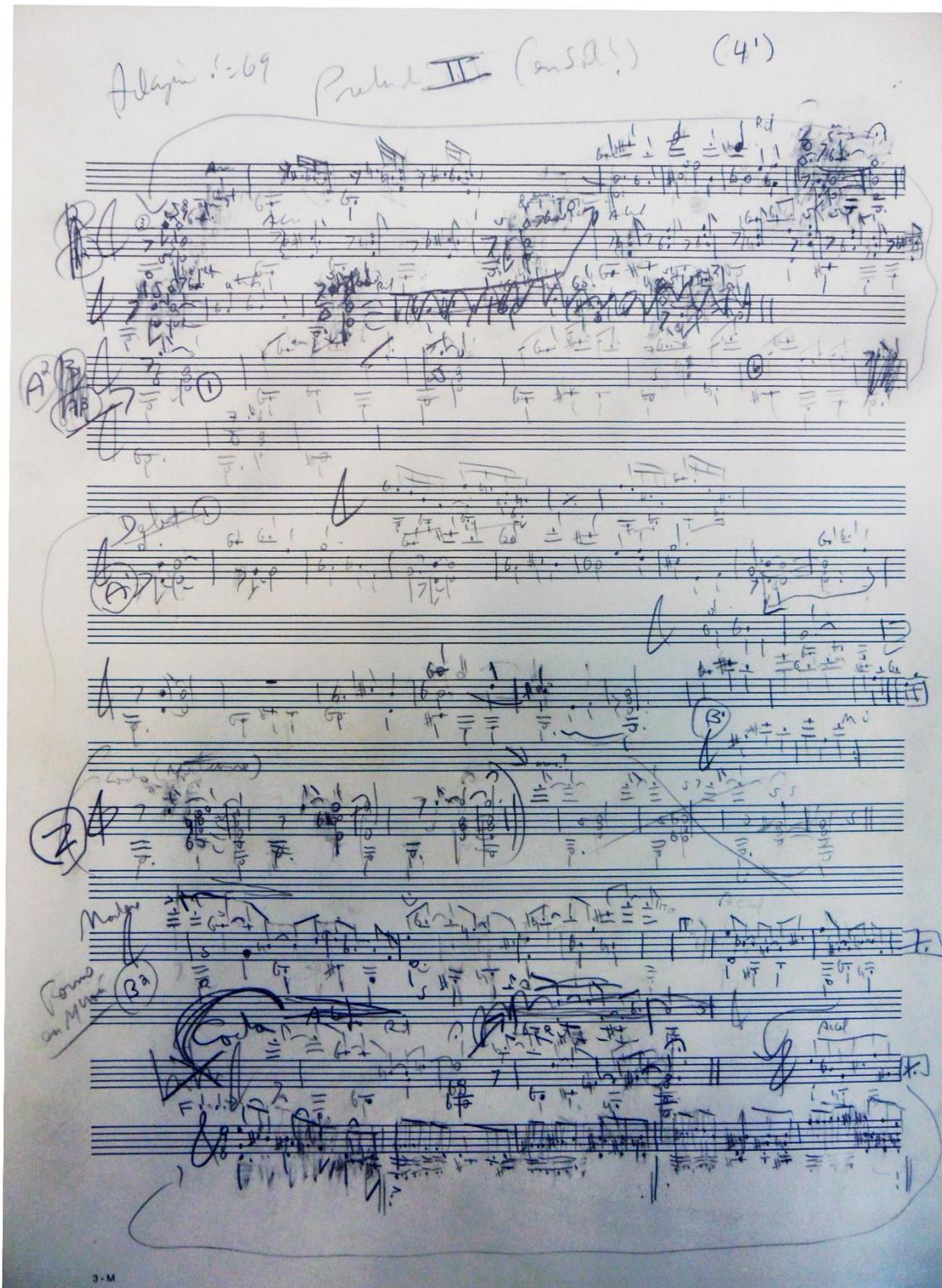


Figure 6.5 Fol. 2r. Library and Archives Canada, MUS 279 | C5,18, volume 22, photograph by Michael Dias, 2012.

Adagio  $\text{♩} = 69$  Prelude II (en Sol!) (4')

Staff 1: *Arm.*

Staff 2: *Arm.*

Staff 3: *a tempo*, *rit.*

Staff 4: *6*

Staff 5: *A<sup>2</sup>*

Staff 6: *Debut*

Staff 7: *A1*

Staff 8: *mi*

Staff 9: *B1*

Staff 10: *mi*

Staff 11: *Coda (Nocturne)*

Staff 13: *Modere*, *Forme en miroir*, *B2*

Staff 14: *Coda a tempo*, *Rit.*, *Accel.*

Staff 15: *largo*, *Rit.*

Staff 16:  $\text{♩} = 69$

Figure 6.6 The diplomatic transcription of fol. 2r.

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### 6.1.3 Folio 3

Fol. 3r contains Hétu's work on the ending section of the "Rêverie" (a first and second draft are clearly legible) in addition to an early skeletal outline for the basic structure of the movement and two fragments of unused material. Figure 6.7 and 6.8 shows the facsimile of the sketch and its diplomatic transcription. As the first 34 measures of the first and second drafts are contained on fol. 4r, this folio would likely have been used side by side with fol. 4r. The sketch reveals a high degree of revision (there are numerous measures of material that are crossed out or erased) which complicates the exact identity of each draft (explored in Chapter 11). Hétu circles the unused fragmentary material (which was perhaps intended for another unachieved movement). Fol. 3v was left blank (it is not presented here).

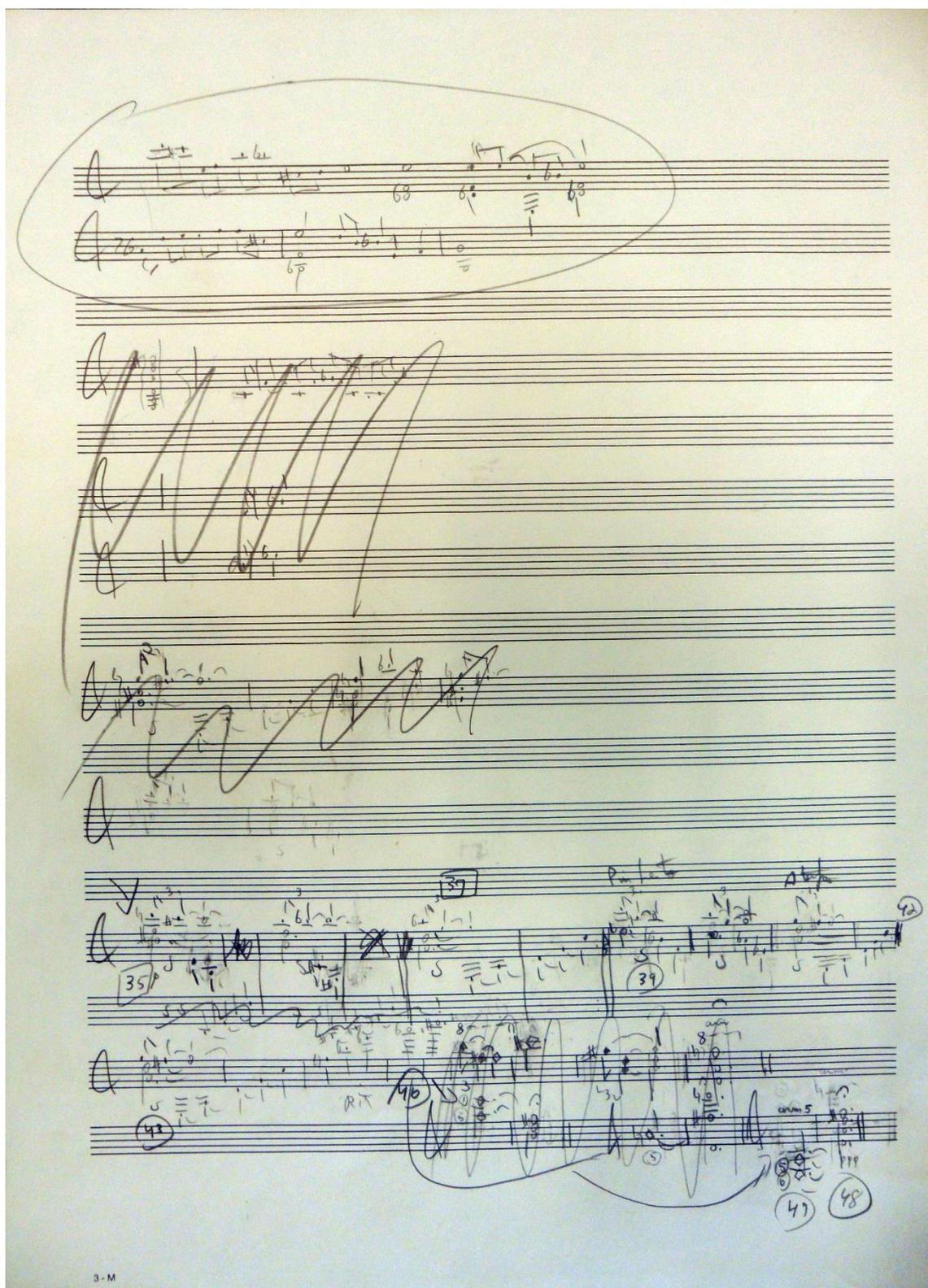


Figure 6.7 Fol. 3r. Library and Archives Canada, MUS 279 | C5,18, volume 22, photograph by Michael Dias, 2012.

[staff 1]   
 [staff 2]   
 [staff 3]   
 [staff 4]   
 [staff 6]   
 [staff 7]   
 [staff 9]   
 [staff 11]   
 [staff 13] *p* *Piu Lento* *A tempo*   
 [staff 14]   
 [staff 15] *Rit* *arm.* *arm.*   
 [staff 16] *arm.* *PPP*   
 47 48

Figure 6.8 The diplomatic transcription of fol. 3r.

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#### 6.1.4 Folio 4

The sketch on fol. 4r contains the first 34 measures of a first and second draft of “Rêverie” (the last 14 measures are found on fol. 3r). Figures 6.9 and 6.10 show the sketch and its diplomatic transcription. Entitled “Prelude V (avant dernier),” the sketch shows a large amount of revisions (erased and crossed out passages) for the recitative-like passages (discussed in full in Chapter 11). Fol. 4v was left blank by Hétu (it is not presented here).



Prelude V (avant dernier)

2'45"

Andante  $\text{♩} = 76$

[staff 1] *p* Rit

[staff 2] *pp* To Primo *mp* *erased material*  $\frac{9}{4}$  Piu mosso ( $\text{♩} = 96$ )

[staff 3]  $\frac{6}{4}$  Piu mosso ( $\text{♩} = 96$ )  $\frac{9}{4}$

[staff 4] *mf* To Primo *mf* A tempo *f* 14 19 23

[staff 5] *mf*

[staff 6] Rit To Primo *pp* *mf* Bon !  $\frac{3}{4}$   $\frac{3}{4}$

[staff 7] *pp*

[staff 8] *pp*

[staff 9] 28 *f* *mp* *ff* *f* ⑥ ⑤ ④

Figure 6.10 The diplomatic transcription of fol. 4r.

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### 6.1.5 Folio 5

The second version of the opening section of the “Ballade” is contained on fol. 5r (the contrasting middle section is on fol. 6r). Figures 6.11 and 6.12 shows fol. 5r and its diplomatic transcription. Entitled “Prélude IV (en Mi),” the draft is largely identical to the opening section of the published movement but contains a discarded ending (this is discussed in detail in Chapter 10).

Moderato! (104-108)      Prelude IV (in Mi) (3'30)

The score is handwritten and features the following elements:

- Staff 1:** Starts with a circled '1'. Includes the tempo marking 'Moderato!' and the title 'Prelude IV (in Mi)'. A circled duration '(3'30)' is written at the top right. The staff contains a melodic line with various ornaments and dynamic markings like 'p'.
- Staff 2:** Contains a circled '8' and a circled '55'. It shows a continuation of the melodic line with some rhythmic changes.
- Staff 3:** Contains a circled '19' and a circled '43'. It features a circled '46' and a circled '59'. The notation includes a treble clef and various note values.
- Staff 4:** Contains a circled '50' and a circled '59'. It shows a continuation of the melodic line with some rhythmic changes.
- Staff 5:** Contains a circled '78'. It features a circled '29' and a circled '31'. The notation includes a treble clef and various note values.
- Staff 6:** Contains a circled '31'. It shows a continuation of the melodic line with some rhythmic changes.
- Staff 7:** Contains a circled '93'. It features a circled '78' and a circled '93'. The notation includes a treble clef and various note values.
- Staff 8:** Contains a circled '93'. It shows a continuation of the melodic line with some rhythmic changes.
- Staff 9:** Contains a circled '93'. It features a circled '93' and a circled '93'. The notation includes a treble clef and various note values.
- Staff 10:** Contains a circled '93'. It shows a continuation of the melodic line with some rhythmic changes.

Figure 6.11 Fol. 5r. Library and Archives Canada, MUS 279 | C5,18, volume 22, photograph by Michael Dias, 2012.



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### 6.1.6 Folio 6

Fol. 6r contains a second version of the middle section of the “Ballade.” Figures 6.13 and 6.14 shows this folio and its diplomatic transcription. There is little revision here. However, erasures show that the figuration of the repeated motive in the B section had a more active bass line.

Fol. 6v consists of a heterogenous sketch revealing nine musical fragments in total. These were intended for three different destinations: the “Nocturne,” the “Final” and “Rêverie.” This folio is shown in its original state in Figure 6.15 and its diplomatic transcription in Figure 6.16. Héту uses labels (such as “passacaille” as well as the early designation “Nocturne” for “Rêverie” material), arrows, circles and brackets to differentiate groups of the fragments according to their intended destinations. While some of the motives presented here are directly used in the published movements (such as staff 2, measure 3-4, in the “Rêverie”), some are not. This folio is discussed in detail in Chapter 9.



Figure 6.13 Fol. 6r. Library and Archives Canada, MUS 279 | C5,18, volume 22, photograph by Michael Dias, 2012.

[staff 1] 75 *Piu Mosso* Rit  
 [staff 2] 51 *mf* B A B A  
 [staff 4] A B A B  
 [staff 6] A B  
 [staff 7] 72  
 [staff 8]  
 [staff 9] 72

Figure 6.14 The diplomatic transcription of fol. 6r.



Figure 6.15 Fol. 6v. Library and Archives Canada, MUS 279 | C5,18, volume 22, photograph by Michael Dias, 2012.

The image shows a diplomatic transcription of a musical score for a piece titled "(Nocturne) 'Passacaille'". The score is arranged in eight staves, labeled [staff 2] through [staff 8].

- [staff 2]:** Treble clef, key signature of two flats (B-flat, E-flat). It contains a melodic line with a slur and a fermata. An arrow points to a specific note in the second measure.
- [staff 3]:** Treble clef, mostly empty.
- [staff 4]:** Treble clef, key signature of two flats. It features a melodic line with slurs and a fermata. A large circle highlights a section of the score starting from the second measure of this staff, extending through staves 4, 5, 6, and 7.
- [staff 5]:** Treble clef, mostly empty.
- [staff 6]:** Treble clef, key signature of two flats. It contains a melodic line with slurs and a fermata. The word "vif" is written above the staff.
- [staff 7]:** Treble clef, key signature of two flats. It contains a complex rhythmic pattern with triplets, indicated by the number "3" above the notes.
- [staff 8]:** Treble clef, key signature of two flats. It contains a melodic line with slurs and a fermata.

Annotations include a large circle encompassing staves 4, 5, 6, and 7, and an arrow pointing to a note in staff 2. The word "vif" appears above staves 4 and 6.

Figure 6.16 The diplomatic transcription of fol. 6v.

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### 6.1.7 Folio 7

Both sides of fol. 7 were used for sketches of the “Final.” Figure 6.17 and 6.18 show fol. 7r and its diplomatic transcription. It is entitled “Prélude IV (le Dernier!)” and also “(Toccate?) ou der. de Suite!” It is likely that the Roman numeral characters here were mistakenly reversed by the composer (“IV” instead of “VI”) because the chronology suggests that Hétu wrote this movement as the last of six preludes. Fol. 7r contains three drafts of a first version (truncated) of the “Final” (similar in content and phrase structure to measures 129-196 of the published movement). The last four staves contain the last 24 measures of the second version (nearly identical to the published movement).

Figures 6.19 and 6.20 contain fol. 7v and its diplomatic transcription. Fol. 7v contains the opening section and the contrasting middle section of the second version of the “Final” (with the middle section on the upper staves). The sketch reveals two distinct drafts. The first draft shows an A-B-A’ form while the second draft exhibits an A1-A2-B-A’ form (discussed in Chapter 12). The material in the latter draft of this version is nearly identical to the published movement save for the contour of the primary motive of the movement. In contrast, to the other movements, the “Final” underwent significant revision to its motivic content and articulation indications between this stage and the fair copy.

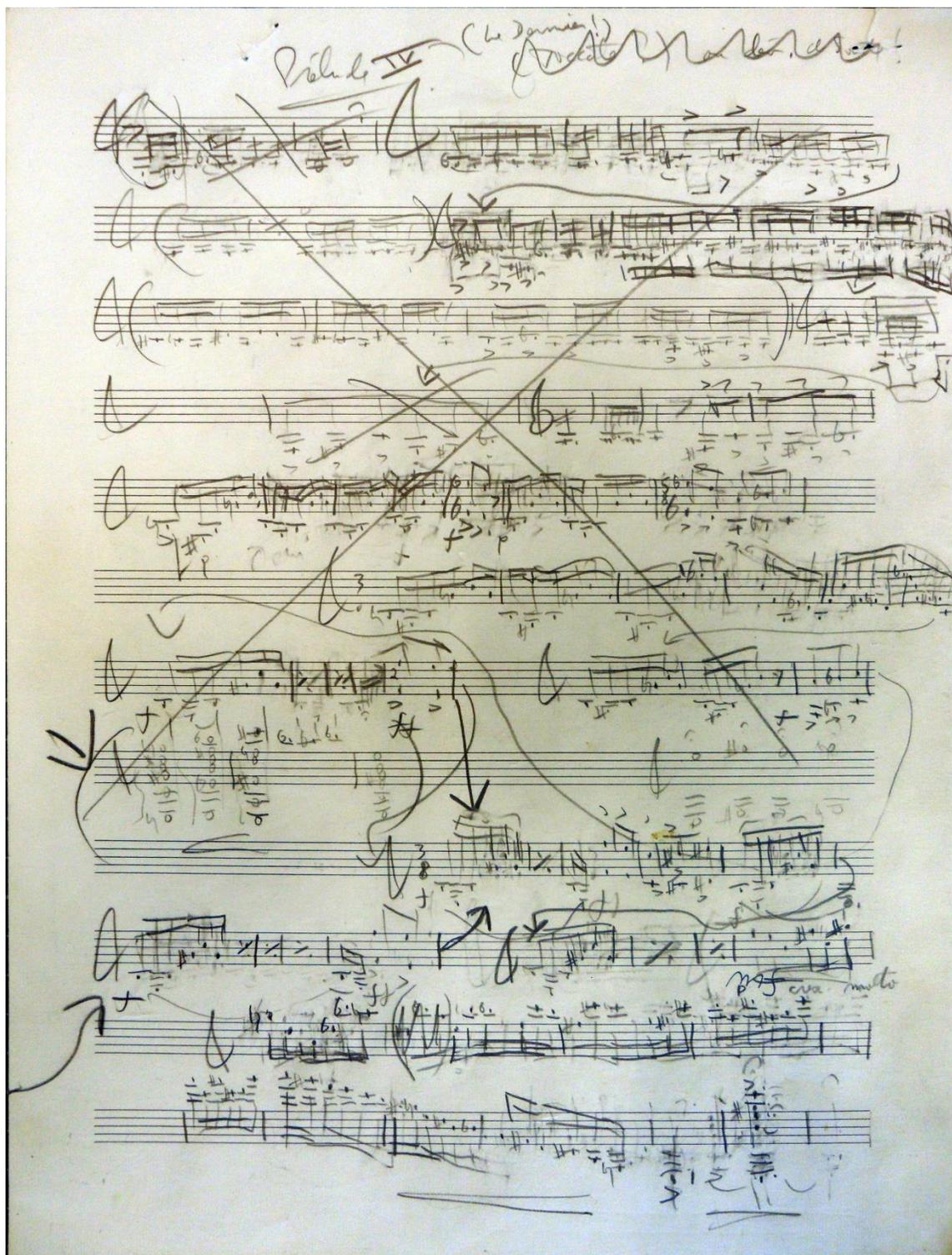


Figure 6.17 Fol. 7r. Library and Archives Canada, MUS 279 | C5,18, volume 22, photograph by Michael Dias, 2012.

(Le Dernier!)  
 Prélude IV  
 (Toccate?) ou dév. de Sonate!

[staff 1]

[staff 2]

[staff 3]

[staff 4]

[staff 5]

[staff 6]

[staff 7]

[staff 8]

[staff 9]

[staff 10]

[staff 11]

[staff 12]

*p*

*f*

*p*

*ff*

*f*

*ff*

*f*

*mf*

*cresc molto*

Figure 6.18 The diplomatic transcription of fol. 7r.

3'30 Prato VI (an Mi (4--))  
 78 72 Varas (1=30)

Handwritten musical score for Prato VI, featuring multiple staves with complex notation, including notes, rests, and dynamic markings. The score is heavily annotated with circled numbers (91, 82, 70, 56, 38, 43, 49, 69, 78, 39) and various performance instructions like "ppp", "p", "f", "Modulo (P=104)", and "A kat Poco And". The notation includes various rhythmic values and accidentals, with some sections appearing to be heavily scribbled over or crossed out.

Figure 6.19 Fol. 7v. Library and Archives Canada, MUS 279 | C5,18, volume 22, photograph by Michael Dias, 2012.

3'30 Prelude VI (en Mi (+ - -))

(78) Rit Vivace (♩=80)

[staff 1] 91

[staff 2] 82 Lento Poco Accel Rit. To (♩=104)

[staff 3] 70 Moderato (♩=104) Piu Lento A Tempo Piu Lento [LA] [Sol] F# 81

[staff 4] 55 [Début] Rit Rall 64

[staff 5] 79-38 42 45 48

[staff 6] 43 [Deb] 49 54

[staff 7] 1 f ff

[staff 8] 49 pp f

[staff 9] pp f pp

[staff 10] 65 Rit Moderato (♩=104) 69

[staff 11]

[staff 12] 78-37

Figure 6.20 The diplomatic transcription of fol. 7v.

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### 6.1.8 Folio 8

Fol. 8r contains the first 44 measures of a fourth draft of a first version of the “Final” (like earlier drafts of the first version found on fol. 7r, the form of this draft is similar in content and phrase structure to measures 129-196 of the published movement). Figures 6.21 and 6.22 present fol. 8r and its diplomatic transcription. The rest of this draft continues on fol. 7r. Arrows on the two folios line up showing that they were used concurrently (this is discussed in Chapter 12). The draft shows Hétu working out the details of the repeated motivic material in the movement (differing from the motivic material in the published version).

The material on fol. 8v is most likely the first material written for the *Suite*, a first version of the “Prélude.” Entitled “Prelude I,” Figures 6.23 and 6.24 show this folio and its diplomatic transcription. Along with some working-out material, this draft contains similar motives to the published movement but the form and structure are quite different. This is discussed in Chapter 7. The last staff of fol. 7v contains a version (crossed out) of the final rising gesture that ends the “Final” (measures 196-199 of the published movement).

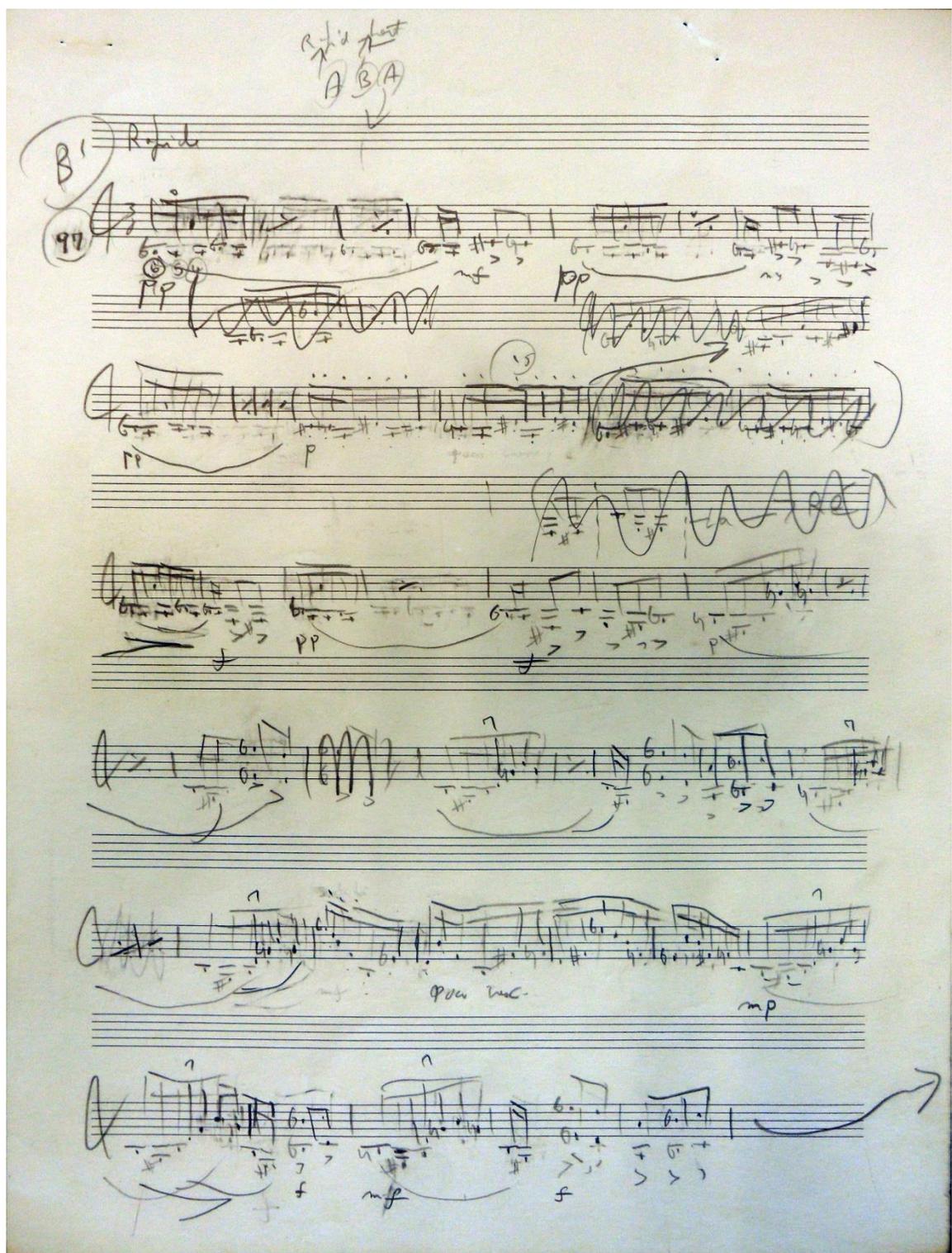


Figure 6.21 Fol. 8r. Library and Archives Canada, MUS 279 | C5,18, volume 22, photograph by Michael Dias, 2012.

[staff 1] *Rapide*

[staff 2] **(B)**  
97 *mf pp pp mf*  
⑥ ⑤ ④

[staff 3]

[staff 4] 15 *pp p*

[staff 5] *f* *ta* *RE*

[staff 6] *f pp f p*

[staff 8] 7

[staff 10] 7 *poco cresc. mp*

[staff 12] 7 *f mp f*

Rapid **(A)** **(B)** **(A)** Lent

The image shows a diplomatic transcription of a musical score on folio 8r. It consists of 12 staves. Staff 1 is a title line with the word 'Rapide' and a downward-pointing arrow. Staff 2 begins with a circled 'B' and a box containing the number '97'. It contains a treble clef, a 3/8 time signature, and a series of eighth-note patterns with slurs and dynamic markings: *mf*, *pp*, *pp*, and *mf*. Below the staff are circled numbers 6, 5, and 4. Staff 3 continues the eighth-note patterns. Staff 4 has a box with '15' above it and dynamic markings *pp* and *p*. Staff 5 features a large slur over a section of music with dynamic marking *f* and the words 'ta' and 'RE' above it. Staff 6 has dynamic markings *f*, *pp*, *f*, and *p*. Staff 8 has a '7' above a group of notes. Staff 10 has '7' above notes and dynamic markings *poco cresc.* and *mp*. Staff 12 has '7' above notes and dynamic markings *f*, *mp*, and *f*. At the top, the words 'Rapid' and 'Lent' are written above circled letters 'A', 'B', and 'A'. Arrows point from 'Rapid' to the first 'A' and from 'Lent' to the second 'A'. A large arrow at the end of staff 12 points to the right.

Figure 6.22 The diplomatic transcription of fol. 8r.



Figure 6.23 Fol. 8v. Library and Archives Canada, MUS 279 | C5,18, volume 22, photograph by Michael Dias, 2012.

## Prelude I

The image displays a diplomatic transcription of a musical score for 'Prelude I' across 12 staves. The notation includes treble clefs, various note values (quarter, eighth, sixteenth notes), rests, and accidentals. Key features include:

- Staff 2:** Starts with a first ending bracket labeled '1'.
- Staff 4:** Contains a fourth ending bracket labeled '4'.
- Staff 5:** Contains a fifth ending bracket labeled '5'.
- Staff 6:** Contains a sixth ending bracket labeled '6'.
- Staff 7:** Contains a seventh ending bracket labeled '7'.
- Staff 8:** Features a 'Fin' marking and a first ending bracket labeled '1'.
- Staff 9:** Contains an eighth ending bracket labeled '8'.
- Staff 10:** Contains a ninth ending bracket labeled '9' and a 'cresc' (crescendo) marking.
- Staff 11:** Features a forte 'f' dynamic marking.
- Staff 12:** Shows a complex rhythmic pattern with many sixteenth notes.

Diagonal lines are drawn across the score, likely indicating editorial interventions or specific performance instructions. A curved arrow on the right side of the score points from the upper staves towards the lower ones.

Figure 6.24 The diplomatic transcription of fol. 8v.

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### 6.1.9 Folio 9

The sketch on fol. 9r is not on regular manuscript paper (in contrast to the other sketches for the *Suite* which are. This folio is a piece of scrap paper upon which Hétu drew six staves by hand. Figure 6.25 and 6.26 show fol. 9r and its diplomatic transcription. The sketch, entitled “Prelude II” (an explanation of the duplication of this title on fol.1v and fol. 2r is provided below in the exploration of the chronology of the sketches) shows Hétu working on material for the opening section of the “Nocturne.” However, there are a number of musical ideas on this sketch that relate to other items including motives for “Rêverie,” a passage related in its pitch structure to the “Finale,” and seven measures of material Hétu labels ““Nocturne’(en Mi)” which is not directly used in the *Suite*.

Fol. 9v (see Figure 6.27) contains type-written text entitled “Resolution 83-A4409 (suite).” It is dated Dec.13, 1983, and no doubt is a piece of scrap paper from Hétu’s administrative duties at Université du Québec à Montréal.

The image shows a page of handwritten musical notation on six staves. The top staff is titled "Prelude II" and contains a series of notes and rests. The second staff through the fifth staff contain complex musical notation, including notes, rests, and various symbols, with some sections circled in ink. The sixth staff is titled "Natura" (Can Mi) and contains a series of notes and rests. The handwriting is in black ink on aged paper.

Figure 6.25 Fol. 9r. Library and Archives Canada, MUS 279 | C5,18, volume 22, photograph by Michael Dias, 2012.

## Prelude II

The image displays a musical score for six staves. The first five staves are part of a piece titled "Prelude II".

- Staff 1:** Treble clef, contains a sequence of notes with various accidentals (flats and sharps).
- Staff 2:** Treble clef, contains a sequence of notes with various accidentals. A circled section at the end of the staff is connected to Staff 3 by a curved arrow.
- Staff 3:** Treble clef, contains a sequence of notes with various accidentals.
- Staff 4:** Treble clef, contains a sequence of notes with various accidentals. A circled section at the end of the staff is connected to Staff 5 by a curved arrow.
- Staff 5:** Treble clef, contains a sequence of notes with various accidentals. A circled section at the end of the staff is connected to Staff 6 by a curved arrow.

The sixth staff is titled "Nocturne" (en Mi) and contains a sequence of notes with various accidentals.

Figure 6.26 The diplomatic transcription of fol. 9r

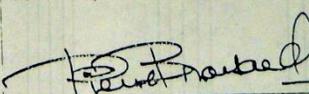
6.

RESOLUTION 83-A-4409 (suite)

Psychologie	Intervention en psychologie de la santé mentale et intervention en psychologie comportementale	3
Sciences comptables	Tous	2, 3, 4
Sciences de l'éducation	Enseignement professionnel (PMEP)	3
Sciences juridiques	Tous	1, 2, 3, 4
Sexologie	Clinique spécialisée en sexologie, médecine, pédagogie spécialisée en sexologie et stages sexologiques	3
Théâtre et Danse	Tous les champs d'études professionnels pour lesquels l'expérience est un complément nécessaire.	6
Travail social	Tous	3

ADOPTÉE A L'UNANIMITÉ  
RATIFIÉE

COPIE CONFORME:  
Montréal, le 13 décembre 1983



Me Pierre Brassard  
Secrétaire général

/nj

Figure 6.27 Fol. 9v. Library and Archives Canada, MUS 279 | C5,18, volume 22, photograph by Michael Dias, 2012.

### 6.1.10 Folio 10

Fol. 10r contains the second draft of the contrasting middle section (and the transition phrase to it) of the “Nocturne” (the opening section is contained on fol. 2r). Figure 6.28 and 6.29 show the original sketch on fol. 10r and its diplomatic transcription. The transition phrase in particular shows a significant amount of revision of its phrase content. Fol. 10v is unused (it is not presented here).

The image shows a page of handwritten musical notation on ten staves. The notation is dense and includes various symbols, including notes, rests, and dynamic markings. There are several annotations and corrections throughout the score. On the right side of the page, there is a table of numbers:

19	A
7	
3	
20	B
14	A

The page is filled with musical notation, including notes, rests, and dynamic markings. There are several annotations and corrections throughout the score. The notation is dense and includes various symbols, including notes, rests, and dynamic markings. There are several annotations and corrections throughout the score.

Figure 6.28 Fol. 10r. Library and Archives Canada, MUS 279 | C5,18, volume 22, photograph by Michael Dias, 2012.

A tempo stringendo

[staff 2]

[staff 3] *p* poco a poco crescendo  
cresc.

[staff 5]

[staff 7] *ff* *Rit* *Rall*

[staff 9] 17 A  
7  
3

[staff 10] 20 B  
19 A

[staff 12]

[staff 14]

[staff 16] *f* *pp*

[staff 18]

[staff 20] *Rit.* *pp*

[staff 22] 5 7 1 4

[staff 24] 10 11 12 13 14 15 16 17 18

The image shows a diplomatic transcription of a musical score on folio 10r. It consists of 12 staves, labeled [staff 2] through [staff 24]. The score is written in a single system with a key signature of one flat (B-flat) and a common time signature (C). The tempo markings are 'A tempo' and 'stringendo'. Performance instructions include 'poco a poco crescendo', 'cresc.', 'ff', 'Rit', 'Rall', and 'pp'. There are several dynamic markings and articulation marks throughout the piece. The score includes various musical notations such as notes, rests, and slurs. There are also some numerical markings (5, 7, 1, 4, 10, 11, 12, 13, 14, 15, 16, 17, 18) and letters (A, B) indicating specific measures or sections. The transcription is presented in a clear, legible format, suitable for scholarly study.

Figure 6.29 The diplomatic transcription of fol. 10r.

### 6.1.11 Fair Copy

Figure 6.30 contains the fair copy (12 pages) of the *Suite*. The composer bound the pages of the fair copy into a booklet using tape and provided page numbers. The location of the five movements are: “Prélude” (p. 1), “Nocturne” (pp. 2-3), “Ballade” (pp. 4-6), “Rêverie,” (p. 7), “Final” (pp. 8-11). Page 1 contains the title page and table of contents. Hétu continued to revise aspects of the “Final” and “Rêverie.” Erasures using correctional fluid in these movements reveal that Hétu was revising issues of motivic content, articulation, and sustain even at this late stage (this is discussed in Chapters 11 and 12).

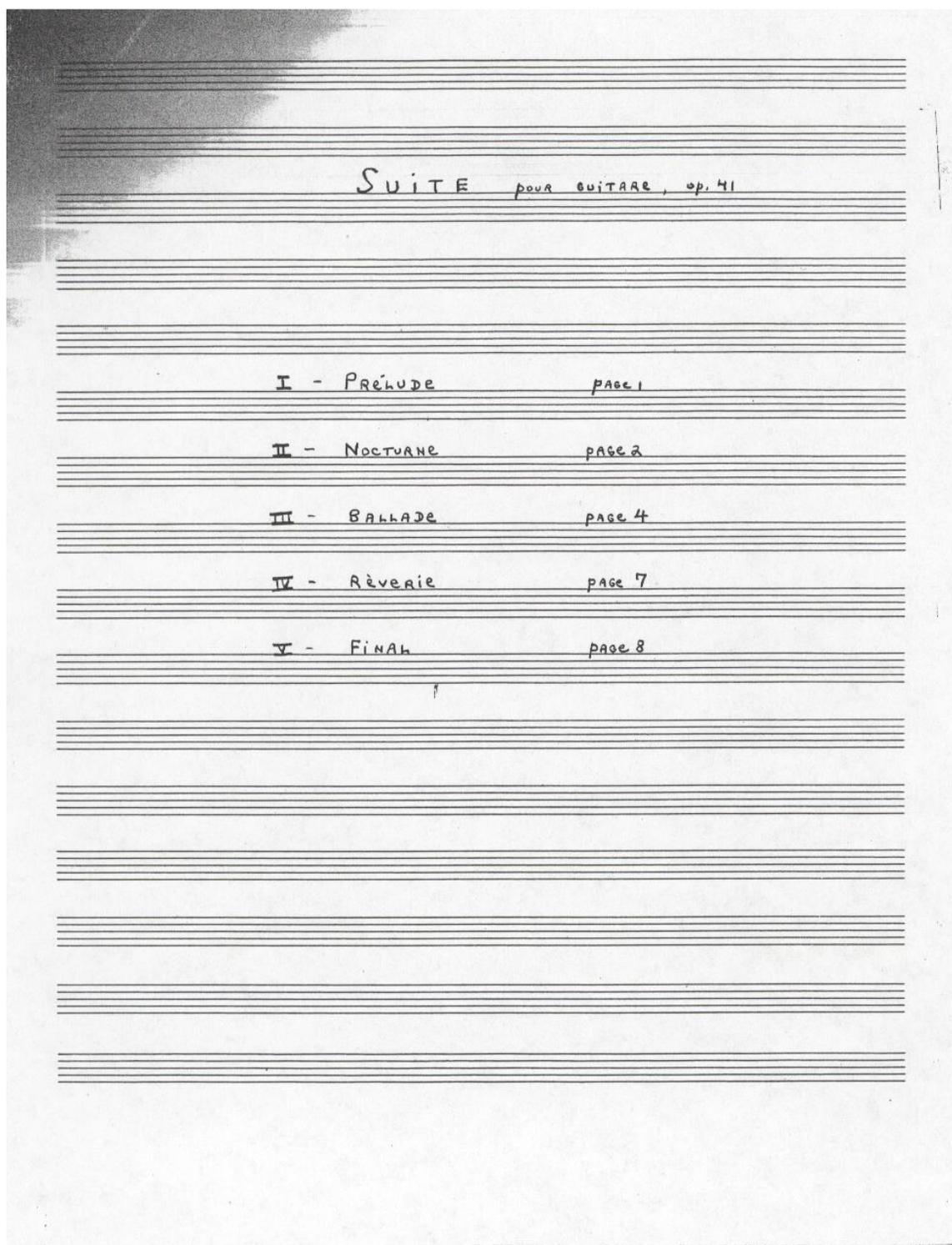


Figure 6.30 The fair copy of the *Suite*, title page. Library and Archives Canada, MUS 279 | C5,19.

**I**

P R É L U D E

ANDANTE (Allegro)

mp

Rit.

mp

dim.

mf

ff

poco accel.

Rit.

All.

Rit. molto

A Tempo

mp

ff

AP

Figure 6.30. The fair copy of the *Suite*, page 1. Library and Archives Canada, MUS 279 | C5,19.

2

II

NOCTURNE

Adagio (♩ = 69)

pp LEGATO

Poco Rit. A Tempo

Rit. A Tempo

Poco Air

A Tempo

Poco Accel. Rit.

Figure 6.30. The fair copy of the Suite, page 2. Library and Archives Canada, MUS 279 | C5,19.

The image shows a handwritten musical score for a piece titled "Suite", page 3, measures 47 through 59. The score is written on five staves, each with a treble clef and a key signature of one sharp (F#). The notation includes various rhythmic values, accidentals, and dynamic markings. Key performance instructions include "STRINGENDO" at the beginning, "Poco a poco CRESC." (Poco a poco Crescendo), "RALL." (Ritardando), "Tempo Primo (♩=69)", "SUL TASTO LENTISSIMO", "A Tempo", "Rit.", "pp", "p", and "ff". There are also some handwritten annotations like "(1=80)" and "A tempo". The score concludes with a double bar line at measure 59.

Figure 6.30. The fair copy of the *Suite*, page 3. Library and Archives Canada, MUS 279 | C5,19.

III  
BALLADE

Mozurato (rit.)

mp

Rit.

A tempo

Rit.

Poco Accel.

A tempo

Poco Rit. A tempo

13

20

Cresc.

27

Dim.

30

Rit.

A tempo (rit.)

Poco Rit. A tempo

37

Figure 6.30. The fair copy of the *Suite*, page 4. Library and Archives Canada, MUS 279 | C5,19.

The image displays a handwritten musical score for a piece titled "Suite," page 5. The score is written on ten staves, with measures numbered 47 through 76. The notation includes various musical symbols such as notes, rests, and dynamic markings. Key markings include "Poco Accen." at the top right, "Poco più Mosso (♩ = 120)" on the second staff, "Poco Rit." and "A Tempo (♩ = 120)" on the third staff, "cresc." on the fourth and fifth staves, "Poco Allargando" on the sixth staff, "A tempo" and "Rit." on the seventh staff, "dim." on the eighth staff, "A T.o" on the ninth staff, and "RALL." on the tenth staff. The score is a fair copy, showing clear handwriting and detailed musical notation.

Figure 6.30. The fair copy of the *Suite*, page 5. Library and Archives Canada, MUS 279 / C5,19.

Handwritten musical score for Suite, page 6, measures 80-110. The score is written on six staves in treble clef. The key signature is one flat (B-flat). The time signature is 4/4. The score includes various musical notations such as notes, rests, accidentals, and dynamic markings. Performance instructions include *Tempo I<sup>o</sup>*, *Rit.*, *A Tempo*, *Dim.*, and *Rall.*. Measure numbers 80, 86, 92, 100, 106, and 110 are indicated at the beginning of their respective staves. The score concludes with a double bar line at measure 110.

Figure 6.30. The fair copy of the *Suite*, page 6. Library and Archives Canada, MUS 279 | C5,19.

IV  
RÉVERIE

ANDANTE (♩ = 76)

A Tempo

Piu Mosso (♩ = 96)

Piu Mosso (Piu RUBATO)

Acch.

mp

piu lento

A tempo

Rit.

pp

A tempo

PPP

Figure 6.30. The fair copy of the *Suite*, page 7. Library and Archives Canada, MUS 279 | C5,19.

8

V  
FINAL

VIVACE (♩ = 80)

Handwritten musical score for Suite, page 8, marked "FINAL" and "VIVACE (♩ = 80)". The score consists of eight staves of music in 3/8 time. The first staff begins with a treble clef and a key signature of one sharp (F#). The music is written in a single melodic line with various dynamics including *f*, *pp*, *p*, *mf*, and *pp*. There are several slurs and accents throughout. The piece concludes with a final cadence on the eighth staff.

Figure 6.30. The fair copy of the *Suite*, page 8. Library and Archives Canada, MUS 279 | C5,19.

The image displays a handwritten musical score for page 9 of a Suite, consisting of eight staves of music. The notation is in treble clef with a key signature of one flat (B-flat). The score is marked with various dynamics and performance instructions:

- Measures 48-54: Dynamics include *f*, *pp*, *f*, and *pp*.
- Measures 55-61: Dynamics include *p* and *mf*.
- Measures 62-68: Dynamics include *pp*, *p*, *mf*, *pp*, *f*, and *pp*.
- Measures 69-73: Dynamics include *f*, *pp*, and *p*.
- Measures 74-79: Dynamics include *mp*, *f*, and *pp*.
- Measures 80-87: Dynamics include *p* and *f*.
- Measures 88-93: Dynamics include *dim.* and *dim.*. The piece concludes with the instruction *RALL.* (Ritardando).

Figure 6.30. The fair copy of the *Suite*, page 9. Library and Archives Canada, MUS 279 | C5,19.

10

Moderato ( $\text{♩} = 104$ )

100 *p*

*Piu lento*

*A Tempo*

107 *Piu lento*

*A Tempo*

*Piu lento*

115 *A Tempo*

*Piu lento*

*A Tempo*

*Piu lento*

*Acc. Accel.*

*Rit.*

*A Tempo*

122 *Piu lento*

*A Tempo*

*ppp*

*Piu lento*

*Rit.*

Vivace ( $\text{♩} = 80$ )

129 (*pp*)

*f*

*pp*

135 *f*

*pp*

141 *pizz*

*p*

*pp*

146 *f*

*pp*

*f*

*p*

Figure 6.30. The fair copy of the *Suite*, page 10. Library and Archives Canada, MUS 279 | C5,19.

Handwritten musical score for Suite, page 11, measures 153-191. The score is written on a grand staff (treble and bass clefs) and includes various musical notations such as notes, rests, and dynamic markings. The measures are numbered 153, 159, 165, 171, 178, 185, and 191. The score concludes with a double bar line and the word "Cadenza" written above the final measure.

Measures 153-158: Treble clef, dynamic markings *f*, *p*, *f*.  
Measures 159-164: Treble clef, dynamic markings *p*, *(p)*, *Pizz*, *Poco cresc.*  
Measures 165-170: Treble clef, dynamic markings *mp*, *f*, *mf*.  
Measures 171-177: Treble clef, dynamic markings *f*, *(f)*, *ff*.  
Measures 178-184: Treble clef, dynamic markings *f*, *ff*.  
Measures 185-190: Treble clef, dynamic markings *mf sub.*, *ff*.  
Measure 191: Treble clef, dynamic marking *ff*, ending with a double bar line and the word "Cadenza" above the staff.

Figure 6.30. The fair copy of the *Suite*, page 11. Library and Archives Canada, MUS 279 | C5.19.

## 6.2 The Chronology of the Sketches

The chronology of Hétu's creative process within a single sketch can often be ascertained based on legible erasures, crossed out material, and the position of material on the folio. The chronology of sketches that pertain to a single movement can also be established by considering the musical material (this will be discussed in Chapter 7-12). However, establishing the chronology of Hétu's sketches as a whole is much more difficult. What were Hétu's chronological steps during the creative process for Op. 41? What movements were written first? Were some movements worked on concurrently or was each movement taken to its final state before moving on to the next? These are questions that are addressed in this section. By examining the musical content of the sketches and Hétu's titles (and other verbal marginalia), one can make an educated guess at the basic chronology of the *Suite*. This resulting chronology can provide an understanding of Hétu's plans regarding form and length of the movements, the work as a whole, and how these plans may have changed over the compositional process.

Although it is never mentioned by Pierri or Hétu, it is clear that the composer began with a plan to write a set of preludes for the guitar. This may show the influence of Villa-Lobos's Five Preludes for guitar or Walton's Five Bagatelles, of which he had an intimate knowledge, as discussed in Chapter 5. Hétu gives drafts of the movements for the piece the titles "Prelude I," "Prelude II," and onwards to "Prelude VI." At the end of the sketching process and before writing the fair copy, he decided to change the titles to what we know now ("Prélude," "Nocturne," "Ballade," "Rêverie," and "Final). However, it is likely that he had in mind a *Suite* or collection of "poetic scenes" (as he

refers to the movements in his program notes, see Chapter 7) before this moment.<sup>528</sup> For example, the title “Nocturne” occurs twice during the writing process: on fol. 6v referring to motivic material related to the “Rêverie” and on fol. 9r referring to an unused passage that may have been destined for the middle section of the published second movement, originally titled “Prelude III” (discussed in detail in Chapter 9). Of particular interest is the compositional process with regard to the “Prelude II.” At one point, this movement belonged to a set of six preludes and, at another point, it was discarded in favour of a five-movement *Suite*. At what point did Hétu’s plans change?

Table 6.2 shows the titles as they are found on the various drafts of the movements and the titles of each corresponding movement in the published edition.

Table 6.2 Hétu’s titles as found on the sketches and the corresponding titles as found in the published edition.

<b>Titles</b>	<b>Published Titles</b>
Fol. 1r: “Prelude I” Fol. 8v: “Prelude I”	“Prélude”
Fol. 1v: “Prelude II”	[missing]
Fol. 9r: “Prelude II” Fol. 2r: “Prelude II (en Sol!)” [originally “Prelude III (en Sol!)”]	“Nocturne”
Fol. 5r: “Prélude IV (en Mi)”	“Ballade”
Fol. 4r: “Prelude V (avant dernier)”	“Rêverie”
Fol. 7r: “Prélude IV (le dernier!)” [originally “(Toccate?) ou der. de Suite!”]  Fol. 7v: “Prelude VI (en Mi (+--))”	“Final”

<sup>528</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | D,50, “Suite pour guitare, Opus 41,” file consisting of concert programs, program notes and a press clipping.

Upon examination of the titles, it is clear that the prelude designation was retained for the first movement while the titles of the third, fourth, fifth, and sixth movements underwent transformations. Conspicuously, “Prelude II” on fol.1v was simply not included in the five-movement suite.

Can one assume that Hétu would have written the preludes in order of first to last? Because this kind of collection piece does not have a predetermined set of formal expectations associated with the genre (as opposed to a Baroque suite or Classical symphony), each movement may not necessarily have a preordained function or place within the whole. When writing a symphony, a composer may have an idea for a minuet-form movement, a finale in sonata-form, or a largo in large ternary form and thus write the movements out of order based on these formal expectations. With a set of preludes, aside from some expectations of ending with a grand finale, Hétu might have let his guiding principle simply be that of contrast. In this case, it is more likely that the composer would be apt to compose the movements in the order they occur in the piece.

Assuming that Hétu generally wrote the movements in the order of preludes I-VI, one can ascertain some chronology based on the titling. In this endeavour, there are two aspects of the titles that deserve mention. First, at some point, there were two movements entitled “Prelude II”: the discarded movement on fol.1v and the first draft for the “Nocturne” on fol. 9r. Fol. 9r, written in on a scrap piece of paper (suggesting that Hétu perhaps was not at his usual place of composition), shows Hétu working on a collection of diverse musical ideas: drafts of the theme for the “Nocturne” along with a unused passage for a “‘Nocturne’ (en Mi)” (not directly related to the final version of the published “Nocturne”), a motive indirectly related to the “Final,” and two motives with

material directly related to “Rêverie” (as noted above). Although it is a mixed bag of musical ideas, it is clear that the folio was designated as a first draft of the “Nocturne.” A possible explanation for the duplicate “Prelude II” titling is that Hétu began the fol. 9r sketch before work on fol.1v. When fol.1v developed into a complete draft (in contrast to the fragmentary hodgepodge of fol. 9r), it assumed the primary role of the second prelude. When Hétu began work on the second draft of the “Nocturne,” on fol. 2r, he titled it “Prelude III” (because “Prelude II” already existed on fol.1v). He then continued with the other movements labeling them “IV,” “V,” and “VI.” Later, when Hétu discarded the “Prelude II” on fol.1v (for reasons discussed in Chapter 8), he crossed out the “III” on fol. 2r and replaced it with a “II,” producing another instance of the “Prelude II” title. The titling for these folios thus suggests a chronology in which fol.1v was written after fol. 9r, and fol. 2r was written after both. Other than this inconsistency, one could for the moment assume that Hétu wrote the movements according to the order of this titles. Figure 6.31 shows this hypothetical chronology.

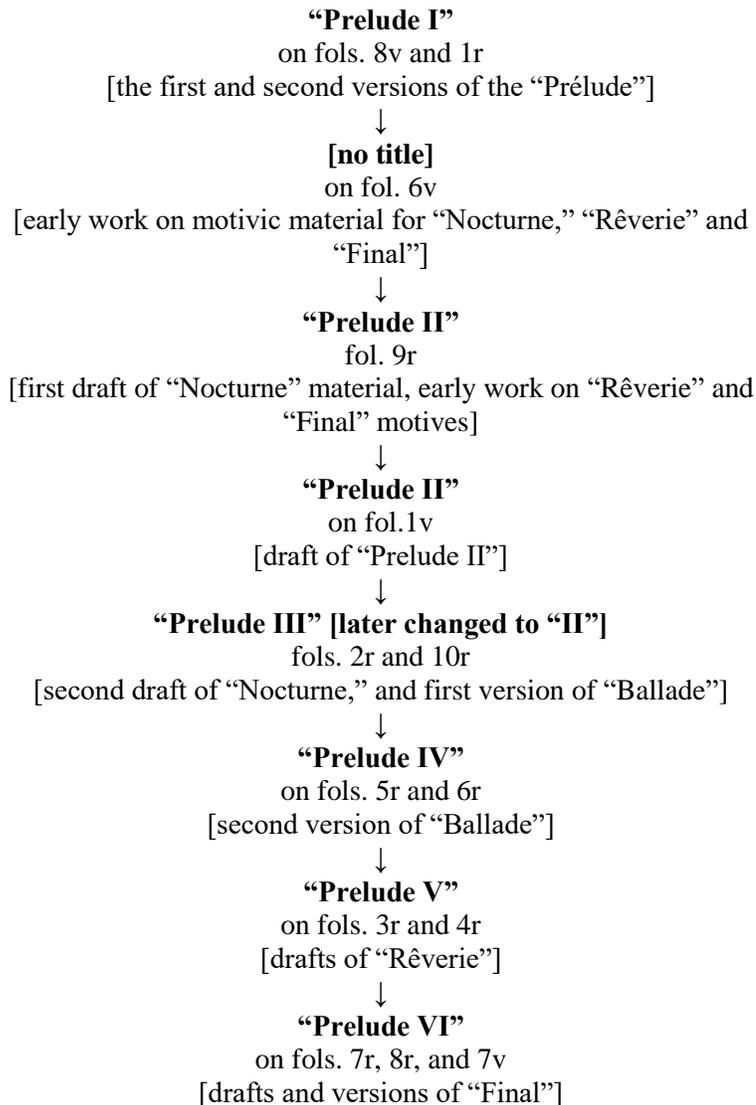


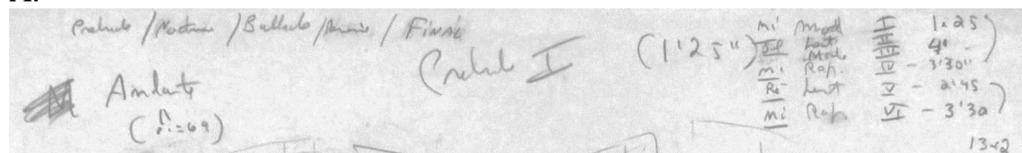
Figure 6.31 The chronology of the sketches based on Hétu’s titles.

This chronology leaves out fol. 6v as it does not contain a draft of a movement. This folio will be taken into consideration in further explorations of the chronology below. One other notable aspect about the titles is the designation of the first version of “Final” on fol. 7r as the fourth prelude, “Prélude IV (le dernier!).” Either Hétu felt that the set of preludes at this point was going to consist of only four movements or this “IV” designation is typo in which the characters of the Roman numerals were accidentally

reversed (i.e. “IV” instead of “VI”). The musical content of the sketches suggests the latter (as we will see).

At some point after the six preludes were written (or at least after each preludes had taken on a form of completion), Hétu wrote a list summarizing the key, tempo, and length of each movement. This list is found on fol.1r above the sketch for the first movement, titled “Prelude I” at that time (later changed to simply “Prélude”). Also present in the upper margin of this folio is a list of the suite titles for the five movements. Figure 6.32 shows the upper margin of fol.1r alongside its diplomatic transcription.

A.



B.

Prelude / Nocturne / Ballade / Reverie / Finale						
		[Finale]	(1'25")	<u>Mi</u>	Mod	I 1'25'
			<b>Prelude I</b>	<u>Sol</u>	Lent	II 4'
M	Andante			<u>Mi</u>	Rap	IV - 3'30"
	(♩ = 69)			<u>Ré</u>	Lent	V - 2'45'
				<u>Mi</u>	Rap	VI - 3'30"

13-12

Figure 6.32 The upper margin of fol.1r (A) and its diplomatic transcription (B). Library and Archives Canada, MUS 279 | C5,18, volume 22, photograph by Michael Dias, 2012. Detail.

Table 6.3 shows a realization of this list.

Table 6.3 The composer's summary of his six movements on fol.1r.

Mvt #	Key	Tempo	Length
I	E	Moderato	1'25"
II	[illegible erasure]	[illegible erasure]	[empty]
III	G	Lent [originally "Moderato"]	4' [originally 3']
IV	E	Rapide	3'30"
V	D	Lent	2'45"
VI	E	Rapide	3'30"
			[total:] 13-12' [correct total is 15'10'' or 14'10 with original length of Mvt III]

The lengths are identical to timings that Hétu wrote each of the final drafts/versions for each movement in the sketches (see fol.1r for movement I, fol. 2r for movement III, fol. 5r for movement IV, fol. 4r for movement V, and fol. 8r for movement VI). While six movements are listed (I to VI), the second movement, indicated by the Roman numeral "II," does not have any corresponding length, tempo indication, or key in his final version of this summary. There are erasures in the corresponding spaces in the list for the tempo and key of movement II revealing that Hétu did, at one point, provide information about this movement in the summary, but these are unfortunately illegible. It seems that "Prelude II" did not get to a stage in which Hétu provided it a temporal length.

Were these lengths estimations or are they calculated timings which reflect the state of the movements at the time? Hétu provides a range for the six movements (excluding movement II) as between 12 and 13 minutes (he writes "13-12"). This suggests that the timings given in the summary are estimates rather than accurate calculations based on tempi and number of measures. Table 6.4 shows the timings that Hétu gives on his

summary list on fol.1r as well as the calculated timings based on the tempi and measure numbers of the published movements.

Table 6.4 A comparison of the lengths of the published movements and Hétu's predicted lengths.

Mvt	Calculated lengths (based on published edition)	Hétu's Predicted Length
I	1' 6''	1'25''
III	3'13''	3' (revised to 4')
IV	3'6''	3'30''
V	2'6''	2'45''
VI	2'54''	3'30''
Total	12' 25''	12-13'

Noting the discrepancy between the calculated timings and Hétu's predicted timings (all the timings for the movements are over the calculated timings by around 30 seconds), one must say that Hétu was simply estimating rather than calculating. Although it is interesting to note that Hétu's estimated total length was quite accurate.

One notes that Hétu revised the tempo and length for the movement "III" (the published "Nocturne"). He changes the length to four minutes from the original three minutes and the tempo from *moderato* to *lent*. The change in timing for the movement reflects his change in tempo, the slower tempo creating a longer movement. The second draft for "Nocturne" on fol. 2r reflects this change as well, the "3'" was also replaced with "4'." He gives a single tempo marking on fol. 2r, "Adagio ♩ = 69," reflecting the final decision for a slow *lent*-like tempo. Thus, one can say that the change in timing reflects a change in tempo rather than any revisions of the musical material itself.

Therefore, the lengths seem to correspond to Hétu's predicted lengths of the movements in their most final form on the sketches – in other words, at the latest stage of the sketching process (after the completion of the sketching stage and before the fair copy). Hétu must have first written the summary of the tempi and keys for the movements and later estimated the lengths. The erasing of the key and tempo and the lack of a timing for “Prelude II” suggests that it was discarded after the piece had taken shape as whole (especially with regard to key and tempi of the individual movements).

The titles and timings are useful to a degree in estimating the chronology with regard to the discarding of “Prelude II.” However, the most telling evidence of the chronology of the movements is the musical material itself. Because there are several sketches which contain material for more than one movement, one can gauge the relative chronology of these movements based on the state of the material. For example, fols. 6v and 9r together suggest that the “Nocturne” was written before “Rêverie” and the “Final.” At the stage in which fol. 6v was written, Hétu was working out early musical ideas for motives for the “Nocturne” (a passacaglia theme), “Rêverie” (various settings of a semitone descent and rising perfect fourths), and for a fast final movement (toccata-like, repeating-16<sup>th</sup>-note texture). This folio is discussed in detail in Chapter 9. The material here suggests that, at the time Hétu worked on fol. 9r, these three movements were in a nascent state (without completed drafts). When examining the first draft of the “Nocturne” on fol. 9r entitled “Prelude II” (in which the thematic material is in a state similar to that of the published movement), one notes that Hétu is still exploring the basic motivic material of “Rêverie” and “Final” in the leftover space on the page (this folio is explored in more detail in Chapters 9, 11 and 12). As the “Nocturne” theme and its variations were fleshed out to

some degree on fol. 9r, it seems likely that Hétu would have finished working on the material in the second draft on fol. 2r before the first drafts of “Rêverie” and the “Final.” Finally, the musical material on fol. 2r suggests that the “Ballade” was written immediately after the “Nocturne.” Fol. 2r contains the second draft of the outer sections of the “Nocturne” as well as the first version of the “Ballade.” As discussed in Chapter 10, the placement of the “Ballade” material on the lower half of the folio with unused “Nocturne” material immediately preceding it suggests that the “Ballade” may have been initiated as a potential idea for a contrasting middle section of the “Nocturne.”

Thus, a partial chronology of the sketches based on their musical material is shown in Figure 6.33.

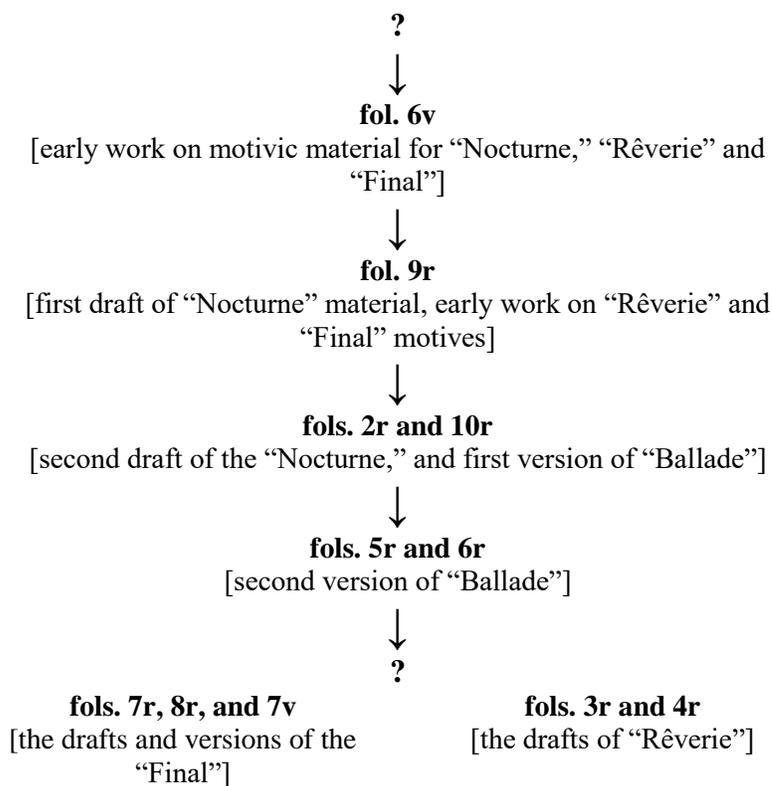


Figure 6.33 The relative chronology of the sketches for the “Nocturne,” “Ballade,” “Rêverie” and “Final.”

Combining the chronology suggested by the musical material in Figure 6.33 with the basic chronology suggested by the titles in Figure 6.31, one can ascertain a possible general chronology of the sketches. Figure 6.34 shows this chronology.

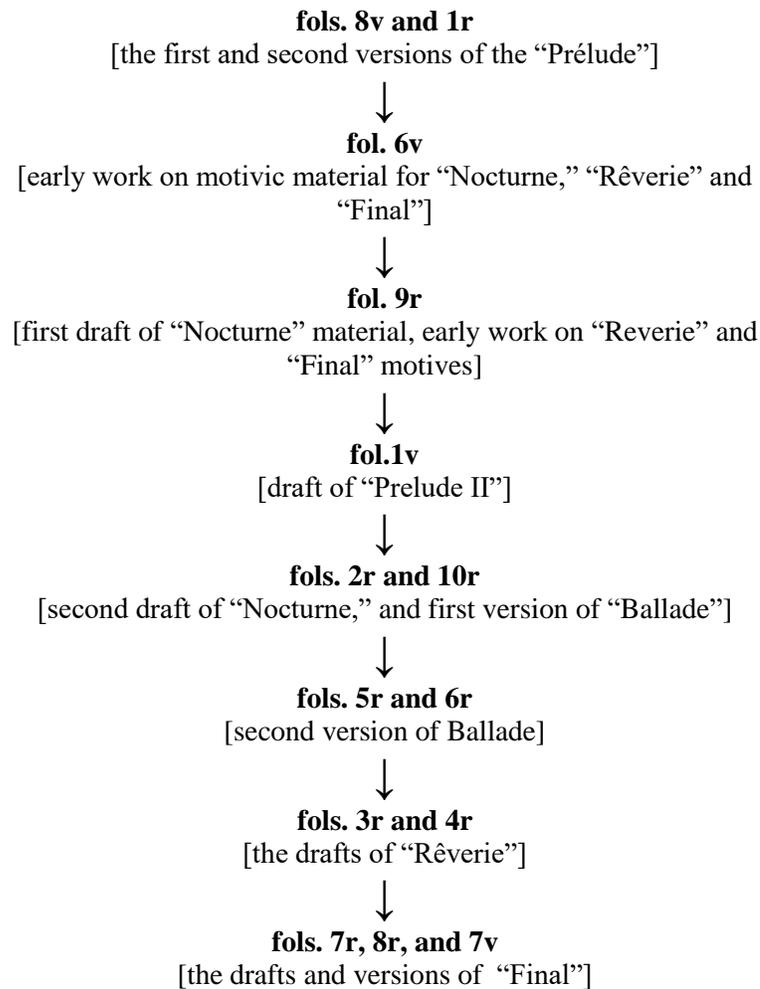


Figure 6.34 A possible general chronology of the sketches.

However, this chronology does not account for the great possibility that Hétu completed early versions of many or all the movements before revising them. The sketches for the “Prélude,” “Ballade,” and “Final” show that early versions of these movements adhered to a structure that was shorter in length than their published counterparts (this is discussed in detail in Chapters 7, 10, and 12). The scale of these early versions matches the scale of “Prelude II” and “Rêverie.” This suggests that Hétu may have had two general stages of



and “Final,” revising and ultimately lengthening the movements. During this stage, “Prelude II” was discarded. This may have been the reason that Hétu ultimately decided to change the titles: the piece seemed less like a set of small preludes and more like a suite with some substantial movements.

With the genetic dossier identified, transcribed, and a general chronology attained, we can begin Biasi’s fifth step, to establish the *avant-texte*. Chapters 7-12 explore the content and chronology of the smaller compositional stages within the sketches for each movement and compare these directly with the published edition.

## Chapter 7 Prélude

As discussed in the previous chapter, it is likely that Hétu began the compositional process with work on the first movement of the *Suite*, “Prélude.” In this chapter, two folios containing sketch material related to this movement are investigated. Fol. 8v contains the first version of the “Prélude” (the titling of this movement, “Prelude I,” reflects the initial six-prelude plan for the piece). The first version will be abbreviated as “P1” here. Fol. 1r contains the second version of the “Prélude.” This second version, represented by the abbreviation “P2,” is materially identical to the published version of the movement (there are minor exceptions regarding fermatas, dynamics, etc.). Table 7.1 summarizes the musical content of the fols. 8v and 1r.

Table 7.1 Fols. 8v and 1r from the archived collection of sketches for *Suite pour guitare*.

fol. 8v	first version of the “Prélude” (P1), crossed out
fol. 1r	second version of the “Prélude,” nearly identical to the published version (P2)

As it will be shown, while P1 does not seem complete at first glance, upon examination it reveals itself to be a finished and coherent version of the movement. In addition, while P2 contains the same motivic structure and unifying strategy as P1, they do not share extended passages of musical material nor an identical formal structure. Some material in P2 represents a revision of P1, but the difference between the two versions stems from a change in Hétu’s structural priorities. In addition, Hétu’s general compositional process in this movement depicts a composer who is experimenting with the potential of motivic material during the later moments of the drafting stage (i.e. generating phrase structure and form).

Interpreting the material on the sketches related to Op. 41 necessitates an understanding of the piece, Hétu's musical style, as well as a basic notion of his approach to the craft of composition. To this end, while a general summary of his style has been given in Chapter 4, an analysis of each of the published movements of the *Suite* will provide a contextualized musical framework from which to view the sketches (this is undertaken on a movement-by-movement basis in each chapter). The composer's own comments on the piece are of interest in this endeavor. Thus, Hétu's unpublished program notes for the *Suite* are provided in this chapter in addition to a summary of Hétu's own statements regarding his compositional process.

### 7.1 Program Notes for the *Suite* and Hétu's Self-described Creative Process

The Jacques Hétu Fonds contains a typed folio of 264 words that amounts to program notes for Op. 41 (presumably written by Hétu himself).<sup>529</sup> There are no program notes for *Suite* in the archived concert program at the premiere of the piece on July 16, 1986 at the Théâtre des Nouveautés in the city of Tarbes, France. However, one assumes that these notes were written around this time.<sup>530</sup> This is a short, but invaluable document. While it does not give a great amount of detail, it does provide the composer's general analysis of the work and its individual movements.

SUITE FOR GUITAR, OP. 41  
Prélude-Nocturne-Ballade-Rêverie-Final

In composing the *Suite for Guitare*, I learned the technique of an instrument for which I had not written anything while using elements of a personally tested language. Consisting of five parts arranged in a succession of poetic scenes, the

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<sup>529</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | D,50, "Suite pour guitare, Opus 41," file consisting of concert programs, program notes and a press clipping.

<sup>530</sup> *Ibid.*

work utilizes simple and rigorous forms whose unity is ensured by harmonic and melodic constants [constantes harmonico-mélodiques]: the privileged melodic intervals being the major third and the perfect fourth, the sonority type being the major triad with an added augmented fifth, the pieces chain themselves to each other: the last measures of one piece giving birth to the first of the following piece.

The short Prélude deploys different positions of the major chord with an augmented fifth orbiting around E.

The Nocturne, in ternary form, varies the calm presentation of a short melody (variants of color, registers and harmony) in the outer sections, while the middle section, darker and more animated, develops an essentially lyrical melodic.

The Ballade, constructed in the manner of a Scherzo, alternates between a disjointed and syncopated motive and a triplet element. The latter is harmonically amplified and brought to its peak intensity in the central part.

The Rêverie, very delicate, takes the form of a recitative in many stages that invariably dissolves on a D major chord with an added low E.

The Final is a perpetual movement interrupted by a languid presentation of an initial element. This is subsequently resumed thereafter culminating at its summit in a frenetic coda.

The work was written at the request of guitarist, Alvaro Pierri, thanks to a grant from the Canada Council.

Jacques Hétu.<sup>531</sup>

The elements mentioned in the program notes are taken up in subsequent chapters and in the analytical conclusions in Chapter 13.

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<sup>531</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | D,50, "Suite pour guitare, Opus 41," file consisting of concert programs, program notes and a press clipping. Original: "SUITE POUR GUITARE, OP. 41. Prélude-Nocturne-Ballade-Rêverie-Final. En composant la Suite Pour Guitare, je me suis initié à la technique d'en instrument pour lequel je n'avais encore rien écrit tout en utilisant des éléments de langage personnellement éprouvés. Constitués de cinq pièces agencées en une succession de tableaux poétique, l'œuvre utilise des formes simples et rigoureuses dont l'unité est assurée par des constantes harmonico-mélodiques: les intervalles mélodiques privilégiés étant la tierce majeure et la quarte juste, la sonorité type étant l'accord parfait majeur avec quinte augmentée ajoutée, les pièces s'enchaînent les unes aux autres: Les dernières mesures d'une pièce donnant naissance aux premières de la pièce suivante. Le court Prélude déploie différentes positions de l'accord de quinte augmentée gravitant autour de Mi. La Nocturne, de forme ternaire, varie la calme présentation d'une courte mélodie (variantes de couleurs, de registres et d'harmonies) dans les sections extrêmes, alors que la section centrale, plus sombre et mouvementée, développe un élément mélodique essentiellement lyrique. La Ballade, construite à la manière d'un Scherzo, fait alterner un motif disjoint syncopé et un élément en triolets. Celui-ci est amplifié harmonique et porté à son paroxysme d'intensité dans la partie centrale. La Rêverie, très délicate, prend la forme d'un récitatif à plusieurs paliers qui se résorbent invariablement sur l'accord de Ré majeur avec le Mi grave ajouté. La Final est un mouvement perpétuel interrompu par une présentation alanguie de l'élément initial. Celui-ci est repris par la suite et aboutit à son sommet dans une frénétique coda. L'œuvre a été écrite à la demande du guitariste Alvaro Pierri, grâce à une subvention de Conseil des Arts du Canada. Jacques Hétu."

Another important set of statements from the composer worth exploring now are Hétu's comments about his general compositional process. What steps are taken in writing a work? Which musical structures are conceived first? How does a piece or movement take form? In the examination of the artefacts which bear witness to the composer's creative process (i.e. the sketches) Hétu's own answers to these questions are of obvious value.

In a set of unpublished lecture notes from 1999, Hétu confirms that he composes in stages. In his words, there are four basic stages in his creative process. Writing specifically of his Piano Concerto No. 2, Op. 64 (1999), he lists them and their approximate time commitments as follows:

1. The drafts [brouillons] of the whole work (4 months);
2. The draft of the complete score (2 months);
3. The draft of the reduction of orchestra and the copy of the soloist's part and [revisions] (1 month); [and]
4. The clean copy of the orchestral score (1 month).<sup>532</sup>

Thus, Hétu discriminates between the "drafts of a work" and "a draft of the complete score." Hétu seems to be characterizing the "drafts of the work" as the early versions, fragments, and working-out material created during the writing process and the "drafts of the complete score" as the versions of all the movements that are in an acceptably finished state. It is useful to know that Hétu's exploratory stage (writing and developing motivic ideas, etc.) is an invaluable and consistent part of his compositional act, taking up the majority of the process (four out of a total of eight months for Piano Concerto No. 2).

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<sup>532</sup> Library and Archives Canada, Jacques Hétu Fonds, Mus 279 | Folder 2, Box No. 29, "Les Étapes de la Construction d'une Oeuvre," notes for a lecture given in Nov. 1999, page 5. Original: "1. Les brouillons de l'ensemble de l'œuvre (4 m.). 2. Le brouillon de la partition complète (2 m.). 3. Le brouillon de la réduction d'orch. et la copie de la partie de soliste + rév (1 mois). 4. La copie en propre de la partition d'orchestre (1 mois)."

The sketches for Op. 41 attest to this as well. Héту seems to develop material over time, organically moving towards a state which the composer deems as complete.

As a self-styled “melodist,” Héту has revealed that he begins the composing process with a concern for melody. In a 2002 interview, he states,

Always, it’s melodic line. The first notes of any works that I’ve begun, it’s a simple melodic line of ten seconds or twelve, and after this melodic line, I begin to work, and it’s always this little fragment goes to either two or three or four or five movements of the work, and it makes a kind of cyclical, musical, structural – to unify the work, because after I find an interesting thing in that melodic way, the big structure comes naturally.<sup>533</sup>

He also states in 1988,

when it comes to writing, it always starts with a melodic idea. I am still a melodist. There is always a theme, short or long, but which contains in embryo the elements for creating the work. Whether the theme is modal or serial – in the last five or six years I’ve barely used the serial technique – but even in my serial works, for example the Quintet for Winds, I began with a little oboe solo, very lyrical, but a solo of 12 sounds, which gives birth to the series which itself gives birth to the tones and chords, and so on, but the idea is melodic. That is all there is to it. But once the idea has been adopted, the real work begins, the work of composing. And this time 5% of inspiration, which is absolutely essential, will give birth to 95% to come. On condition that one is satisfied with the idea.<sup>534</sup>

In addition to confirming Héту’s initial concern with melody at the onset of his compositional process, both these statements reveal Héту’s organic approach to writing – his concern for unity of a work emphasized through cyclic structures that occur over numerous movements. His metaphors of “embryonic” themes, which consist of 5% of the creative act, “giving birth” to 95% of a piece is telling in this regard. This organicism in Héту’s process and some cyclic structures in the *Suite* will be something that will be explored in the Chapter 13.

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<sup>533</sup> Cornfield, *Canadian Composers*, 4.

<sup>534</sup> Larochelle, “Jacques Héту Interview,” 30.

However, after starting a work or movement with a melodic theme, Hétu infers that he will jump to other structural sections of a movement before continuing the linear sequence. Hétu stated in 2002 that, with the exception of adagio movements, he would not continuously write a work from beginning to end: “I never compose from the bar one to – no, no, no. It’s kind of like in cinema, you know, a kind of montage of things...”<sup>535</sup> More specifically, two years after writing Op. 41, Hétu divulged that he would often compose the end of a work directly after the opening: “After writing the first page I write the final page almost immediately, because I know where I am going. The beginning and the end – and the rest is filling out, which I know will take time, but I know where I am going.”<sup>536</sup> As we will see, this seems to be the basic compositional order of events for Hétu’s first version of the “Prélude,” his “Prelude II,” and the “Ballade” (discussed in detail below and in Chapters 8 and 10). For example, for the primary work on P1, Hétu wrote the opening material first on staves 1-7 (what would eventually be measures 1-6 of the realization). Next, he composed the ending material on staff 7. Only after he “knew where he was going” did he compose the continuation material on staves 8-10. It should be noted that, upon examining his sketch material for Op. 41 as a whole, the composer generally wrote from upper staves to lower staves. However, he had a default habit of “double spacing” his material on manuscript paper leaving one blank staff in between staves containing sketch material. This is likely in order to leave space for corrections or new material (as we shall see in explorations of subsequent movements).

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<sup>535</sup> Cornfield, *Canadian Composers*, 13-14.

<sup>536</sup> Larochelle, “Jacques Hétu Interview,” 31.

Finally, it is pertinent here to examine the role of the guitar in Hétu's compositional process. Did Hétu experiment with playing material of the *Suite* on guitar? Hétu makes it clear that he did not physically play the guitar in order to write for the instrument. He writes to Fowler, "I started studying the technique of the guitar with a large number of scores and methods (without playing, of course). It lasted three weeks ... then I wrote the *Suite* in one week."<sup>537</sup> In fact, one can assume that Hétu used the piano as his way of sounding out his work. He states in the 1999 lecture cited above that he had been composing so much that he had to tune his piano more than usual: "Just know that my piano (because I work at my piano) that I usually do once a year, received last spring the visit of the tuner every week!"<sup>538</sup> This statement could be taken as a general declaration that Hétu composed at the piano.

With the knowledge of Hétu's self-proclaimed process, one can turn now to the act of exploring the creative process for the "Prélude." This naturally begins with an analysis of the published movement itself in order to provide some context for the sketches.

## 7.2 Analysis of the Published "Prélude"

The first movement of the suite, like Bach's Prelude in C major from Book 1 of the *Well-Tempered Clavier* or Chopin's Prelude No. 1 in C major from Op. 28, presents an

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<sup>537</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | Folder 1, Box No. 27, "Email Correspondence with François Fowler," Sept. 26, 1999. Original: "Je me suis mis à l'étude de la technique de la guitare avec un grand nombre de partitions et de méthodes (sans en jouer, bien entendu). Cela dura trois semaines... puis j'écrivis la Suite en une semaine."]

<sup>538</sup> Library and Archives Canada, Jacques Hétu Fonds, Mus 279/ Folder 2, Box No. 29. "Les Étapes de la Construction d'une Oeuvre," Notes for a lecture given in Nov. 1999, page 5. Original: "Sachez seulement que mon piano (car je travaille en me servant du piano) que je fais accorder ordinairement une fois par année, a reçu au printemps dernier la visite de l'accordeur à toutes les semaines!"

initial “model” arpeggiation pattern that is generally repeated throughout with different harmonic content. Figure 7.1 presents the movement in its published format.

Andante ♩ = 69

*mp* *lv. a piacere*

*mp* *lv. a piacere*

a tempo

Poco rit.

a tempo

*cresc.*

7

Poco rit.

a tempo

*f*

*dim.*

*mp*

10

Poco accel.

*cresc.*

13

Poco allargando

Poco rit.

*ff*

*dim.*

16

Poco a poco

a tempo

Rit.

a T°

Rall.

Lento

*mf*

*mp*

*pp*

Figure 7.1 The first movement, “Prélude,” from the published edition of *Suite pour guitare*. © With kind authorization of Les Productions D’OZ.<sup>539</sup>

<sup>539</sup> Héту, *Suite*, op.41.

Although some passages repeat the first half of the model and others repeat the second half, the movement consistently uses elements of the arpeggiation model throughout its entirety.

The model, which is presented first in measure 1, consists of two parts: a rising six-note arpeggiation and a falling fourth motive over top of a descending arpeggiation (see Figure 7.2).

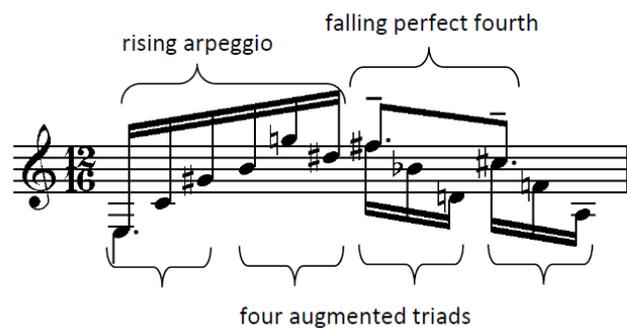


Figure 7.2 The model for “Prélude” showing its two parts and make-up of four unique augmented triads.

In the repetitions of this model throughout the piece, the first half generally follows the same structure as seen in Figure 7.2. However, very often the second half, the falling fourth motive, is modified to outline different descending melodic intervals (including the minor third and major sixth). The label “falling fourth motive” will be retained when describing variations of the motive containing divergent intervals. When Hétu deviates from the repetition of this arpeggiation model it is in favor of either the repetition of the first half, the rising arpeggio, or the second half, the falling fourth motive. When the rising arpeggio is repeated (as we will see) it can be with variations on the voicing of the original harmonic content (as presented in Figure 7.1) and variations on the general contour.

The harmonic content of the model is generally consistent. The organization of the notes is such that the four possible unique augmented triads account for the entire model (see Figure 7.2). The motive thus presents a chromatic aggregate, all 12 available pitches from the chromatic scale, but as François Fowler notes in his analysis of the movement, Hétu does not utilize serial techniques.<sup>540</sup> As we shall see, variations on the presentation of the augmented triads occur. Often three unique augmented triads are presented with one repeated.

In the way the model is first presented, the entire six notes of the rising arpeggio figuration, E – C – G sharp – B – G natural – E flat, can be heard as making up a single tertian harmony: an E major triad with added augmented fifth (or minor sixth), minor third, and major seventh. This sonority is a combination of two of Hétu's preferred harmonies in his piano works as catalogued by Valérie Dallaire in Chapter 4. The predominance of these preferred harmonies, a minor chord with added major seventh, a major chord with added minor sixth, and a major chord with an added augmented fourth, is characteristic of Hétu's second stylistic period covering the late 1970s and 80s.<sup>541</sup> Burdetti confirms the use of these three chord types in his guitar works (specifically his Concerto for guitar, Op. 56 and his Concerto for two guitars, Op. 77).<sup>542</sup> The harmony of the rising arpeggiation figure is a combination of an E minor chord with an added major seventh (E – G – B – D sharp) and an E major chord with an added minor sixth (E – G sharp – B – C). Of course, this sonority, when thought of as part of the whole measure, can also be considered as two superimposed augmented triads one semitone apart.

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<sup>540</sup> Fowler, "Jacques Hétu's *Suite*," 19.

<sup>541</sup> Dallaire, *L'Oeuvre pour Piano*, 71.

<sup>542</sup> Burdetti, "Complete Organicism," 39.

Importantly, while the four augmented triads contribute to a distinct chromaticism over an entire measure, the tertian harmony in the first half of the arpeggiation model distinctly implies a tonal center of E. The model returns at this transposition level frequently throughout the piece, and the final chord of the piece is an E major triad with an added augmented fourth and minor third.

A cursory glance at the movement (see Figure 7.1) reveals that the arpeggiation model presented in measure 1 occurs in 10 measures of the movement (measures 1, 2, 5, 6, 9-11, and 16-18). The other measures all contain either the first half of the model, the rising arpeggio, or the second half, the falling fourth motive. Hétu often varies the presentation of the augmented triads making up the second half of the model (usually the falling fourth motive). In many of the measures that present the model at the initial transpositional level (i.e. starting on E), Hétu maintains the harmonic content of the model (four augmented triads) while providing a melodic variety that drives the phrase structure. Compare measures 1, 5 and 10 (shown in Figure 7.3).

m. 1



m. 5



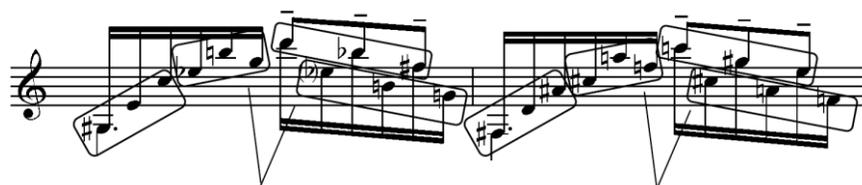
m. 10



four augmented triads

Figure 7.3 Measures 1, 5 and 10 showing the consistent presentation of the same order for the four augmented triads with a variety of melodic contours.

The presentation of the order of the four augmented triads is not altered while three different melodic contours are achieved. Another strategy to provide melodic variety can be seen in measures 3 and 4 in which the two augmented triads of the second half of the model are superimposed (see Figure 7.4).<sup>543</sup>



E flat augmented triad repeats      F augmented triad repeats

Figure 7.4 Measures 3-4 of the “Prélude” showing a variation on the model and the presentation of three augmented triads.

<sup>543</sup> Fowler, “Jacques Hétu’s *Suite*,” 25.

Here, and in other places in the movement, the strict presentation of all four possible augmented triads is deviated from by omitting one augmented triad.

At the climactic moment of the movement (measures 11-13), Hétu drops the rising arpeggiation figuration and repeats the falling fourth motive in a rising sequence with rhythmic diminution (sixteenth notes instead of eighth notes). Even here the presentation of the four augmented triads is maintained as one can see in measure 13 (see Figure 7.5).

Poco allargando

B flat + D flat + C + E flat + B flat + D flat +

Figure 7.5 Measure 13 showing the adherence to the presentation of four unique augmented triads.

In the sections in which the presentation of the augmented triads is altered, Hétu still adheres to the harmonic content of the rising arpeggiation figure (the first half of the model). Figure 7.6 shows measures 7-8.

same harmonic content

Figure 7.6 Measures 7-8, showing the repetition of the rising arpeggiation figure with differing voicing of the same harmonic content.

One sees that here the falling fourth motive is dropped in favor of four transpositions of the rising arpeggiation figure and its harmonic content, namely the major triad with added

augmented fifth (or minor sixth), minor third and major seventh, on roots E, G, B flat and F (this chord is, of course, identical in content to two augmented triads). As seen in Figure 7.6, Hétu varies the voicing and arrangement of these chords: the discrete presentation of the augmented triads is altered in the second half of each measure resulting in a presentation of a major and minor triad (whose roots are separated by an ascending minor sixth). However, the contour and content of the rising arpeggiation figure is consistent.

The structure of the movement is analogous to an asymmetrical parallel period.<sup>544</sup> As noted, the absence of common-practice tonality precludes a typical application of this phrase structure. However, the employment of Classical phrase-structure terminology, such as the period and sentence, to describe Hétu's music has a precedent in Dallaire's study of the composer's piano works and is also adopted by the composer to describe his own works (see Chapter 4).<sup>545</sup> The antecedent phrase, measures 1-8, consists of two four-measure units, measures 1-4 and 5-8. This is emphasized by the return in measures 5-6 to the arpeggiation model on E (these measures are identical to measure 1-2 but in reverse order) as well as the "a tempo" marking in that measure. The consequent phrase, measures 9-19, begins with a return to the material of measures 1-2 but is expanded by the repetition of the falling fourth motive in a rising sequence over written-out acceleration (achieved via rhythmic diminution as noted above). Measure 16 returns to

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<sup>544</sup> It is noted that this subtly differs from Fowler's formal analysis of the "Prélude" which was approved by Hétu through email correspondence. Fowler describes the "Prélude" as having a one-part form consisting of four phrases (see Fowler, "Jacques Hétu's *Suite*," 18). The formal structure suggested here is sympathetic with Fowler's analysis but emphasizes the parallelism of m. 1 and m. 9, something which Fowler does not prioritize.

<sup>545</sup> Dallaire, *L'Oeuvre pour Piano*, 71.

the opening material and begins a four-measure coda-like confirmation of the E tonal center.

From Hétu's archived correspondence with Fowler in 1999, Hétu indicates that the "Prélude" of the *Suite* has a formal connection with Chopin's Prelude No. 1 from Op. 28. He writes, "This little form [of the "Prélude"] stemmed directly from the Prélude No. 1 of Chopin's Opus 28!"<sup>546</sup> The similarity in structure between the two preludes is clear. Formally, Chopin's prelude (in Figure 7.7) shows a basic two-part structure: the whole prelude can be considered one asymmetrical parallel period.

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<sup>546</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | Folder 1, Box No. 27, "Email Correspondence with François Fowler," Dec. 1, 1999. Original: "Cette petite forme est directement issue du Prélude no 1 de l'opus 28 de Chopin!"

antecedent phrase

1. **Agitato.**

consequent phrase

12262

Figure 7.7 Chopin's Op. 28, No 1, Prelude in C major showing the asymmetrical parallel period phrase structure and use of 4-m. units (in brackets).<sup>547</sup>

<sup>547</sup> Karl Klindworth, ed., *Oeuvres Complètes de Frédéric Chopin*, Band 2 (Berlin: Bote & Bock, 1880. Plate 12262), 161.

The antecedent phrase (measures 1-8) exhibits two four-measure units ending on the dominant. The second phrase (measures 9-34) begins at measure 9 with the same opening four measures before expanding the second half of the phrase considerably. The expansion occurs via two techniques. First, Chopin expands the harmonic progression of the phrase (avoiding the symmetry of an eight-measure consequent phrase). Second, after a strong authentic cadence, the final 10 measures (measures 25-34) provide a coda-like expansion of tonic closure (V-I chords over a tonic pedal). Each phrase consists largely of four-measure units as shown in Figure 7.7.

While Hétu would later state that the connection to Chopin was more “spiritual than strictly musical,”<sup>548</sup> the similarity of this phrase structure to that of Hétu’s published “Prélude” is undeniable. In addition to the Prelude in E major by Barrios discussed in Chapter 5, this evidence that the Chopin prelude was a model is further strengthened considering the fact that both are “model” preludes, both use a triplet division of the beat, and the basic contour (rising and falling) of the model is similar. However, as we shall see, the earliest sketch for this movement, P1, on fol. 8v holds less of a debt to Chopin’s prelude. Although P1 also follows the structure of an asymmetrical parallel period, it is one that is quite distinct in its shape from that of the “Prélude” and Chopin’s Op. 28, No.1.

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<sup>548</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | Folder 1, Box No. 27, “Email Correspondence with François Fowler,” Feb. 6, 2000.

### 7.3 The First Version of the “Prélude”

Figure 7.8 shows the diplomatic transcription of P1 (in which the spatial location of the material on the page has been maintained; see Figure 6.23 for a reproduction of the original).

## Prelude I

The image displays a musical score for 'Prelude I' on fol. 8v, consisting of 12 staves. The score is written in a single system with various musical notations. The first staff is labeled [staff 2] and contains a treble clef and a key signature of one sharp (F#). The second staff is labeled [staff 3] and contains a treble clef and a key signature of one sharp. The third staff is labeled [staff 4] and contains a treble clef and a key signature of one sharp. The fourth staff is labeled [staff 5] and contains a treble clef and a key signature of one sharp. The fifth staff is labeled [staff 6] and contains a treble clef and a key signature of one sharp. The sixth staff is labeled [staff 7] and contains a treble clef and a key signature of one sharp. The seventh staff is labeled [staff 8] and contains a treble clef and a key signature of one sharp, with a 'Fin' marking and a double bar line. The eighth staff is labeled [staff 9] and contains a treble clef and a key signature of one sharp. The ninth staff is labeled [staff 10] and contains a treble clef and a key signature of one sharp, with a 'cresc' marking. The tenth staff is labeled [staff 11] and contains a treble clef and a key signature of one sharp, with a 'f' marking. The eleventh staff is labeled [staff 12] and contains a treble clef and a key signature of one sharp. The score includes various musical notations such as notes, rests, and dynamic markings. There are also some markings like [1], [4], [5], [6], [7], [8], and [9] in small boxes. The score is annotated with lines and arrows, indicating connections between different parts of the music.

Figure 7.8 The first version of the “Prélude” on fol. 8v.

Upon exploration of the sketch, one finds large continuous sections of material of three or four measures in length, crossed out material, as well as clear ending material (labeled “Fin” and containing double bar lines). Like the published “Prélude,” P1 contains material based on a repeated arpeggiation model (the model is essentially the

same although the first measure of P1 is different than the first measure of the published version).

The sequence of measures from the opening to the double bar lines is not at first obvious. Fortuitously, on this sketch, like many others in this genetic dossier, Hétu gives measure-number labels to material which is spatially dislocated on his manuscript paper. By following these measure number labels, one can ascertain a sequence which accounts for measures 1-12. Measures 1-4 are found on staves 2 and 3 as the first four uninterrupted measures of the sketch. Measures with labels “5” and “6” are located at the end of staves 5 and 6. The measure labeled “7” on staff 8 continues the sequence (there is an aborted empty measure labeled “7” on staff 6), leading to the measure labeled “8” on staff 9. The measure labeled “9” on staff 10, measure 3, deviates from the prevailing meter showing a length which corresponds to a 18/16 time signature. This leads clearly to the material on staff 11 which would be measures 10-12 of the linear sequence. The meter returns to 12/16 for measures 10-11 and, while Hétu did not provide beaming for measure 12, one can deduce a 6/16 time signature there. Figure 7.9 shows measures 1-12.

4-measure unit

4-measure unit

4-measure unit

Figure 7.9 Mm. 1-12 of P1 showing 4-measure units.

One notes that this passage consists of three four-measure units of equal length (the metrically irregular measures 9-12 equal the duration of four measures of 12/16).

There is other material present on the sketch that represent discarded fragments or exploratory material. These measures do not fit into Hétu's specified linear sequence of material (based on his measure-number labels). Figure 7.10 shows the four passages of discarded material on the sketch.

A. 4 aug. triads 4 aug. triads

} 4 aug. triads

B.

C. aug. triads

D.

Figure 7.10 Hétu's discarded material in P1 on fol. 8v in staff 4, mm. 1-3, and staff 5, m. 1 (A); staff 6, m. 1 (B); staff 10, mm. 1-2 (C); and staff 12, mm. 1-2 (D).

Figures 7.10a, 7.10b, and 7.10c show Hétu exploring variations of the arpeggiation model. The material in staff 4 and 5 (see Figure 7.10a) shows two block chords (superimposed augmented triads) and their arpeggiation treatment above (a pattern that was, after one and half more measures, ultimately passed up). This material shows Hétu experimenting with an alternate way of arpeggiating and voicing the harmonic content of the arpeggiation model (four unique augmented triads). The contour of the line in the material of staff 4 (descending then ascending) is an inversion of the general contour of the arpeggiation model (ascending then descending). The voicing of the harmonic content (as seen in the two chords in staff 5) is also much closer in range than the voicing of the

arpeggiation model. One notes that this discarded material has a strong connection with the B section of the “Final” (discussed in Chapter 12). The single discarded measure on staff 5 (see Figure 7.10b) seems to be an attempt to return to the E-based opening material but with a new arpeggio pattern for the new phrase. A final exploratory fragment consists of a single measure of material on staff 10, measures 1-2 (see Figure 7.10c). This material shows Hétu experimenting with yet another arpeggiation pattern, while adhering to the augmented triad structure of the model. Finally, the rising scalar line on staff 12 (see Figure 7.10d) which was crossed out by Hétu, is a version of the cadential gesture in measures 186-191 of the “Final.” It was written here during the fourth draft of the initial version of the “Final” and recorded on the other side of this manuscript paper, fol. 8r (this is discussed in Chapter 12).

The material in staff 8, measure 2, clearly contains double bar lines and cadential material. This begs the question: is there material on the sketch which would follow from measure 12 in the sequence outlined above that would eventually lead to cadential material? While it seems fragmentary and disjunct to the observer on first glance, did this sketch represent for Hétu a complete draft of the movement? Of particular importance in addressing this question is the material in staff 8, measure 1, which is labeled “7” as well as “Fin” (there is a third label “1” which will be addressed below). Hétu is assigning the material of this measure to be two places in the linear sequence of P1. The “Fin” label tells us that this is ending material that runs directly into the adjacent cadential material (separated by an ending repeat sign). The “7” reveals that Hétu also intended this material for measure 7 of the linear sequence. Furthermore, the repeat sign in this measure implies a return to the opening measure. Considering these clues, one can safely say that this

measure functions as measure 7 in the linear sequence of measures 1-12 in addition to the second-last measure of the movement after a return to the opening. In summary, a complete tracking of the P1 can be inferred. After measures 1-12 (as shown in Figure 7.9), measures 1-6 are recapitulated, now as measures 12-17. The measure labeled “7” follows as the 18<sup>th</sup> measure in the sequence and this time leads to the cadential measure 19. Figure 7.11 shows this realized structure of P1.

The image displays a musical score for the first version of "Prélude" by Hétu, consisting of 19 measures. The score is written in a single system with 19 measures, each starting with a measure number (1, 3, 5, 7, 9, 11, 13, 15, 17, 19) on the left. The music is in a single melodic line, likely for a piano, and features a complex rhythmic pattern of eighth and sixteenth notes. The key signature is one flat (B-flat major or D minor). The time signature is 12/8, indicated by a '12' over an '8' at the beginning of measure 9. The score includes dynamic markings: 'cresc' (crescendo) under measure 9 and 'f' (forte) under measure 10. The piece concludes with a double bar line at the end of measure 19.

Figure 7.11 The realization of the first version of “Prélude” following Hétu’s measure labels.

There are some major differences between P1 and the published version. One difference is that there is a freer approach to the harmonic content in the first version of “Prélude” in comparison to the stricter adherence to the presentation of four augmented triads in the published version. For example, in the first four-measure unit, the presentation of four different augmented triads is retained in measures 1 and 4 but deviated from in measures 2 and 3 (see Figure 7.12).

The image shows a musical staff in treble clef with a key signature of one sharp (F#). The melody consists of eighth notes. Brackets below the staff group the notes into augmented triads: C+ (C#, E, G), G+ (G#, B, D), D+ (D#, F#, A), and C+ (C#, E, G). The second C+ is labeled '(repeated)'. In measure 3, the final notes are E, G, and C, which are bracketed and labeled '(015)'. The final note of measure 3 is a C sharp.

Figure 7.12 Measures 2-3 of the realization of P1 showing a deviation from the consistent presentation of four augmented triads.

One sees that in measure 2, instead of four augmented triads, a reiteration of the first augmented triad (E-G sharp-C, here spelled E-A flat-C) occurs in the last beat of the measure. In measure 3, the last beat of the measure also denies the expected augmented triad and this time presents three notes which make up an instance of set class (015). The C sharp and F notes in ending of the measure are conspicuous reiterations of the C sharp and F natural on beat three of the measure.

The passage does not present four augmented triads consistently – a trait which is clearly upheld in the final version of the “Prélude.” However, what the passage lacks in terms of the structural unity, it makes up for with its unified bassline motion. That is, from measure 2-7, each downbeat bass note is approached by a descending minor second or a minor ninth (see Figure 7.13).

Figure 7.13 Measures 2-7 showing the descending minor second or minor ninth approach to each downbeat bass note.

This one something that Hétu took some pains to ensure. While his kind of motion occurs in the approaches to the downbeats of measures 4 and 5 in the published “Prélude,” it is by a minor ninth and cannot be said to be a unifying feature of the movement. The only conspicuous descent of the minor second in the published “Prélude” is from the bass line in measure 7-8. The low F in the bass line leads by descending semitone to E in the next measure to begin the consequent phrase.

Regarding form, the realization of P1 exhibits an asymmetrical parallel period structure. Table 7.2 summarizes the form of the realization of P1.

Table 7.2 Summary of the periodic form of the realization of P1.

	mm.	Structure
<b>Ant.</b>	1-4	4-measure unit
	5-8	4-measure unit
	9-12	4-measures unit
<b>Con.</b>	13-16	4-measure unit (repeat of mm. 1-4)
	17-20	4-measure unit (repeat of mm. 5-6, and 2 mm. cadential material)

The identical material of the first seven measures of the antecedent and the consequent phrases results in a parallel nature of this phrase structure. There is a marked use of four-measure units. As noted above (see Figure 7.9), measures 1-12 present three four-measure units. One finds in measure 5-6 a similar change in the arpeggiation model to measures 7-8 of the published “Prélude” that results in an increase in harmonic rhythm and activity in the bass (a bass note every half-note compared to a bass note per measure). The third four-measure unit contains the climax of the phrase which rises to a high F sharp and eventually returns to the opening augmented triad in the last beat of measure 12 (G sharp-C-E), emphasizing the close of the antecedent. After the recapitulation of the opening four-measure unit in the consequent phrase, a final four-measure unit is heard: a recapitulation of measures 5-7 in measures 17-19 and finally the cadential material in measure 20 (the extended length of the final measure, equaling two measures of 12/16, could lead to an interpretation of the final unit as being five measures in length). The result is a successful prelude that is not only idiomatic to the guitar but which utilizes the full range of the instrument. The predominance of four-measure units leads to the impression of a formally tight-knit version of the movement. However, at some point, conceivably after writing the preliminary sketches for other preludes, he revised P1 and significantly altered the phrase structure in the second version of the movement on fol. 1r. This version is examined below.

Before this, an examination of the chronology of the material of the P1 sketch on fol. 8v will be explored with particular attention to erased material. This chronology of P1 reveals Hétu exploring the contour of the arpeggiation model, the phrase structure of the

opening passage, and revising material in order to maintain a consistent descending minor second motion in the bass line in measures 1-7 of the realization.

The composer began with an early version of the arpeggiation model in measure 1 of staff 2 ending with a repeat sign, which was subsequently erased. Figure 7.14 shows measures 1-2 of staff 2 on fol. 8v.

The image displays two musical staves, labeled A and B, representing different versions of measures 1 and 2 of staff 2 on fol. 8v. Both staves are in treble clef and show a complex arpeggiated texture. Staff A shows the original version, which includes a repeat sign at the end of the first measure and a bracket labeled 'unclear' over the second measure. Staff B shows the revised version, which omits the repeat sign and the 'unclear' bracket, resulting in a continuous melodic line across both measures.

Figure 7.14 Mm. 1-2 of staff 2 on fol. 8v showing erased version (A) and revised version (B).

The early version of the arpeggiation model in measure 1 (Figure 7.14a) differed from the later, revised version (Figure 7.14b) in the content of the second half of the measure. It is not clear if the repeat signs were erased at the time Héту revised the measure or at a later point. Not only does this original figuration show Héту experimenting with different melodic contours of the arpeggiation model, it also reveals that the composer's first conception of the arpeggiation model was associated with a bass line with a descending minor second (the approach to E at the beginning of the measure from the last note in the bass, F). This minor second descent figures as an important structural aspect of this first version of the "Prélude" (as one can see in the realization in Figure 8.11, measures 1-6) and something which Héту consciously ensured.

One can see evidence that Héту was mindful of the descending minor-second bass line as an integral part of the arpeggiation model by examining the next material he wrote. In measure 2 of staff 2, one can see that while the material in beat three of the measure is only decipherable with difficulty, originally, he had written D-F-sharp-B flat as the final three notes of the measure (see Figure 7.14a). Héту seems to have left the material on staff 2 in this state for a moment. After writing the material of the first two measures, it is likely that Héту next experimented with the inverted arpeggiation contour in staff 4 and 5, as discussed above (skipping staff three as his habit of writing on every other staff directed). Thus, it is clear that at the beginning of the creative process for the fol. 8v sketch, Héту was not writing a draft but exploring motivic material. At this point, Héту returned to measure 2 of staff 1 and revised the final three notes to C-E-A flat (see Figure 7.14b), when the composer realized the next bass note should be or perhaps *was* (if he had already written it) a G that begins the next iteration of the arpeggiation model, transposed up a minor third from the original on measure 1 of staff 3. The revision ensures a minor second descent in the bass line (A flat-G).

Héту then wrote the material on staff 3, measure 1 (or he had just finished writing it – the micro-chronology in this case is impossible to know) as it is found in P1 and an early (subsequently erased) version of the next measure. Figure 7.15 shows measures 1-2 of staff 3 (including the erased material in the second measure).



tendency) for four-measure units (this would have been the fifth measure thus far in the process).

After the decision to discard this measure, the composer continued where space allowed – on the end of staff 5. Thus, the next two measures written were the measures labeled “5” and “6” (staff 5, measure 2, and staff 6, measure 2, respectively). When Hétu realized that the next bass note would be G sharp in measure 5 of the sequence (on staff 5), he ensured that A would be the final bass note of the previous measure in the sequence, measure 2 of staff 3, by rearranging the order of the augmented triad from A-C sharp-F natural to C sharp-F natural-A (as seen in Figure 7.15b). Again, this revision ensured a descending minor second approach to the G sharp bass note. In the measures labeled “5” and “6,” one can see evidence of a significant amount of revision. There are numerous erasures suggesting Hétu was experimenting with the arrangement of the augmented triad structure further here. Figure 7.16 shows two decipherable erased versions of the measures and the final revision.

Figure 7.16 consists of three musical staves, labeled A, B, and C, each showing a four-measure passage in treble clef. Staff A shows two sections of the passage bracketed and labeled "unclear". Staff B is identical to A but without the brackets. Staff C is a revised version of the passage, showing different note values and accidentals.

Figure 7.16 Two early versions (A and B) and the revised version (C) of m. 2 of staff 5 and measure 2 of staff 6 (what Hétu labels “5” and “6,” respectively) on fol. 8v.

One erased version, seen in Figure 7.16b, is identical to the way this passage occurs in measures 3-4 of the second version of the “Prélude” (and the published movement). As seen in Figure 7.4, the sequential presentation of the augmented triads is broken with here. This shows that Hétu discarded this arrangement but returned to it in the second version. Notably, as we will see, the erasures for this material on fol. 1r show that Hétu had some trouble finding a suitable arrangement in the second version as well. Returning to the examination of the chronology of fol. 8v, it must be said that, because of the numerous erasures in the second half of these two measures, it is difficult to decipher all the discrete arrangements of the pitch material that Hétu tried (obviously more than two). One can say with assurance that in at least the version shown in Figure 7.16a a descending minor second bass line was achieved (a low G in measure 5 moving to F

sharp on the downbeat of measure 6 and a low F in measure 6 moving to a low E in measure 1 of staff 8). Eventually, Héту would decide on a minor ninth motion in the bass line as seen in the Figure 7.16c, measures 5-6 of the P1 realization.

As we have seen, Héту's specific arrangement of the pitches for the augmented triads (octave register and sequence) often resulted from an attention to the descending minor second bassline more than the melodic contour of the arpeggiation. That this bass line element is not consistent in the second version of the "Prélude" shows a shift in priority for the composer: from the structure of the bassline in the first version to the melodic interest in the second version (as we will see below). It is notable that the descending minor second motion was removed (through revision) from measure 1 of staff 2 and the measures labeled "5" and "6" on staves 5 and 6 respectively. Thus, it seemed that Héту evidently valued variation and deviation as well as unity and consistency in this regard.

Héту's next step in his creative process was continuing from the measure labeled "6" to the material on staff 7. This tritone dyad, E and B flat, on staff 7 which is labeled "7," constitutes a false start. The composer abruptly stopped and began again on staff 8 with a new measure labeled "7" (this re-assigned measure number shows that, by this point in the process, Héту was labeling his measures while he was composing). He then wrote the ending material on staff 8 which included a return to a variation of the initial arpeggiation model and the cadential measure. It is not clear when Héту inserted the repeat sign between these measures, but it seems probable that this occurred when Héту perceived the formal plan for the movement (realizing that a repeat of the opening seven measures would occur and that more material would continue after measure 7 in the sequence).

One notes that Hétu made some revisions to the ending material in measure 2 of staff 8. An early erased version of the ending material consists of a rising arpeggiation to a high harmonic B flat on beat 3 (the harmonic is indicated with a small circle above the note). Figure 7.17 shows the erased version of the ending in measure 2 of staff 8.

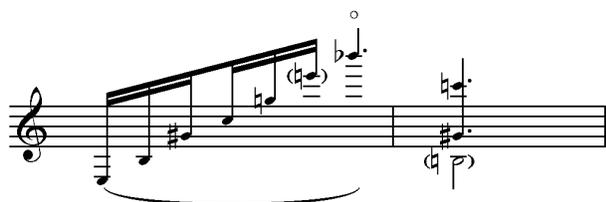


Figure 7.17 M. 2 of staff 8 on fol. 8v showing the erased material.

The presence of a B natural in the bass on the downbeat of the following measure (present because of the need to negate the high harmonic B flat written in on beat 3 of the previous measure), suggests that this B natural may have been present in this version of the ending (as part of a second inversion major E chord with added minor sixth). As erasures do not reveal chronology, it is not totally clear if this is a stable version of the ending or a composite of several. However, based on Hétu's proclivity for unity, it seems musically plausible: the resulting ending in Figure 7.17 imitates the melodic contour of the falling fourth motive (actually a minor seventh) found in measure 2 of staff 2, A sharp-C natural (see Figure 7.15b, measure 2). Hétu would not have needed to reiterate the low E (resulting in a root position triad as the final chord), because he writes an incomplete tie indicating one should let the low E sustain. This early version of the ending material here is more in line with the ending of the published "Prélude" in its allusion to the falling fourth figure than with the revised version of this material used finally in P1.

At this point in the chronology of P1, before completing the material for this version by continuing to write measures 8-12 of the linear sequence, Hétu experimented with more possible arpeggiation shapes for the augmented triad structure on staff 10, measure 1-2 (as discussed above, see Figure 7.10c). An erased version of this exploratory material on staff 10 measure 1, shows Hétu experimenting with octave register of the augmented triads in the second half of the measure resulting in a greatly different melodic contour. Figure 7.18 shows the erased material and revised version of this experimentation.



Figure 7.18 Mm. 1-2 of staff 10 on fol. 8v showing the erased (A) and revised (B) material.

One notes that the notes, B-E flat-G-F sharp-B flat, in the second half of measure 1 were originally down an octave in the early version (see Figure 7.18a). This was then erased and revised (see Figure 7.18b) before Hétu discarded this material. Hétu then completed the material for the movement with little revision utilizing the available space on staves 9, 10, and 11 for measures 8-12 of the sequence.

At some point in time, Hétu became unsatisfied with this version of the “Prélude.” The double-circled label “1” at measure 1 of staff 8 (double-circled to negate the previous label “7”) shows that Hétu somehow decided that this measure should be the opening

one. With no more room for revisions on this folio, the composer's last creative decision on fol. 8v was putting a large "X" through the entire manuscript page, discarding the entire version in favor of a new version, P2, that began on fol. 1r.

#### **7.4 The Second Version of the "Prélude"**

Figure 7.19 shows the diplomatic transcription of the P2 on fol. 1r.

Prelude / Nocturne / Ballade / Reverie / Final  
[Finale]

(1'25" )

Mi Mod I 1'25"  
Lent II  
Sol Mod III 4'  
Mi Rap IV - 3'30"  
Ré Lent V - 2'45'  
Mi Rap VI - 3'30" )

13 42

**Prelude I**

*Andante*  
(♩. = 69)

[staff 1] *p*

[staff 3] *Piu dolce* *Rit* *A tempo* *Rit*

[staff 4] *cresc* *dim* *Poco Rit*

[staff 5] *A tempo*

[staff 7] *Poco Accel.* *Poco Allargando* *ff*

[staff 9] *dim* *dim* *arm.*

[staff 11] *Rit* *Rall.* *Piu Lento* *8<sup>va</sup>* *arm 5* *pp*

Figure 7.19 The diplomatic transcription of P2 on fol. 1r.

While the linear sequence of this version is clear (there is no need for the arrows and measure numbers that one finds on many of the other sketches), which might imply a self-assured process, the chronology of writing of P2 was at times rather circuitous and

shows a composer still experimenting with basic motivic material. Numerous erasures show that Hétu's conception for the movement was far from stable during the process. Hétu began his work on fol. 1r with the first measure of staff 1. This measure shows an erased earlier version which is identical to the first measure of P1 (see Figure 7.11). Surprisingly, his decision to label measure 1 of staff 8 on fol. 8v as measure "1" of the movement (double-circling the label, as noted above) seems to be an idea that he evidently did not start with in P2. The only explanation for his is that, after starting the first measure of P2, Hétu may have gone back to P1 for consultation and at this point found the solution for the opening measure. He then may have made the final label annotation on P1 and revised the first measure of P2.

The desire to explore new variations of the material in P1 is evident considering the nature of the early erased version of the second measure, the next step in the chronology of P2. Figure 7.20 shows the erased material in measure 2 of staff 1 on fol. 1r.

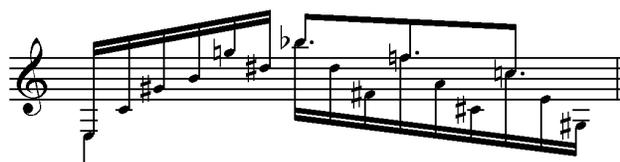


Figure 7.20 M.2 of staff 1 on fol. 1r showing the erased material.

Hétu extends the measure by three sixteenth notes, creating a 15/16 meter and continuing the falling fourth figuration to include one more fourth descent (adding the notes of the initial augmented triad, C natural-E-G sharp). Considering that this particular metric change does not occur in the rest of the process for P2, it seems likely that this was a passing fancy and that he discarded the additional three sixteenth notes before moving on to the next staff.

Héту continued with measure 3-4 of the sequence on staff 3, following his habit of skipping staves to conserve space for revisions. Erasures in these measures (measures 1-2 of staff 3) show that Héту was still experimenting with different arrangements of the four augmented triads at this stage. Figure 7.21 shows the three decipherable erased versions of measures 3-4 (measure 1-2 of staff 3 of fol. 1r).

Figure 7.21 consists of three musical staves, labeled A, B, and C, each showing two measures of music. The music is written in treble clef with a key signature of one sharp (F#).  
 Staff A: Shows the earliest decipherable version. The first measure contains a half note G4 and a half note A4. The second measure contains a quarter note B4, a quarter note C5, a quarter note D5, and a quarter note E5.  
 Staff B: Shows a middle version. The first measure is identical to staff A. The second measure contains a quarter note B4, a quarter note C5, a quarter note D5, and a quarter note E5. The final measure of the second half of the measure is enclosed in a bracket and labeled 'hypothetical material'.  
 Staff C: Shows the final version. The first measure is identical to staff A. The second measure contains a quarter note B4, a quarter note C5, a quarter note D5, and a quarter note E5. The final measure of the second half of the measure contains a quarter note B4, a quarter note C5, a quarter note D5, and a quarter note E5, with some notes crossed out with diagonal lines.

Figure 7.21 Mm.1-2 of staff 3 of fol. 1r (mm. 3-4 of the published version) showing the earliest decipherable version (A), a middle version (B), and the final version (C).

These three versions differ in the content of the second half of the measure and it seems (with the exception of Figure 7.21b) Héту revised both measures at the same time. In each case, the same six pitch classes that make up two augmented triads are arranged in divergent ways. As mentioned, it is difficult to deduce chronology for the two erased versions. One must rely on the internal logic of the circumstances as well as knowledge of the composer's style. Thus, one assumes that the first version of the second half of

these measures are identical to those found in the latest stage of the parallel passage in P1, measures 5-6 (Figure 7.21a). This passage represents continued work on that material. Thus, the middle version must be Figure 7.21b. As this was a tentative experiment, Hétu did not bother to carry out the revision on the material of the latter measure. Finally, as noted in the examination of P1 on fol. 8v, the material that Hétu decided upon is directly taken from a revised version of the parallel passage on fol. 8v. Thus, these erasures show that there were at least two diverging arpeggiation schemes that Hétu composed before deciding on the hemiola effect that was retained in measure 3-4 of the P2. This shows that Hétu was continuing to develop his musical ideas to see their musical potential even as he continued this linear draft.

At this point, rather than following the linear sequence of P2 to measures 5-8 on staff 4, it is likely that Hétu continued on staff 5 with the material of measures 9-10 of the published version. While there are erasures here (regarding the arpeggiation contour and voicing of the first measure) they are too difficult to decipher. As noted in the formal analysis of the published version, this represents the beginning of the consequent phrase, and thus one finds material that is nearly identical to the opening measures. Since, this consequent phrase was undertaken by Hétu before the writing of measures 5-8, one can deduce that Hétu's initial formal thought was a four-measure antecedent phrase within a parallel period structure (he also had an idea of the nature of the consequent from his work on P1, upon which it is based).

From measure 10, Hétu continued the linear sequence of P2 with material on staves 7, 9 and 11 (again in his habit of skipping every other staff). There are several revisions in

this material which are worthy of mention here. Figure 7.22 shows the early and final versions of measures 11-13 on staff 7.

The figure consists of two staves of musical notation, labeled A and B. Staff A shows the early version of measures 11-13, with dotted lines indicating an 8ve shift. Staff B shows the later version, which includes a 6/16 time signature and a more uniform rising contour.

Figure 7.22 Mm. 11-13 of the linear sequence of P2 showing the early erased version of the passage (A) and the later version (B).

The early version of these measures (like the parallel passage in measures 9-10 of the P1 realization) did not contain rhythmic diminution that one finds in the later version. Also, Hétu changed the octave register and order of the pitches of the augmented triads to create a more uniform rising contour with greater rhythmic interest and climax. Notable as well is the textural setting of the early erased version of measures 13-15 of the linear sequence. Figure 7.23 shows the early and final version of this passage.

The figure displays two musical staves, A and B, representing different versions of a passage. Staff A is the early version, and Staff B is the later version. Annotations include '8<sup>ve</sup> doubling' pointing to specific notes in both staves, and '(revisions)' indicating changes between the two versions. A circled number '6' is also present in staff A.

Figure 7.23 Mm. 13-15 f of the linear sequence of P2 showing the early erased version of the passage (A) and the later version (B).

One notices that the early version (see Figure 7.23) contains octave doubling for the climactic material. Héту may have revised this aspect based on the difficulty it poses to the performer: the octave doublings significantly restrict the practicality of the passage on the guitar. There are also several small note changes with regard to the semitone descents in the early version of this passage (see Figure 7.23).

Another interesting erasure is found in measure 17 of the linear sequence on P2 (staff 11, measure 1): the falling fourth motive of the early version of the measure outlined a descent from B flat to F which was revised to B flat to C sharp. The erased version of this measure results in a recapitulation of the opening two measures of the movement in measures 16-17 of the linear sequence. The revised version of these measures is similar to the opening two measures of the consequent phrase (measures 9-10) which results in a refined nuance that, in contrast to the pat closure of the erased version, here provides a subtle feeling that all is not settled.

It is impossible to deduce the exact timeline, but at some point during or after the work on measure 11-19 of the linear sequence, Hétu reconsidered the scope of the then four-measure antecedent phrase. He added four additional measures of material on staff 4 which serve as measures 5-8 of the linear sequence of P2. This material has been described above in Figure 7.6. However, some erasures in the sketch are worth noting here. Figure 7.24 shows the early and later versions of measures 5-8 on staff 4.

Figure 7.24 consists of two musical staves, A and B, showing a sequence of four measures. Staff A shows the early version of measures 5-8. Measures 5 and 6 are grouped with a bracket labeled "measures reversed". Measures 7 and 8 are grouped with a bracket labeled "aug. triads". Staff B shows the later version of measures 5-8. A curved arrow above the staff indicates that measures 5 and 6 have been reversed. Measures 7 and 8 are grouped with a bracket labeled "aug. triads". Below the staff, chord symbols G, ebm, F, and dbm are written under measures 7 and 8 respectively.

Figure 7.24 The early (erased) version (A) and the later version (B) of mm. 5-8 of the linear sequence on P2 of fol. 1r.

It is significant that when Hétu first composed this four-measure unit, it began with the identical material as measure 1-2 of the P2 – having falling fourth motives which outline F sharp-C sharp in measure 4 and B flat-F in measure 5 (see Figure 7.24a). Hétu revised this by reversing the order of these two measures (see Figure 7.24b). This change emphasizes the parallel period structure of the movement making the sole return of the opening material occur at the beginning of the consequent phrase in measure 9. If Hétu had already written a return to the opening material in this second four-measure unit, the effect of the phrase structure of the movement would have been undercut. It is also interesting to note that the early erased version of measures 7-8 (see Figure 7.24a) adhered to the augmented triad sequence much more than the final version of the

measures (see Figure 7.24b). The later version rearranged the order of the pitches resulting in an emphasis on major and minor triads or in reference to the major triad with the root in the bass, the major chord with added minor sixth, minor third, and major seventh.

The final chronological step in the writing of the “Prélude” was revising the last two measures, the cadential gesture of the movement. This came as part of a later addition to the structure of the piece. Héту was interested in linking all the movements such that the final notes of each one “gave birth” to the initial notes of the next. Note that the ending underwent so many erasures that is impossible to decipher what the content of each revision is. However, based on the chronology of the movements in Héту’s larger creative process discussed in Chapter 6, the ending note of the high G harmonic on P2 was likely a revision of an earlier state (perhaps resembling one of the two versions of the cadential material in P1 seen in Figure 7.11 and 7.17).

Table 7.3 shows a comparison of the asymmetrical parallel periods exhibited in the realization of P1 and P2 (which is materially identical to the published version).

Table 7.3 Formal summary of P1 and P2.

	mm.#s	P1	mm.#s	P2
Ant.	1-4	4-measure unit	1-4	4-measure unit
	5-8	4-measure unit	5-8	4-measure unit
	9-12	4-measure unit	9-11	3-measures (equal to the length of a 4-measure unit)
Con.	13-16	4-measure unit (repeat of mm. 1-4)	9-15	7-measure unit (begins with repeat of mm.1-2)
	17-20	4-measure unit (repeat of mm. 5-6, and 2 mm. cadential material)	16-19	4-measure unit “coda”

While both versions can be said to exhibit asymmetrical parallel periods, there is a formal difference between P1 and P2. There is a return of a significant amount of opening material from the antecedent phrase in the consequent phrase in P1 that does not occur in P2. In essence, P1 gives the sense of a binary form (a repeated passage with different endings) while P2 provides a sense of two contrasting gestures with different degrees of closure that relate through their parallel opening material. The consequent phrase of P2 ends with an affirming and stabilizing coda. In addition, the climactic material of the P1 (a revision of which is retained in P2) holds a different formal place in the P2. This climactic material, measures 9-11 in P2, results in an expansion of the consequent phrase in P2 rather than an expansion of the antecedent as in P1. The change results in a balancing of the two binary halves (the two sections of P2 are closer in length than those of the P1) and an increased tension in the consequent phrase that is lacking in the consequent phrase of the P1.

One should also note that the sense of fixity and finality of the published “Prélude” is undermined in the exploration of P2 (upon which the fair copy is based): Hétu was exploring new directions for this material during the later stages of the compositional process. In addition, although P1 is noticeably less balanced in its form and lacking a complexity of scope compared with the published version, it nevertheless exists in a fully formed and coherent state. That it was not published does not mean that this movement, at the moment of composition, was not eventually meant for the public. As Bellemin-Noël states, “we must insist on the fact that to the eyes of the writers, drafts in essence

[essentially] do not exist.”<sup>549</sup> Although, he acknowledges that some specific compositional activities are never destined for public consumption (i.e. research, notes, etc.), a draft of a work in the moments of the writing process has the potential to become published. As we will see, “Prelude II,” which was also discarded during the compositional process, should also be viewed through the same anti-finalist lens. Chapter 8 elucidates the sketches for “Prelude II” constructing a realization that exhibits some similarities in musical material, scope and form to the “Prélude.”

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<sup>549</sup> Bellemin-Noël, “Reproduire le manuscrit, 6-7. Original: “Mais il faudrait insister sur le fait qu'aux yeux des écrivains, les brouillons pour l'essentiel n'existent pas.”

## Chapter 8 Prelude II

A single sketch entitled “Prelude II” on fol. 1v contains numerous fragments of continuous musical material.<sup>550</sup> At first glance, the fragmentary nature of the sketch for this movement and the conspicuous absence of any of its musical material from the published edition of *Suite pour guitare* would suggest that “Prelude II” is an unfinished work, an aborted attempt at a movement that was set aside by the composer during the creative process. However, as it will be shown, the sketch for “Prelude II” represents a work that is materially complete – that is, its three continuous sections contain all of its necessary musical material.<sup>551</sup>

While, it is not immediately clear how these sections connect, a convincing formal structure can be imposed based on Hétu’s self-proclaimed creative process, notational indications on the sketch, and the logic of the musical material itself. The result is a realization of “Prelude II” which exhibits a formal structure that, based on Hétu’s first version of the “Prélude” (P1) matches Hétu’s early large-scale plan for *Suite pour guitare* as a set of six preludes, a plan that he would abandon during the compositional process in favour of a five-movement suite. Thus, rather than being a work that was unpublished based on musical grounds, “Prelude II” can be viewed as a casualty of circumstance: it simply did not fit into Hétu’s later large-scale conception of the work.

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<sup>550</sup> The spelling of Hétu’s titles as found on the sketches (for instance, “Prelude” rather than “Prélude”) is retained throughout this article.

<sup>551</sup> The term “materially complete” is taken from Brian Newbould’s assessment of Schubert’s sketches for a 10<sup>th</sup> Symphony. See Brian Newbould, *Schubert and the Symphony: A New Perspective* (London: Toccata Press, 1992), 290.

Figure 8.1 shows the diplomatic transcription material on fol. 1v (a reproduction of the original sketch is found in Figure 6.3).

vif **Prelude II**

The image displays a diplomatic transcription of musical notation on six staves, labeled [staff 1] through [staff 9]. The music is written in treble clef with a key signature of one sharp (F#) and a 3/4 time signature. The tempo marking 'vif' is positioned above the title 'Prelude II'. The notation includes various rhythmic values, accidentals, and dynamic markings such as 'f' (forte) and '4te' (quarta). Staff 1 and 2 show a melodic line with frequent accidentals and slurs. Staff 3 features a complex, dense texture with many accidentals and a '4te' marking. Staff 4 contains a melodic line with a '4te' marking and a slur. Staff 5 shows a melodic line with a '4te' marking and a slur. Staff 6 is a bass line with notes numbered 12 and 13. Staff 7 is a bass line with notes numbered 9, 12, and 13. Staff 8 is a bass line with notes numbered 9, 12, and 13. Staff 9 is a bass line with notes numbered 9, 12, and 13.

Figure 8.1 The diplomatic transcription of fol. 1v.

The first step in carrying out a realization of “Prelude II” is to examine the musical material of the sketch. It is clear that this sketch contains three significant sections of continuous material spatially separated on the manuscript plus two shorter fragments.

Figure 8.2 shows this material.

A.

Section A consists of two staves of music. The first staff begins with a treble clef and a key signature of one sharp (F#). The music features a complex rhythmic pattern with many accidentals, including sharps, naturals, and flats. The second staff continues the same material, maintaining the complex rhythmic and melodic structure.

B.

Section B consists of two staves of music. The first staff begins with a treble clef and a key signature of one sharp (F#). The music features a more regular rhythmic pattern compared to section A, with a clear sequence of eighth and sixteenth notes. The second staff continues the same material, maintaining the rhythmic and melodic structure.

C.

Section C consists of a single staff of music. The first staff begins with a treble clef and a key signature of one sharp (F#). The music features a complex rhythmic pattern with many accidentals, including sharps, naturals, and flats. The staff concludes with a double bar line.

D. Fragment A

Fragment A consists of a single staff of music. The first staff begins with a treble clef and a key signature of one sharp (F#). The music features a complex rhythmic pattern with many accidentals, including sharps, naturals, and flats. The staff concludes with a double bar line.

Fragment B

Fragment B consists of a single staff of music. The first staff begins with a treble clef and a key signature of one sharp (F#). The music features a complex rhythmic pattern with many accidentals, including sharps, naturals, and flats. The staff concludes with a double bar line.

Figure 8.2 Sections of material of fol. 1v including staff 1, mm. 1-4 and staff 2, mm. 1-4 (A); staff 7, mm. 1-3, and staff 9, mm. 1-4 (B); staff 5, mm. 1-5 (C); and staff 3, m. 1 and mm. 3-4 (D).

There is an eight-measure section containing opening material on staves 1-2 (Figure 8.2a), five measures of continuation material on staves 7 and 9 (Figure 9.2b), and five

measures of closing material on staff 5 (Figure 9.2c). Two fragments (Figure 9.2d) on staff 3, Fragment A and B, show the working out of ideas used in the closing material. Before exploring the content of the sketch, there are some notable aspects about the chronology of Hétu's process here.

The spatial layout of the three sections suggests that they were conceived as distinct formal building blocks of the piece. If we are to assume that, as a general rule, Hétu wrote material on upper staves of a page before material on lower staves, then it seems that the composer began with the opening material. There are some erasures in measure 1 and 2 of staff 1 showing that Hétu explored at least one other version of the opening material. After composing the opening motivic material in staff 1, the composer, following his habit of skipping every other staff, moved to the exploratory material on staff 3. Following this, Hétu wrote the closing material on staff 5 followed by the continuation material on staves 7 and 9. The exact chronology is not clear, but, at some point, Hétu returned to the opening writing four more measures of this material on staff 2. This chronology conforms to Hétu's own portrayal of his compositional process specified in Chapter 7: rather than composing in a linear sequence from start to finish, Hétu relates that he tends to write in a kind of "montage" of moments, writing the opening first and then skipping to the end before filling in the rest.

Some aspects of the structure of "Prelude II" are immediately evident from the notational indications on the sketch. Hétu designates that the closing material ends the work as it contains a clear double bar line. He also indicates that the opening material should directly precede the continuation material as he labels the sequence of the first 13 measures of the piece. As seen in Chapter 7, the circled numbers on the sketch indicate

measure numbers and are used by Hétu to track the linear continuity of his material over disparate spatial coordinates on the manuscript (a notational habit used in his sketching process as well as his preparation of lecture notes). Thus, we can track the linear order of the material from the top staff of the sketch (containing the measure marked 4), to the second staff (containing the measure marked 8), to staff 10 (containing the measure marked 8), and finally to staff 8 (containing the measures marked 12 and 13). Figure 8.3 shows the 13-measure linear sequence of material as indicated by Hétu’s measure-number labels.

Figure 8.3 Measure 1-13 of the “Prelude II” sketch according to Hétu’s measure number labels.

However, if we are to assume that the “montage” (as Hétu puts it) of material written on the “Prelude II” sketch represents all the material needed for the work, the entire formal structure of the piece is not immediately clear. To understand how the opening and closing material are connected – how the work is “filled out,” as Hétu states – one must look to clues in the musical material itself.

The opening material begins with the presentation of melodic motive in the inner voice that predominates all three sections. The repetition of this motive, characterized by a fall

of a minor third (D sharp to C) followed by a stepwise chromatic ascent of a minor third, results in a kind of *moto perpetuo* effect (see Figure 8.4)



Figure 8.4 The initial measure of the opening material showing the *moto perpetuo* motive.

Harmonized in parallel major thirds, the motive is nevertheless couched within a clearly tonal setting. At its opening presentation (see Figure 8.2a), a tonal area of A major is clear. The metrically emphasized “non-chord tones,” B and D sharp on beat one, resolve to the root and third of A major on beat two. The result is a moment of dissonance followed by consonance which propels the *moto perpetuo* motive through its cycles. Also, the predominant use of the three low open strings of the guitar, A, D, and E for bass notes alludes to a tonic function of A major (a single tonal area for this movement is not apparent due to the final section of the movement being based on E which shall be explained below). Thus, within a tonal area of A major, a parallel period structure can be identified in the eight measures of the opening material (see Figure 8.5).

Figure 8.5 Parallel period structure in the opening material, staves 1-2 on fol. 1v.

The antecedent phrase ends with a harmony which can be heard as an E7 chord in third inversion with a minor sixth (or root position if the low E sounded earlier in the measure

is taken into consideration) on beat three of measure 4. In terms of tonal function, or as Hétu puts it “tonal effect,” this chord acts as the dominant of A major preparing the recapitulation of the opening in measure 5. The result is that the antecedent ends on a half cadence. The consequent phrase, starting in measure 5 reiterates the *moto perpetuo* motive but this is followed by an intensified close. The the half cadence of the antecedent is heard again in the end of the consequent phrase with a third-inversion B7 chord with minor sixth (on beat three of measure 8). As we shall see, this dominant chord prepares the E tonal center of the continuation material.

The continuation material mirrors the motivic content and formal structure of the opening eight measures (see Figure 8.6).

The image shows two staves of musical notation. The top staff is labeled "3 m. antecedent" and contains three measures of music. The bottom staff is labeled "2 m. consequent" and contains two measures of music. Both staves are in 4/4 time and A major. The notation includes treble clefs, key signatures, and various rhythmic and harmonic symbols.

Figure 8.6 Asymmetrical parallel period structure of the continuation material on staves 5 and 7 of fol. 1v.

However, here the *moto perpetuo* motive is presented in a varied form and transposed up by a major sixth. This section also exhibits parallel periodicity, but, compared with the opening material, the consequent phrase is truncated and the allusion to a half cadence at the end of the antecedent phrase is not present. There are two notable differences in the way the *moto perpetuo* material is presented here compared to the opening material. The first is a difference in Hétu’s notational practice. It seems that Hétu employs a type of

shorthand notation in this section. The majority of the *moto perpetuo* melody in measures 9, 10, 12, and 13 (see Figure 8.6) are not specifically notated in parallel major thirds as in the opening presentation of the motive in measure 1. However, due to the idiomatic nature of parallel thirds on the guitar and their consistent association with the motive in the opening material, it can be inferred that Hétu employed a notational shorthand and did not fully write out the harmonized thirds for the sake of convenience. Another instance of shorthand occurs in measure 10. While the melodic material in this measure is an exact repeat of measure 9, Hétu does not write in the five-note chord on beat three. It seems likely that this measure is meant to be interpreted by the composer as an exact repeat of measure 9 in a similar way to the presentation of the motive in measures 1-2 (note that the C in the bass voice on beat three is likely a typo and is interpreted here as being an A as in measure 10). Second, this continuing material presents the *moto perpetuo* motive in a different harmonic and rhythmic setting. In measure 9, the *moto perpetuo* motive starts on the flattened sixth of E major (a C pitch) rather than the sharp fourth in the opening (a D sharp in A major). As such, the dissonance-consonance effect of the opening material on the first beat of measure 1 is absent here. Instead, an insistent E major chord with an added minor sixth is iterated on the downbeats of measures 9-13. Most important, the passage following the repeat of the *moto perpetuo* motive in measure 10 is metrically altered: a 4/4 measure disrupts the prevailing 3/4 meter. Compared to the opening material, the overall effect is one of intensification, insistence, and disruption over a prolonged dominant chord of A major. A notable aspect of the structure of the opening material and closing material is that, together, they result in a larger-scale asymmetrical period. In this case, the eight measures of the opening material act as an

antecedent to the five measures of continuation material (the consequent). The presentation of the *moto perpetuo* motive transposed up a sixth in the consequent exactly parallels the period structure that Héту identified in his fifth movement of *Clartes de la Nuit* cited in Chapter 4.

Figure 8.7 shows the closing material on staff 5.



Figure 8.7 The closing material, staff 5 of fol. 1v.

The closing material contains two statements of the *moto perpetuo* motive harmonized in parallel augmented triads (superimposed major thirds) and ends with a cadential gesture (parallel major thirds falling by fourths a span of two octaves to an E major chord with added minor sixth). This material shows clear similarity with the continuation material as it is iterated on the same pitch (C) and based in the same tonal center (E). However, while the continuation material eventually leads to a reiteration of the *moto perpetuo* motive, the closing section results in a cadential gesture. Héту also uses shorthand notation here to indicate a repeat of the *moto perpetuo* material leaving out the notes of the measure and using stems to indicate a repetition of the previous measure (see staff 5, measure 2 of Figure 8.1). Above this closing material on staff 5 of the sketch, are Fragments A and B (see Figure 2d) on staff 3. These fragments are situated directly above the ending material and seem to show Héту working out developmental possibilities of the *moto-perpetuo* motive and the idea of parallel major thirds in leaps of a perfect fourth (an interval which consistently appears in the bass material of each section and the melodic leaps in measures 3, 7, and 11 of the linear sequence). Fragment A, found at the beginning of the

third staff of the sketch, shows a harmonization of the *moto-perpetuo* motive in parallel major chords with an added minor sixth based in A major (starting on the pitch F). Of course, this chord quality also contains an augmented triad relating this parallel motion to that of the closing material (as noted below). It seems that this harmonization directly led Hétu to the presentation of the *moto perpetuo* motive transposed down a fourth in the closing material. Hétu writes “4te” (meaning “quatre,” or “fourth” in English) and draws a downward arrow to the transposed passage in the closing material (see Figure 7.1). Compared to Fragment A, the voicing is altered but the parallel motion of augmented triads is maintained. While Fragment B is less obviously related to the closing material below it on staff four of the sketch, it does highlight the idea of parallel major thirds moving by leaps of a perfect fourth. Its placement directly above the ending material cadence which uses similar parallel motion of major thirds descending by fourths suggests that the ending material is based on this working-out material. It is important to note that Fragment B, rather than being directly replaced by the cadential gesture of the closing material, represents material that had the potential to be used later in the filling out of the piece (or for another hypothetical movement). However, both fragments can be identified as the result of the investigation of ideas rather than part of the formal structure of “Prelude II.”

Totaling 18 measures, the opening, continuing, and closing sections represent a significant amount of material. Two questions remain: To where does the continuing material lead? How is the closing material connected to the opening material? Based on the musical material of the sections in addition to several clues on the sketch, it is suggested that, first, the 13 measures of the opening and continuation material leads

directly to a recapitulation of the opening section, and, second, this recapitulation of the opening material is directly followed by the closing material.

Two clues lead one to believe that the continuing material leads back to the opening material. The first is the presence of the third-inversion dominant E7 chord with added minor sixth on the final beat of measure 13. This chord prepares the return of the *moto perpetuo* motive of the opening measure functioning as a dominant in the tonal area of A major. The result is a preparation of the return of the *moto perpetuo* motive in the same way that the return of this motive is prepared in the antecedent phrase of the opening section (measure 5). A second clue is the presence of two notes (without stems) written directly beside the last measure (measure 13) of the continuing section, an E and a D (see Figure 8.8).

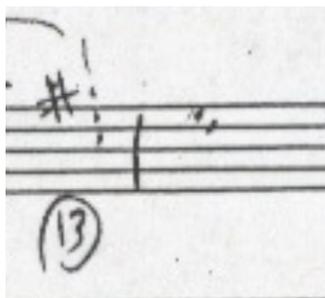


Figure 8.8 A detail of the “Prelude II” sketch showing the E and D pitches written after measure 13 on staff 8.

These notes suggest the D sharp of the *moto perpetuo* motive and the E of the upper voice on the first beat of the opening measure. Conceivably, leaving these two notes was a type of shorthand marker for Hétu to remind himself that this material does in fact return to the opening measure. This is a technique that Hétu used in a more elaborate way at the end of staff 9 to indicate that the material of the measure labeled “12” on staff 7 should follow. He does not bother to write out the entire measure, simply indicating the first and second notes of the melody (see staff 9 of Figure 7.1). Following these

indications, one can infer the emergence of a possible binary structure for “Prelude II” in which the opening eight measures return as measures 14-21.

The material that would follow the recapitulation of the opening eight measures is not explicitly indicated. However, noting the similarities of the opening measure of the closing material with the opening measure of the continuation material (the two sections begin with the *moto perpetuo* motive set at the same pitch level in a similar harmonic setting), one can infer that Hétu intended the closing section to be the music that follows the return to the opening eight measures.

The result is a heightening of the motivic unity of the work. The linkage of continuation material to the opening measure emphasizes the fall of a perfect fourth in parallel major thirds. As Figure 8.9 shows, the major third consisting of G sharp and E at the end of measure 13, moving down by a fourth to the D sharp and B on the first beat of measure 1 of the opening material, matches the falling parallel thirds by intervals of a fourth in the cadential gesture of the closing material.

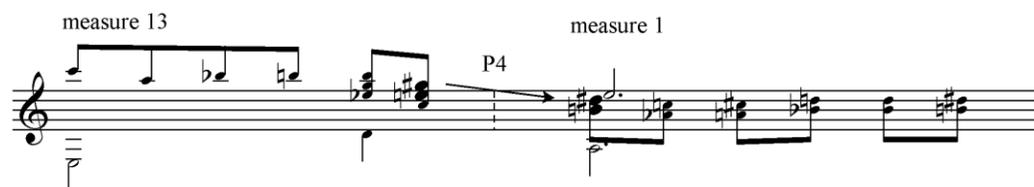


Figure 8.9 The G sharp and E in measure 13 of the linear sequence moving to B and D sharp in measure 1 as a consequence of the imposed structure of the realization.

These parallel thirds falling by a fourth also resonate with the motivic material worked out by Hétu in Fragment B.

The resulting 26 measures produce a realization of “Prelude II” as modest-sized work exhibiting a high degree of harmonic and motivic unity and classic binary structure

analogous to a parallel period. Figure 8.10 shows the realization of “Prelude II” (the material that is implied by Hétu’s shorthand is notated in full).

The musical score for "Prelude II" is presented in six staves. The first staff begins with the tempo marking *vif*. The piece is written in treble clef with a key signature of one sharp (F#) and a 2/4 time signature. The notation includes various chordal textures, often with slurs and ties, and a rhythmic pattern of eighth and sixteenth notes. Measure numbers 4, 7, 10, 13, and 16 are clearly marked. The piece concludes at measure 16 with a double bar line and a fermata over the final chord.

Figure 8.10 The realization of “Prelude II.”

The sketch for “Prelude II” represents a fully-formed work that is highly idiomatic to the guitar. In only one case does Hétu write a chord that is not achievable: the five-note

chord on beat four of measure 11.<sup>552</sup> That this realization of the “Prelude II” sketch might have been what Hétu himself had in mind is supported by two facts that are external to the sketch itself. First, “Prelude II” exemplifies Hétu’s claim of “melodic and harmonic constants”<sup>553</sup> that unify the movements of *Suite pour guitare*: melodic major thirds, perfect fourths and the major chord with an added minor sixth. In addition to the three bass notes of the piece (E, A, and D), the perfect fourth holds a central role melodically in the upper voice of the realization of “Prelude II” (for example, in measures 3, 7, 11, 16, and 17 of the realization). Hétu’s major thirds are present throughout the entire piece, albeit vertically rather than melodically. Finally, the major chord with added minor sixth is a particular *idée fixe* in measures 9-18 (the chord is implied in measures 14-15). Second, the imposed form of an asymmetrical parallel period for “Prelude II” is consistent with that of the first version of the “Prélude” (P1). The motivic content of “Prelude II” and the P1 also share a prominence of melodic perfect fourths, augmented triads (superimposed major thirds), and major chords with an added minor sixth.

The sketches do not reveal if Hétu wrote “Prelude II” directly after his work on P1 on fol. 8v or P2 on fol. 1r. The only known chronology is that Hétu likely revised the ending of P2 after the decision to discard “Prelude II” (as the ending of P2 is designed to lead organically into the opening material of the “Nocturne,” as discussed in Chapter 7). It is true that while P1, P2 and “Prelude II” are all aligned with regard to their material and scope, only P1 and “Prelude II” are aligned in terms of form. It is thus possible that P1

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<sup>552</sup> The C natural must be played on the D string leaving it impossible to play the D and C together using conventional fingering.

<sup>553</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | D,50, “Suite pour guitare, Opus 41,” file consisting of concert programs, program notes and a press clipping.

and “Prelude II” were the first two movements in Hétu’s early six-prelude plan for Op. 41.

Interpreting a composer’s fragmentary sketch material to create realizations (such as those of P1 and “Prelude II”) necessitates an act of completion on the part of the researcher. Even though, in each case, the sketches contained all the material necessary for the realization, the researcher still had to inhabit the mind of the composer and make educated guesses regarding form and structure. Thus, the ontological status of these collaborative works in comparison with the published work should be examined. This issue is taken up in the Chapter 13, the conclusion. The next chapter explores the sketches for the third movement, “Nocturne.”

## Chapter 9 Nocturne

In contrast to the sketches for the “Prélude” and “Prelude II,” the compositional process for the “Nocturne,” the second movement of Op.41, shows distinct stages including an exploratory stage in which motivic material is developed as well as drafting stage. The sketches here also reveal an organicism in Hétu’s process, beginning with a small amount of motivic material and developing it in steps by a process of revision. There are four folios that contain sketch material related to the “Nocturne.” Unlike “Prélude” and “Prelude II,” there is no fully formed early draft of the movement found in these sketches. Apart from the scarce amount of material relating to other movements, these manuscript pages contain the music for the “Nocturne” in a variety of states: fragmentary material (some of which was ultimately discarded), thematic material in a variety of textures and settings, as well as long linear sequences of material which, in total, account for the music of the published movement. In addition to the purely musical material on these folios, there is some text that relates to certain formal plans of the movement (*i.e.* ternary form, coda, *etc.*), musical structures (*i.e.* passacaglia), and titles (*i.e.* “Nocturne”) that the composer recorded.

The four relevant folios are: fols. 6v, 9r, 2r, and 10r (in chronological order). A summary of their contents is shown in Table 9.1.

Table 9.1 A Summary of the four folios related to the “Nocturne.”

fol. 6v	a sketch containing (amongst other unrelated material) a single fragment labeled “Passacaille” that relates to the main theme of the “Nocturne”
fol. 9r	a first draft (incomplete) of the movement containing (amongst other unrelated material) the A section material of the “Nocturne” and a discarded passage for a contrasting middle section
fol. 2r	a second draft of the movement containing all the material of the A and A <sub>1</sub> sections (except the transition phrase) as well as the first version of the “Ballade”
fol. 10r	a draft of the transitional phrase of the A section as well as the material for the contrasting middle section of “Nocturne”

Before a detailed exploration of the sketches for the “Nocturne” is undertaken, some context can be provided by examining the published version of the movement.

### 9.1 The Published “Nocturne”

As noted in Chapter 4, since the late 1970s, Hétu’s music has been often based on the second mode of Messiaen’s modes of limited transposition, otherwise known as the octatonic collection. In scalar form, this collection of eight pitch classes exhibits a repeating pattern of tone and semitone. There are three possible transpositions of the

octatonic collection which are identified by Joseph Straus as OCT<sub>0,1</sub>, OCT<sub>1,2</sub>, and OCT<sub>2,3</sub>.<sup>554</sup> Figure 9.1 provides the content of the three unique octatonic collections.



Figure 9.1 The three octatonic collections.

Of the 12 modes of limited transposition, Paul Griffiths finds that the second mode is the most common in Messiaen's work. This is true as well of Hétu as noted by Dallaire.<sup>555</sup>

The "Nocturne" and "Ballade" are two movements of Op.41 that are based almost exclusively on one octatonic collection: OCT<sub>1,2</sub>. As we shall see, deviations from the collection are deliberate and highly controlled. Hétu utilizes many triadic tertian harmonies drawn from OCT<sub>1,2</sub> in the "Nocturne" and the "Ballade" including major, minor, diminished triads and a host of other seventh chords and extended harmonies. This includes two of his so-called favorite chords: the major chord with added augmented fourth and the major chord with the augmented fourth and minor third. Figure 9.2 shows some of the possible tertian harmonies drawn from OCT<sub>1,2</sub> that Hétu favors.

<sup>554</sup> The labeling system used in this study contains a reference to the pitch classes that are unique to each transposition. For example, pitch classes 0 (C) and 1 (C sharp) are only found in OCT<sub>0,1</sub>. See Joseph N. Straus, *Introduction to Post-tonal Theory* (New York: W.W. Norton & Company, 2016), 249.

<sup>555</sup> Dallaire, *L'Oeuvre pour Piano*, 12.

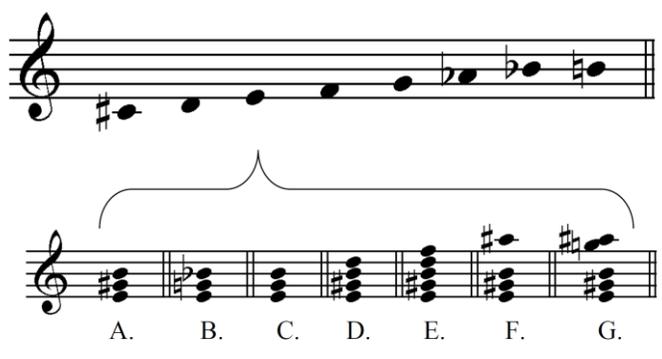


Figure 9.2 Some tertian harmonies possible in OCT<sub>1,2</sub>: a major triad (A); a diminished triad (B); a minor triad (C); a dominant 7<sup>th</sup> chord (D); a dominant 7<sup>th</sup> chord with an added minor 9<sup>th</sup> (E); a major triad with an added augmented 4<sup>th</sup> (F); and a major triad with an augmented 4<sup>th</sup> and minor 3<sup>rd</sup> (G).

The tone-semitone sequence that makes up the collection results in a symmetry such that any structure derived from the collection will exist in the same collection at a transposition of minor third, augmented fourth or major sixth (therefore, the chords in Figure 9.2 can also be built on C sharp, G, and B flat). Consequently, the triadic structures in his octatonic music often are related by a minor third. In correspondence with Fowler, Héту confirms this, noting that in his music, “frequent use of transpositions of a minor third (or at the major sixth or the augmented fourth) derives from the system that gives rise to these chords: the ‘modes of limited transposition,’ scales that divide the octave into symmetrical groups and cataloged by Messiaen.”<sup>556</sup>

As Fowler details, the second movement, “Nocturne,” is in large ternary-form (A-B-A<sub>1</sub>) in that the initial section returns after a contrasting middle.<sup>557</sup> Figure 9.3 presents the “Nocturne” in full.

<sup>556</sup> Library and Archives Canada, Jacques Héту Fonds, MUS 279 | Folder 1, Box No. 27, “Email Correspondence with François Fowler,” Dec. 1, 1999.

<sup>557</sup> Fowler, “Jacques Héту’s *Suite*,” 30.

Adagio  $\text{♩} = 69$   
*dolce*  
*pp legato*

7 *Poco rit.* *a tempo*

13 C I C II

19 C III C III

25 C III Rit. C II *a tempo*  
*mf* *p*

30 C I *mp* *mp*

35 *Poco rit.* *a tempo* C I C I C II  
*p* *pp* *mp* *p*

The image displays a page of musical notation for Op. 41, movement II, "Nocturne." The score is written for a single melodic line on a grand staff. It begins at measure 40 with a mezzo-piano (*mp*) dynamic and a *Poco accel.* marking. The tempo and dynamics fluctuate throughout, including *p*, *pp*, *Rall.*, *a tempo*, *Stringendo*, *poco a poco cresc.*, *ff*, *Tempo primo* (marked with a quarter note equal to 69), *Poco rall.*, *Rit.*, *a tempo*, *Misterioso a tempo*, *pp*, *poco cresc.*, *Rall.*, *a tempo*, *a tempo*, *pp*, *pp*, *a tempo*, *Rit.*, and *morendo*. The score includes various musical notations such as slurs, ties, and dynamic markings. The piece concludes at measure 70 with a *pp* dynamic and a *Rit.* marking.

Figure 9.3 Op. 41, movement II, "Nocturne." © With kind authorization from Les Éditions Doberman-Yppan.

The A section begins with a 7-measure lyrical theme, hereby referred to as the "A theme," that is set in canon (see Figure 9.4).



with Hétu, the composer confirms this change in tonal centre and his reliance on the octatonic pitch collection – referring to it as mode 2 of Messiaen’s modes of limited transposition. He states, “The ‘Nocturne’ is in a mode based on G [“en Sol modal”] for 24 measures before modulating to E, always with the same notes, these being mode 2, formed by the succession of small groups alternating between semi-tones and tones (G-Ab-Bb-B-C# -D-E-F).”<sup>558</sup> Indeed, as shown in Figure 9.5, after the canon achieves a strong cadence (and fermata) on G major in measure 17, a free canonic phrase, hereby referred to as the “transition phrase,” achieves a move from a tonal centre of G to E.<sup>559</sup>

Figure 9.5 The transition phrase, mm. 18-28 of the “Nocturne,” showing the canonic entrances in an overall free contrapuntal texture. © With kind authorization from Les Éditions Doberman-Yppan.

In measures 18-25 of this phrase, the opening eight notes of the upper voice (A flat – C sharp – B – E – D – C sharp – B – B flat) are imitated in canon in the inner voice

<sup>558</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | Folder 1, Box No. 27, “Email Correspondence with François Fowler,” Dec. 1, 1999.

<sup>559</sup> Fowler, “Jacques Hétu’s Suite,” 32.

beginning in measure 21 (C sharp – B – E – D – C sharp – B – B flat). There is also the suggestion of a canonic entrance in the lower voice of measure 18 (A flat – C sharp – B). After the cadence on E major in measure 25, a chorale texture confirms the new tonal centre by stating the first four notes of the A theme transposed to E (see Figure 9.5). This leads directly into the B section. The transition phrase (measures 18-28) not only confirms a new tonal centre (E) but also prepares the presentation of the B section.

The structure of the B section (measures 29-54) is based on the repetition of a basic model (see Figure 9.6).



Figure 9.6 The model upon which the B section of the “Nocturne” is based (m. 29).

The model, which is repeated in every measure of the B section (save for the last transitional measure), generally begins with a major chord (one of the four major chords possible in  $OCT_{1,2}$ : E, G, B flat, or D flat). After an upward chordal leap (a minor third in the case of measure 29), an arrival at a non-chord tone occurs on beat two. This non-chord tone is most often a minor sixth above the root of the major chord (C in the case of measure 29) but can also be a minor ninth above the root. The result of the former non-chord tone is one of Hétu’s self-proclaimed favorite chords, the major chord with an added minor sixth. The model finishes with three notes in the middle voice descending in scalar motion. Variations of the model occur but the basic contour is maintained in each instance.

As Fowler notes, the non-chord tone on beat two is very often one of the four pitches outside the prevailing  $OCT_{1,2}$  (C, E flat, F sharp or A – or their enharmonic equivalents).

In his correspondence with Fowler, Hétu comments on the conspicuousness of the “foreign” C on beat two of measure 29 and further states, that “this added sixth colors the whole central section.”<sup>560</sup> Indeed this harmony is prevalent in the B section, occurring in measures 29-35, 38, 40-43, and 47-52 (only 8 measures of the 26 that make up the B section do not contain this sonority). Hétu further notes that the major chord with an added minor ninth, in particular this chord based on G, is also an important sonority for this section and the piece in general. He states, “This chord (G-B-D-A flat) is also part of the overall color of the piece. This A flat is heard at the first beat of the second measure, reappears (as indicated) in the middle part to become more and more insistent in the third part of the piece, starting from the 61<sup>st</sup> measure, thus preparing the final chord ... and the beginning of the ‘Ballade.’”<sup>561</sup> In the B section, major chords with an added minor ninth do occur frequently (in measures 33, 34, 36, 37, 39, 42, 44-46, 49, and 50) but one notes that these added chord tones do not break with the prevailing octatonic collection, OCT<sub>1,2</sub>.

Four-measure phrase units abound in this section which are demarcated by the repetition of the model at different transposition levels and in slightly different variations. Measures 29-32 (on E), 33-36 (on G), and 37-40 (on G) show clear 4-measure phrase units. The phrase in measures 41-46 (on E) is expanded resulting in a 6-measure unit. Tempo markings (*i.e. rallentando* and *a tempo*) along with dynamics further emphasize these phrase units.

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<sup>560</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | Folder 1, Box No. 27, “Email Correspondence with François Fowler,” Dec. 1, 1999.

<sup>561</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | Folder 1, Box No. 27, “Email Correspondence with François Fowler,” Jan. 17, 2000.

In the final measures of the B section, we see a heightened emphasis on notes outside OCT<sub>1,2</sub>. The foreign notes are no longer relegated to the second beat of the model. The next 4-measure unit (measures 41-46) finds a foreign C in the downbeat chord of measure 48, resulting in an E major chord with an added minor sixth. This is further heightened in the climactic phrase (also 4 bars in length), measures 47-54. A fortissimo C chord with an added ninth is achieved on the downbeat of measures 51 and 52 before returning to a pure octatonic chorale passage which cadences on G major (measures 53-54). Hétu describes this passage in his correspondence with Fowler: “There is a break [away from OCT<sub>1,2</sub>] with the C chord (measure 51), the point of climax, then the D flat chord [m.53] restores the initial mode and serves as a transition for the varied return of the theme which is [in the original] tonic.”<sup>562</sup>

Section A<sub>1</sub> (measures 55-74) finds the A theme in two textural settings including a phrase in broken octaves (measures 55-61) and a phrase in chord accompaniment (measures 62-67). These two settings of the A theme are shown in Figure 9.7.

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<sup>562</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | Folder 1, Box No. 27, “Email Correspondence with François Fowler,” Dec.1, 1999.

A theme in broken octaves

Tempo primo ♩ = 69  
sul tasto lontano

Poco rall. C VI

55

*p* *pp*

A theme in bass with chordal accompaniment

60

*a tempo* *Rit.* *a tempo* *Rit.* *a tempo*

*p* *pp* *poco cresc.*

65

*Rall.* *a tempo*

*pp*

Figure 9.7 Measures 55-67 of the A<sub>1</sub> section of the “Nocturne” showing the A theme in two different settings. © With kind authorization from Les Éditions Doberman-Yppan.

The final phrase of the A<sub>1</sub> section (measures 68-74) presents the opening of the A theme which moves into a truncated version of the transitional phrase (see Figure 9.8).

1<sup>st</sup> 7 notes of the A theme

*a tempo* *Rit.*

*pp*

last 4 notes of the A theme

*a tempo* *Rit.* *morendo*

70

*pp*

truncated transition phrase

Figure 9.8 Mm. 68-74 of the A<sub>1</sub> section of the “Nocturne” showing relationships to the A theme and the transition phrase. © With kind authorization from Les Éditions Doberman-Yppan.

The result of this combination is a phrase that is remarkably close to the A theme proper. Following the upper line, one finds that only two notes are missing. There is a complete statement of the opening seven notes of the A theme (the last three are up an octave). After one measure of purely transition-phrase material, the four final notes of the A theme are presented. A final cadence occurs on a G chord with an added minor ninth. As in the A section, there is strict adherence to OCT<sub>1,2</sub>.

Table 9.2 summarizes the A-B-A<sub>1</sub> form of the movement and the phrase structure of each section.

Table 9.2 Summary of the Form of the Movement

A (mm.1-28)	mm. 1-8:	the A theme in canon (initiated in upper voice)
	mm. 9-12:	a stretto on first 4 notes of the A theme
	mm. 13-17:	the A theme in canon (initiated in bass voice)
	mm. 18-28:	the transition phrase with free canonic (transition to E tonal centre)
B (mm. 29-54)	mm. 29-32	repetition of the model on predominantly on E
	mm. 33-36	repetition of the model on predominantly on G
	mm. 37-40	repetition of the model on predominantly on G
	mm. 41-46	repetition of the model on predominantly on E
	mm. 47-54	repetition of the model on predominantly on C
A <sub>1</sub> (mm. 55-74)	mm. 55-61:	the A theme in broken octaves
	mm. 62-67:	the A theme with chord accompaniment
	mm. 69-74:	the A theme/truncated transition phrase (cadence in G)

The nocturne, as a genre, does not necessarily convey a formal expectation.<sup>563</sup>

Although most of the examples by John Field and Chopin follow an ABA form, Hétu's use of the title here (which was an act done after the completion of the movement) does not indicate an intention to allude to this aspect of the genre. Rather, the title was likely designed to conjure notions of mood and style. As will be noted in Chapter 11, Hétu did have "Nocturne," as an idea, in mind from the early stages of writing material for the "Rêverie" on fol. 6v. Therefore, we can assume that Hétu's notion of dream and nocturne may be congruent enough that he could substitute one title for the other. The "Nocturne" title of the second movement of the *Suite*, thus, seems to have been intended to evoke a "a piece suggesting night, usually quiet and meditative in character" – an aspect historically associated with the genre.<sup>564</sup> Hétu's, *Petite Suite*, Op. 7 (1962), contains a "Nocturne" which, like its counterpart in Op.41, has a 3/4 time signature, a mostly *piano* dynamic, and a very slow tempo.<sup>565</sup> As will be noted in Chapter 10, Hétu's use of the title "Ballade" also eschews the albeit vague formal designs of that genre. So, while Hétu's titles, in the case of the "Nocturne" and "Ballade," do not arise from formal design, the titles of the *Suite* movement – and of his oeuvre in general – certainly position Op.41 as a neo-Romantic work. Most pianist composers of the Romantic period composed nocturnes, especially Chopin with 21 in his oeuvre.<sup>566</sup> Considering the titling and the direct allusion to Chopin's Op. 28 in the "Prélude," one can see Op. 41 as an implicit nod to Chopin.

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<sup>563</sup> Maurice J.E. Brown and Kenneth L. Hamilton, "Nocturne," *Grove Music Online*, ed. Deane Root, accessed July 7, 2018. <http://www.oxfordmusiconline.com>.

<sup>564</sup> *Ibid.*

<sup>565</sup> Hétu, *Petite Suite*, Op. 7.

<sup>566</sup> Brown, "Nocturne."

With the formal structure and primary motives of the “Nocturne” elucidated, an exploration and analysis of the sketches for this movement can be undertaken.

### 9.2.1 Folio 6 (verso)

Fol. 6v is a half-size manuscript page of only eight staves in total. This document consists of fragments of sketch material relating to the “Nocturne,” the “Rêverie,” and the last movement, “Final.” Figure 9.9 shows a diplomatic transcription of the sketch.

Figure 9.9 Fol. 6v and its diplomatic transcription.

Staff 2, staff 4 (measure 1-2), and staff 8 of this sketch contain material related to the “Rêverie” (see Figure 9.10).

staff 2, mm. 1-2

staff 4, mm. 1-2

staff 2, mm. 3-4

staff 4, m. 3

staff 8, mm. 1-3

Figure 9.10 Material on staves 2, 4, and 8 of the fol. 6v related to “Rêverie,” movement IV.

The upward leaps of a perfect fourth and the quartal chords featuring a reverse dotted rhythm seen here are both major characteristics of the “Rêverie” (as we will see in Chapter 12). Hétu uses arrows and brackets to identify this material as intended for the same section or movement and labels this material “Nocturne.” Thus, at this point in the compositional process, material that would end up in the “Rêverie” was conceived of as belonging to something entitled, “Nocturne.” This conflation of the “Rêverie” material and “Nocturne” idea at this early stage underscores the shared crepuscular mood between the two movements.

A large circled section of the sketch which encompasses notation from staves 4, 6 and 7 contains material that was not utilized in this piece (see Figure 9.11).

staff 4, mm. 4-6  
Vif

staff 6, m. 5  
Vif

staff 7, m. 1

Figure 9.11 The circled material on staves 4, 6, and 7 of fol. 6v relating to the “Final.”

However, it most resembles the toccata texture of the “Final” in tempo (“vif”) and gesture.

At the beginning of staff 6 there is a conspicuous four measures of material that can be considered the first seed for the A theme of the “Nocturne.” This is a repeated two-measure bass line which Hétu labels “Passacaille” (shown in Figure 9.12).

Figure 9.12 Fragment marked “Passacaille” in mm. 1-4, of staff 6, of fol. 6v.

The last four notes of the 2-measure unit are identical to the first four notes of the A theme (G-A flat-B flat-F). There is no indication of this theme being used as the basis for a true passacaglia in the piece – that is, a repeating bass line in a variety of harmonic and textural settings. However, a passacaglia-like structure is evident in the way that Hétu

sets the A theme throughout the published movement. The A section sets the theme in canon while the return of the A section ( $A_1$ ) sets the A theme (as a bass line) in two different harmonic and textural settings. Thus, it is conceivable that, as some point after this initial “Passacaille” theme was composed, Hétu turned to fol. 9r to work on another prelude (which he entitles “Prelude II” but would eventually be entitled “Nocturne”). Upon taking up this theme again, Hétu modified it to be close to the A theme as seen in the published movement.

### 9.2.2 Folio 10 (recto)

Folio 10 is a scrap piece of paper that contains sketch material (on hand-drawn staves) on one side and an UQAM administrative record on the other.<sup>567</sup> Written either at a moment when Hétu had run out of manuscript paper or when he was not in his usual place of composition, it shows the composer’s first significant work on the A theme of the “Nocturne” and reveals the composer’s self-described struggles with writing for the instrument. In addition to the 29 measures of material related to the “Nocturne,” the sketch shows a total of five measures of thematic material related to the “Rêverie” and possibly the “Final.” Entitled “Prelude II,” it is a natural assumption that work on this manuscript was undertaken after the first version of the “Prélude” on fol. 8v. It is not clear, however, if this manuscript was begun before or after the discarded “Prelude II” movement on fol. 1v explored in Chapter 9.

Figure 9.13 shows the diplomatic transcription of fol. 9r.

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<sup>567</sup> The document records the ratification of some changes to the departments at UQAM and is signed by Pierre Brossard (Dec, 1983).

Prelude II

[staff 1]

[staff 2]

[staff 3]

[staff 4]

[staff 5]

[staff 6] "Nocturne" (en Mi)

Figure 9.13 Fol. 10r and its diplomatic transcription.

Staff 1 contains an expanded version of the A theme set in canon at an interval of two octaves. Figure 9.14 shows the 11-measure passage alongside the published version.

mm. 1-8 of the "Nocturne"

staff 1 of Folio 10 (recto)

free counterpoint

excised material

Figure 9.14 Mm.1-8 of the A theme in canon as found in the published "Nocturne" and staff 1 of fol. 9r.

The setting of the theme at this initial stage shows that the canon was a structural idea for this movement from the beginning.

The theme here differs from the published A theme (as well as the secondary sketch of fol. 2r) in that there is an internal repetition of material: measures 4-5 are identical to measure 8-9. In addition, the setting here contains two measures of free counterpoint (measures 10-11 of the passage) while the published canonic setting of the A theme is strict from beginning to end. As we will see, the next sketch for this movement, fol. 2r (on staff 7), contains the A theme as one finds it in the published edition. Thus, Hétu excised measures 5-9 of the passage on fol. 9r, thereby eliminating the internal repetition, and maintained a strict canon to the end of the phrase (Figure 9.14 demonstrates how this simple excision results in the 7-measure 1 theme in the bass voice).

Another difference between the initial setting of the A theme on fol. 9r and the subsequent versions is the register separation between the two canonic lines. Whereas the published canonic setting of the A theme is set one octave apart with the lower line imitating the upper line, in staff 1 of this sketch the lines are two octaves apart with the upper voice entering first. The discarding of the two-octave spacing is likely because of difficulty of playing such a passage on the guitar. Holding notes in the lowest range on the instrument while having to play notes in the high range (above written A5) is not practical. There is evidence in the sketches that Hétu was aware of this difficulty. In measure 5 of the canonic passage on fol. 9r, a D4 (D above middle C) on beat three in the bass voice is not imitated in the upper voice in the next measure. Instead, on beat three of the next measure one finds an F (see Figure 9.15).

mm. 5-7 of staff 1



mm. 5-7 of staff 1 with low F

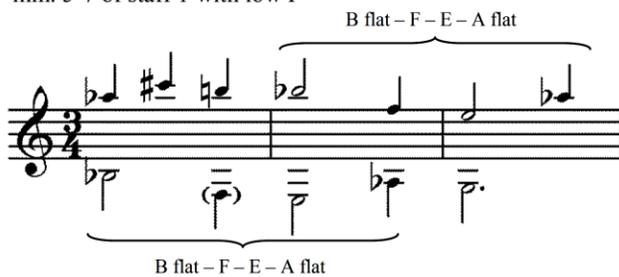


Figure 9.15 Mm. 5-7 of the staff 1 of fol. 9r and an earlier strictly canonic but unidiomatic early version of the passage.

It is clear from the sketch that the F in the upper voice of measure 6, which results in smooth semitone motion to the next note E, was initially written into the bass line in measure 5 as well. Figure 9.16 shows the fifth measure of staff 1.

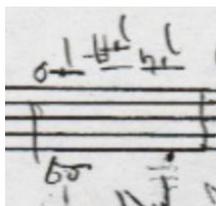


Figure 9.16 Measure 5 of staff 1 of the fol. 9r sketch showing three erased ledger lines under the D on beat three of the bass voice.

One can see the remaining ledger lines for an erased low F that was changed in favour of an open-string D4. The original bass line which included the low F on beat three of measure 5 resulted in an impossible stretch as shown in Figure 9.15.<sup>568</sup> Of course, this change from the F to the D solves the problem of impracticality but creates a deviation

<sup>568</sup> If Hétu wanted the D in the upper voice in measure 6 (to imitate the bass voice in measure 5), a similar difficult fingering would result due to the large range between the A flat and high D.

from the canon structure. This may be one reason that Hétu's subsequent work on this theme in canon (on staff 7 of fol. 2r) has the voices set only one octave apart. Notably, in later versions of the passage, the D4 is retained in the A theme (moving down by a semitone to C#) which allows the idiomatic use of the open string when the theme is the bass voice.

Hétu may have begun the work on the "Nocturne" with a hypothetical design of this movement as a passacaglia at an early stage. This is underscored by the fact that fol. 9r contains the working out of three non-canonic settings for a bass line consisting of the first four notes of the A theme. Figure 9.17 shows the three settings.

mm. 1-3 of staff 2



mm. 1-2 of staff 3



mm. 1-2 of staff 4



The figure displays three musical staves, each showing a different setting of the first four notes of the A theme. Each staff is in 4/4 time and features a treble clef. The notes are: A-flat (F), B-flat (G), F, and G. The first staff (mm. 1-3) shows a more complex setting with various accidentals and a bracket under the first four notes. The second staff (mm. 1-2) shows a simpler setting with a bracket under the first four notes. The third staff (mm. 1-2) shows another variation with a bracket under the first four notes.

Figure 9.17 Mm. 1-3 of staff 2, mm. 1-2 of staff 3, and mm.1-2 of staff 4 of fol. 9r showing three settings of A flat – B flat – F – G (opening notes from the A theme).

The settings all show four notes of the theme as a bass line with chord accompaniment which adheres to OCT<sub>1,2</sub>. This is a texture that Hétu would use in the A<sub>1</sub> section of the final version. The exact content here is not retained in the published movement.

However, the off-beat chord texture of the material on staves 2 and 4 is retained along with the “broken” octaves of measure 2 of the staff 2 material (see Figure 9.3, mm. 55-66 of the published “Nocturne”).

These three settings represent more of Hétu’s struggles to achieve his chosen sonorities within the limitation of the six strings of the guitar. Much of this sketch material is not idiomatic or simply impossible on the instrument. However, it is clear that Hétu is attempting to attend to this issue as the chords here often include open strings (thereby increasing the likelihood that a particular chord is playable). Figure 9.18 shows that all the chords setting A flat – B flat – F use the open strings D, B, and E (which are within the prevailing OCT<sub>1,2</sub>).

The figure displays three staves of musical notation in 3/4 time. Each staff shows a sequence of chords and melodic lines. Circled numbers (1, 2, 4) indicate fingerings for specific notes. The first staff shows chords with fingerings 2, 2, and 4. The second staff shows chords with fingerings 2, 2, and 1. The third staff shows chords with fingerings 2, 2, and 1. The chords are A-flat, B-flat, and F, all utilizing open strings D, B, and E.

Figure 9.18 Mm.1-3 of staff 2, m. 1 of staff 3 and m. 1 and staff 4 showing the use of the 1<sup>st</sup>, 2<sup>nd</sup>, and 4<sup>th</sup> open strings of the guitar.

This section of the sketch reveals that the  $A_1$  settings of the A theme in the bass voice in the published “Nocturne” (measures 55-66) result from compromise. Removing the octave doubling (as seen in measures 55-60 of the published version) results in a more idiomatic three-note chord setting of the A theme. Conversely, retaining the octave doubling (as seen in measures 61-66 of the published version) necessitates eliminating most of the chord accompaniment for the sake of fingering on the instrument.

In addition to the “Nocturne” material on fol. 9r, a trio of circled fragments on the sketch seems to be identified by the composer for use elsewhere. Two circled fragments on staves 2 and 5, which are connected with a line, are obviously related to the “Reverie” (see Figure 9.19).



Figure 9.19 Circled fragments on staff 2 and 5 of fol. 9r relating to the fourth movement, “Rêverie.”

An important motive in the fourth movement is the semitone descent in a reverse-dotted rhythm resulting in a three-note quartal harmony (see Chapter 12). This motive is prevalent in these two fragments. These fragments are also different from the other material on the manuscript in that they fall outside  $OCT_{1,2}$ . A third circled fragment is possibly related to the material in the “Final” with its juxtaposition of the arpeggiation texture and motion in parallel octaves (see Figure 9.20).



Figure 9.20 Circled fragment on staff 4 of fol. 9r possibly relating to the fifth movement, “Final.”

Finally, a substantial passage of material is contained on the last staff of this manuscript which is labeled “‘Nocturne’ (en Mi)” (see Figure 9.21).



Figure 9.21 Staff 6 of the fol. 9r sketch showing the material labeled “‘Nocturne’ (en Mi).”

The use of the “nocturne” label is the second time that this designation has come up in the writing process (one recalls that material for the “Rêverie” on fol. 6v was similarly labeled). It is unclear if Hétu intended this material to be used outside the movement (as the basis for a whole other night-themed prelude) or if it was intended to be a contrasting middle section for this movement. If the latter, this is the first indication of a plan to have a contrasting middle section for this movement with a tonal centre of E.

The content of the passage is very different than the B section of the published movement: it is in 4/4 time and has a different rhythmic and melodic contour than the B section of the “Nocturne.” However, as mentioned, the tonal centre (E) and the adherence to OCT<sub>1,2</sub> connect it to the material of the B section of the published “Nocturne.” There is a further connection to the “Nocturne” material here. One observes in Figure 9.21 that the opening four notes of this passage (D – G sharp – A sharp – B) are set over top of an E major triad (in second inversion) and a G major triad. This is

identical to the chord accompaniment figure in the first measure of the A theme in staff 2 of the fol. 9r sketch (see Figure 9.22).

staff 2

staff 6

Figure 9.22 Mm. 1-2 of staff 2 and mm.1-2 of staff 6 showing the similar opening notes of each.

It is thus possible that this B section material on staff 6 was based on the discarded setting of the A theme. Furthermore, one notes a similarity with this “‘Nocturne’ en Mi” material and several moments in the B section of the published “Nocturne.” The descending perfect fourth leap and the subsequent ascending tone-semitone motion of the last two notes of measure 31 to the downbeat of measure 32 of the published “Nocturne” (B flat – F – G – G sharp) mirrors the descending leap of a tritone and upward tone-semitone ascent in the opening of the staff-6 material of fol. 9r (see Figure 9.23).

mm. 31-32 of “Nocturne”

↓4<sup>th</sup> - ↑M2<sup>nd</sup> - ↑m2<sup>nd</sup>

staff 6 of Folio 10 (recto)

↓TT - ↑M2<sup>nd</sup> - ↑m2<sup>nd</sup>

Figure 9.23 Mm. 31-32 of the published “Nocturne” and mm. 1-2 of staff 6 of fol. 9r showing a similar melodic contour.

In both cases, the melody note achieved after the tone-semitone ascent is the third of a major triad. Thus, it seems possible that a discarded setting of the A theme (staff 2 of the sketch), provided a motive that would begin a potential passage for the middle B section and eventually be used in the published B section of the movement. As we will see, at some point after this preliminary work on the thematic material for this movement, Hétu produced the sketches on fols. 2r and 10r. These show Hétu continuing to work out possible settings of the A theme (on fol. 2r) and identifying a model that would ultimately be the thematic basis for the B section (on fol. 10r).

### **9.2.3 Folio 2 (recto)**

It is likely that Hétu worked more or less concurrently on fols. 2r and 10r, going back and forth between the two manuscript pages. These two folios together account for all the material in the published version and thus can be considered a secondary draft of the movement. Fol. 2r contains evidence of the working-out of the canonic setting of the A theme and contains the specific chord accompaniment found in the A<sub>1</sub> section of the published version of the movement. After this work on the A theme on fol. 2r, Hétu seems to have turned to fol. 10r to compose the material of the B section and the transition phrase. Finally, after hitting upon a suitable transition phrase, Hétu returned to the fol. 2r sketch and used a portion of the transitional phrase material to end the A<sub>1</sub> section. Fol. 2r also contains the earliest work on the “Ballade” movement on its lowest four staves, which will be discussed in Chapter 11. Save for these lowest four staves, Figure 9.24 shows the material of the fol. 2r sketch in a diplomatic transcription.

Adagio ♩ = 69                      Prelude II (en Sol!)                      (4')                      Rit.                      arm.                      ☺

[staff 1]                      Arm.                      Arm.                      Rit.                      arm.                      ☺

[staff 2]                      a tempo                      rit.

[staff 3]                      a tempo                      rit.

[staff 4]                      A<sup>2</sup>                      ①                      ②                      ③                      ④                      ⑤                      ⑥

[staff 5]

[staff 6]                      Debut                      ①

[staff 7]                      A<sup>1</sup>                      ①

[staff 8]

[staff 9]                      B<sup>1</sup>                      ①

[staff 10]                      mi                      ①

[staff 11]                      Coda (Nocturne)                      ②

Figure 9.24 The diplomatic transcription of fol. 2r sketch (without the last 4 staves).

The opening 17 measures of the published version are present here on staves 7-9. Héту labels the first measure of this passage, “Debut,” and designates it measure 1 (as well as giving it a section label of “A1”). Figure 9.25 shows staves 7-10 of the fol. 2r sketch.

The image shows four staves of musical notation. The top staff (Staff 7) is labeled 'Debut' and 'A1' and contains 17 measures of music. The second staff (Staff 8) is empty. The third staff (Staff 9) contains a transitional phrase. The bottom staff (Staff 10) is labeled 'B1' and 'mi' and contains a short melodic fragment with repeat signs.

Figure 9.25 Staves 7-10 of fol. 2r showing the canon setting of the A theme of the A section of “Nocturne.”

Directly after these 17 measures and the achievement of a cadence in G in measure 6 of staff 9, Héту writes an early melody-only version of the transitional phrase (measure 7-10 of staff 9). The related material below this on staff 10 (the first 6 notes of the above melody-only transition phrase with a substitution of F for B flat) seems to be unused motivic material for a B section in E. Héту labels this measure “mi” suggesting an E tonal center (the use of the enharmonic spelling of the first note, *i.e.* G sharp instead of A flat, underscores this tonal center). The repeat signs around this material suggest that this might have been considered as passacaglia theme or a repeated model. This is likely the moment when Héту decided to move to another manuscript paper to work on the transitional phrase to the B section and the B section itself (discussed in section 9.2.3 below).

The material for the return of the A theme ( $A_1$ ) is present in staves 1-4 of the sketch (see Figure 9.26).

Figure 9.26 Staves 1-4 of the diplomatic transcription of the fol. 2r sketch showing the  $A_1$  material.

Following Hétu's arrows and measure number labels, one easily follows the linear sequence present on this part of the sketch. Measure 1 of staff 5 is labeled "1" and begins the linear sequence to the measure labeled "6" at the end of that staff. Here one finds the A theme in broken octaves (in a reverse dotted rhythm). This material is identical to the published "Nocturne" except that this reverse dotted rhythm is discarded in favor of straight eighth notes. Following Hétu's arrow from the end of staff 5 to the beginning of staff 2 one finds the next six measures: the A theme with chord accompaniment identical to measures 55-61 of the published version. Above the second measure, Hétu experiments with a descending arpeggiation figuration (found in the top staff above).

Figure 9.27 shows this discarded arpeggiation figuration.

staff 1

staff 2

Arm.

Detailed description: The image shows two staves of musical notation. Staff 1 is a treble clef staff in 3/4 time, containing a descending arpeggiated figure consisting of eighth notes with a dotted quarter note, starting on a sharp and moving downwards. Staff 2 is also a treble clef staff in 3/4 time, containing a chordal accompaniment of eighth notes and quarter notes. A marking 'Arm.' is placed above the second measure of staff 2.

Figure 9.27 The discarded descending arpeggiation figuration on staff 1 over top of the A theme in chord accompaniment on staff 2.

To trace the last eight measures of the sequence, one starts at the material at the beginning of the third staff (measures 1-3) and continues, following Hétu's arrow, to the latter half of the top staff. With the exception of the reverse dotted figure, the resulting 19 measures are very close to the published version of the movement (see Figure 9.28).

Detailed description: This figure shows three staves of musical notation. The top staff is a treble clef staff in 3/4 time, containing a sequence of eighth and quarter notes. The middle staff is also a treble clef staff in 3/4 time, containing a sequence of eighth and quarter notes with two 'Arm.' markings. The bottom staff is a treble clef staff in 3/4 time, containing a sequence of eighth and quarter notes with markings for 'a tempo', 'rit', 'Rit', and 'arm.'.

Figure 9.28 Mm. 1-19 of the A<sub>1</sub> section of the “Nocturne” as contained in the top 4 staves of the fol. 2r sketch following Hétu's indications.

Notably, staff three contains an early discarded ending of the A<sub>1</sub> section. This is likely the version that Hétu wrote before he had achieved a satisfying transition phrase in fol.

10r as he subsequently discarded this ending in favour of a truncated version of the transition phrase (see Figure 9. 29).



Figure 9.29 Mm. 2-8 of staff 3 of fol. 2r showing a discarded ending consisting of a third statement of the A theme.

Hétu seems to confirm that this material on measures 2-8 of staff 3 was a possible end at one point by the inclusion of double bar lines. This early version of the final phrase of the movement uses a full statement of the 7-measure A theme (with the last three notes up an octave to cadence on G). After the initial four notes, the rest of the phrase is treated in canon with an entrance of the soprano voice – imitating the canonic setting of measures 13-17 of the opening A theme of the A section. A favored chord (also discarded later) is used for final measure: a G major chord with an added augmented fourth (C sharp). It seems that, after a suitable transition phrase was hit upon in the fol. 10r, Hétu removed this ending and used a shortened version of the transition-phrase material to end the piece.

There are three discarded fragments on the sketch. This is material that did not make into the published version of the movement nor into subsequent sketches (such as fol. 10r). There is a passage labeled “Coda (Nocturne)” on staff 11 in which the final three notes of the canon theme E-F-G are set in augmentation with chord accompaniment similar to the second phrase of the A<sub>1</sub> section of the published movement. Figure 9.30 shows this “Coda” material.

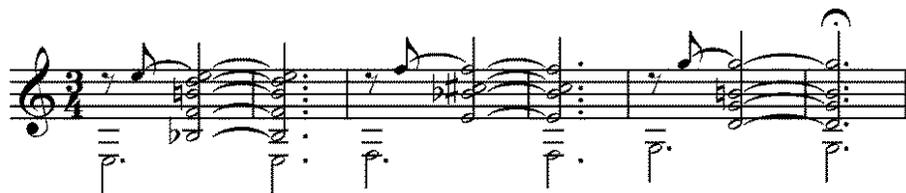


Figure 9.30 Staff 11 of the fol. 2r sketch showing chord accompaniment for an augmented fragment of the A theme (E-F-G).

It seems that this was a possible ending of the movement at one time. Related to this is material that is contained on the second half of staff 11 (Figure.9.31).



Figure 9.31 The bottom staff of the fol. 2r diplomatic transcription, showing a similar rhythmic pattern to the discarded “Coda” material on the first part of the staff.

As we will see in the next chapter, this material could be the first idea for the “Ballade” opening theme which has the identical opening pitches (F-E). Finally, the material on staff 6 is unrelated to the “Nocturne.” These three measures show a repeating figure, which is transposed up a whole tone in the third measure (see Figure 9.32).

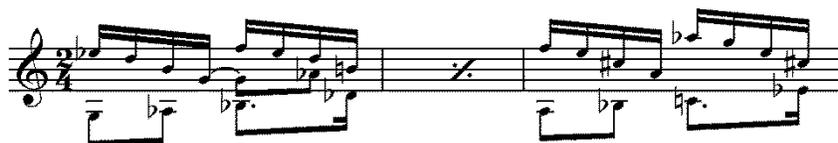


Figure 9.32 Three measures from staff 6 containing a fragment unrelated to the “Nocturne” movement.

The octatonic collection ( $OCT_{1,2}$ ) that dictated the content of the whole “Nocturne” (with some calculated deviations in the B section as discussed above) is not adhered to in this fragment. The passage is also in 2/4 time and uses a repeating sixteenth-note texture which contrasts with the 3/4 time of the published movement in mostly quarter and eighth

notes. Thus, it seems the material may have been meant for another prelude which was not undertaken.

#### **9.2.4 Folio 10 (recto)**

Fol. 10r contains sketch material that pertains to the middle B section of the “Nocturne” and the transition phrase of the A section. Figure 9.33 shows the diplomatic transcription of the fol. 10r sketch.

A tempo stringendo

[staff 2]

[staff 3] p poco a poco crescendo cresc.

[staff 5] ff Rit.

[staff 7] Rit. Rall.

[staff 9] Rit. 17 A 3

[staff 10] 20 B 19 A

[staff 12] f pp

[staff 14] 8

[staff 16] f pp

[staff 18] Rit. pp

[staff 20] Rit. pp

[staff 22] 5 7 4

[staff 24] 10 11 12 13 14 15 16 17 18

Figure 9.33 Fol. 10r alongside its diplomatic transcription.

It is clear that Hétu began work on this manuscript page with attention to the transition phrase (after notating a prototypical version of it on staff 10 of fol. 2r as discussed above). It seems that Hétu began notating the first material for this manuscript not at the top of staff as one would assume (and as he had done in other sketches), but on staff 12.

A likely reason for this mid-page start was to leave room for writing the opening 17 measures of the A section (already composed on fol. 2r). However, this did not come to pass as Hétu ended up filling in the rest of the staves above staff 12 with B-section material.

Hétu's work on the transition phrase material connecting the A section to the B section is contained on staves 12-20. It reveals a compositional process for this passage that had a significant amount of revision. The sketches confirm Hétu's habit in which a lower (or sometimes upper) staff is used to substitute for deleted material. The discarded material is often bracketed, circled, or crossed out to separate it from the other usable material. Arrows and measure number labels are used to show the continuity of the passage from one measure or staff to the next. In the case of Hétu's work on the transition phrase, the linear sequence of material is at first not clear due to the amount of B-section material that surrounds it. Hétu was running out of space during the B section process and filled in available space on each staff in the bottom half of the page before moving to the top. Thus, if one identifies the B section material and disregards it, a clear composition process and linear sequence of the transition phrase is clear. Figure 9.34 shows the sketch material without the B-section material interspersed.

Figure 9.34 shows five staves of musical notation. Staff 12 (top) is a treble clef staff with a key signature of one flat and a 3/4 time signature. It contains a melodic line with several discarded paths indicated by arrows. Staff 14 is a treble clef staff with a key signature of one flat and a 3/4 time signature, continuing the melodic line. Staff 16 is a treble clef staff with a key signature of one flat and a 3/4 time signature, showing a complex chordal texture. Staff 18 is a treble clef staff with a key signature of one flat and a 3/4 time signature, showing a melodic line with a 'f' dynamic marking and a 'Rit.' marking. Staff 20 is a treble clef staff with a key signature of one flat and a 3/4 time signature, showing a melodic line with a 'Rit.' marking.

Figure 9.34 Staves 12-20 of fol. 10r with the transitional phrase material (the B section material is removed).

The sequence from the beginning of staff 12 shows a number of discarded paths. It seems Hétu's first goal was to achieve an initial cadence on E major (the intended tonal centre of the B section). With some minor changes, the upper melodic line follows the early melody-only version on fol. 2r, staff 9. His first attempt to complete measures 4-6 of the transition phrase on staff 12 was not satisfactory to him. Figure 9.35 shows this partially abandoned phrase in full under the melody-only fol. 2r version.

Folio 2 (recto), staff 9

Musical notation for Folio 2 (recto), staff 9, showing a melodic line in treble clef with a key signature of one flat and a 3/4 time signature.

Folio 11 (recto), staff 12

Musical notation for Folio 11 (recto), staff 12, showing a melodic line in treble clef with a key signature of one flat and a 3/4 time signature. A bracket under the last three measures is labeled "discarded material".

Figure 9.35 Mm. 7-9 of staff 9 of fol. 2r showing the first melodic outline of the transition phrase and staff 12 of fol. 10r containing three discarded measures.

Here free counterpoint is employed and an E major chord (in second inversion) is achieved on the first beat of measure 5 before Hétu discontinued the passage. It seems that the composer was not satisfied with the last three measures of this fragment.

Following his arrow to the staff below, the resulting passage is practically identical to the published version (with the exception of some minor differences in voicing and duration).

Figure 9.36 shows the phrase with the substitution of the measures 4-6 of staff 12 with the material on staff 14 and measure 1 of staff 16.

Folio 11 (recto)

Published "Nocturne"

*mf*

The image shows two staves of musical notation in 3/4 time. The top staff is labeled 'Folio 11 (recto)' and the bottom staff is labeled 'Published "Nocturne"'. Both staves show a melodic line in the upper voice and a bass line. The top staff has several asterisks (\*) under the notes, indicating differences in duration or voicing compared to the published version. The bottom staff has a dynamic marking 'mf' at the end.

Figure 9.36 Staves 12 to m. 1 of staff 16 of fol. 10r containing the transitional phrase (following Hétu's erasures and arrows) and the same passage from the published "Nocturne" (mm. 18-25); asterisks show the minor differences in duration/voicing between the passages.

As shown in Figure 9.5 (in section 9.1, above), the result is a structurally unified passage in which the soprano line of the opening of the transitional phrase is canonically imitated in an inner voice. Hétu thus achieved a satisfactory passage with an initial cadence in E. His next goal was to connect this passage to the beginning of the B section.

In total, the fol. 10r shows three attempts to complete the transition-phrase material in order to prepare the B section. After each aborted attempt, the replacement material is written directly underneath on the staff below (Hétu's practice on this sketch and others is to present consecutive material on staves separated by one blank staff). Figure 9.37

shows the three attempts to complete the transition on staves 16-20, and finally the published version (measures 26-28).

Figure 9.37 consists of four musical staves, labeled A, B, C, and D, each showing a different attempt to complete a transition phrase. Staff A (Staff 16) features a melodic contour of an ascending semitone, a descending tritone, and an ascending augmented second, with the interval sequence  $\uparrow m2 - \downarrow TT - \uparrow m3$  indicated above. Staff B (Staff 18) continues the phrase with octave doubling, with the interval sequence  $\uparrow m2 - \downarrow m3 - \uparrow M2$  indicated. Staff C (Staff 20) and Staff D (mm. 26-28) show the final published version, with the interval sequence  $\uparrow M2 - \downarrow P4 - \uparrow M2$  indicated and a *Rit.* marking above the staff.

Figure 9.37 Three attempts to finish the transition phrase: A. Staff 16 of fol. 10r; B. Staff 18 of fol. 10r; C. Staff 20 of fol. 10r; and D. mm.26-28 of the published “Nocturne.”

One sees that Hétu first attempts a four-voice chorale texture on staff 16 (Figure 9.37a). Here one finds the melodic contour of an ascending semi-tone, descending tritone and ascending augmented second (B flat – B – F – G sharp). This imitates the contour of the first four notes of the A theme (not including the initial G): A flat – B flat – F – G. This basic contour of a small leap up, larger leap down, followed by a small leap up is maintained in the next attempt on the second measure of staff 18 (Figure 9.37b). Here, Hétu must have thought the passage had promise as the phrase is continued to a final cadence on E (presumably where Hétu knew he would elide the opening of the B section material). One also notes the use of octave doubling for the melody. The general contour of this abandoned material follows (but is not identical to) the A theme (see Figure 9.38).

staff 18 transition phrase completion (attempt)



A theme

The image shows two musical staves. The top staff is labeled 'staff 18 transition phrase completion (attempt)' and contains a complex musical phrase with multiple voices and accidentals. The bottom staff is labeled 'A theme' and shows a single melodic line with a specific contour of notes and accidentals.

Figure 9.38 Staff 18 of fol. 10r containing a second attempt to end the transition phrase and the A theme the published “Nocturne” showing a similar contour.

The idea of using the basic shape of the A theme was discarded however in favor of a shorter passage. In the third attempt, a transposition of the opening four notes of the A theme is used in a three-voice chorale texture (see Figure 9.37c). The passage continues with free counterpoint to the cadence on E major which begins the B section material. Eventually, Héту would pare down the texture in the opening measure of this passage: the published version does not contain the 3-voice chorale texture in the opening measure (see Figure 9.37d).

Héту begins his work on the material of the B section on staff 20 directly following his third (and final) attempt at finishing the transitional phrase. His first idea for the B section material is found in measures 4-6 of staff 20 and shows a different motivic approach to the material than that which he would eventually take (see Figure 9.39).



The image shows a single musical staff with three measures of music. The notes are primarily eighth notes, and there are some accidentals. Below the staff, there are some markings that look like 'P' with a horizontal line above them, possibly indicating a pedal point or a specific performance instruction.

Figure 9.39 Measures 4-6 of staff 20 of the sketch showing the first version of a possible repeating model for the B section.

It seems possible this two-measure figure of running eighth notes could have acted as a model that would be repeated at different transposition levels (like the model used in the

published version). The model here begins with a minor-third leap from G sharp to B. Considering the similar minor-third leap of the notes in the abandoned third measure, B and D, one can naturally see how Hétu may have continued. Figure 9.40 shows the hypothetical continuation of the two-measure discarded model transposed to G based on these notes in measure 3 of the fragment.

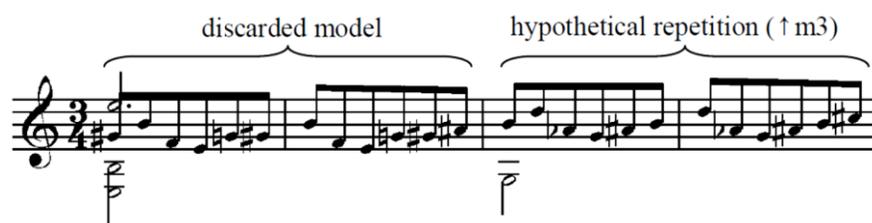


Figure 9.40 A hypothetical continuation of the discarded B section model on staff 20.

This hypothetical B material stays within  $OCT_{1,2}$ . It is notable, that Hétu would discard this model in favor of material which breaks with this prevailing octatonic collection.

In the staff 22, directly below the discarded model, Hétu provides the model and a linear sequence of B section material that is present in the published version. In the bottom section of the manuscript, measure number labels show a clear linear sequence that results in measures 1-18 of the B section. There are substitutions for measure 5 of this passage (provided directly above on the previous staff) and measure 18 (provided directly above but two staves up). The passage as a whole is given in Figure 9.41.

Figure 9.41 18 measures of B section material contained in staves 20-24 of fol. 10r following the sequence indicated by Hétu's measure number labels (showing discarded material in m. 5 and 18).

When Hétu ran out of staff lines at measure 18 of the passage (having to extend the last staff line by hand in order to fit measure 18), he continued at the top of the manuscript. This is this not labeled or indicated as such but the material leads from measure 18 to the top of the manuscript page in a manner that is nearly identical to the published version.

It is also possible to find a linear sequence for the remainder of the B section material. After the four measures of staff 2, it seems Hétu moved to material on staff 5 which is crossed out. Figure 9.42 shows the musical material contained on the top nine staves of the sketch.

Figure 9.42 Staves 2, 5, 7, and 9 of the fol. 10r diplomatic transcription.

An arrow from staff 2 to staff 7 indicates that staff 7 is the continuation of the staff 2 material. The amount of erasures and excised material make deciphering Hétu's exact process a difficult task. However, thanks to Hétu's arrows, a final linear sequence is clear. From measure 1 of staff 7 (which is repeated), an arrow directs us to measure 3 of the staff, ending with crossed-out material. The material directly underneath replaces this crossed-out material (measures 4-5) and measure 3 of staff 7, excluding the down beat. Figure 9.43 presents the final linear sequence present on the sketch which is practically identical to the published version (mm. 47-54).

Figure 9.43 The linear sequence of material contained on staves 2-9 of the fol. 10r sketch following Hétu's arrow markings.

One reason that it is difficult to ascertain the exact chronology of the material in staves 7 and 9 is that it seems Hétu went back and forth between these staves several times, erasing, replacing and continuing until he was satisfied. Without the knowledge of the content of the erased material, it is impossible to know all the steps of the compositional process here. However, one possible chronology is shown in Figure 9.44.

The figure displays five staves of musical notation, labeled A through E, representing different attempts at completing a section. Each staff is in 3/4 time and begins with a treble clef and a key signature of one flat (B-flat).  
 - Staff A: Shows the first four measures of the section, ending with a double bar line and a 'cresc.' marking above the staff.  
 - Staff B: Shows the first four measures, with a question mark below the first measure, indicating uncertainty or a question mark in the original manuscript.  
 - Staff C: Shows the first four measures, with a C major chord on the downbeat of the first measure.  
 - Staff D: Shows the first four measures, followed by a 'Rall' marking and a long horizontal line above the staff, indicating a rallentando.  
 - Staff E: Shows the first four measures, followed by two 'Rit' markings, indicating a ritardando.

Figure 9.44 Five attempts (labeled A – E) at completing the B section on staves 5-9 of fol. 10r; each attempt replaces the previous.

After the first four measures of staff 2, Hétu began to continue with the subsequent measures on staff 5 (Figure 9.44a). Discarding this material, he continued with staff 7, measures 1-2, which included writing unknown material that was since erased (Figure 9.44b). Unhappy with this material he then moved to staff 9, measures 1-2, to replace measures 1-2 of staff 7 (Figure 9.44c). Here we find the first use of the C major chord on the downbeat of the measure 1. Subsequently, he decided that measure 1 (with an added

ninth to the C major chord on the downbeat) should repeat and that measure 2 material should be altered before it continues. Thus, he returned to staff 7, added the D pitches to the C chord, and skipped measure 2 by circling it and drawing an arrow to the third measure (which contains the altered staff 9, measure 2 material). He completes the phrase ending on G major, his goal here being the return of the A material. This results in the material in Figure 9.44d. Finally, unhappy with the last three measures of staff 7, he replaces them with measures 3-5 of staff 9 (he retains the downbeat chord of measure 3 on staff 7). Figure 9.44e shows this final stage which is nearly identical to the published version.

This accounts for all the musical material on the sketch. However, an important piece of information of this folio is the text in the margin. After achieving a cadence in G, Hétu seems to have written the proportions of this ternary form of the movement in the right margin beside staves 8-10 (Figure 9. 44).

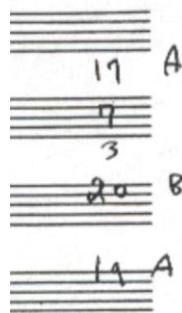


Figure 9.45 Detail of fol. 10r found in the right margin beside staves 8-10 giving the number of measures in each section of the ternary form.

These five numbers beside the letters “A,” “B,” and “A” seem to record the numbers of measures in each section of the movement. It seems Hétu’s “17” measures of the first section labeled “A” accounts for measures 1-17 of the final material for the A theme in canon on fol. 2r. The “7” accounts for the 7-measure segment of the transition phrase

contained on staves 5-7 of fol. 10r which achieves a first cadence on E major. The “3” indicates the final three measures of the transition phrase which connects to the opening material of the B section (contained on staff 20 of fol. 10r). The latter “A” section’s “19” label accounts for the 19 measures of the A<sub>1</sub> section’s material starting on staff 4 of fol. 2r. These numbers correspond perfectly with the sections of the movement that Hétu would have just completed on fols. 2r and 10r. with one exception. The “20” under the “B” label does not seem to account for the number of measures of the B section represented by the sketch material on fol. 10r. There are 27 measures of a B section present on the fol. 10r. Is it possible that Hétu miscounted, missing the seven measures of the B section on staff 22? It is not clear. However, the summation of the sections in measure numbers shows that Hétu thought of the movement as basically complete after finishing the B section (*i.e.* the other A and A<sub>1</sub> sections must have already been written).

Thus, while fol. 9r can be considered a preliminary sketch of the movement, fol. 10r and fol. 2r together act as a secondary draft. Unlike his work on the first version of the “Prélude” and “Prelude II,” which produced complete early versions of each, there is no early draft of the “Nocturne.” However, at almost every stage of the process, one sees often a large variety of ways in which each phrase could have lead.

As mentioned above, one conspicuous aspect contained in the sketches for this movement is the reference to the idea of a nocturne. It seems that, with this movement, Hétu was beginning to attribute genre labels to his material that are outside the scope of a six-prelude plan. The 74 measures of this movement far outweigh the 19 measures of the “Prélude” and the 31 measures of “Prelude II.” It is clear that Hétu’s notion of breadth of the movements of Op. 41 was changing during the composition of the “Nocturne” from

smaller prelude movements to larger suite movements. As we shall see, this is a compositional attitude that is continued with the composition of the third movement, “Ballade.”

## Chapter 10 Ballade

Hétu's compositional process for the third movement, "Ballade," is examined in this chapter. Among Hétu's archived sketches for Op.41, there are three folios related to the "Ballade." These sketches show that this movement, at its inception, was potentially used for an inner section of the third prelude, what would eventually be entitled, "Nocturne." This explains the structural similarity of the two movements in terms of meter, pitch content (octatonic), and motivic content. The sketches also show that meter and texture were forefront in Hétu's mind in addition to a goal of utilizing the guitar's natural resonance capabilities.

Fols. 2r, fol. 5r, and 6r all contain relevant material for the "Ballade." Table 10.1 provides a summary of the musical contents of each folio (in chronological order).

Table 10.1 A summary of folios related to the "Ballade."

fol. 2r	preliminary sketch of "Ballade" (staves 13-16) under the secondary sketch of the "Nocturne" (A and A <sub>1</sub> material)
fol. 5r	secondary draft of A and A <sub>1</sub> sections of the "Ballade"
fol. 6r	secondary sketch of the B section of "Ballade" (half-size MS)

An exploration of the "Ballade" in its published version is necessary before examining the details of the sketches on these three folios.

### 10.1 Form of the Published "Ballade"

Like the "Nocturne," the form of this movement is ternary (A-A<sub>1</sub>-B-A), with an introduction and a coda. Figure 10.1 presents the score for the "Ballade."

Moderato  $\text{♩} = 116$

Rit. a tempo Rall.

*mp* *lv. a piacere* *p*

6  $(\text{♩} = 88)$  Poco accel. Rit. 3 a tempo

*p* *pp* *p*

10 CIIICIIICIII- - - - - Poco rit. a tempo

*mf*

15 CIII

20 CI - - - - - CI

*cresc.*

25 *f*

29 Rall. *dim.*

33  $(\text{♩} = 88)$  Rit. a tempo

*p*

37 *Poco rit.* *a tempo*

43

49 *Poco accel.*  $\text{♩} = 1$  *cresc.* *Poco più mosso* VI 4 2 3 4 3 2 III 3 3 3

54  $\text{♩} = 108$  *Meno mosso* *mf*

58 *cresc.*

62  $\text{♩} = 1$  *f*

66 *cresc.*

70 *Poco ritenuto* *sim.* *ff* *Poco a poco* *a tempo* *dim.*

The image displays a page of a musical score for a piece titled "Ballade." The score is written for a single melodic line on a treble clef staff. It consists of eight systems of music, each beginning with a measure number: 74, 78, 83, 89, 95, 101, 106, and 110. The music is characterized by complex rhythmic patterns, including many triplets and sixteenth-note runs. Above the staff, various performance instructions are provided, including tempo changes (Rit., a tempo, Rall., Poco rit., a tempo) and dynamic markings (p, pp, f, cresc., dim.). Specific tempo markings include "(♩ = 88)" and "(♩ = 116)". The score also includes a first ending bracket labeled "♩ I" between measures 74 and 78. The key signature is one flat (B-flat), and the time signature is 4/4.

Figure 10.1 The published score for the “Ballade.” © With kind authorization from Les Éditions Doberman-Yppan.

In order to understand the steps of the compositional process that Hétu undertook for this movement, it is necessary to identify its formal structure. Hétu provides a highly detailed formal summary of the “Ballade” in his correspondence with Fowler that will be

adopted here.<sup>569</sup> The composer first defines the terminology used in his formal analysis, highlighting the classical origin of his analytic approach:

The terms I use are exactly the same as for analysing a page of Beethoven or Brahms. [...] *Phrase* = the musical idea, the theme; *Model* = group of measures; *Repetition* = reprise of the model on the same degrees (same notes); *Sequence* = reprise of the model on other degrees; *Elimination* = removal of part of the model.<sup>570</sup>

He then gives a complete formal précis of the work beginning with the introduction. He states, “As you know, the overall structure of this piece is a simple ternary form A-B-A (Theme-Development-Theme). The introduction (measures 1 to 7) consists of a statement of the head of the theme (measures 1 to 3) followed by a sequence (measures 4 to 6, first beat). A transition from ascending triplets in the character of a lead-in [au caractère d’anacrouse] moves to the first section of the theme.”<sup>571</sup> Figure 10.2 shows the introduction and transition, referred to here as “transition-anacrusis I.”

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<sup>569</sup> A similar formal explication is given by Fowler in his analysis, without attributing it directly to Hétu. See Fowler, “Jacques Hétu’s *Suite*,” 43-45.

<sup>570</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | Folder 1, Box No. 27, “Email Correspondence with François Fowler,” Jan. 18, 2000. Original: “Les termes que j’utilise sont exactement les mêmes que pour analyser d’une page de Beethoven ou Brahms. (Brève définition de certains termes : Phrase = l’idée musicale, le thème ; Modèle = groupe de mesures ; Répétition = reprise du modèle sur les mêmes degrés (mêmes notes) ; Séquence = reprise du modèle sur d’autres degrés ; Élimination = suppression d’une partie du modèle.”

<sup>571</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | Folder 1, Box No. 27, “Email Correspondence with François Fowler,” Jan. 18, 2000. Original: “Comme vous la savez, la structure globale de cette pièce est une simple forme ternaire A-B-A (Thème-Développement-Thème). L’introduction (mes. 1 à 7) est formée d’un énoncé de la tête du thème (mes. 1 à 3) suivi d’une séquence (mes. 4 à 6, 1er temps).”

Figure 10.2 The introduction and transition-anacrusis I, mm. 1-7, of the “Ballade.” © With kind authorization from Les Éditions Doberman-Yppan.

Hétu then gives a tripartite division of the main theme of the A section, what will be referred to here as the “A theme.” He writes, “This section consists of a phrase in 3 parts of 18 measures consisting of a model (measures 8 to 11), a repetition (measures 12 to 15) and a prolongation of 3 measures: model (measure 16, the head of the theme) and two sequences (measures 17 and 18). The latter is broken by a new section of 8 measures, formed of a model of 4 measures (measures 19 to 22) and of a sequence of 4 measures (measures 23 to 26). This model is itself made of a small model of 2 measures followed by its repetition.”<sup>572</sup> Figure 10.3 provides the three parts of the A theme.

<sup>572</sup> Ibid. Original: “Cette section est constituée d’une phrase en 3 parties de 18 mesures formée d’un modèle (mes. 8 à 11), d’une répétition (mes. 12 à 15) et d’une prolongation de 3 mesures : modèle (mes. 16, la tête du thème) et deux séquences (mes. 17 et 18). Cette dernière est brisée par une nouvelle section de 8 mesures, formée d’un modèle de 4 mesures [sic] (mes. 19 à 22) et d’une séquence de 4 mesures (mes. 23 à 26). Ce modèle est lui-même formé d’un petit modèle de 2 mesures suivi de sa répétition.”

Figure 10.3 The A theme, mm. 8-26, of the “Ballade.” © With kind authorization from Les Éditions Doberman-Yppan.

The A theme leads directly into what will be termed, the “closing section.” Hétu describes it as follows:

A third section, of a cadential character, uses triplets: a model of 2 measures (mm. 27 and 28), sequence of 2 measures (mm. 29 and 30). Then two measures which present the triplets in a descending movement, then, in a more restricted range, ascending and descending. It is these two measures (mm. 31 and 32) which will be the object of the development of the central part.<sup>573</sup>

Figure 10.4 shows the closing section of the “Ballade.”

<sup>573</sup> Ibid. Original: “Une troisième section, de caractère cadentiel, utilise les triolets : modèle de 2 mesures (mes. 27 et 28), séquence de 2 mesures (mes. 29 et 30). Puis deux mesures qui font entendre les triolets en mouvement descendant, puis dans un ambitus plus restreint ascendant et descendant. Ce sont ces deux mesures (mes. 31 et 32) qui feront l’objet du développement de la partie central.”

The image shows two staves of musical notation. The top staff is labeled 'model' and contains a sequence of notes with triplets and a first finger (1) marking. The bottom staff is labeled 'sequence', 'descending motive', and 'ascending-descending motive' with a 'Rall.' marking. It includes a 'dim.' (diminuendo) instruction and various fingering numbers (1, 2, 3, 4) under the notes. The key signature has one flat (B-flat) and the time signature is 3/4.

Figure 10.4 The closing section, mm. 27-32, of the “Ballade.” © With kind authorization from Les Éditions Doberman-Yppan.

After the closing section, a varied statement of the transition-anacrusis I ushers the return of a truncated statement of the A theme, (A<sub>1</sub>). Héту states that there is a “return of the anacrusis and repetition of the first two sections of the theme that is cut short (measure 52) by another transition-anacrusis to part B.”<sup>574</sup> The A theme is presented in its entirety except for Part III, which is condensed. This leads to a transition-anacrusis to the B section, referred to here as transition-anacrusis II. Figure 10.5 shows Part III of the A theme in the A<sub>1</sub> section as well as the transition-anacrusis II.

<sup>574</sup> Ibid. Original: “Retour l’anacrouse et répétition des deux premières sections du thème qui est coupé (mes. 52) par une autre transition-anacrouse qui même à la partie B.”



**Stage 1**

descending motive      ascending-descending motive

54  $\text{♩} = \text{Meno mosso}$   $\text{♩} = 108$

*mf*

model      repetition

**Stage 2**

ascending-descending motive      descending motive

58 *cresc.*

model      repetition

**Stage 3**

ascending-descending motive      descending motive

62

model      repetition

The image shows three stages of a musical piece in 9/8 time. Stage 1 (mm. 54-57) features a descending motive (m. 54) and an ascending-descending motive (m. 55-57). Stage 2 (mm. 58-61) features an ascending-descending motive (m. 58) and a descending motive (m. 59-61). Stage 3 (mm. 62-65) features an ascending-descending motive (m. 62) and a descending motive (m. 63-65). Each stage is divided into a 'model' and a 'repetition' section. The score includes dynamic markings like *mf* and *cresc.*, and a tempo marking *Meno mosso* with a quarter note equal to 108.

Figure 10.6 Stages 1-3 of the B section of the “Ballade,” mm. 54-65. © With kind authorization from Les Éditions Doberman-Yppan.

Each stage of the B section increases the drive toward a climax by moving higher in register, increasing either the dynamic level or the number of voices present. The sense of movement toward a climax is heightened in stages 4-5 by the elimination of aspects of the structure exhibited in stages 1-3. Hétu continues, describing the structure of stages 4 and 5 leading up to the climax. He states,

At the 4<sup>th</sup> stage, there is elimination: the model has only one measure, followed by a sequence (mm. 66 and 67). The 5<sup>th</sup> stage eliminates the 3<sup>rd</sup> beat of the model (downward movement), thus reducing to two beats (m.

68), followed by a varied repetition (m. 69) then another repetition with extension (m. 70).<sup>576</sup>

Figure 10.7 shows stages 4 and 5 of the B section.

The figure shows a musical score for the B section of the 'Ballade,' measures 66-70. The score is in 8/8 time and features a treble clef. Stage 4 (measures 66-67) is labeled 'model' and 'sequence'. Stage 5 (measures 68-69) is labeled 'model' and 'varied repetition'. Measure 70 is labeled 'extended repetition'. The score includes dynamic markings such as 'cresc.' and 'p.'

Figure 10.7 Stages 4 and 5 of the B section of the “Ballade,” mm. 66-70. © With kind authorization from Les Éditions Doberman-Yppan.

A dynamic, registral and textural climax is achieved in stage 6, beginning at measure 71 (fortissimo four-voice chords reaching the highest note of the piece, high G). The tension of this passage is further heightened by Hétu’s divergence from the prevailing pitch collection of the movement thus far. The movement up until this point had remained in OCT<sub>1,2</sub>. Hétu draws from other octatonic collections here, breaking with the pitch resource heard thus far in the movement (this aspect of the movement is described in more detail below). Stage 6 is characterized by the parallel motion of major chords with an added minor ninth (with the ninth in the lowest position), which are set in quick juxtaposition of the

<sup>576</sup> Ibid. Original: “Au 4ème palier, il y a élimination; le modèle ne comporte qu’une mesure, suivie d’une séquence (mes. 66 et 67). Le 5ème palier élimine le 3ème temps du modèle (mouvement descendant), réduit ainsi à deux temps (mes. 68), suivi d’une répétition variée (mes. 69) puis d’une autre répétition avec extension (mes. 70).”

three octatonic collections. The stage also marks the beginning of a series of repetitions of the descending motive. Regarding measure 71 to the end of the B section (measure 81), Héту writes:

At the culminating point, the descending movement emphatically returns, together with the modulation on the pedal note, A. Note that the chords in parallel motion (inverted major chord with a 9<sup>th</sup>) ‘leave’ the different transpositions of mode 2 in the penultimate eighth note of measures 71 and 72. The transpositions continue until the return of the original scale (m. 76) which will be maintained until the end. So, model (m. 71) and sequences with eliminations ... [.]<sup>577</sup>

Although Héту does not break this passage into stages in his analysis here, one can infer stages 6-8 of the B section as measures 71-75, measures 76-79, and measure 80-81, respectively. Figure 10.8 shows stages 6-8.

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<sup>577</sup> Ibid. Original: “Au point culminant, retour en force des mouvements descendants, de pair avec la modulation sur la note pédale La. À noter que les accords en parallélisme (accord parfait majeurs avec la 9ème inverse) ‘sortent’ des différentes transpositions du mode 2 à l’avant-dernière croche des mesures 71 et 72. Les transpositions se poursuivent jus ’au retour de l’échelle originale (mes. 76) qui se maintiendra jusqu’à la fin. Donc, modèle (mes. 71) et séquences avec éliminations...[.]”

The image displays three stages of a musical score for guitar. Stage 6 (measures 71-73) features a 'model' with 'Poco ritenuto' and 'sim.' dynamics, followed by a 'sequence' with 'Poco a poco' and a 'sequence with elimination' with 'a tempo' and 'dim.' dynamics. Stage 7 (measures 74-76) includes a 'sequence with elimination', 'varied sequential repetition' with 'Rit.' and 'a tempo' markings, a 'model' with 'a tempo', and another 'sequence'. Stage 8 (measures 77-79) shows a 'model', a 'sequence' with 'Rit.', and 'Delicatissimo' dynamics. The score is written in treble clef with various time signatures and includes performance instructions like *ff* and *p*.

Figure 10.8 Stages 6-8 of the B section of the “Ballade,” mm. 71-81. © With kind authorization from Les Éditions Doberman-Yppan.

Stages 6-7 achieve a gradual release of built-up tension, reversing the processes of stages 1-5. Stage 6 begins with the sequential repetition of a single-measure model. This is followed by two sequential repetitions, with the third beat of the model eliminated and a third varied repetition of the original length. One notes that the gesture here directly imitates the opening two measures of stage 4, measures 66-70, but in an inverted fashion. Stage 7 marks the return of the  $OCT_{1,2}$  (which is maintained until the end of the movement). Again, there is a sequential repetition of a single-measure model. This is followed by two varied statements of the model. The number of voices decreases (there is one melodic voice in measure 79), and the register returns to the lower part of the guitar range. Elimination of parts of the repeated model also contributes to a sense of movement here. Finally, in stage 8, a very sparse texture is achieved. The overall

effect of stages 6-8 is that of reduction. As Fowler notes about these last two measures of the B section, “the rhythmic figure is reduced to a skeleton of the original.”<sup>578</sup>

This marks the end of the B section material. A transition-anacrusis (similar to the ones preceding the A and A<sub>1</sub> sections) leads to a recapitulation of the A section in its entirety. Finally, a transition-anacrusis identical to the one in the A section leads to a coda containing modified introductory material. As Hétu summarizes, “Then, [a] transition-lead-in, reprise of the initial theme and a short coda on the elements of the introduction (mm. 111 to 115), but ending in the ‘tonic,’ of course ...[.]”<sup>579</sup>

One can summarize Hétu’s formal analysis of the movement with Table 10.2.

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<sup>578</sup> Fowler, “Jacques Hétu’s *Suite*,” 51.

<sup>579</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | Folder 1, Box No. 27, “Email Correspondence with François Fowler,” Jan. 18, 2000. Original: “Puis, transition-anacrouse, reprise du thème initial et brève coda sur les éléments [sic] de l’introduction (mes. 111 à 115), mais se terminant à la “tonique,” bien entendu...[.]”

Table 10.2A summary of the ternary form of the “Ballade.”

<b>Intro</b>	mm.1-5:	“head” of A theme Model and sequence
	mm.6-7:	Transition-Anacrusis I
<b>A</b>	mm. 8-26:	A theme <ul style="list-style-type: none"> <li>- Part I: A theme Model (mm. 8-11)</li> <li>- Part II: repetition of model, expanded (mm. 12-18)</li> <li>- Part III: 4 mm. model. and sequence (mm. 19-26)</li> </ul>
	mm. 27-32:	Closing Section <ul style="list-style-type: none"> <li>- model (mm.27-28)</li> <li>- sequence of model (mm. 29-30)</li> <li>- triplet descending motive and ascending-descending motive (mm. 31-32)</li> </ul>
	mm. 33-34:	Transition-Anacrusis I (almost identical to mm. 6-7)
<b>A<sub>1</sub></b>	mm. 35-51:	A theme <ul style="list-style-type: none"> <li>- model (mm. 35-38)</li> <li>- repetition of model, expanded (mm. 39-45)</li> <li>- 4 mm. model + 2 mm (mm. 46-52)</li> </ul>
	mm. 52-53:	Transition-Anacrusis II (descending triplets)
<b>B</b>	mm.54-83	development of mm. 31-32 <ul style="list-style-type: none"> <li>- stage 1: 2 mm. model + repetition (mm. 54-57)</li> <li>- stage 2: 2 mm. model + repetition (mm.58-61)</li> <li>- stage 3: 2 mm. model + repetition (mm.62-65)</li> <li>- stage 4: 1 m. model + repetition (mm. 66-67)</li> <li>- stage 5: 1 m. model (6/8) + varied repetition + extended repetition (mm.68-70)</li> <li>- stage 6: 1 m. model + sequences/eliminations, break from OCT<sub>1,2</sub> (mm. 71-81)</li> <li>- stage 7: (mm. 76-79)</li> <li>- stage 8: (mm. 80-81)</li> </ul>
	mm. 82-83:	Transition-Anacrusis I (almost identical to mm. 6-7)
<b>A</b>	mm. 84-108	A theme, Closing Section, and Transition-Anacrusis I (identical recapitulation of A)
<b>Coda</b>	mm.111-115:	nearly identical to introduction, except ends in E

The reason for the use of the title “Ballade,” as with the titling of the “Nocturne,” is not entirely clear. Complicating matters further is the program notes for the “Ballade”

which states that the movement is “constructed in the manner of Scherzo.”<sup>580</sup> The genre implications of the ballade (such as Chopin’s four ballades) are more related to a general “narrative style”<sup>581</sup> than to a specific formal design. However, Hétu did use the title before in his oeuvre for a single-movement solo piano piece, *Ballade*, Op. 30 (1978). In Roger Knox’s analysis of the piece, he finds that Op. 30 shares some similarities with Chopin’s seminal ballades.<sup>582</sup> As in the “Nocturne,” the lack of a formal connection here to the ballade genre leads one to believe that the title was meant to invoke associations of the Romantic period and, specifically, Chopin. Hétu’s direct implication of a scherzo structure in the movement is, at least to some degree, discernible. Assuming that he meant the Classical usage of the genre following Beethoven,<sup>583</sup> the “Ballade” does fit some of the expectations: a fast-paced movement in 3/4 time, following a ternary-form structure (akin to the scherzo-trio-scherzo large scale form).

The sketches show the creative process in developing these formal structures of the “Ballade.” After a general analysis of some of the strategies Hétu used regarding the octatonic pitch collection, the sketches will be explored and used to shed further light on the movement.

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<sup>580</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | D,50, “Suite pour guitare, Opus 41,” file consisting of concert programs, program notes and a press clipping. Original: “construite à la manière d’un Scherzo.”

<sup>581</sup> Maurice J.E. Brown, “Ballade,” *Grove Music Online*, ed. Deane Root, accessed 7 July, 2018. <http://www.oxfordmusiconline.com>.

<sup>582</sup> Roger Martin Knox, “A Neo-romantic’s World: Pitch Organization in Jacques Hétu’s *Ballade* op. 30,” (PhD diss., ESM University of Rochester, 1988).

<sup>583</sup> Tilden A. Russell and Hugh Macdonald, “Scherzo,” *Grove Music Online*, ed. Deane Root, accessed 7 July, 2018. <http://www.oxfordmusiconline.com>.

## 10.2 Pitch Collections in the Published “Ballade”

Like the “Nocturne,” this movement largely stays within the OCT<sub>1,2</sub>. In his correspondence with Fowler, Hétu alludes to three strategies that he uses in the “Ballade” to control the sense of tonal centrality and degree of harmonic stability. First, Hétu controls the way a complete statement of the octatonic collection is achieved in a small passage of music in order to manage a sense of tonal centrality. Second, within one octatonic collection, the composer superimposes musical lines that draw from two sub-collections of the octatonic collection. Upon further exploration of this, one notices that, depending on the orientation of these linear sub-collections, harmonic tension or release can be provided analogous to gestures used in common-practice tonality. Third, as already mentioned above, Hétu controls a sense of tension in the climactic stage 7 of the B section through the use of OCT<sub>1,2</sub>, OCT<sub>2,3</sub> and OCT<sub>0,1</sub> in quick succession. Before examining what the sketches contribute to our understanding of Hétu’s compositional process in the “Ballade,” these techniques will be examined here first, as found in the published version.

Fowler notes that, in order to control the tonal centrality of a passage, Hétu often uses “a technique by which all eight pitch classes of the octatonic collection are used in a short section of music.”<sup>584</sup> An example of this is the A theme head found in the opening two measures of the introduction (see Figure 10.9).

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<sup>584</sup> Fowler, “Jacques Hétu’s *Suite*,” 42.



Figure 10.9 Mm. 1-2 of the “Ballade.” © With kind authorization from Les Éditions Doberman-Yppan.

Here, seven of the eight pitch classes of  $OCT_{1,2}$  (F, E, A flat, B flat, B, G, and D) are stated in measure 1 and the pick-up measure. The eighth pitch-class member of the collection, D flat, occurs as the root of a major chord with an added minor ninth in measure 2. According to Héту, this technique allows the composer to emphasize a particular tonal centricity based on the eighth stated pitch-class – in this case, D flat. Héту states this outright in his correspondence with Fowler. He writes, “Regarding the statement of 7 notes of the mode before the 8th, which often takes the form of a fundamental (measures 2, 5, 112 and 115 of the “Ballade”), it is a process that I have always used ...[.]”<sup>585</sup> Although examples can be found in the “Nocturne” (for example, the cadences emphasizing an E tonal centre in measures 22-25 and 28-29, or the cadences emphasizing a G tonal centre in measures 5-7 and 14-16), this technique seems particularly acute in this movement based on the nature of the motivic material.

Héту uses this technique to give the introduction a sense of openness and the coda a sense of closure. In comparing the introduction with the coda, we have already noted that the introduction (measure 1-7) and coda (measures 111-115) are largely identical save for their final notes and terminal chords: an E major chord in the coda and a G major chord with an added flat ninth in the introduction (see Figure 10.10).

<sup>585</sup> Library and Archives Canada, Jacques Héту Fonds, MUS 279 | Folder 1, Box No. 27, “Email Correspondence with François Fowler,” Jan. 17, 2000.

Introduction (mm.1-5)

Coda (mm.111-115)

Figure 10.10 The introduction and coda of the “Ballade.” © With kind authorization from Les Éditions Doberman-Yppan.

The opening notes of each (F-E-A flat-B flat-B) provide a strong sense of E as a tonal center, with the E and A flat or G sharp implying an E major chord. In the introduction, one passes from a sense of E centricity to D flat centricity (as D flat is the last stated member of the octatonic collection). Héту then uses his technique to produce G as the eighth stated member of  $OCT_{1,2}$  (measure 5), providing a sense of G tonal centricity. The feeling is, thus, one of open-ended-ness in the introduction – one awaits the return of E. In the coda, the notes are modified such that E, the root of the final chord (measure 115), is the last member of the  $OCT_{1,2}$  stated. Thus, Héту is able to give coda the feeling of a closed gesture (beginning in E and ending in E) and also end the piece with a strong sense of E centricity.

While this technique gives Héту a way to provide tonic centricity in such a non-diatonic setting, he finds that the degree of centricity can be controlled depending on the relative duration of time spent on the final pitch class. Héту relates this in his correspondence with Fowler stating that presenting all eight of the members of the octatonic collection can produce a sense of centricity. However, he writes, “if this 8<sup>th</sup> note

only passes quickly, the tonal impression remains ‘floating.’”<sup>586</sup> He continues, “The statement of the theme of the ‘Ballade,’ in its first two sections (measures 8 to 26), is in this ‘gray zone,’ tonally multiple and undefined.”<sup>587</sup> One notes that the head of the A theme model (measures 8-9), upon which the introduction is based, limits the duration of the eighth and final member of the octatonic collection, C sharp, before another pitch class is heard (an eighth note later). In comparison with measures 1-2 of the introduction (which presents the same material), the sense of a single tonal centricity is undermined producing this so-called tonal “gray-zone.”

While Fowler notes this technique of presenting all eight members of the octatonic collection, he neglects to mention an important aspect of Hétu’s harmonic language in this movement. He does not mention Hétu’s grouping of the octatonic collection into linear sub-collections based on diminished seventh chords— a strategy to which Hétu alludes in his correspondence with Fowler. Hétu states,

The interval of the tritone is included in the diminished 7<sup>th</sup> chord, which is the basis of mode 2. It includes two diminished 7<sup>th</sup> chords at a distance of one semitone. This is clearly presented at the beginning of the theme of the Ballade: m. 8 and two beats of m. 9, the upper voice on the chord, B-D-F-A flat, the lower voice on A sharp (B flat) – C sharp – E – G followed by a reversal of the chords from the 3<sup>rd</sup> beat of the measure 9, then gradual return to the initial position. These two zones allow me to make a counterpoint, because this theme can be defined as a canon at a minor 9<sup>th</sup> interval and at a distance of an eighth note.<sup>588</sup>

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<sup>586</sup> Ibid.

<sup>587</sup> Ibid.

<sup>588</sup> Ibid. Original: “Le rapport de triton est inclus dans l’accord de 7ème diminuée, lequel est à la base du mode 2. Celui-ci comprend deux accords de 7ème dim. à distance d’un demi-ton. Ceci est clairement présenté au début du thème de la Ballade : mes. 8 et deux temps de la mes. 9, la partie supérieure est sur l’accord Si-Ré-Fa-Lab, la partie inférieure sur La# (Sib)-Do#-Mi-Sol suivi d’une inversion des accords à partir du 3ème temps de la mesure 9, puis retour graduel à la position initiale. Ces deux zones me permettent de faire un contrepoint, car ce thème peut être défini comme un canon à intervalle de 9ème mineure et à distance d’une croche.”

While it is true that this passage begins with a substantial canonic portion (the pitch classes of the upper line, F-A flat-B-D-A flat, are imitated in the bass line at distance of a semitone, E-G-B flat-C sharp-G), this structure does not sufficiently account for the entire design of the A theme model. However, Hétu's indication that he uses two sub-collections of the octatonic collections, two diminished seventh chords, presented in linear superimposition highlights an important aspect of the organization of the A theme. This specific technique has been noted by Elliot Antokoletz in the music of Scriabin, and it is worth briefly describing here.

Antokoletz identifies the use of linear sub-collections (the identical ones as in the "Ballade") in Scriabin's "Prelude No.3" from *Preludes*, Op.74. Within Scriabin's strict use of OCT<sub>0,1</sub> (with negligible foreign passing tones), Antokoletz finds that "the accompaniment is linearly portioned into two equivalent cyclic sub-collections of the octatonic set: the alto and tenor line each unfold one of two diminished-seventh chords (A#-C#-E-G), while the bass unfolds the other (B#-D#-F#-A)."<sup>589</sup> In Figure 10.11, one can see Scriabin's confinement of the bass voice and tenor voice to two different linear sub-collections, based on diminished sevenths chords similar to Hétu's strategy in the "Ballade."

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<sup>589</sup> Elliott Antokoletz, *Twentieth-century music* (Englewood Cliffs, N.J.: Prentice Hall, 1992), 102.

The image shows a musical score for Scriabin's "Prelude No. 3," Op. 74, measures 4-7. It features two staves: a treble staff (tenor voice) and a bass staff (bass voice). The treble staff has a key signature of one sharp (F#) and a time signature of 3/4. The bass staff has a key signature of two sharps (F# and C#) and a time signature of 3/4. The score includes dynamic markings: *f* *comme un cri* in measure 4, *p subito* in measure 5, and *cresc.* in measure 7. The sub-collections are indicated by brackets and labels: C#<sup>07</sup> in the treble staff and B#<sup>07</sup> in the bass staff. The notes in the sub-collections are: C#<sup>07</sup> (C#4, D#4, E#4, F#4, G#4, A#4, B#4) and B#<sup>07</sup> (B#3, C#4, D#4, E#4, F#4, G#4, A#4).

Figure 10.11 Mm. 4-7 from Scriabin's "Prelude No.3," Op. 74, showing linear sub-collections (C#<sup>07</sup> and B#<sup>07</sup>) in the bass and tenor voices (the G sharp and the E sharp in mm. 5 and 7 are outside the prevailing OCT<sub>0,1</sub>).<sup>590</sup>

Here, stability is achieved through the consistency of the orientation of these layered sub-collections. Antokoletz points out that some control of harmonic tension is achieved through a further grouping of the bass sub-collection into two groups of notes: B sharp – F sharp and D sharp – A. Generally, however, a harmonic stasis is achieved.

Hétu's use of the technique in the "Ballade," is to control harmonic movement – or the lack thereof, as sometimes stasis is the goal (as in the Scriabin example above). The two possible diminished seventh chords available in OCT<sub>1,2</sub> can be considered to be rooted on B and C sharp (the chord spellings are taken from Hétu's general use in the A theme). Figure 10.12 shows these two diminished seventh chords as sub-collections of octatonic collection I.

The image shows a musical staff with a treble clef. The staff contains a sequence of notes: C4, D4, E4, F4, G4, A4, B4, C5. This is followed by two diminished seventh chords: B4 diminished seventh (B4, D#4, F#4, A4) and C#4 diminished seventh (C#4, E4, G#4, B4). The text "2 diminished 7ths" is written above the staff.

Figure 10.12 Two sub-collections of the OCT<sub>1,2</sub>: B diminished seventh chord and C sharp diminished seventh chord.

For the majority of the A theme, the introduction and coda, Hétu presents two lines that superimpose these sub-collections: the B diminished seventh chord above the C sharp

<sup>590</sup> A.N. Scriabin, *Polnoe sobranie sochinenii dlia fortepiano, vol.3*, eds. Lev Oborin and Yakov Milstein (Moscow: Muzgiz, 1953).

diminished 7<sup>th</sup> chord or the inverse of this. For example, in the introduction and coda, the consistency of this orientation of the B diminished seventh sub-collection over the C sharp diminished seventh sub-collection throughout these initial measures gives a stability to these sections similar to Scriabin's prelude. Figure 10.13 shows the sub-collections used in the introduction and coda.

**Intro**

**Coda**

where ♩ = C<sup>#07</sup> and ♩ = B<sup>07</sup>

Figure 10.13 The introduction and coda of the “Ballade,” mm. 1-5 and 111-115.

One can see that Hétu confines the upper voice to the pitch classes F, A flat, B and D while keeping the lower voice on the pitch classes E, B flat, G and D flat (the A flat bass note in measure 2 is an exception to this linear grouping that can be permitted based on its subservience to the D flat as the root of this chord).

The relative sense of stasis of these passages is reinforced by the limited variety of intervals possible within this linear sub-collection orientation. The nature of the octatonic collection is such that the interval content of any two simultaneous notes (i.e. a note from the upper voice and lower voice) in this passage in the “B<sup>07</sup> over C<sup>#07</sup>” orientation is

restricted to only four ordered pitch-class intervals: 1 (minor second), 4 (major third), 7 (perfect fifth), and 10 (minor seventh).<sup>591</sup> This is shown in Figure 10.14.

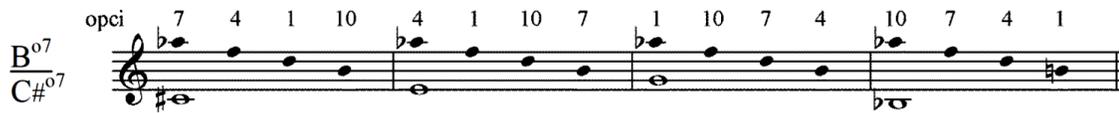


Figure 10.14 The opci possible between any two superimposed notes in a  $B^{o7}/C\#^{o7}$  orientation.

Thus, there is a high degree of invariance with regard to the interval content of the introduction and coda of the “Ballade,” which contributes to a relative sense of stasis (Héту’s technique of stating the eight members of the octatonic collection in short succession discussed above also affecting stability through shifting sense of tonal centricity). This stability is enhanced by Héту’s emphasis of the intervals that make up a major chord: opci 4 (major third) and opci 7 (perfect fifth). Indeed, as opposed to the  $C\#^{o7}/B^{o7}$  orientation, the  $B^{o7}/C\#^{o7}$  orientation allows the use of the major triads (even with an added minor ninth, opci 1, an interval that is also possible) that produce a sense of tonal centricity or cadential close in the introduction and coda: E major, G major, and D flat major. However, Héту does not limit the “Ballade” to the  $B^{o7}/C\#^{o7}$  orientation.

In contrast to the introduction and coda, the A theme utilizes both the  $B^{o7}/C\#^{o7}$  orientation and the  $C\#^{o7}/B^{o7}$  orientation. This latter orientation produces a whole other set of interval possibilities (the inversions of the former): opci 2 (major second), 5 (perfect

<sup>591</sup> The use of the term ordered pitch-class interval (opci) is taken from Joseph N. Straus, *Introduction to Post-tonal Theory* (New York: W.W. Norton & Company, 2016), 9-10. This interval conception provides the number of semitones between pitch classes considered to be within the octave. The largest opci is 11 regardless of the actual pitch interval between two notes. In this case, one considers the lower note to be first and the higher note to be second.

fourth), 8 (minor sixth), and 11 (major seventh). Figure 10.15 demonstrates these possible opcis in the  $C\#^o/B^o$  orientation.

Figure 10.15 The four opcis possible in a  $C\#^o7/B^o7$  orientation.

It is argued here that these two orientations produce different degrees of stability in Héту’s musical language. In contrast to the  $B^o7/C\#^o7$  orientation, the  $C\#^o7/B^o7$  orientation produces intervals that do not allow the features of a root-position major triad – a basic hallmark of Héту’s style. This contributes to the sensation in the “Ballade” that the  $C\#^o7/B^o7$  orientation is overall more tense and unstable than the  $B^o7/C\#^o7$  orientation. Making a loose analogy to common-practice tonal function, one can assign the  $B^o7/C\#^o7$  orientation as “regular” or “tonic” in this movement, and the  $C\#^o7/B^o7$  orientation as “irregular” – or, following the analogy, “non-tonic” or “dominant.” Although some of the intervals of the “non-tonic/dominant” orientation may be traditionally more stable than the “tonic” orientation (for example, a minor second, opci 1, could be traditionally considered more dissonant than a major second, opci 2), Héту’s privileging of the major triad as a consonant entity gives the “tonic” orientation more stability. Thus, within the “tonic” orientation, the intervals inherent to the major triad are available and often utilized by Héту. However, in the “non-tonic/dominant” orientation, these intervals are unavailable, and Héту’s favored triadic endings are not possible. In essence, Héту relies on the “tonic” orientation to “complete” passages in the “non-tonic/dominant” orientation in a similar way to tonic and dominant chords in functional harmony. Another contributing factor to the perception of the  $B^o7/C\#^o7$  orientation as regular is the

presentation of only this orientation in the introduction and coda. This makes the  $C\#^{o7}/B^{o7}$  orientation and its possible harmonic intervals seem divergent by contrast.

Hétu uses the two linear sub-collection orientations to control the tension and release and ultimately compose an A theme that exhibits characteristics of two hallmarks of Classical phrase structure: sentence structure and a parallel period structure. The A theme model, in this way, shows characteristics of the sentence. As Hétu states in his correspondence with Fowler, measures 8-9 are in an orientation in which the  $B^{o7}$  chord is over the  $C\#^{o7}$  chord, which is then “followed by a reversal of the chords from the 3rd beat of the measure 9, then gradual return to the initial position.”<sup>592</sup> One notable consequence of these changes in linear sub-collection orientation is that the model for the A theme exhibits a similar feature in its phrase structure to Classical sentence form, according to William Caplin’s definition.<sup>593</sup> Figure 10.16 shows the model of the A theme identifying the linear sub-collection orientations and features of sentence structure.

Figure 10.16 Sentence structure in the A theme model, mm. 8-11 of the “Ballade.”

<sup>592</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | Folder 1, Box No. 27, “Email Correspondence with François Fowler,” Jan. 17, 2000.

<sup>593</sup> William Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven*, (Oxford: Oxford University Press, 1998), 35.

Caplin, following Schoenberg, finds sentence structure to be in two phases: a presentation phase and continuation phase.<sup>594</sup> In the presentation phase, a basic idea is presented and repeated in an overall prolongation of tonic harmony. In the A theme model, one finds the features of a presentation phase: a basic idea (what Hétu refers to as the “head” of the theme in measure 8), is followed by a variation of the basic idea in measure 9 (see Figure 10.16). The fact that this presentation phase is in the “tonic” linear sub-collection orientation follows Caplin’s definition as well, providing the phrase a stability from which the continuation phase can harmonically deviate. In general, the continuation phase typically uses the basic idea but in a fragmented form, liquidating basic idea features and increasing the harmonic rhythm.<sup>595</sup> One also finds aspects of the continuation phase here. A variation of the basic idea is stated in measure 10 which is no longer in canonic presentation and in the “non-tonic/dominant” orientation. This statement of the basic idea is cut short by the upper voice on beat three contributing to a sense of fragmentation. From beat three of measure 10 to the first half of measure 11, one finds another more fragmented version of the basic idea (two beats in length compared to three beats) in the “tonic” orientation. A final fragment of the basic idea is present on beat two of measure 11 in the “non-tonic/dominant” orientation. The shortening of the measure from 3/4 in measures 8-10 to 2/4 in measure 11 also contributes to “the impression of mobility essential to the continuation function” noted by Caplin.<sup>596</sup> With the exception of a strong cadential function (a characteristic of traditional sentence

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<sup>594</sup> *Ibid.*, 35-40.

<sup>595</sup> *Ibid.*

<sup>596</sup> *Ibid.*, 41.

structure), the effect here is one that broadly mimics features of Classical sentence structure.<sup>597</sup>

The parallel period, another Classical phrase structure, is also exhibited in the A theme. One recalls that Part II of the A theme continues with an exact repeat of the model in measures 12-15. This is elongated by three statements of the A theme “head” in sequential repetition in measures 16-18 (each statement transposed down a minor third), which are in the “tonic” orientation. Broadly, Caplin gives the period as made of an antecedent phrase and consequent phrase in which the latter has a stronger cadential function than the former.<sup>598</sup> In this way, Part I and II of the A theme as a whole can then be heard as one 11-measure asymmetrical parallel period: measures 8-11 function as the antecedent phrase ending on the “non-tonic/dominant” orientation and measures 12-18 function as the consequent phrase ending with a prolongation of the “tonic” orientation (see Figure 10.17).

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<sup>597</sup> *Ibid.*, 35-40.

<sup>598</sup> *Ibid.*, 49.

Figure 10.17 The asymmetrical parallel period structure of Part I and II of the A theme (mm. 8-18).

The three sequential statements of the A theme “head” in measures 16-18 have the analogous function of a stronger cadence than one finds in traditional consequent phrases. The harmonic stability and stasis that one found in the introduction is again achieved. The move to lower registers in this passage, and the finish in measure 18 on a major third interval (C sharp – F) accentuate the stability of this “tonic” passage.

The A section as a whole utilizes these linear sub-collections for specific effect. Part III of the A theme (measures 19-26) further demonstrates Hétu’s controlled use of “tonic” and “non-tonic/dominant” linear sub-collection orientations. As one sees in Figure 10.18, this eight-measure section shows a juxtaposition of “tonic” and “non-tonic/dominant” oriented units.

Figure 10.18 The second section of the A theme, mm. 19-26, showing linear sub-collection orientations.

The first four-measure unit in measures 19-22 thus alternates orientations each measure. This alternation of “non-tonic/dominant” and “tonic” measures gives a sense of completion to the initial four measures of this theme (measures 19-22), as they end on a “tonic” orientation. This is then repeated in measures 23-26, transposed up a minor third. What is notable about these latter four measures is the way Hétu diverts from the model toward the end. In measure 26, Hétu alters the pattern: the “tonic” oriented opening of measure 26 is followed by two *opci* 11 dyads on beat three in the “non-tonic/dominant” orientation. Hétu altered the governing pattern in order to precede the “tonic” oriented chord on the downbeat of measure 27 with a “non-tonic/dominant” orientation and increase the harmonic rhythm of the final moments of the passage.

The reprise of Part III of the A theme in the A<sub>1</sub> section of the movement, measures 46-51, accelerates the harmonic rhythm and contracts the second four-measure unit. Figure 10.19 shows the linear sub-collection orientations of the resulting contracted passage in measures 50-51.

Figure 10.19 Part III of the A theme in the A<sub>1</sub> section, mm. 50-51.

Fowler notes that, while measures 46-49 are identical to the parallel passage in the A section (measures 19-22), measures 50-51 present a contracted version of measures 19-26.<sup>599</sup>

Finally, the closing section of the A section (measures 27-32) also uses this technique. One notes that the linear sub-collections are less obvious (the passage largely consists of major triads and scalar material). However, if one disregards the scalar passage work, the “tonic” orientation governs this section. Figure 10.20 shows this closing section of the A section.

Figure 10.20 Mm. 27-32 of the “Ballade.”

<sup>599</sup> Fowler, “Jacques Hétu’s *Suite*,” 46.

The final measure of this section deviates from the majority of the A section up to this point, in that the linear sub-collections are not adhered to. The E of the E minor chord in first inversion on the first beat of measure 32 emphasizes this abandonment of the linear sub-collection structure. As we will see from the sketches, this E was not in the initial version of this measure. An A flat was written instead, making this chord originally adhere to the “tonic” linear sub-collection orientation.

Hétu’s use of linear sub-collections to give definition to his “contrapuntal fabric” while capitalizing on the intervals available within these orientations shows a marked exploration of the harmonic possibilities of staying within one octatonic collection. In contrast, the B section of the movement shows Hétu’s technique of juxtaposing the three octatonic collections in quick succession. Like the A section, the majority of the B section is exclusively in OCT<sub>1,2</sub>. However, in the climactic stage of this section (measures 71-75), Hétu draws on OCT<sub>2,3</sub>, OCT<sub>0,1</sub> as well as OCT<sub>1,2</sub> in order to provide instability and tension.

As detailed in Hétu’s formal summary above, the climax of this section is achieved in the sixth stage, measures 71-75, with the initiation of an A pedal point. One can further delineate this stage into two sub-stages: measures 71-72 and 73-75. Figure 10.21 shows the three octatonic collections used in stage 6 over an A pedal.

Figure 10.21 Stage 6 of the B section of the “Ballade,” mm. 71-75, showing the use of octatonic collections OCT<sub>1,2</sub>, OCT<sub>2,3</sub> and OCT<sub>0,1</sub>.

In his analysis of the *Suite*, Fowler finds that the A pedal in this passage can be heard as a resolution of sorts. He states that the repeated E pedal tone and accompanying D and B bass notes in the first five stages of the B section give a feeling of a dominant E chord that resolves (in a V-I motion) to the climactic A pedal of measure 71-75.<sup>600</sup> While this is possible hearing of the function of the E pedal within common-practice tonality, considering Hétu’s modern musical language, the opposite interpretation could be heard: the A pedal provides tension. Following Antokoletz, this “dominant preparation” simply resembles a “traditional tertian chord,” which in this case is no more than a “nonsymmetrical substructure of the octatonic set.”<sup>601</sup> In fact, this A pedal in measure 71 is the first note outside OCT<sub>1,2</sub> in the work. Stage 6 provides tension by juxtaposing groups of the three octatonic collections in close proximity over this A pedal. Contrary to Fowler’s analysis, the foreign collections OCT<sub>2,3</sub> and OCT<sub>0,1</sub> are the harmonically

<sup>600</sup> Fowler, “Jacques Hétu’s *Suite*,” 51.

<sup>601</sup> Antokoletz, *Twentieth-century Music*, 102.

unstable elements. The tension built from the opening of the B section is only resolved when OCT<sub>1,2</sub> returns at the beginning of stage 7, measure 76 (and for the rest of the movement). In stages 7 and 8 the motivic material is presented at successively lower transpositions, with textural thinning and motivic fragmentation, emphasizing the return to stability that is achieved by the return to OCT<sub>1,2</sub>. Héту notes this strategy in his correspondence with Fowler:

The ‘Ballade’ only uses the notes of mode 2 in E (E-F-G-G#-A#-B-C#-D, these being the same notes as the last 22 measures of the previous piece) and this for the first 70 measures of the piece. Then, 5 measures, using the missing notes (whose A breaks the system and produces a very calculated effect on my part, this note having not been heard since measure 40 of the ‘Nocturne’ ... [plus] the open string, [plus] the fortissimo!) At measure 76, the return to the notes of the mode.<sup>602</sup>

Similar pervasive use of the octatonic collection has been identified by scholars in the works of Stravinsky, Bartók, Messiaen and Scriabin in the early twentieth century. Scriabin’s octatonic techniques have a particular similarity with Héту’s (as noted above). Regarding Scriabin’s piano works, Peter Deane Roberts states that “Scriabin was the first in Russia to use the octatonic scale systematically as the basis of chord structure and chord progression.”<sup>603</sup> Cheong Wai-Ling has suggested that Scriabin utilized octatonic collections in a way analogous to key areas in his sonata-allegro form movement from the Sixth Sonata. The scholar states, “the Sixth Sonata shows Scriabin experimenting with the octatonic at its most rigid and is unique in containing long spans of pure octatonic

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<sup>602</sup> Library and Archives Canada, Jacques Héту Fonds, MUS 279 | Folder 1, Box No. 27, “Email Correspondence with François Fowler,” Dec. 1, 1999. Original: “la Ballade n’utilise que les notes du mode 2 sur Mi (Mi-Fa-Sol-Sol#-La#-Si-Do#-Ré, soit les mêmes sons que les 22 dernières mesures de la pièce précédente) et ce pour les 70 premières mesures de la pièce. Puis, après 5 mesures utilisant les notes absentes (dont le La qui brise le système et produit en effet très calculé de ma part, cette note n’ayant pas été entendue depuis la mesure 40 du Nocturne... + la corde à vide + fortissimo !) À partir de la mes. 76, retour aux notes du mode.”

<sup>603</sup> Peter Deane Roberts, *Modernism in Russian piano music: Skriabin, Prokofiev, and their Russian contemporaries, Volume 1*. (Indiana University Press, 1993), 74.

writing where not a single extraneous note is invoked.”<sup>604</sup> These “spans of pure octatonic writing” show juxtaposition of octatonic collections.

This sectional use of octatonic collections is a strategy also used by Messiaen throughout many of his early works including *Le Banquet Céleste* for organ (1928). Like the majority of his modal works, this piece uses the octatonic collection (Messiaen’s second mode of limited transposition) in several transpositions within phrases. Figure 10.22 shows the opening two measures and the oscillation between OCT<sub>1,2</sub> and OCT<sub>0,1</sub> in each measure.

The figure displays a musical score for the opening of Messiaen's *Le Banquet Céleste*. The score is in 3/2 time, key of D major (two sharps), and marked 'G R. pp legatissimo'. The first two measures are shown. The first measure is labeled OCT<sub>1,2</sub> and the second measure is labeled OCT<sub>0,1</sub>. The notes are grouped into boxes, with some notes marked with a star to indicate they are outside the prevailing octatonic collection. The score shows an oscillation between OCT<sub>1,2</sub> and OCT<sub>0,1</sub> in each measure.

Figure 10.22 Mm. 1-2 of Messiaen’s *Le Banquet Céleste* showing the sectional use of OCT<sub>1,2</sub> and OCT<sub>0,1</sub> (the starred notes are outside the prevailing collection). © With kind authorization from Éditions Musicales Alphonse Leduc.<sup>605</sup>

For Messiaen, according to Glenn Watkins, the use of a single octatonic collection over an extended passage is rare compared to juxtaposition or superimposition. This is perhaps

<sup>604</sup> Cheong Wai-Ling, “Scriabin’s Octatonic Sonata,” *Journal of the Royal Musical Association* 121, no. 2 (1996), 206.

<sup>605</sup> Olivier Messiaen, *Le Banquet Céleste pour Orgue* (Paris : Alphonse Leduc, 1960).

due to his association of color with each transposition of his second mode.<sup>606</sup> From this point of view, a work exclusively in one octatonic collection would be monochromatic.

Even without this personal association of color, Hétu must have been aware of the limitations of working with only eight octatonic pitch classes for extended passages. In large-scale works such as the “Ballade,” harmonic contrast is necessary. It is perhaps this reason that Hétu explores the use of linear sub-collections in the “Ballade.” Scriabin and Messiaen’s multi-collection octatonicism in the previously cited works, use relatively more frequent “modulations” and convey a free use of the octatonic collections. In the “Ballade,” one gets the impression that the composer intentionally restricted himself to one octatonic collection for the majority of the work in order to explore its expressive potential. As we will see, the sketches for this movement provide insight into Hétu’s creative process for the piece including his use of linear sub-collections of the octatonic scale.

### 10.3 Folio 2 (recto)

As noted in Chapter 10, the upper staves (staves 1-12) of fol. 2r contain sketch material related to the “Nocturne.” On the bottom four staves (staves 13-16) of fol. 2r, Hétu wrote the earliest sketches for “Ballade” (originally “Prelude IV”). This includes early versions of “Ballade” material which significantly differs from the published version, such as the A theme model, Part III of the A theme and the transition-anacrusis II to the B section. It also contains the version of the introduction and coda that is identical

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<sup>606</sup> Glenn Watkins, *Soundings: music in the twentieth century*. New York: Schirmer Books, 1988.

to that of the published movement. Staves 13-16 of fol. 2r are given in Figure 10.23 in diplomatic transcription.

Figure 10.23 shows a diplomatic transcription of four staves (13-16) from folio 2r. Staff 13 begins with the tempo marking 'Modere' and the instruction 'Forme en miroir (B2)'. Staff 14 includes the marking 'Coda a tempo'. Staff 15 features 'Rit' (ritardando) markings and an 'Accel' (accelerando) marking. Staff 16 is marked 'Inco' and 'Rit'. The transcription includes various musical notations such as notes, rests, and dynamic markings.

Figure 10.23 Staves 13- 16 of fol. 2r in diplomatic transcription.

It is likely that during the sketch process for the secondary draft of the “Nocturne” (contained on staves 1-11 on this manuscript) or directly after this, Hétu wrote the 22-measure linear sequence of material that contains early versions of passages of the A and B sections of the “Ballade” (on staves 13-16). As described in Chapter 10, the position of the “Ballade” material at this location on the secondary draft of the “Nocturne,” Hétu’s “B2” label at the beginning of staff 13, along with the fact that the 22-measures of “Ballade” material here is generally in E and in 3/4 time suggest that, at one point, this material could have been conceived as secondary B section material of the “Nocturne” movement. This is likely the reason that the “Nocturne” and “Ballade” are the only completely octatonic movements in the *Suite*.

The sketch material on fol. 2r reveals that the “head” of the A theme (measures 8-11) has a connection (albeit indirect) to the “Nocturne” itself. Staff 11 of fol. 2r contains material related to the “Nocturne” that was ultimately discarded which shows a motivic connection to the A theme of the “Ballade.” Figure 10.24 shows the material of this staff.



Figure 10.24 Staff 11 of fol. 2r.

Measures 1-6 of staff 11 show what looks like a discarded ending for what he labels “Nocturne” (it is clear that by this point the composer associated the “Prelude III” with the “Nocturne” label). As discussed in Chapter 10, the discarded ending exhibits three melodic notes (doubled at a span of two octaves), E-F-G, with three chords, the final being G major. This material is directly related to the A theme of the “Nocturne” as the melodic material, E-F-G, are the last three notes of the theme. Setting these three notes in rhythmic augmentation over chords used in the “Nocturne” (including the “tonic” G), as Hétu did here, would be logical for an ending of that movement (it is unclear exactly why he did not use it).

Rhythmically and texturally, the discarded ending is similar to the material directly beside it on staff 11, measures 7-10 (see Figure 10.24). This is possibly an ending for an unachieved version of a B section for the “Nocturne.” The E tonality of the passage and its proximity to Hétu’s ideas for a B section of the “Nocturne” (on the staves above) suggest this. The two passages contain similar rhythm and texture that is repeated: a bass note, melodic note, and chords on separate eighth-note beats. They are also both passages

exhibiting an ending function (there are double bar lines after both). However, what is relevant to the “Ballade” is that the material in measures 7-10 of staff 11 is also directly related to the A theme of the “Ballade.” The same descent from F to E (three octaves apart) that occurs at the head of the A theme of the “Ballade” is repeated three times, over three different chords (G major, B flat minor and E major). The fact that, directly below this material on staff 13, one finds the opening A theme model of the “Ballade” (with the same opening two notes) supports the connection between these passages.

The 22-measure passage that represents the incomplete preliminary draft of this movement is clearly deciphered from Hétu’s arrows on the sketch. After writing attempts of the model of the A theme (as shown by his erasures), Hétu decided upon a version in measures 1-4 of staff 13 in which the bar lines and meters diverge from the A theme model of the published “Ballade” (discussed in detail below). In measures 5-6 of staff 13, Hétu indicates that some of the opening material of this staff should return (this corresponds to Part II of the A theme). He indicates this through the use of stems and beams without note heads to provide a rough shorthand. He provides two measures’ worth of space, so one assumes that he intended to have measures 1-2 of the early version of the A theme model return. What follows is the first four measures of Part III of the A theme. Hétu indicates a repeat of the two-measure model of Part III with the two-measure repeat symbol. An arrow leads to measure 5-7 of staff 15. Here, as in staff 13, Hétu uses the two-measure repeat symbol. However, whereas he uses the two-measure repeat symbol in measures 9-10 of staff 13 to repeat a two-measure unit (measures 7-8), the use of the symbol in staff 15 seems to indicate that a single measure (measure 9) should be repeated twice. This is unusual for Hétu’s notation in his sketches, as he usually writes

two repeat-measure symbols for this function (the sketches for the “Final” demonstrate this). A final arrow leads to the material on staff 16, which constitutes nine measures of the B section (including the repeats that Hétu notates below the staff). Figure 10.25 shows the resulting 22-measure realization.

The musical score consists of five staves. The first staff is marked 'Modéré' and contains a melodic line with various ornaments and dynamics. The second staff is marked 'Accel' and continues the melodic line. The third staff shows a change in tempo and includes a measure with a double bar line and a repeat sign. The fourth and fifth staves feature a dense, rhythmic accompaniment with many sixteenth notes and chords.

Figure 10.25 The 22-measure realization of linear material present on staves 13-16 of fol. 2r.

One notes that this realization, although incomplete, gives the impression of a movement that is shorter in length than the published version. The A section material of this passage flows directly to the B section material (as opposed to the A-A<sub>1</sub> repetition of material in the published “Ballade”). If the B section was seen to completion and the movement returned to the A section material as presented in this sketch, one might have a prelude that is similar to the scope of the first version of the “Prélude” and “Prelude II.”

The model of the A theme of the “Ballade” seems to be the first aspect of the movement conceived.<sup>607</sup> The sketch for this material on measures 1-4 of staff 13 of the fol. 2r suggests that Hétu conceived of two different metric organizations for the A theme model. Upon close inspection, one notices that there two sets of bar lines: dark lines and erased lines (see Figure 10.26).



Figure 10.26 Mm. 1-4 of staff 13 of fol. 2r. Library and Archives Canada, MUS 279 | C5,18, volume 22, photograph by Michael Dias, 2012 (detail).

The erased bar lines, plus some erased notes and note stems, reveal that Hétu seems to have went through three versions of this passage. Figure 10.27 shows the three versions of the passage.

<sup>607</sup> Although it is not easily decipherable, Hétu labels this material “Forme en miroir” and “B2”. This may suggest that Hétu intended to write a variation on the A theme of the “Nocturne” in retrograde or inversion. It is difficult to determine the chronology of the crossed-out labels (“2,” “3,” “A2” etc.). However, these indications make it clear that Hétu was thinking about a continuity between the “Nocturne” and “Ballade” sketches on. Fol. 2r.

A.  $\begin{matrix} B^\circ \\ C^\sharp^\circ \end{matrix}$   $\begin{matrix} C^\sharp^\circ \\ B^\circ \end{matrix}$

B.  $\begin{matrix} B^\circ \\ C^\sharp^\circ \end{matrix}$   $\begin{matrix} C^\sharp^\circ \\ B^\circ \end{matrix}$   $\begin{matrix} B^\circ \\ C^\sharp^\circ \end{matrix}$   $\begin{matrix} C^\sharp^\circ \\ B^\circ \end{matrix}$

C.  $\begin{matrix} B^\circ \\ C^\sharp^\circ \end{matrix}$   $\begin{matrix} C^\sharp^\circ \\ B^\circ \end{matrix}$   $\begin{matrix} B^\circ \\ C^\sharp^\circ \end{matrix}$   $\begin{matrix} C^\sharp^\circ \\ B^\circ \end{matrix}$

Figure 10.27 The three drafts of the A theme model on staff 13, mm.1-4, of fol. 2r where “A” is the erased earliest version, “B” is the later version, and “C” is the latest version (ultimately discarded).

The presence of erased stems indicating quarter-note values for the upper line in measure 1, in addition to the eighth-note values in the bass voice (the downbeat eighth-note rest and the tied eighth-note B flat), indicate that the early version (Figure 10.27a) had the upper voice on the strong beats and the lower voice on the off beats. One notes that the exact state of the latter half of measure 2 at this stage is not possible to decipher. Figure 10.28 gives the detail of the sketch on staff 13 showing the erased bar line and eighth notes in the bass voice.

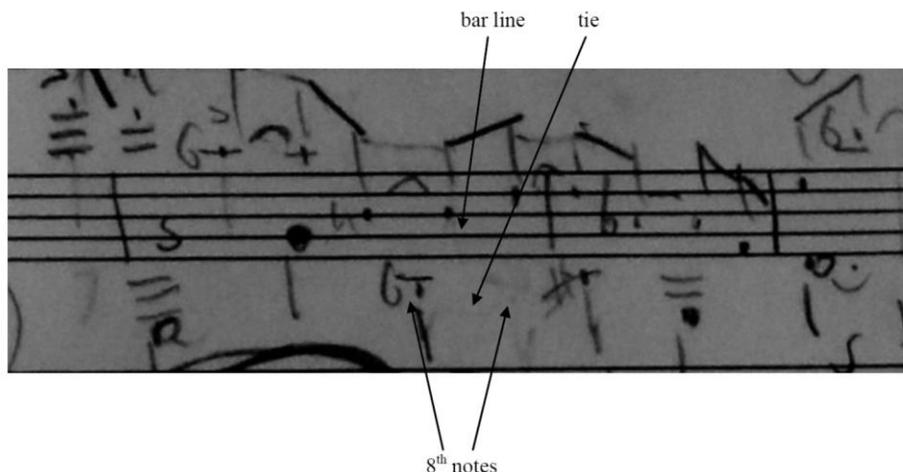


Figure 10.28 Detail of fol. 2r, staff 13, m. 1-2, showing various erasures. Library and Archives Canada, MUS 279 | C5,18, volume 22, photograph by Michael Dias, 2012.

The off-beat orientation seems to have reversed in measure 3 of the early version (see Figure 10.27a). It is notable that Héту maintains the use of the diminished seventh linear sub-collections at this early stage of the conception of the A theme model, and further emphasizes them by keeping the  $B^{o7}$  collection always on the strong beats and the  $C\#^{o7}$  on the off beats.

In the later version (Figure 10.27b), Héту modified the bar lines (erasing/adding bar lines and modifying beaming) and seems to have decided to have the upper line consistently on the off beats. This version is the one that Héту used in the later sketches and ultimately in the published version. However, Héту again changed his mind at some point after this and further modified the metric organization of the passage (see Figure 10.27c). One notes that he changed the barring this last time on fol. 2r in accordance with the linear sub-collection orientations. He created a 2/4 meter in measure 2 and changed the D in measure 3 to be a dotted half note. As seen in Figure 10.27c, this metric grouping emphasizes the changes in the linear sub-collection orientation (perhaps this was Héту's reason for changing the meter). Héту was also concerned with the natural resonance of the guitar, as measure 1 and 3 in this metric grouping are initiated by open

strings (the sixth string in measure 1 and the fourth string in measure 3). The only harmonic dyads (D-E and F-D) also consistently occur on downbeats in this version as well.

After the A theme model, Hétu continues with an early version of Part III of the A theme, which here functions as a transition to the contrasting B section (while Hétu refers to Part III of the A theme as the end of the A theme, it has a degree of transitional function even in the published version). The two-measure model and repeat that one finds in measures 19-22 and 46-49 is present from this early stage, however the transposition of this four-measure unit up a minor third that occurs in the A section of the published “Ballade” is not present here. Instead, material from measure 50 of the published version is presented and repeated, leading to an early version of the transition-anacrusis II to the B section. Figure 10.29 shows the second part of the A<sub>1</sub> section of the published version (measures 46-53) alongside the transitional material of the fol. 2r sketch.

mm. 7-14 of the f.2.r realization

Accel

mm. 46-53 of published “Ballade”

Poco piu mosso

Poco accel.

Figure 10.29 Mm. 7-14 of the 22-measure linear sequence present in the fol. 2r sketch and mm. 46-53 of the published “Ballade.”

The eight measures of B section material in this passage on fol. 2r are similar in their pitch content to the first eight measures of the B section in the published version (measures 54-61). This material constitutes stages 1-2 of the B section. Figure 10.30 presents measures 15-22 of the realization of the fol. 2r sketch alongside the first eight measures of the B section of the published “Ballade” (measures 54-61).

**mm. 15-22 of the fol. 2r realization**

Stage 1

Stage 2

**mm. 54-61 of the published “Ballade”**

Stage 1

Stage 2

Figure 10.30 Stages 1-2 of the B section, as presented in mm. 15-22 of the realization of fol. 2r and mm. 54-61 of the published “Ballade.”

The structure of the repetition of a two-measure model in both stage 1 and 2 (measures 15-22 of the 22-measure realization) is present. The most significant difference here is that in this preliminary version of the stages 1-2 of the B section, Hétu reiterates the low E bass note with every triplet eighth note, whereas in the published “Ballade,” there is one iteration of the E bass note per measure. There are also more iterations of the open strings D and B on the third beat of each measure. The four-voice texture in beat three of the measures in stage 2 in the realization is not present in the published version. In general, the comparably thin texture of the published version could be due to the difficulty in achieving dense textures with continually reiterated notes at a fast tempo on

the instrument. The fol. 2r realization is significantly more difficult than the final version in which low open bass strings ring out under reiterated notes or chords in the treble.

Apart from the textural density differences, there are differences in pitch between the stage 2 on fol. 2r and the published “Ballade.” As one can see in Figure 10.30, measures 20 and 22 of the B section (measures 59 and 61 in the published version) differ from the published version: a descending scalar gesture in measures 59 and 61 of the published version (G sharp-G-D-C sharp-B-B flat) compared to the measure 20 and 22 of the fol. 2r realization (F-G-G sharp-G-F-E). The early fol. 2r version of these measures is also in a register one octave higher compared to the published version. Perhaps Hétu opted for the lower octave version because he knew the general accumulative crescendo and rise in register would take place over many more measures (stages 1-5) in the later version of the movement. Hétu would instill the changes that one finds in the published “Ballade” in the secondary draft of the movement on fol. 6r (explored below).

Underneath the initial writing of the A theme, Hétu provides the introduction and coda material that he would retain until the published version, labeled “coda” (the word “intro” is crossed out underneath). It is clear from the layout of the material on the folio that Hétu wrote measure 1-5, the model of the A theme, on staff 13 and then wrote the coda and introduction material directly underneath afterward. This further supports the composer’s assertion (already demonstrated in his sketches for the first version of the “Prélude” and “Prelude II”) that he generally composes the beginning material and ending material before filling in the middle. Only after working on this ending material did Hétu continue the linear sequence, starting with the repetition of two measures of the A theme model and early version of the third part of the A theme. The placement of the introduction and

coda material on the sketch shows that Hétu wrote a draft of the coda material first.

Figure 10.31 shows staves 14-15 of fol. 2r.

The image shows two staves of musical notation. Staff 14 is a single melodic line in treble clef, ending with a fermata. An arrow points from the end of staff 14 down to the beginning of staff 15. Staff 15 is also in treble clef and contains two parts: a melodic line and a bass line. The melodic line is marked 'Intro' and 'Coda a tempo'. There are two 'Rit' (ritardando) markings on the melodic line. The bass line has an 'Accel' (accelerando) marking. The notation includes various note values, rests, and accidentals.

Figure 10.31 Staves 14-15 of fol. 2r.

After erasing the final notes of this draft (the early erased draft is not legible), he wrote the coda as one finds it in the published version. Finally, he provided a second ending for this material on the staff above (staff 14), indicated by an arrow which conforms to the introduction material in the published version. One notes that the introduction material ends with a G major chord (with an added minor 9<sup>th</sup>) which could support the fact that Hétu may have still been trying to connect this to the “Nocturne” A section (in G major) – and that this may have been conceived as a B section for the Nocturne. It is likely that Hétu initially had labeled the material as both “Intro” and “Coda,” as seen at the opening of staff 15. At some point, Hétu crossed out the “Intro” label and the material which corresponds to the introduction on staff 14. However, this is unlikely an indication of Hétu discarding the introduction material. Hétu used the fol. 2r draft of the coda as part of the secondary draft contained on fols. 5r and 6r. He did not use the introduction material on fol. 2r as part of this secondary draft, opting to rewrite it out on fol. 5r. Thus, Hétu probably crossed out the “Intro” label and introduction material on fol. 2r when he began the secondary draft.

#### 10.4 Folio 5 (recto) and Folio 6 (recto)

Together fols. 5r and 6r contain almost the entire secondary sketch of the “Ballade.” Aside from five measures of a discarded ending on staff 16 on fol. 5r, the material is largely identical to the published version. Hétu wrote the majority of the A section on fol. 5r and moved to the B section on fol. 6r. He then returned to fol. 5r to continue the transition from the B section to the return of the A section and the transition to the coda. Figure 10.32 and 10.33 show the diplomatic transcriptions of fol. 5r and fol. 6r, respectively.

Prélude IV (en Mi) 3'30

Moderato  $\text{♩} = 104-108$       Rit  $\text{♩} = 88$       Rit  $\text{♩} = 88$       a tempo 33

[staff 1] 1 2 3 4 3 3 3 6

[staff 3] 8 35

[staff 4] 46 49 *Accel*

[staff 5] 17 43 45

[staff 6] 50

[staff 7] 3 3 3 3 3 3 3

[staff 9] *Retour de A* 78 29 *Rit* *Rall* 3 3 3 *Tempo Po* ( $\text{♩} = 108$ )

[staff 11] 31 *Rit* *a tempo* 2' fois  $\Rightarrow$  Coda

[staff 13] *Coda* 2' fois

[staff 15] 73

[staff 16] *Fin*

Figure 10.32 The diplomatic transcription of fol. 5r.

Figure 10.33 shows a diplomatic transcription of fol. 6r. It consists of seven staves of musical notation. Staff 1 is the top staff, starting with a treble clef, a key signature of one sharp (F#), and a time signature of 3/8. It includes the tempo marking "Piu Mosso" and a "Rit" (ritardando) marking. Staves 2, 4, 6, 8, and 9 contain various musical notations, including notes, rests, and dynamic markings like "mf". Staves 3 and 7 are mostly blank, with some faint markings. The transcription includes measure numbers 75 and 72, and section markers "A" and "B".

Figure 10.33 The diplomatic transcription of fol. 6r.

Fol. 5r contains all of the A section material of the “Ballade” in a form nearly identical to the published version of the movement. Its only unused material is a discarded ending on last staff. It is entitled “Prélude IV (en Mi),” revealing Hétu’s special noting of the tonal centrality of the movement. The layout of the material on fol. 5r suggests that Hétu wrote the opening introduction material first (measures 1-5 on staff 1), having already recorded this on fol. 2r (staff 14-15). At this point, Hétu seems to have composed the transition-anacrusis to the A theme model (measures 6-7 of staff 1) – new material at this stage. The amount of erasures here (unfortunately largely illegible) show that Hétu worked on this material in at least two or three drafts. After attaining a satisfying

transition, the composer wrote out the A theme model with its repeat beginning in staff 1 and, following Hétu's custom to skip staves, continuing on staff 3 (measures 8-9 of staff 1 and 1-6 of staff 3). One notable aspect of the presentation of the A theme model here is the lack of a bass line. It seems conceivable that Hétu wrote this material without the bass line in a short-hand form having the bass line of the A theme model already recorded on staff 13 of fol. 2r. Before continuing with the last three measures of Part II of the A theme directly after the repeat of the A theme model (with a bass line), the sketch suggests that Hétu wrote the third part of the A theme next on staff 5. The four-measure model of Part III, which Hétu had composed on fol. 2r, is contained on staff 5 (with the sequential repetition of this four-measure model on staves 5 and 7 most likely done at a later point). At some point after this, Hétu filled in the connecting material between the repetition of the A theme model and the third part of the A theme. For these three measures, the composer had to use the skipped staff, staff 4 (measures 7-8 of staff 3 and measure 1 of staff 4). He also filled in the bass line for this material as it was not contained already on another sketch.

It is likely that Hétu, having the plan that this A section material would repeat (as  $A_1$ ), then wrote the third part of the A theme in  $A_1$  that would be modified in order to transition to the B section. An early version of this material was already composed and contained on fol. 2r. However, Hétu decided to expand this material, heightening the climactic nature of the passage by raising the octave register as discussed above (see Figure 10.29). He then continued to the transition-anacrusis II on staff 6 which was also modified (see Figure 10.29). It was most likely at this point that the composer moved to

B section material on fol. 6r, realizing that the nine staves left on his manuscript paper (staves 8-16) did not contain enough space.

For more space, Hétu turned to fol. 6r, a half-size manuscript paper containing only eight printed staves (the top part of the page is ripped), compared to the regular 16 staves of a full manuscript such as fol. 5r. The reverse side of the manuscript may or may not have already been used for sketched fragments of “Rêverie” material, as well an early idea for the “Nocturne” (as discussed in Chapter 9). This folio contains almost all of the material for the B section of the published movement (fol. 5r contains two measures of this section seemingly because Hétu ran out of space). By following the composer’s labels and arrows, one finds a linear sequence of 28 measures, one that sojourns from fol. 6r to fol. 5r and back.

Hétu identifies the first measure of the passage as “51” on staff 2 and one can easily follow this passage through staves 4, 6, and the beginning of 8. At measure 3 of staff 8, one follows Hétu’s arrow to the staff above (staff 7) for two measures, after which the composer leads the passage via another arrow to the hand-written staff 9. One continues from beginning of staff 9 of fol. 6r until the measure labeled “72,” at which point we jump to staff 15 of fol. 5r for measures labeled “73-74” before returning to staff 1 of fol. 6r for the measure labeled “75.” Finally, the measure labeled “75” continues to what one can, following Hétu’s measure numbering, identify as measure 78 (measure 5 of staff 1 on fol. 6r). This measure 78 is rewritten on staff 9 of fol. 5r and begins the final two measures of the B section labeled “Retour de A.” The resulting linear sequence of material is practically identical to the B section of the published “Ballade.”

The sketch shows that Hétu initially wrote the B section material with a reiterated eighth-note bass line as one finds in fol. 2r. However, at some point during the composition of the B section, Hétu removed this aspect in favor of single bass notes on the downbeats (and beat 3). One notes that the earlier reiterated bass notes stop by measure two on staff 8. As stated above in the discussion of fol. 2r, perhaps this texture was discarded because of the difficulty for the performer (or perhaps Hétu just opted for a more transparent, rhythmic texture).

Another notable aspect of the sketch is Hétu's labeling of the two basic motives being developed in the B section: the descending motive which he labels "B," and the ascending-descending motive which he labels "A." This seems to be Hétu's way of keeping track of his orientation of the two motives as he transposes and thickens the texture for each iteration.

One small but notable difference between the published version of the B section of the "Ballade" and fol. 6r is the bass line in measure 1 of stave 6. Figure 10.34 shows measures 1-2 of staff 6.



Figure 10.34 Mm. 1-2 of staff 6 of fol. 6r.

Here, the bass line consists of two low E's of a dotted quarter-note value (followed by the regular D's on the third part of the measure). This is a change that Hétu makes after deciding that the eighth-note reiterations of the bass line should be thinned out. It shows that Hétu possibly had the idea to gradually increase the amount of bass line iterations per

measure to further contribute to the textural, dynamic and registral climax beginning in measure 71 of the published movement.

One notable change that fols. 5r and 6r show is an early version of the first two measures of stage 7, measures 73-74, according to the composer's labels on the sketch (measures 4-5 of staff 9 of fol. 6r). In the early version on fol. 6r, these two measures are a repeat of measures 59-60, according to Hétu's measure labels (measures 1-2 of staff 6). These were crossed out in favor of the two measures on fol. 5r, staff 15. Figure 10.35 shows the two passages.

f.6.r

f.5.r

Figure 10.35 Mm. 4-5 of staff 9 of fol. 6r and the replacement found on mm.1-2 of staff 15 on fol. 5r.

One notes that, here, Hétu opts for two descending motives in the later fol. 5r passage, rather than the contrasting ascending-descending and descending gesture of the opening of the B section.

The sketches show an interesting aspect of the end of the B section (stage 8) and the transition-anacrusis I back to the A section. In staff 1, measures 1-5, of fol. 6r, Hétu provides measure number labels that connect this material (labeled measures 75-78) to staff 9, measure 1-3, of fol. 5r (labeled measures 78-80). This transition material

corresponds to measures 78-83 of the published version. Figure 10.36 shows this material alongside the parallel section in the published version.

**F.6.r/f.5.r version**

**Published version**

Figure 10.36 Mm. 1-5 of fol. 6r (staff 1) connected with mm. 1-3 of fol. 5r (staff 9) and mm. 78-83 of the published “Ballade.”

One notes that measure 82 of the published version contains a change of meter that the early version does not. In fact, measures 81-82 of the published version are a result of splitting up measure 80 of the secondary draft. The presence of the five-note chord (F-D-B flat-C sharp-E) on the downbeat of this measure also shows that Hétu originally wanted the notation to ensure that these notes, initiated in measure 80 (of the published version), were allowed to ring over.

After completing the B section and the passage that achieves the transition back to the final recapitulation of the A section, the composer seems to have taken up work on the closing section of the A section (staff 7, measures 2-5 of fol. 5r). After this, Hétu wrote the motivic material from the B section into the A section: measures 5-6 of staff 9 contain the descending and ascending-descending motives from the opening two measures of the B section. It is likely that this was then written after the work on the B section.

The final act of composition for this movement is thus the two measures of transition-anacrusis I material in staff 11 of fol. 5r. This completes the A section and provides the way in which the A<sub>1</sub> section is lead into. He indicates that upon the return of the A section this leads to the coda, writing “2’ fois → Coda” (“2<sup>nd</sup> time to the Coda”). Hétu provides a skeletal annotated version of these measures below in staff 13, which is crossed out. Perhaps he was going to write out the coda but changed his mind since it is contained in fol. 2r.

Finally, there is a discarded ending on staff 16 of fol. 5r. Following Hétu’s self-described process, it seems that at some point after composing the transition to the B section on staff 6, he composed an ending on staff 16, measures 1-5. This material is crossed out and was not retained in the published version of the movement. Figure 10.37 shows the alternate ending.



Figure 10.37 Mm.1-5 of staff 16 of fol. 5r.

Because this ending contains motives from the A theme as well as the transition material to the B section, it is probable that Hétu wrote this after the transition material was composed on staff 4 (measure 5) and staff 6. The first two measures of this material contain the opening three notes of the A theme’s upper melody without the off-beat displacement of the A theme which then moves to a G major chord with an added minor ninth. Measures 3-4 of the alternate ending are based on the descending motive of the B section. The final chord, an E major chord with an added augmented fourth is one of Hétu

avored chords. It is likely that after composing this ending, Hétu crossed it out in favor of a reworking of the material on fol. 2r, entitled “Coda” (staff 15, measures 1-4).

One final element to explore in this movement is Pierri’s influence in modifying the final passage (noted in Chapter 5). In measures 111-115 of the “Ballade” (see Figure 10.38), the introductory material (measures 1-5) is recapitulated with a slight change in the harmony in the second to last measure (the bass line is B flat-C sharp-G instead of B flat-E-C sharp).

Figure 10.38 Mm. 111-115 of the “Ballade” showing duration changes in the bass line (published version above the fair copy). © With kind authorization from Les Éditions Doberman-Yppan.

Hétu made a late-stage revision in the notated durations of the bass line in the final passage: while the coda on fol. 2r contains quarter notes in its bass line, rests are added between the three bass notes of measure 114 in the fair copy and published version. Without the rests, the passage offers a near impossible challenge for the guitarist. Hétu writes, “This slight variant at the end of the ‘Ballade’ was suggested to me by Alvaro Pierri, himself influenced by the rallentando. The articulation suggests that the bass note is a little detached and pronounced... but the difference is minor and I could [easily] have

not put these silences.”<sup>608</sup> The presence of Pierri’s suggestion in the fair copy suggests that the fair copy was written after or during Hétu’s consultation with the guitarist.

At 115 measures, the “Ballade” is the second largest movement of the *Suite* (the “Final” tops it at 196 measures). Interestingly, the sketches show that Hétu had a distinct vision of the movement’s pitch structure, main motives, and form from the start on fol. 2r. This is in contrast to the “Nocturne” in which the form and structure was not fixed during the writing process. The sketches for the “Prélude,” too, with a distinct and complete preliminary draft show a contrast to the “Ballade” as well. After completing the work on the “Ballade,” it is likely that Hétu moved on to the fifth prelude, or the fourth movement in the published version, the “Rêverie.”

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<sup>608</sup>Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | Folder 1, Box No. 27, “Email Correspondence with François Fowler,” April 28, 2000. Original: “Cette légère variante à la fin de la Ballade me fut suggérée par Alvaro Pierri, lui-même sous l’influence du Rallentando. L’articulation suggère ainsi que la note de basse soit un peu détachée et prononcée... mais la différence est mineure et j’aurais pu ne pas mettre ces silences.”

## Chapter 11 Rêverie

There are four folios that relate to the fourth movement, “Rêverie,” of the published *Suite*. This chapter explores these documents elucidating Hétu’s creative process in “Rêverie.” Fols. 6v and 9r contain the earliest and most fragmentary ideas for the movement, while fols. 3r and 4r contain the final draft (showing much revision and working-out of musical ideas). Table 11.1 contains a summary of the folios related to “Rêverie.”

Table 11.1 The folios containing material related to “Rêverie.”

fol. 6v	a sketch containing 5 fragmentary ideas for “Rêverie” (used and unused) alongside material related to the “Nocturne” A theme, and material for a toccata-like fast movement (not pursued)
fol. 9r	a sketch containing 2 fragments related to “Rêverie” written in the unused space of a preliminary sketch for the A section material of the “Nocturne”
fol. 3r	a sketch containing a formal plan for the middle, recitative section, of the movement, and mm. 35-48 of the secondary draft written below discarded material unrelated to the published <i>Suite</i>
fol. 4r	a sketch containing 34 mm. of the final draft of “Rêverie” (showing a large amount of revision)

The sketches reveal the order in which the composer wrote various sections of the movement and how material developed from early fragmentary ideas to the work as it was published. Before examining these folios in detail, an exploration of the basic formal sections and main motives of the work is necessary.

### 11.1 Analysis of the Published “Rêverie”

In general, Hétu had few words to say about “Rêverie” in comparison to the three earlier movements in his correspondence and program notes for the *Suite*. He briefly

mentions the movement twice in his correspondence with Fowler and once in his program notes. However, despite the brevity of his remarks, they reveal what Hétu considered to be the most important elements of the movement. On pitch structure in “Rêverie,” Hétu writes to Fowler:

“Rêverie” obviously uses the melodic interval of the fourth. There is no mode or scale in particular, rather the D major chord, with an added 2<sup>nd</sup>, but this note is found ... in the bass, to make the link with the superimposed fourths, and does not take its “normal” position until the last chord!<sup>609</sup>

Hétu’s assertion that there is no emphasis on one pitch collection (“mode or scale”) is true in that one pitch collection does not govern the entire movement (as in the “Nocturne” or “Ballade”). However, as one will see below, octatonic collections do account for melodic elements in the work. Structural unity is achieved through the use of the perfect fourth interval which occurs melodically and harmonically – 18 of the 21 chords in the piece contain superimposed perfect fourths. As the composer notes, an *idée fixe* in the movement is the D major chord with an added ninth (or second), E, in the bass. Two pianissimo arpeggiations of the chord in this specific voicing, hereafter referred to as the “D9” motive, occur four times in the piece (measures 10-11, 14-15, 19-20, and 26-27) serving to delineate the inside section (see Figure 11.1).



Figure 11.1 The D9 motive in “Rêverie.”

<sup>609</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | Folder 1, Box No. 27, “Email Correspondence with François Fowler,” Dec 1, 1999. Original: “La Rêverie utilise évidemment les intervalles mélodiques de quarts. Il n’y a aucun mode ou échelle sonore en particulier, sinon l’accord de ré majeur, avec 2de ajoutée, mais cette note se trouve... à la basse, pour faire le lien avec les quarts superposes, et ne prend sa positions “normale” qu’au dernier accord !”

The inverted arrangement of this chord exhibits stacked perfect fourths in its lower half (E-A-D), contributing to the overall fixation of that interval in the piece. The three lowest notes of the D9 motive consist of the three lowest open strings of the guitar (the intervals between the six open strings of the guitar are predominantly perfect fourths, the exception being between strings 3 and 2 – a major third). Therefore, it is clear that Hétu’s use of the fourth is a conception that is a consequence of the inherent design of the guitar itself. In addition, as the composer notes, it makes a direct “link” to the three-note quartal chords used throughout, which are discussed in detail below (see Figure 11.4). In addition to aspects of the pitch structure of the movement, Hétu also mentions the formal function of “Rêverie” within the *Suite*. He states in an email to Fowler, “The slow tempo of the ‘Rêverie’ obviously contrasts the ‘Ballad’ and the ‘Final.’ The position of this piece in the *Suite* is quite ‘premeditated,’ starting on A flat (G sharp, third of the preceding chord) and ending in D, [the] ‘tonality’ of [the] beginning of the ‘Final’ (which goes then to A in order to return [to] D, m. 28).”<sup>610</sup> Thus, “Rêverie” provides a dreamy moment of respite from the high degree of movement in the “Ballade” and the virtuosity of the “Final.” In order to understand Hétu’s process in conceiving and developing musical ideas and formal structures in the movement, a brief analysis of the published edition is necessary. The exploration of “Rêverie” presented here largely follows Fowler’s 2002 analysis.<sup>611</sup>

The movement follows a tripartite form. Measures 1-11, hereby referred to as the “opening” section, are followed by a larger passage, measures 12-34, what will be called

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<sup>610</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | Folder 1, Box No. 27, “Email Correspondence with François Fowler,” April 28, 2000. Original: “le tempo lent de la Rêverie fait évidemment contraste entre la Ballade et le Final. La position de cette pièce dans la Suite est tout-à-fait ‘préméditée’, commençant sur Lab (Sol#, tierce de l’accord précédent) et se terminant en Ré, ‘tonalité’ de début du Final (qui va ensuite vers La pour revenir Ré, mes. 28).”

<sup>611</sup> Fowler, “Jacques Hétu’s *Suite*,” 55-62.



The characterization of the sections as “opening,” “recitative,” and “closing” follows Hétu’s own emphasis of the middle section containing the main musical material of the movement (relegating the opening section as a kind of introduction and the closing section as a way to wrap up). Hétu’s program note for this movement accentuates the middle section: “The ‘Rêverie,’ very delicate, takes the form of a recitative of many stages that invariably dissolve [se résorbent] on the chord of D major with the added low E.”<sup>612</sup>

The opening section consists of three parts. Figure 11.3 shows Parts I-III of the opening section.

Figure 11.3 consists of three staves of musical notation in treble clef, all in a key signature of one flat (B-flat major or D minor).  
 Part 1: A single melodic line starting with a B-flat, moving through A-flat, G, F, E, D, C, B, and ending with a half note D.  
 Part 2: Labeled "Recitative motive". It features a melodic line with a B-flat, A-flat, G, F, E, D, C, B, and a final half note D. Below the staff, a bracket spans the notes from B-flat to D, with the text "Recitative motive" underneath.  
 Part 3: Labeled "Recitative motive (var)". It begins with a melodic line (B-flat, A-flat, G, F, E, D, C, B) and then transitions into a series of chords. Above the staff, the marking "Rit" is placed. Below the staff, a bracket spans the chordal section, with the marking "pp" underneath. The chords are D major with a low E (D-E-F-A-C), D major with a low E and a sharp F (D-E-F#-A-C), and D major with a low E and a sharp F (D-E-F#-A-C).

Figure 11.3 Parts I-III of the opening section of “Rêverie.”

<sup>612</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | D,50, “Suite pour guitare, Opus 41,” file consisting of concert programs, program notes and a press clipping. Original: “La *Rêverie*, très délicate, prend la forme d’un récitatif à plusieurs paliers qui se résorbent invariablement sur l’accord de Ré majeur avec le Mi grave ajouté.”

Part I, measures 1-4, is a four-measure unit consisting of descending perfect fourths ending in an upward leap of a tritone. There is a certain amount of closure to this unit based on the return of the opening pitch class, A flat, in measure 4, in addition to the repetition of the rhythmic sequence of measure 1 and 3 (half note – quarter note). Part II, measure 5-7, is a three-measure unit with a rising melodic line in the lower voice, punctuated by two accompanimental quartal chords. These two chords mark the first presentation of a three-note quartal chord with a melodic semitone set in a reverse-dotted rhythm (sixteenth note – dotted eighth note), which returns toward the end of the movement. This motive will be referred to hereafter as the “quartal” motive and is found throughout the movement in three variations. Figure 11.4 shows examples of the three variations of the quartal motive.



Figure 11.4 The ascending quartal motive (A) from m.5, the descending quartal motive (B) from m. 37, and the descending triad motive (C) from m. 43.

The “ascending quartal” motive (Figure 11.4a) begins with stacked fourths, while the “descending quartal” motive (Figure 11.4b) finishes with this sonority. The third variation (Figure 11.4c), a quartal chord moving to a second-inversion major triad, will be referred to as the “descending triad” motive. The presence of the ascending or descending semitone in these motives highlights the importance of the minor second throughout the movement – something that links it to the octatonic movements of the “Nocturne” and the “Ballade” (the semitone being an integral element in the octatonic scale). Indeed,  $OCT_{1,2}$  accounts for the G-G sharp-B flat-B natural upper melodic line in measures 6-7 (and other instances of the quartal motives as well, as one will see). While

octatonic collections are not used for entire passages, this collection does function as a resource for individual melodic lines (as opposed to what Hétu insinuated in his remarks quoted above). Another important aspect here is the melodic combination of perfect fourth and minor second (as opposed to the melodic-harmonic use of these intervals in the quartal motives), which first occurs at the beginning of Part II of this section (measures 5-6): a three-note figure consisting of a leap of an ascending fourth, then a semitone (E flat-A flat- A natural, see Figure 11.3). Based on the fact that this is the basic element of the recitative section, this motive will be referred to as the “recitative” motive. Part II is balanced by Part III, measures 8-11, a four-measure unit that consists of a descending melodic line in the lower voice (exhibiting the same rhythm as Part II). Part III exhibits a variation of the recitative motive: after descending by perfect fourths (A flat-E flat-B flat-F), the final note of the lower voice melody, E, is achieved by a descending semitone (see Figure 11.3). This E is the bass note of the first D9 motive which serves to finish the opening section and provide punctuation between recitative section phrases. Thus, within the opening section, Hétu has saturated the material with an abundance of perfect fourths and minor seconds (melodically and harmonically).

The recitative section of the movement consists of four phrases, recitatives I-IV. Each phrase is preceded by an iteration of the D9 motive and consists of a recitative-like unaccompanied melody. Recitatives I-III share the same basic content: an ascending semitone in a reverse-dotted rhythm, followed by the recitative motive (extended and varied), ending with B flat, F, and E (as the bass note of the D9 motive). As seen in Part III of the opening section, these final three notes of the melody in recitatives I-III (B flat-F-E) are a variation of the recitative motive. The phrase lengths, as well as the degree of

motivic development and variation from one phrase to the next, increase in each case.

The opening ascending semitone reveals a consistent transpositional relationship between each subsequent phrase: an upward perfect fourth. Recitative I begins with B-C.

Recitative II begins with E-F, a perfect fourth up. The pattern is continued with the opening of recitatives III and IV (starting with A-B flat and D-E flat, respectively).

Figure 11.5 shows the four recitative phrases.

The image displays four staves of musical notation, labeled Recit. I through Recit. IV, arranged vertically. Each staff begins with a measure number (12, 16, 21, 28) and a dynamic marking (mp, mf, f, f). Recit. I is marked 'Piu mosso (♩ = 96)' and includes 'Rit.' and 'Tempo primo' markings. Recit. II is marked 'Piu mosso (Poco rubato)' and includes 'Rit.' and 'Tempo lo' markings. Recit. III is marked 'Piu mosso' and includes 'Rit.' and 'Tempo lo' markings. Recit. IV is marked 'Piu mosso' and includes 'ff' and 'f' markings. Brackets and labels identify 'Recit. Motive' and 'Recit. Motive (var)' in each staff. Vertical arrows labeled '↑ P4' indicate the transpositional relationship between the starting notes of adjacent recitatives. The notation includes treble clefs, a key signature of one sharp (F#), and various rhythmic values and articulations.

Figure 11.5 Recitatives I-IV of the recitative section of “Rêverie,” mm. 12-34.

The opening six notes of recitatives I and II are transpositions of the same material (a perfect fourth up), both featuring the recitative motive. The recitative motive is developed in recitative III (up a tritone and a major second) and reiterated in varied form (in a transposition of this transformation, in retrograde, and inversion). A climax is reached in recitative IV. In this phrase, the ascending and descending quartal motives return along

with three-note rising fourth figures. In measures 29-34, the descending and ascending quartal motives and their accompanying rising fourths show a transposition of an upward minor third. As with the opening section, it is notable that, as a result of the minor third relationship, the upper melody of the three quartal motives are within OCT<sub>2,3</sub> (G sharp-A-B-C-D- D sharp).

The closing section consists of three four-measure phrases (measures 35-46) and a cadential gesture (measures 47-48). The second phrase (measures 39-42) is a variation of the first phrase (measures 35-38). Figure 11.6 shows Phrase 1 and 2 of the closing section.

**A.**  
a tempo

**B.**  
Piu lento

Figure 11.6 Phrase 1 (A), mm.35-38, and Phrase 2 (B), mm. 39-42, of the closing section of “Rêverie.”

Again, as in Part II of the opening section, the minor-third transposition of the quartal motives in Phrase 1 of the closing section result in the melodic semitones being contained within OCT<sub>1,2</sub>. The rising-fourths figure that was first heard in recitative IV is expanded here from three to five notes. Phrase 2 contains variations of the quartal motives of Phrase 1. Instead of quartal chords, however, one finds chords consisting of E flat-B-D, C-G-B, and, finally, a D major chord (via a descending triad motive, as defined in Figure

11.4). With the three first notes of the rising fourth figure (E-A-D) this D major chord is a variation on the D9 motive. Phrase 2 prepares the listener for the return to D major – the descending thirds (rather than the descending semitone of the quartal motives) prepare the third-based D triad.

Finally, Phrase 3 of the closing section opens by reiterating the descending major-triad motive on D. The rising fourths figure is again extended to nine notes, achieving the high A flat (a reverse gesture of the opening measures of the movement). The cadence is achieved by an A harmonic and D major chord with an added ninth, which, as Hétu states above, is heard for the first time in root position. A summary of the above formal analysis of “Rêverie” is found in Table 11.2.

Table 11.2 A formal summary of “Rêverie.”

Opening Section	mm. 1-11	Part I: mm. 1-4
		Part II: mm. 5-7
		Part III: mm. 8-11
Recitative Section	mm. 12-34	Recitative I: mm. 12-15
		Recitative II: mm. 16-20
		Recitative III: mm. 21-27
		Recitative IV: mm. 28-34
Closing Section	mm. 35-48	Phrase I: mm. 35-38
		Phrase II: mm. 39-42
		Phrase III: mm. 43-46
		Cadential Gesture: mm. 47-48

The sketches for “Rêverie” on fols. 6v, 9r, 4r and 3r show the development of these formal structures and motives.

## 11.2 Folio 6 (verso)

As discussed in Chapter 10, fol. 6v contains musical ideas for “Rêverie,” the “Nocturne” and the “Final” (although this material did not eventually make it into the

“Final”). Figure 11.7 shows a diplomatic transcription of fol. 6v (refer to Figures 6.15 and 6.16 to see this transcription alongside Hétu’s original sketch).

Figure 11.7 The diplomatic transcription of fol. 6v.

Hétu groups the musical ideas according to their planned destinations. He brackets off or circles musical ideas that are destined for particular movements. As discussed in Chapter 10, one notices that, at this point in the creative process, Hétu labels “Rêverie” material with the term “Nocturne.” This is due to the fact that Hétu seems to have had a nocturnal association with the musical ideas for “Rêverie” from an early stage. Although the title “Nocturne” was eventually given to the second movement of the published version, the title “Rêverie” (dream) for the fourth movement retained the night-related association. There are five fragments on fol. 6r that related to “Rêverie” and two in

particular that show a direct similarity with the motives of the movement: the phrase fragments on staff 2, measure 3-4, and staff 3, measures 1-3 (see Figure 11.8).

Figure 11.8 consists of two musical staves, A and B, in 3/4 time. Staff A (top) shows measures 3-4 of staff 2. It features a descending quartal motive in the upper voice, labeled '↓ quartal', and a rising fourth figure in the lower voice, labeled 'rising 4ths'. Staff B (bottom) shows measures 1-3 of staff 8. It features an E major chord in the lower voice, labeled 'E major', and an E major chord in the bass, labeled 'E major (bass)'. Both staves are in a key with one sharp (F#) and a 3/4 time signature.

Figure 11.8 Staff 2, mm. 3-4 (A), and staff 8, mm. 1-3 (B), of fol. 6v.

Unlike the other three pieces of sketch material, both of these fragments are in the 3/4 meter of “Rêverie.” The material in Figure 11.8a shows the rising fourth figure on the lowest open strings of the guitar (E, A, and D) as one finds it in the published version confirming that Hétu’s earliest ideas for the movement were directly issued from the instrument. The descending quartal motive, an integral part of the published movement as noted above, is also present. As we will see, Hétu favored this transposition of the quartal chord, G sharp-C sharp-F sharp, as he developed it further on fol. 9r and on fol. 3r (discussed below). The structure of the fragment in Figure 11.8a shows a repetition of the rhythmic arrangement of the quartal motive and rising fourth figure. On beat three of each measure there are two chords: a seven-note chord (an impossible to achieve on a six-string instrument) and a six-note chord (also impossible to achieve based on fingering). As we have seen in other movements, one of Hétu’s struggles was to find

musically satisfying and practical chords. While these chords are not practical, they reveal Hétu's search for sonorities with significant amount of fourth intervals (which he ultimately found with the D9 motive chord). Six staves below, Hétu sketches a fragment which is seen in Figure 11.8b. Possibly a development of the rising fourths in Figure 11.8a, it contains a six-note bass line of rising fourths. This bass line, E-A-D-G-C-F, is used directly in the second half of Phrase 1 and 2 (measures 37-38 and 41-42) and the first half of Phrase 3 (measures 43-44) of the closing section. In addition to the rising fourths, Figure 11.8b contains three descending semitone figures (notably not in the reversed-dotted rhythm of the published movement). In place of the quartal chords found throughout the published movement, there is a predominance of E major (see Figure 11.8b).

Three other fragments on fol. 6v are more obliquely related to "Rêverie." Figure 11.9 shows these fragments.

Figure 11.9 consists of three musical fragments, labeled C, D, and E, each on a single staff in treble clef. Fragment C shows three measures. The first measure has a chord labeled 'E major' (E4, G4, B4). The second measure has a chord labeled 'B flat major' (Bb3, D4, F4). The third measure has a chord labeled 'G major' (G3, B3, D4). Fragment D shows two measures. The first measure has a chord labeled 'E major' (E4, G4, B4). The second measure has a chord labeled 'E major' (E4, G4, B4). Fragment E shows a single measure with a chord labeled 'E major' (E4, G4, B4).

Figure 11.9 Staff 2, mm. 1-2 (C), staff 4, mm. 1-2 (D), staff 4, m. 3 (E), of fol. 6v.

The fragments shown in Figure 11.9c and Figure 11.9e contain the descending semitone in reverse-dotted rhythm that is so pervasive in “Rêverie.” Figure 11.9e sets the descending semitone (B flat – A) under a perfect fourth dyad (B-E) which results in a figuration similar to the quartal motives of the published version. Héту may have been working (briefly considering the short length of the fragment) on developing the quartal motive here. Figure 11.9c sets the descending semitone A flat- G (in a rhythmically augmented reverse-dotted rhythm) within the context of a harmonic progression of triads (E major, B flat major, and G major) drawing solely from OCT<sub>1,2</sub>. The octatonic collection, choral texture and the 4/4 meter seem to show that this material seems to have a more distant relationship to “Rêverie.” Finally, the Figure 11.9d seems to have more connection with the material directly above it on the sketch (Figure 11.9c). It too draws completely from OCT<sub>1,2</sub> with a predominance of triads (E major as the most stable). The fact that Figure 11.9c was sketched directly above Figure 11.9d possibly shows this connection. As mentioned above, Héту labels these five disparate fragments on fol. 6v as belonging to the same movement (under the early label, “Nocturne”), showing the fluidity and nascent state of Héту’s conception of the movement at this stage of writing. When Héту wrote the material on fol. 6v, he likely did not have a definite plan for the movement yet.

### 11.3 Folio 9 (recto)

The contents of fol. 9r were discussed in detail in Chapter 10. It contains large amounts of material related to the second movement of the *Suite*, “Nocturne.” It is likely

that the fragments related to “Rêverie” on fol. 9r were sketched after those on fol. 6v. The “Nocturne” material on each folio suggest this chronology as well (as discussed in Chapter 10, the “Pasacaille” theme on fol. 6v probably was a prototypical version of the fully formed A theme of the “Nocturne” on fol. 9r). This chronology is supported also by the fact that fol. 9r contains a development of the quartal motive found on fol. 6v. Fol. 9r contains both the ascending and descending version of the quartal motive, whereas fol. 6v only contains the descending version.

Figure 11.10 shows the diplomatic transcription of fol. 9r (see Figures 6.25 and 6.26 for this transcription alongside the original sketch).

Prelude II

The image displays a diplomatic transcription of fol. 9r, divided into two sections: "Prelude II" and "Nocturne" (en Mi). The score is presented on six staves, labeled [staff 1] through [staff 6].

- Staff 1:** A single melodic line for the "Prelude II" section, featuring a sequence of notes with various accidentals.
- Staff 2:** A four-part setting of the "Prelude II" theme. The right-hand part is circled in black, and an arrow points from this circle to the beginning of Staff 3.
- Staff 3:** A single melodic line, likely representing the left-hand part of the four-part setting.
- Staff 4:** A four-part setting of the "Prelude II" theme. The right-hand part is circled in black.
- Staff 5:** A single melodic line, likely representing the left-hand part of the four-part setting. The right-hand part is circled in black.
- Staff 6:** A single melodic line for the "Nocturne" (en Mi) section, showing a different melodic contour.

Figure 11.10 The diplomatic transcription of fol. 9r.

There are three circled fragments on the sketch that are unrelated to the “Nocturne” (as seen in fol. 6v, this seems to be Hétu’s shorthand to designate material for use elsewhere). Two of these circled fragments (those on staff 2 and 5) show the working out of the quartal motive found in “Rêverie.” Figure 11.11 shows these two fragments.

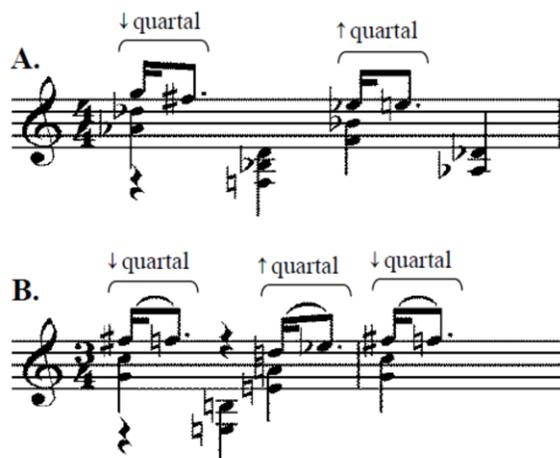


Figure 11.11 Circled fragments on staff 2, m. 8 (A), and staff 5, m. 2-3 (B), of fol. 9r.

Both fragments contain a descending quartal motive followed by an ascending quartal motive showing Hétu’s interest in developing the quartal motive (previously only sketched in the descending form on fol. 6v). The transposition level of the descending quartal motive in Figure 11.11a is the same as a fragment on fol. 6v, but enharmonically spelled (see Figure 11.8a above). It seems Hétu was working on a way to incorporate the quartal motives into a phrase structure (that may have repeated considering the last quartal motive in Figure 11.11b is the same as the first). With some variation, the first three quarter-note beats of Figure 11.11a are a transposition of the first three beats of Figure 11.11b by a minor second – the main difference being the nature of the notes on beat two (a second inversion B flat major chord in Figure 11.11a and a E-B dyad in the same position in Figure 11.11b). Figure 11.11b also shows Hétu’s exploration of the articulation of these quartal motives: all of the semitone motions are all slurred.

In both fragments, the quartal motives have a transpositional relationship of a minor third. This minor-third relationship between the quartal chords in each case directly relates to the published version. As noted in the above analysis of the published “Rêverie,” in each presentation of the quartal motives in the movement (Part II of the opening section, recitative IV and Phrase 1 of the closing section), the motives are related by a minor third. While the exact material of these two passages is not utilized in the published version of “Rêverie,” it should be noted that if the order of the first two quartal motives (descending then ascending) were reversed in these two fragments, one would have the same quartal motive arrangement as in measure 29-30 of recitative IV.

After identifying some of the motives and structures that he favored from his sketches on fol. 6v and developing the quartal motive on fol. 9r, Hétu began to flesh out larger structural relationships on fol. 3r before moving on to a secondary draft of the movement on fol. 4r and the bottom half of fol. 3r.

#### **11.4 Folio 3 (recto) and Folio 4 (recto)**

Hétu worked concurrently on fols. 3r and 4r, moving back and forth between the sketches (in a similar manner to the composer’s work on the secondary draft of the “Ballade,” discussed in Chapter 12). Fol. 3r contains a structural plan for the recitative section (which is likely the first work on “Rêverie” after the sketches on fols. 6v and 9r), as well as some material unrelated to “Rêverie.” Measures 1-34 of a complete final draft of “Rêverie” is found on fol. 4r and the continuing measures 35-48 are found on fol. 3r. Figures 11.12 and 11.13 show the diplomatic transcriptions of fols. 3r and 4r, respectively.

[staff 1]   
 [staff 2]   
 [staff 3]   
 [staff 4]   
 [staff 6]   
 [staff 7]   
 [staff 9]   
 [staff 11]   
 [staff 13]   
 [staff 14]   
 [staff 15]   
 [staff 16]

Musical score for fol. 3r, showing staves 1 through 16. The score includes various musical notations such as treble clefs, notes, rests, and ornaments. A large oval highlights the first two staves. The score includes performance instructions like *Piu Lento*, *A tempo*, *Rit*, and *ppp*. Measure numbers 35, 37, 39, 42, 43, 46, 47, and 48 are indicated.

Figure 11.12 The diplomatic transcription of fol. 3r.

Prelude V (avant dernier) 2'45"

Andante  $\text{♩} = 76$  Rit

[staff 1]

[staff 2]

[staff 3]

[staff 4]

[staff 5]

[staff 6]

[staff 7]

[staff 8]

[staff 9]

Figure 11.13 The diplomatic transcription of fol. 4r.

Save for some minor rhythmic differences with the quartal motives in the closing section, the 48-measure linear sequence on fols. 3r and 4r is practically identical to the published version of “Rêverie.” One can track the linear sequence fairly clearly upon examination of Hétu’s measure-number labels, arrows and erasures. After measures 1-11 of the opening section on staff 1, staff 2 continues with the first iteration of the D9 motive (measures 1-2). Recitative 1 is found in measures 4-5 of staff 2 (skipping the erased material) and finishes in staff 4 (measures 1-2), what Hétu labels “14.” Hétu’s arrow then

takes us to staff 3 (measures 1-3) for the final version of recitative II. The sequence continues from there to the beginning of recitative III in measures 6-10 of staff 4. This phrase is completed in staff 6 where, following Hétu's labels, one finds measures 24-27. One follows an arrow to recitative IV, found on staff 10. The linear sequence then moves to staff 13 of fol. 3r. Here, measures labeled "35" to "46" are found on staves 13 and 15. The final two measures of the movement are labelled "47" and "48" on staff 16 (measures 5-6).

While this linear sequence traces the final version of the movement, as we have seen in the sketches of the previous movement, Hétu rarely composes chronologically from beginning to end. This movement is no exception. The sketches on fols. 3r and 4r show that Hétu went back and forth between these manuscripts during the composition of the movement starting with work on the recitative section on fol. 4r (before writing the opening and closing sections). After a formal plan (on fol. 3r) and some work on recitatives I-III (on fol. 4r), Hétu wrote an early version of recitative IV and moved on to the closing section (on fol. 3r). It was after an early version of the closing section that Hétu returned to fol. 4r to compose the opening section.

Work on the "Rêverie" sketch likely occurred after composing the two fragments circled on fol. 3r. The circled fragments on staves 1 and 2 of fol. 3r are shown in Figure 11.14.

The image displays two staves of musical notation. Staff 1 is a treble clef staff with a key signature of one sharp (F#). It contains a melodic line with a circled segment of notes (F#, G, A, B, C, D, E, F#) and a chord marked 'b8' below it. Staff 2 is also a treble clef staff with the same key signature. It contains a melodic line with a circled segment of notes (F#, G, A, B, C, D, E, F#) and a chord marked 'b7' below it. The circled segments in both staves correspond to the notes in the circled segment of staff 1.

Figure 11.14 Staves 1 and 2 of fol. 3r.

These two fragments seem to be in 4/4 meter (the bar lines are present in staff 2 and implied in staff 1) and completely draw from OCT<sub>1,2</sub>. Other than the descending and ascending semitones (naturally found in most of Hétu's octatonic writing), there is little reference to the motives used in "Rêverie." It was most likely circled by Hétu to identify it as designated for another movement (which did not seem to come to fruition in the *Suite*).

An examination of Hétu's compositional process for "Rêverie" begins with his formal outline of an early conception of the recitative section found on staves 4, 6 and 7 of fol. 3r. Figure 11.15 show these three staves of the diplomatic transcription alongside a version in which the short-hand indications for the D9 chords are realized in full.

A.

B.

Recit. I (prototype)

Recit. II (prototype) continuation of the phrase (implied)

Recit. III (prototype) continuation of the phrase (implied)

Figure 11.15 A diplomatic transcription of staves 4, 6 and 7 of fol. 3r (A) alongside a realization of the passage (B).

This does not seem like an exploration of material that Hétu had already written, but rather a nascent idea for the recitative section. Hétu's idea for three recitative passages related a fourth apart (following an iteration of the D9 motive) is clearly present. The material for a prototypical recitative I is there (including the opening pick-up, main note, and the recitative motive) as are the outlines for two other recitative phrases. The pick-up notes make an upward leap of a fourth, rather than the upward semitone of the recitative phrases in the published version. The main notes of each of the three phrases are F, B flat and E flat. At face value, these transposition levels seem to relate to recitatives II-IV,

which start on F-B flat and E flat. However, because the published recitative I begins with a main note of C and recitative IV was a late addition to the section (as we will see), it is probable that Hétu decided to organize the recitative section according to this outline but transposed down a fourth. Thus, it can be confirmed that the first phrase of the outline in fol. 3r is a first version of recitative I – and thus represents the first conception of the recitative idea and the D9 motive.

After deciding upon a structure for the recitative section of the movement, Hétu moved to fol. 4r to begin fleshing out recitatives I-III. The recitative phrases underwent significant revisions. This included changes of pitch and basic rhythmic division. There is a higher amount of erasures associated with these phrases on fol. 4r than compared to others. He started with the D9 motive on staff 2 to provide room for a planned opening section (which will be discussed below). One finds four versions of recitative I in total (this includes the prototype from the formal outline on fol. 3r and three drafts on fol. 4r). Figure 11.16 shows these four versions.



upward semitone via a grace note. The pitch content of the melodic line after the transposed nine notes of the first version is not clearly legible on the sketch, but one could make a guess that the next note might be E flat (a minor third above the main note) following the first version. One can clearly see that Hétu connects the phrase to the D9 motive via a descending fourth gesture (B flat-F) with a fermata on the B flat. The third version (Figure 11.16c) is truncated retaining the first five notes of the second version (including the recitative motive) but then moving straight to E flat before completing in the same way. Finally, the final version (which is identical to the published version) uses the same content as the third version, but with rhythmic augmentation doubling the note durations.

The sketch suggests that recitative II underwent at least five versions before landing on the final arrangement of notes and rhythms that would be used in the published movement. Figure 11.17 provides the five versions of this phrase.

A. [unclear]  
pp mf

B. pp

C. mf pp

D. pp mp

E. Piu mosso (♩ = 96) poco rubato  
mf pp

Figure 11.17 The first version of recitative II (A) on staff 4 mm.3-6 (erased), the second version (B) on staff 5, the third version (C) on staff 4 mm. 3-6, the fourth version (D) on staff 3 (erased), and the fifth version (E) on staff 3 on fol. 4r.

The first version (Figure 11.17a) opens with three grace notes (two of which are decipherable with regard to pitch content) ornamenting the main note, F. The phrase here is slightly longer than the first version of the recitative I phrase, revealing that Hétu's intention at this moment (like the final stage) was to have each recitative phrase expand in comparison to the previous. The first eight notes of the melodic line are a direct transposition of the first eight notes of the first version of recitative I. The next three

versions share similar traits in that each version begins with the reverse-dotted ascending semitone and each version represents an expansion of the material of recitative I (transposed up a fourth). The final fifth version (Figure 11.17e) contains similar material to the previous fourth version (with two pitch changes), but with rhythmic augmentation (as in the final version of recitative I).

Due to the fact that Hétu erased and wrote over each early version of recitative III, it is difficult to decipher their exact contents. However, there seems to be at least three distinct versions of the phrase. Figure 11.18 shows the three versions of recitative III.

A.

B.

C.

Figure 11.18 The first and second version of recitative III (A and B, respectively), which were erased and the third version (C) (all versions are on staff 4, mm. 9-11, and staff 6, mm. 1-2).

It is clear that the first version of this phrase, like the first versions of recitative I and II, contains a grace-note figure in sixteenth notes – this time extended to at least five notes. Hétu seems to have revised the beaming and rhythm of the melodic line several times, but a short-hand indication of the beaming below the passage on staff 7 provides an indication of what might have been intended for the last three measures of the phrase at

one point in time before the final version. There seems to have been a second version in which the reverse-dotted rhythm was added to replace the ascending grace-note figure (similar to recitatives I-II). Finally, in the last version, Hétu likely rhythmically augmented a previous version (like the process that one finds for recitative I and II), resulting in a phrase largely in quarter notes save for the penultimate pitch.

Looking at the development of the first three recitative phrases, one notes that the phrases as a group seem to have undergone three general stages of development: an early stage that contains a grace-note opening gesture in which the phrase is mainly in eighth notes (see Figure 16b, Figure 17a, and Figure 18a); a middle stage in which the reverse-dotted ascending semitone motive replaces the grace notes to open the phrase, still mainly in eighth notes (see Figure 11.16c, Figure 11.17b-d, and Figure 11.18b); and the final stage (the published version) in which each phrase undergoes rhythmic augmentation, mainly changing eighth notes into quarter notes (see Figure 11.16d, Figure 11.17e, and Figure 11.18c). This suggests that Hétu revised recitatives I-III together in each of the three basic stages (spending more time creating versions for recitative II), and that the first versions of each phrase together represent a stable version of this section.

At some point after writing the first three recitative phrases, Hétu wrote the material on staff 6, measures 5-7, which is an early version of recitative IV. Figure 11.19 shows the two versions of this material.

Figure 11.19 The first version (A) which was erased and second version (B) of recitative IV, staff 6, mm. 5-8 of fol. 4r.

The versions differ only by the direction of the first quartal motive, Hétu opting for an ascending variety. The second version (Figure 11.19b) contains two ascending quartal motives followed by a descending quartal motive, each transposed a minor third higher than the next (a third version representing a final revision was undertaken after work on the closing section and will be discussed below). Obviously, breaking from the material of recitatives I-III, this material is related to the fragments on fol. 9r containing quartal motives a minor third apart (Figure 11.11b). It must be noted that this is the first time that the quartal motives are set in triplets, arranged in a short-long (eighth note – quarter note) fashion. The quartal motives in the closing section on fol. 3r are also in triplets. However, in the fair copy and published version, these triplet rhythms are modified to be reverse-dotted rhythms consistent with the opening section of the piece. It is clear that his original intent for these motives (as witnessed by fols. 6v and 9r) was in the reverse-dotted rhythm, so diverging from that schema here was a choice. The notable aspect of this material is the combination of the three rising quartal motives with the rising fourth bass line (B-E-A-D-G). In particular, it is the latter two measures of the four-measure phrase (a descending quartal motive and five notes of a rising fourth figure starting on

beat two) that Hétu labels “Bon!” As one will see upon further examination of fol. 3r, this material seems to be something that Hétu felt would serve as a good basis for Phrase 1 and 2 of the closing section. At this point, Hétu began sketching the closing section on fol. 3r.

Thus, it is possible to realize a complete early draft of the recitative section based on the first version of each recitative phrase found in staff 2, 4, and 6. Within the creative process for “Rêverie,” this realization represents Hétu’s first conception of movement as the other sections were yet to be written. Figure 11.20 shows the realization of the first version of the recitative section.

Recitative I

Recitative II

Recitative III

Recitative IV

Figure 11.20 The realization of the first version of the recitative section on staves 2, 4, and 6 of fol. 4r.

Having attained a two-measure gesture in the last two measures of the early version of recitative IV that he thought was worth developing (enough so that he would label it

“Bon!”), Hétu probably began work on the closing section on fol. 3r. He works on this two-measure unit on staff 9, measures 1-4, of fol. 3r by first transposing it down a perfect fifth. Figure 11.21 shows this material.

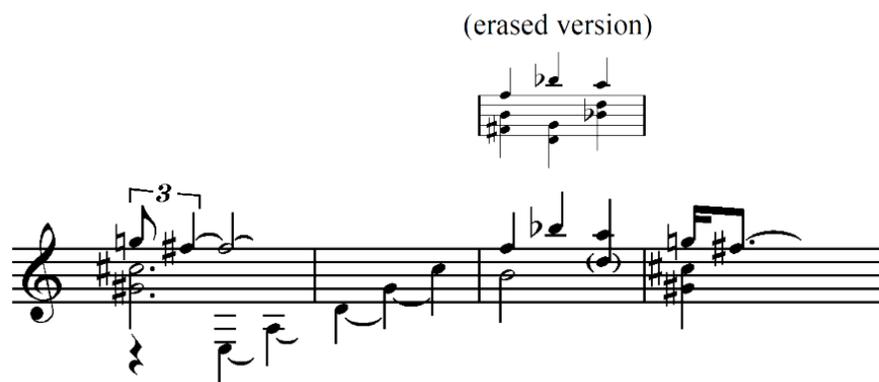


Figure 11.21 Staff 9, mm. 1-4, of fol. 3r.

This two-measure unit transposed to this level exhibits the descending quartal motive on G sharp-C-sharp-F sharp over open strings E, A, D, and G. The passage shows that Hétu found a way to utilize the rising fourth figure on open strings, while attaining the G sharp transposition of the quartal chord in a way that is very similar to one of first fragments written for this movement on staff 2, measures 3-4, of fol. 6v (see Figure 11.8a above). It is clear here that Hétu experimented with connecting the rising fourths figure to a repetition of this two-measure unit via a third measure which tapers off the rising figure (F-B flat-A) and leads directly to the G natural at the pitch level of the initial descending quartal motive. The sketch in this third measure shows at least one draft which was erased. Figure 11.21 shows the differing measure in the early erased version of this passage featuring perfect fourth dyads.

However, the connecting material was not an idea that Hétu pursued. Instead, the composer began using this material to work on early versions of the closing section, exploring material that would bring a satisfying end to the piece after the tension from the

registral peak achieved in the early version of recitative IV. Figure 11.22 shows a detail of fol. 3r, measures 1-4 of staff 9-10, showing early crossed out measures, lower staff, and repeat signs in the early version of Phrase 1 of the closing section.

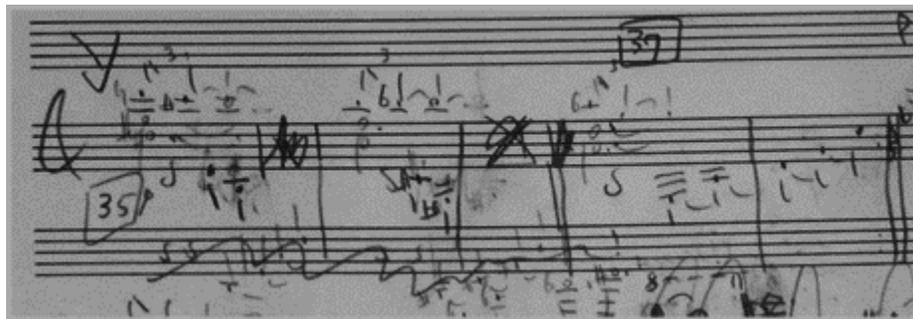


Figure 11.22 Detail of mm.1-4 on staff 9-10. Library and Archives Canada, MUS 279 | C5,18, volume 22, photograph by Michael Dias, 2012.

By deciphering the erased and crossed-out material, one can find three distinct versions of this phrase. Figure 11.23 shows the three versions that Hétu undertook for Phrase 1 of the closing section.

Figure 11.23 Three versions of Phrase 1 of the closing section based on Hétu's first (A), second (B), and third (C) versions of the passage found in mm. 1-4 on staff 9 of fol. 3r.]

The earliest version of Phrase 1 is thus eight measures long with descending fourths in the bass line. In the first version (Figure 11.23a), Hétu wrote the material on one staff as usual with descending transpositions of the descending quartal motives (a minor third apart), and with descending fourths in the bass voice. This arrangement was to balance the upward motion of the previous early recitative IV (Figure 11.19b). After deciding against the descending fourths in the bass line in favor of ascending fourths, Hétu wrote an alternate bass line on the staff below (staff 10), resulting in the second version in Figure 11.23b (crossing out his bass line on staff 9).

At some point after beginning work on closing section (the exact chronology being impossible to decipher), Hétu began work on the first half of Phrase 2 on staff 11 directly above Phrase 1. This fragment, which was ultimately erased, contains a modified version

of what one finds in the first half of this phrase in the published version of “Rêverie.”

Figure 11.24a shows this early version of Phrase 2 alongside the second and final versions.

Figure 11.24 consists of three musical staves, labeled A, B, and C, each showing a different version of a musical phrase. Staff A shows the first version, with two measures. The first measure has a treble clef, a key signature of one sharp (F#), and a 3/4 time signature. It contains a chord of G#4 and B4, with an interval of a major third (M3) indicated by a downward arrow. The second measure has a chord of F4 and A4, with an interval of a minor third (m3) indicated by a downward arrow. Staff B shows the second, erased version, spanning four measures. The first measure has a treble clef, a key signature of one flat (Bb), and a 3/4 time signature. It contains a chord of G#4 and B4, with an interval of a major third (M3) indicated by a downward arrow. The second measure has a chord of F4 and A4, with an interval of a minor third (m3) indicated by a downward arrow. The third and fourth measures feature a triad motive, indicated by a downward arrow and the text 'triad motive'. Staff C shows the final third version, also spanning four measures. The first measure has a treble clef, a key signature of one flat (Bb), and a 3/4 time signature. It contains a chord of G#4 and B4, with an interval of a major third (M3) indicated by a downward arrow. The second measure has a chord of F4 and A4, with an interval of a minor third (m3) indicated by a downward arrow. The third and fourth measures feature a triad motive, indicated by a downward arrow and the text 'triad motive'.

Figure 11.24 The first version (A) of Phrase 2 of the closing section (staff 11 of fol. 3r), the second erased version (B) of Phrase 2 (mm. 5-8 of staff 9 of fol. 4r); and the final third version (C) on mm. 5-8 of staff 9.

In the second version, one finds the same minor third and major descent in the upper voice that occurs in the published version of this phrase, however, an extra note is present in each of the two chords (G sharp and F), creating a perfect fourth with the bass. As mentioned above, the structure of Phrase 2 imitates Phrase 1 in terms of form and gesture but with the replacement of third intervals instead of semitones in the upper voice and a lack of stacked fourths. The perfect fourths in this early version of the phrase make this phrase closer in sound to Phrase 1 compared to the published version. After attaining an

eight-measure version of Phrase 1 (Figure 11.23b), Hétu must have composed this version of the Phrase 2, which exhibited a similar eight-measure length and structure. This version is shown in Figure 11.24b. This version can be realized based on similar erasures as those found in the sketch for Phrase 1. Figure 11.25 shows the original measures 5-8 of staff 9 of fol. 3r exhibiting erased notes, repeat signs and measure lines.

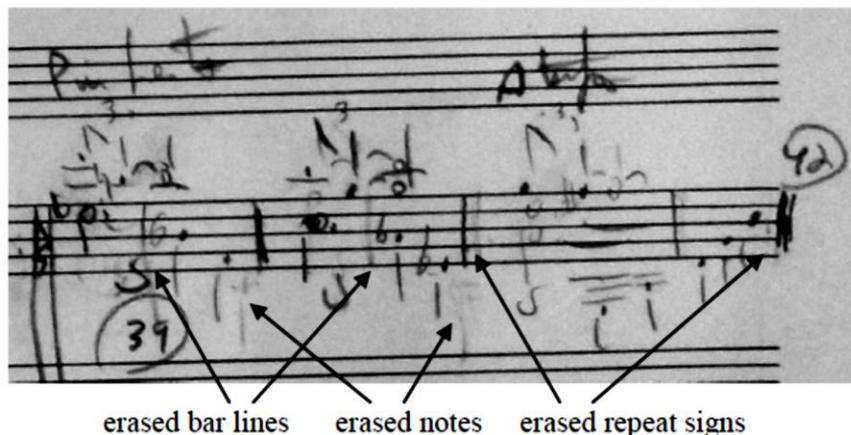


Figure 11.25 Detail of fol. r.3, mm. 5-8 of staff 9, showing erasures. Library and Archives Canada, MUS 279 | C5,18, volume 22, photograph by Michael Dias, 2012.

One clearly sees the erased repeat signs for the last two measures of this phrase. Equally clear is the erased measure line splitting up measures 1 and 2, along with the erased C and B flat (in measure 2 and 4 of the realization) in the bass line. The erased bass line seems to show that measures 1-2 of the sketch were once four measures, however, as opposed to the sketch for Phrase 1, the rhythmic values of the upper line show no legible indications of this. It is possible that Hétu did not bother to rewrite the rhythmic values of the upper line to match the additional measure lines. An exact chronology of this phrase based on erasures becomes tenuous at best. It can suffice to point out that, at one point, Phrase 1 and 2 were both eight measures in length with more elaborate bass lines than their published versions. Eventually, Hétu further revised this phrase, condensing it to four measures (Figure 11.24c). This will be discussed further below.

Based on the similarity of the contents of recitative IV and the eight-measure version of Phrase 1 and 2, it is likely that, at this point, Hétu returned to fol. 4r to revise the early version of recitative IV, something that was accomplished in two drafts. Based on Hétu's arrows, after crossing out the early version on staff 6, measures 5-8, the composer wrote another draft of the phrase in what could be a skeletal outline ending with the D9 motive. After this, Hétu made a final revision. Figure 11.26b shows the total of four versions of recitative IV.

Figure 11.26 consists of four musical staves labeled A, B, C, and D, each showing a different version of recitative IV. Staff A (mf) features three triplet figures. Staff B (mf) also features three triplet figures. Staff C (mf/pp) shows a triplet figure followed by two chords. Staff D (f/mp/ff/f) is a more complex, multi-measure phrase with dynamic markings and fingerings.

Figure 11.26 The earliest version (A) of recitative IV on staff 6, mm. 5-8, the second version (B) on staff 6, mm. 5-8, the third version (C) on staff 6, m. 5 and staff 7 mm.4-6, and the fourth (final) version (D) on staff 9, mm. 1-7, of fol. 4r.

The lack of semitone motion on the second quartal chord is unusual in the piece, leading one to believe that this phrase was not completely fleshed out. It is interesting that the *mf*

dynamic and the return to the D major chord with the added ninth seem to indicate that Hétu toyed with the idea of avoiding a climactic phrase before returning to the *idée fixe* of the D chord. Finally, Hétu produced the new version of recitative IV below on staff 9 (measure 1-7), which is identical to the published version of this phrase Figure 11.26c shows this material. The added opening D-E flat ensures that this phrase is heard as belonging to the recitative section (following the fourth relation of each of the recitative phrase openings). The quartal motives from the earlier version are present but transposed up one semitone. Most important, it is now a climactic completion to the earlier recitatives I-III, similar to the initial version on staff 6 (Figure 11.26b) but consisting of two-measure units of quartal motives and rising-fourth bass lines that show unity with the eight-measure versions of Phrase 1 and 2 of the closing section. One notes that the reverse-dotted rhythm has been returned to. The notation of the final version of this passage on this folio (Figure 11.26d) contains ties sustaining the quartal chords over the bar line. It is notable that, as opposed to the published version, Hétu keeps this implication to sustain in a first version of the movement's fair copy (measures 30-33) which was subsequently erased. Even at such a late stage of the compositional process as the fair copy, Hétu was still considering issues of resonance and practicality for "Rêverie."

In order to complete the closing section, Hétu seems to have written an early (ultimately discarded) eight-measure version of Phrase 3 on staff 15 of fol. 3r. Figure 11.27 shows the diplomatic transcription of this passage alongside a realization (which shows the harmonics in diamond note heads notated where they sound).

Figure 11.27 consists of two musical staves, A and B. Staff A is a diplomatic transcription of the closing section on fol. 3rn (staff 15). It shows measures 43, 46, and 49. Measure 43 starts with a treble clef and a key signature of one sharp (F#). The melody begins with a quarter note G4, followed by eighth notes A4, B4, and C5. Measure 46 has a 'Rit' marking and a box around the measure number '46'. The melody continues with a quarter note D5, followed by eighth notes E5, F#5, and G5. Measure 49 has an 'arm.' marking and a box around the measure number '49'. The melody ends with a quarter note G5, followed by eighth notes F#5, E5, and D5. Staff B is a realization of the passage. It shows the same measures as Staff A, but with annotations. Brackets under the first four measures of Staff B are labeled 'ascending P4s' and 'descending P4s'. The 'Rit' marking is present in measure 46. The 'arm.' marking is present in measure 49. The final chord in measure 49 is a D minor chord (D4, F4, A4).

Figure 11.27 The diplomatic transcription (A) of the early 8-mm. Phrase 3 of the closing section on fol. 3rn (staff 15) and the realization of the passage (B).

One notes that the first four measures of this realization are identical to Phrase 3 of the published closing section. However, here (see Figure 11.27b), rather than leaving the movement with an upward ascent to the highest register of the guitar, the composer grounds the ending by bringing the gesture back down to end on a final D minor chord (the minor quality of this final chord further enhances the sobering effect).<sup>613</sup> The descent is mostly by perfect fourths using natural harmonics (harmonics available on the six open strings).

Thus, at this point in the compositional process, a realization of recitative IV and the eight-measure version of Phrase 1, 2 and 3 of the closing section can be attained. Figure 11.28 shows this realization including recitative IV and the early eight-measure versions of Phrase 1, 2, 3 and the final cadential gesture.

<sup>613</sup> The function of the double bar line in the penultimate measure of the diplomatic transcription of staff 15 (Figure 11.27a) is not clear. It is possible that Hètu considered ending this movement on a D chord with an added sharp fourth in second inversion. It may also have indicated a completion of the eight measures of the early version of Phrase 3.

Recitative IV

Phrasing 1

Phrasing 2

Phrasing 3

Figure 11.28 The realization of the recitative IV and the early 8-mm. versions of Phrases 1, 2, 3 and the final chord.

The resulting early version can be seen to be paralleled in the phrase structure of the published version: instead of three eight-measures phrases and a final chord, one finds three four-measure phrases and a final cadential gesture.

At this stage, it is very likely that Hétu began writing the opening section material in staff 1 of fol. 4r. There are at least two versions of Phrase 2 and 3 of the opening section that can be deciphered by examining the erasures. Figure 11.29 shows the two versions of the passage.

Figure 11.29 consists of two musical staves, A and B, on a single staff. Both staves are in a key signature of one flat (B-flat major or D minor) and a 4/4 time signature. Staff A is divided into three sections: a first phrase of 4 measures, a second phrase of 4 measures, and a final section of 4 measures and 1 measure. A bracket under the second phrase is labeled 'recitative material'. Staff B follows the same initial structure but includes a 'Rit' (ritardando) marking and a *pp* (pianissimo) dynamic marking in the final section.

Figure 11.29 The early version of the opening section (A) and the final version (B) on staff 1 of fol. 4r.

The first discarded version uses one iteration of the descending quartal motive (on A-D-G), which moves directly to a bass line of descending fourths. This eventually moves by semitone to the E goal note (the lowest note of the D9 motive) in a similar way to the ends of recitatives I-III. The resulting bass line follows the first six notes of the first and second versions of recitative I but transposed to A flat and in rhythmic augmentation and the five first notes of recitatives I and II of the published movement (see Figure 11.23 and Figure 11.24). With the early version of the opening section, a two-phrase structure is exhibited based on four-measure units (the second phrase is five measures simply because of the repeat of the D9 chord). The revision resulting in the final version of the opening section (adding a second quartal chord and obscuring the relationship of the bass line of Part II to the recitative sections) relates the opening more closely with recitative IV and the closing section.

With the composition of the opening section clear within the creative process of the movement, one can now achieve a vision of the movement at an early stage of development. It is possible to make a realization that includes the early version of the opening section, the early version of the recitative section (with either the later or early

recitative IV phrase), and an early version of the closing section to get a view of the piece in an earlier state. Figure 11.30 shows this realization.

Opening Section

Recitative I

8

Recitative II

13

Recitative III

18

Recitative IV (early version)

24

Recitative IV (final version)

31

Closing Section (Phrase 1)

39

Closing Section (Phrase 2)

47

Closing Section (Phrase 3)

(h)

Detailed description of the musical score: The score is written on a grand staff (treble and bass clefs). It consists of several sections. The 'Opening Section' is a single line of music. 'Recitative I' starts at measure 8 and features a piano accompaniment of chords and a vocal line. 'Recitative II' starts at measure 13, with a piano accompaniment of chords and a vocal line. 'Recitative III' starts at measure 18, with a piano accompaniment of chords and a vocal line. 'Recitative IV (early version)' starts at measure 24 and features a piano accompaniment of chords and a vocal line. 'Recitative IV (final version)' starts at measure 31 and features a piano accompaniment of chords and a vocal line. The 'Closing Section' consists of three phrases: 'Phrase 1' (measures 31-38), 'Phrase 2' (measures 39-46), and 'Phrase 3' (measures 47-54). The score includes various dynamic markings such as *pp*, *mf*, *f*, *mp*, and *ff*. There are also articulation marks like accents and slurs. The key signature has one flat (B-flat), and the time signature is 3/4.

Figure 11.30 The realization of “Rêverie” based on early versions of the formal sections.

A caveat must be stated regarding this realization. The nature of Hétu's revisions in the movement portrays a movement in constant change until a final satisfying form was achieved. While there are early versions of all the sections, there does not seem to be a point in which an early version of all the sections are concurrent. That is, there is no evidence that this realization was ever a stable version that Hétu had conceived of as a whole. However, there is also no evidence to say that the movement did not at one point have this form. The crux of the matter is that one cannot say if Hétu wrote the opening section before revising the closing section or the recitative section. The basic order of composition is clear (recitative section, closing section, and then opening section) but the chronology of all the revisions is not.

After working on the opening section, Hétu then further revised Phrase 1 and 2 of the closing section (returning to the descending fourths but using only two-note descending figures in the bass, see Figure 11.23c and Figure 11.24b). This later version also deleted measures and repeat signs, creating four-measure phrases that have less in common structurally with the final recitative IV version. In this way, the final version of recitative IV reflects an early version of the piece. Finally, Hétu had to erase the middle note of the chords in Phrase 2 because, in each of the two cases, this note is very difficult or impossible to achieve as written. At this point, Hétu also revised Phrase 3, discarding the last four measures of the early eight-measure unit (leaving the ascent in fourths to the high A flat). In order to find a final two-measure cadential gesture to follow the high A flat, the composer went through several discarded endings as shown by fol. 3r. Figure 11.31 shows these four endings, along with that of the published version and the cumulative sonorities they create.

Figure 11.31 consists of five musical sketches labeled A through E, each showing a two-measure cadential gesture on a single staff.   
 A: Shows a treble clef staff with a key signature of one sharp (F#). The first measure has a half note G4 with a circled '5' above it and a circled '1' above it. The second measure has a half note B3 with a circled '2' above it and a circled '4' below it.   
 B: Shows a treble clef staff with a key signature of one sharp. The first measure has a half note A3 with a circled '5' below it. The second measure has a half note D4 with a circled '5' above it.   
 C: Shows a treble clef staff with a key signature of one sharp. The first measure has a half note G4 with a circled '5' above it and a circled '6' above it. The second measure has a half note B3 with a circled '5' above it. Above the staff is the instruction 'arm.' and below it is '(ppp)'.   
 D: Shows a treble clef staff with a key signature of one sharp. The first measure has a half note G4 with a circled '5' above it. The second measure has a half note B3 with a circled '5' above it. Above the staff is the instruction 'arm.5' and below it is 'PPP'.   
 E: Shows a treble clef staff with a key signature of one sharp. The first measure has a half note G4 with a circled '5' above it. The second measure has a half note B3 with a circled '5' above it. Below the staff is the instruction 'PPP'.

Figure 11.31 Four versions of the cadential gesture; the first (A) on staff 16, mm. 1-2, the second (B) on staff 16, mm. 3-4, the third (C) of staff 16, mm. 5-6 (erased), the fourth (D) on staff 16, mm. 5-6, and mm.47-48 of the published version.

Figure 11.31a shows the first version of the two-measure cadential gesture: A and E harmonics to a B minor chord, making a B minor with an added minor seventh and perfect fourth (staff 16, measures 1-2). After discarding this ending, the composer tried out the gesture in Figure 11.31b consisting of a low A harmonic and a D major chord with an added minor third (staff 16, measures 3-4). From the erasures visible in staff 16, measures 5-6 (the final measures of the sketch), one can reconstruct (with some interpretation) a third discarded ending: Figure 11.31c shows a version of this gesture that results in a D minor chord with an added ninth. This was erased in favor of the final ending written on the sketch. Figure 11.31d, like the published ending (Figure 11.31d), results in a D major chord with an added ninth. It achieves the sonority, however, by producing the E (the ninth) before the chord as a harmonic while the published ending

initiates the E as part of the chord (not harmonic). Finally, as Hétu wrote, the D9 chord occurs in its root position.

Thus, the closing section underwent two general conceptions: a lengthier version based on eight-measure units, and a shorter version (the published version) based on four-measure units. The closing section of the published version finishes with a rising line in fourths, balancing the opening descending line in fourths of the opening measures and contributing to a sense of suspension and particular dreaminess. The realization of the eight-measure version also reveals a draft of the piece that moves at a slower pace than the published version, contributing to a dreamy unhurried quality. However, this lengthier closing section of the early version (25 measures), compared to that of the published version (14 measures), might have made a movement that was a bottom heavy and thus unbalanced. The opening section (11 measures) and closing section are particularly balanced in the published version. Therefore, considering the place of the movement in the whole *Suite*, the final version of “Rêverie” creates a balanced, concise, and more suspended moment before the perpetual motion and excitement of the “Final.”

It is interesting that Hétu did not compose the beginning and ending of this movement before the internal sections, as he did in the “Prelude II,” the “Ballade” and the “Nocturne.” Rather, he began with the bulk of the inside section of the movement and added an opening and closing section. In this way, “Rêverie” does not follow Hétu’s self-described process (nor does one expect this to be true in every case). However, Hétu’s notion that he writes in a montage style, moving back and forth between sections, is exemplified very well here. Upon honing this movement and achieving a satisfying result

with his creative process, Hétu then moved on to the final movement in the *Suite*, the “Final,” which is the subject of Chapter 12.

## Chapter 12 Final

This chapter examines Hétu's compositional process for the last movement of the *Suite*, the "Final." There are six folios that contain material related to this movement: fols. 6v, 7r, 7v, 8r, 8v, and 9r. Fols. 6v and 9r contain short musical ideas that are destined for a hypothetical final movement in a quick tempo. They are related to the movement in that they share traits of the "Final" such as tempo, texture, meter, mood and, in one case, pitch structure. Hétu's work on drafting the "Final" occurred in fols. 7r, 8r, and 7v. Fol. 7r contains three drafts of a primary version of the movement. In contrast to the large-ternary form (ABA') of the published movement, this primary version has the general content of the last section, A', as a complete and discrete work. After writing a fourth draft using fol. 8r and working out the cadential gesture on fol. 8v, the composer modified his design for the movement to reflect large-ternary form. Fol. 7v contains new material for the initial A and B sections of the movement, using the fourth draft of the primary version as the return of the opening section, A'. The composer made a final revision, the result of which was a modified repeat of the A section (A1-A2). Thus, a full linear sequence of the published version of the movement (with some exceptions) is contained on fols. 7r, 8r and 7v. Table 12.1 contains a summary of the content of the folios.

Table 12.1 The folios containing material related to the “Final.”

fol. 6v	contains material for a toccata-like fast movement (discarded) among other fragmentary ideas for “Rêverie,” and the “Nocturne” A theme
fol. 9r	contains one musical idea that is obliquely related to the texture and motives in the “Final”
fol. 7r	along with two fragments that are related but not directly used, this sketch contains three drafts of a primary version and the last 24 measures of the final version
fol. 8r	contains the first 41 measures of the fourth draft of the primary version, which doubles as the A’ section of the final version
fol. 7v	contains the opening A section (which doubles as A1 and A2) and B section of the final version
fol. 8v	below the first draft of “Prelude I,” this sketch contains a version of the final rising and final scalar passage before the final chord of the “Final”

Along with insight into the early stages of the form and phrase structure of the movement, the sketches also reveal a variety of ways that the motivic material for the piece was varied and modified (often suggesting subtle motivic connections in the published version). Before examining the sketches, an analysis of the published version of the “Final” is needed.

### 12.1 Analysis of the published “Final”

The “Final” is a fast-moving toccata movement characterized by intensity and surprise. Figure 12.1 provides the full score for the movement.

Vivace ♩ = 80

The musical score is written in 3/8 time and marked *Vivace* with a tempo of ♩ = 80. It consists of eight staves of music, each with various dynamics and fingering instructions:

- Staff 1:** Starts with a *f* dynamic and a first fingering (1) above the first note. The piece concludes with a second fingering (2) above the final notes.
- Staff 2:** Marked with *pp*. Includes a fingering (1) above the first note and a fingering (6) below the first note of the second measure.
- Staff 3:** Features dynamics of *f*, *pp*, and *f* across the measures.
- Staff 4:** Marked with *pp* and *p*. Includes a fingering (III) above the final notes.
- Staff 5:** Marked with *mf*, *pp*, and *p*. Includes a first fingering (I) above the first note.
- Staff 6:** Features dynamics of *mf*, *pp*, *f*, *pp*, and *f*.
- Staff 7:** Marked with *pp* and *p*. Includes a fingering (III) above the final notes and a first fingering (I) above the final note.
- Staff 8:** Marked with *f*. Includes a first fingering (1) above the first note.

45

*pp* *f* *pp*

51

*f* *pp*

57

*p* *mf* *pp* *p*

63

*mf* *pp* *f* *pp* *f* CIII

69

*pp* *p*

75

*mp* *f* *pp* *p*

81

*f* I III

87

*f* I CII



147 *pp* *f* *p*

153 CIV *f* *p* *f* CI

159 *p* (*p*) *poco cresc.*

165 III CIII I *mp* *f* *mf*

171 CIV *f* (f)

177 *ff* *f* *ff* *f*

184 *ff* *mf sub.* VI VII VIII CIX

190 *ff*

Figure 12.1 The score of the “Final.” © With kind authorization from Les Éditions Doberman-Yppan.

In contrast with the “Nocturne” and “Ballade,” the “Final” does not draw from a consistent harmonic resource, such as the octatonic collection. Like “Rêverie,” whose

melodic and harmonic structure fixates on the perfect fourth, this movement centers on a particular interval as well. The minor second (mostly in a melodic form) pervades the movement, and the primary motive in the work, the “semitone” motive, exemplifies this. Figure 12.2 shows the first instance of the semitone motive as seen in measure 10, which is repeated (in various transposition and variations) throughout the movement.



Figure 12.2 M. 10 of the “Final.”

The suggested use of the open fifth string (indicated by the “0” on the score) for the low A, while using the sixth string (indicated by the circled “6”) for the low B flat allows these two notes to sustain, producing a legato, ringing-over effect. Without the finger indications, a guitarist might be apt to play the A and B flat on the same string without achieving this particular effect. As we shall see, this fingering arrangement is specified in the sketches in an early version of this motive (see discussion below in section 12.4) and, thus, one can surmise that the fingering originated primarily with Hétu (rather than as a result of Pierri’s editorial markings). Very few measures in the movement do not emphasize the minor second as a basic element. Another unifying structure in the movement is the major chord with an added minor sixth, a sonority which also features a minor second interval (or one of its octave-related counterparts, such as the minor ninth, depending on the voicing arrangement) between the fifth of the chord and the added minor sixth. This is one of Hétu’s self-proclaimed favorite chords (as first discussed in Chapter 4). Hétu, himself, acknowledges the use of favorite chords in the movement in his correspondence with Fowler. Referring to his favorite chords (which he lists above in his letter and are also outlined in Chapter 4), Hétu writes, “The ‘Final’ uses certain

harmonic elements presented above, with more chromaticism [...].”<sup>614</sup> Indeed, the major chord with added minor sixth on E, F sharp and A can be found throughout the middle section and final section of the movement.

The movement moves between various tonal centers throughout the work. Although the “Final” ends on an E major chord with an added minor sixth, the opening section (starting at measure 10) begins firmly based on A as a tonal center. Based on his correspondence with Fowler, one can surmise that Hétu felt the movement had a certain tonal mobility but was ultimately hinged on one pitch centre. He states, “while the first 4 measures of the ‘Final’ make a break with the D major chord that ended the ‘Rêverie’... This ‘Final’ oscillates between the tonics A, D, F sharp (the middle section), touches upon G and finds E, the principal ‘tonic’ of the work.”<sup>615</sup> That Hétu felt that this movement was principally centered on E is also indicated by the title on fol. 7v – what can be considered the first page of the final draft of the movement. He titles the sketch “Prelude VI (en Mi (+--)).” The usage of the symbols “+--” “can be seen as a derivation of the symbol, “(±),” used in mathematics to mean “more or less.”<sup>616</sup> Thus, according to Hétu, E can be considered “more or less” the principal tonal center of the movement.

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<sup>614</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | Folder 1, Box No. 27, “Email Correspondence with François Fowler,” Dec. 1, 1999. Original: “Le Final utilise certains éléments harmoniques présents ci-dessus, avec le chromatisme en plus [...].”

<sup>615</sup> Ibid. Original: “alors que les 4 premières mesures du Final font éclater l’accord de Ré majeur qui terminait la Rêverie... Ce Final oscille entre les toniques La, Ré, Fa# (partie central), effleure Sol et retrouve Mi, principale “tonique” de l’œuvre.”

<sup>616</sup> “Les Symboles Mathématiques,” Les-Abréviations.com, accessed May 24, 2018,

<http://www.les-abreviations.com/symboles-mathematiques.html>.

Fowler notes the fact the E tonal centre of movements I, III and V of the *Suite* provides tonal unity and symmetry to the work as a whole.<sup>617</sup>

Fowler finds the large-scale form of the movement to be ternary (A-B-A'), beginning with a short introduction.<sup>618</sup> Like the "Ballade," which also exhibits ternary form, there is an internal repetition (A1-A2) in the opening A section (measures 10-99): the content of measures 10-44 repeats in measures 45-99, in a varied form with a different ending to lead into the B section. The B section (measures 100-128), a slow section, returns to the recitative-like melodic phrases found in "Rêverie." Finally, the return to the opening (A') begins with slightly altered material from A1 (referred to as A1.1' which will be discussed below) and moves to a climactic expansion of A section material in two more parts (referred to here as A3 and A4) before a final cadence on E. Table 12.2 provides a summary of the large-scale structure of the "Final."

Table 12.2 Formal summary of the "Final."

Introduction	mm.1-9
A section	mm. 10-99 A1 (mm. 10-44) A2 (mm. 45-99)
B section	mm. 100-128
A' section	mm. 129-196 A1.1' (mm. 129-150) A3 (mm. 151-172) A4 (mm. 173-196)

The following examination of the details of the form and motives of the movement will serve the ensuing discussion of the sketches. The introduction consists of two four-

<sup>617</sup> Fowler, "Jacques Hétu's *Suite*," 8-9.

<sup>618</sup> Fowler, "Jacques Hétu's *Suite*," 63.

measure phrases (Phrase 1 and 2) and a silent measure with a fermata. The symmetry in rhythmic and motivic structure of Phrase 1 and 2 produce a tight-knit eight-measure unit. The result of the introduction is the establishment of the minor second as the *idée fixe* of the movement, while setting a dramatic tone of interruption and surprise. Figure 12.3 shows the introduction of the “Final.”

The image displays two musical phrases, Phrase 1 and Phrase 2, on a single staff in 3/8 time.   
**Phrase 1** (measures 1-4): The first measure is a whole rest. The second measure begins with a forte (*f*) dynamic and contains an augmented triad (C-sharp, C-natural, F-sharp). The third measure features an inversion variation of a semitone motive. The phrase concludes with a whole rest in the fourth measure.   
**Phrase 2** (measures 5-8): The first measure is a whole rest. The second measure contains an augmented triad (C-sharp, C-natural, F-sharp). The third measure features an inversion variation of a semitone motive. The fourth measure features a tritone dyad variation of a semitone motive. The phrase concludes with a whole note G in the eighth measure, which has a fermata above it.

Figure 12.3 The introduction of the “Final” (mm. 1-9).

The opening seven notes of Phrase 1 (C sharp-C natural-F-F sharp-A-A flat-G) in measures 1-4 converge on G following a reverse wedge, which serves as the tonal centre of this phrase. The first five notes are derived from the eighth-note material of the A1 section, measures 16-17, referred to as the “interruption” motive (for reasons discussed below). In measure 3, one finds an inversion variation of the semitone motive (the inversion here refers to the general melodic contour). Figure 12.4 shows the semitone motive and the inversion variation of the semitone motive.



Figure 12.4 The semitone motive in m. 10 (A) and the inversion variation of the semitone motive in m. 3 (B).

After the initial semitone descent, the semitone motive moves up by an octave (to A) whereas the variation moves down by an octave (to G). Phrase 2 of the introduction consists of a descending scalar gesture finishing on the inversion variation of the semitone motive on E. The opening pitch structures of the two phrases are aligned by the use of melodic semitones: the first six notes of Phrase 1 (C sharp – C natural – F – F sharp – A – A sharp) consist of three semitone motions, while the first 10 notes of Phrase 2 exhibit five descending semitones. In addition, the first note of the three semitone intervals in Phrase 1 (C sharp – F – A) and those of Phrase 2 (E flat – B – G) both outline an augmented triad – a structure that is utilized in the B section and the transition phrase to it. As Fowler points out, Hétu uses pitch collections here to organize this passage. The descending line in Phrase 2 can be considered according to two related collections: drawing from one transposition level of Messiaen’s third mode of limited transposition (which can be considered as consisting of three augmented triads a minor second apart) or utilizing the hexatonic collection (which can be considered as consisting of two augmented triads a minor second apart).<sup>619</sup> Figure 12.5 shows one transposition of Messiaen’s third mode alongside two hexatonic collections.

<sup>619</sup> The term hexatonic collection and the labeling conventions used here are taken from Joseph N. Straus, *Introduction to Post-tonal Theory* (New York: W.W. Norton & Company, 2016), 257. The labeling system, “HEX<sub>1,2</sub>” and “HEX<sub>2,3</sub>” for example, contain the pitch classes that are uniquely present in each collection. For example, pitches C sharp (1) and D (2) are contained only in HEX<sub>1,2</sub>.

Figure 12.5 Messiaen's third mode (A) and two hexatonic collections, HEX<sub>2,3</sub> (B) and HEX<sub>1,2</sub> (C), alongside mm. 5-6 of the "Final" (D).

One notes that HEX<sub>2,3</sub> and HEX<sub>1,2</sub> used in measures 5-6 (see Figure 12.5b and c) combine to make up a transposition of Messiaen's third mode (Figure 12.5a). As noted in Chapter 4, according to Hétu, the presence of the third mode of limited transposition in his music was not the result of conscious employment of this mode but rather the consequence of certain chords. The hexatonic collections are used here as they offer a way of highlighting the connection of this material to Hétu's usage of augmented triads. In each phrase of the introduction, the inversion variation of the semitone motive is followed by a dyad consisting of a tritone (measure 4 and 8). Phrase 2 finishes with a modified version of what will be termed the tritone-dyad variation of the semitone motive (discussed below). In addition to the similarity in pitch structure, the first half of each phrase, although contrasting in pitch content, exhibits a similar rhythmic structure: an eighth-note rest followed by pitch content in consistent divisions of the beat (eighth notes in Phrase 1 and sixteenth notes in Phrase 2). The symmetry of the two phrases is such that one expects the beginning of another phrase in measure 9. However, disruption of this expected gesture by the silence (with a fermata) in this measure contributes to setting the dramatic tone of the movement.

The A1 section contains two parts, A1.1 and A1.2, which share basic phrase and motivic content but are delineated mostly by tonal centre. A1.1 (measures 10-27) has a tonal center of A, while A1.2 (measures 28-44) is centred on D. The specific centrality of each part is largely due to the semitone motive (or variations of it) pervasively used throughout each part. Of the 18 measures of A1.1, 11 measures contain iterations of the semitone motive. A1.2 is similarly set up to orient around D by the repetition of the semitone motive: of its 17 measures, seven are iterations of the semitone motive on D.

A1.1 contains three four-measure phrases and a fourth phrase of six measures. Figure 12.6 shows the structure of this passage.

Phrase 1

Phrase 2

Phrase 3

Phrase 4

staccato theme

ascending tritone motive (var.)

ascending tritone motive

interruption motive

*pp* *f* *pp* *f* *pp* *p* *mf* *pp* *p*

Figure 12.6 A1.1, mm. 10-27.

The two four-measure units exhibit a common phrase structure in the movement: pianissimo repetitions of the semitone motive (or related figuration) in perpetual sixteenth notes broken by eighth-note statements of the interruption motive (usually also consisting of semitone motion). The statements of the interruption motives throughout the

movement generally present in the same way: an initial fragment of two notes beginning on beat two in the first phrase unit, and the full five notes of the motive in the second phrase unit.

After a third phrase consisting solely of the semitone motive, a less tight-knit six-measure Phrase 4 provides new motivic material and a transition to the D tonal center of A1.2. This six-measure phrase is a bricolage of three elements. First, a three-measure “staccato” theme (measures 22-24, named for the unique use of this articulation here in the sketches and published movement) finishes with a variation of the “ascending tritone” motive in measure 24 (the only difference is the final note). This staccato theme functions, in part, as an articulation contrast to the legato sustain of the semitone motive. The second element is the return of the A-based semitone motive (measures 25-26) which is unexpected and accentuates the asymmetrical relationship of this phrase to the previous three. The third element is a reiteration of the ascending tritone motive that leads to the A1.2.

The first three phrases of A1.2 begin with a parallel structure to those of A1.1, but with a reduction of the number of repetitions of the semitone motive (now centred on D). Figure 12.7 shows the phrase structure of A1.2.

Phrase 1

Phrase 2

Phrase 3

Phrase 4

staccato theme

ascending tritone motive

tritone-dyad variation of semitone motive (G)

tritone-dyad variation of semitone motive (E)

inversion variation of semitone motive (G)

inversion variation of semitone motive (E)

Figure 12.7 A1.2 (mm. 28-44).

The result is a general diminishing of phrase length in Phrases 1-3. The first phrase is three measures (one less semitone motive than its counterpart in A1.1), the second is four measures, and the third is three measures (one less semitone motive than its counterpart in A1.1). The slightly different unit lengths compared to A1.1, as well as the asymmetrical 3+4+3 structure, accentuates the heightened sense of instability and contributes to an overall sense of urgency. The fourth phrase, like that of A1.2, functions as a transition to A2 (which begins with a varied repeat of A1 material at the original transposition level). It consists of the three-measure staccato theme and ascending tritone motive (as in A1.1 but transposed up a fourth). In contrast to A1.1, this material leads to an inversion variation of the semitone motive and a statement of the tritone-dyad motive (both found in the introduction) on G. The attainment of G as the tonal center fulfills the function of the tritone-dyad material to result in modulation up a perfect fourth from D



Figure 12.9 Phrase 4 of A2.2 (mm. 73-85).

The fourth phrase of A2.2 begins in the same way as the fourth phrase of A1.2 (with the staccato theme and the ascending tritone motive), but the move to the G-oriented variations of the semitone motive (as found in A1.2) is interrupted with four measures of material that is not present in the parallel passage of A1.2. This is followed by two transpositions of the ascending tritone motive: one at the transposition level of A1.2 (beginning on A sharp) and one at the transposition level found in A1.2 (beginning on D sharp). This ushers in the return of the inversion and tritone-dyad variations of the semitone motive on G and E (identical to that of the end of A1.2, measures 41-44, described above).

Following A2, the transition phrase (mm. 86-99) prepares the B section. Figure 12.10 shows the transition phrase.

4 mm. unit

varied repetition

6 mm. unit

repetition

HEX<sub>1,2</sub>      HEX<sub>3,4</sub>      HEX<sub>1,2</sub>      HEX<sub>3,4</sub>

Rall.

dim.

Figure 12.10 The transition phrase of the “Final,” mm. 86-99.

It begins with a four-measure unit (measures 86-89) consisting of a varied repetition of two measures: the semitone motive on A (paralleling the return to this motive on A, after A1) and a development of the tritone-dyad motive. This moves to a six-measure unit (measures 90-95) consisting of a repetition of a three-measure model: arpeggiations of a triad with an added minor sixth on F sharp (twice) and A (once). The transition completes with a four-measure rising gesture (measures 96-99) consisting mainly of augmented triads and culminating in a high augmented triad (E – G sharp – C). One can use two hexatonic collections to account for the material in measures 97 and 98 (this shows the connection between this rising gesture and the introduction, measures 5-6, which also used two hexatonic collections). It should be noted that the two measures present the four possible unique transpositions of the augmented triad, just as one sees in the “Prélude.”<sup>620</sup>

<sup>620</sup> Two transpositions of Messiaen’s third mode of limited transposition also could be used here to account for the pitches in measures 97-98.

The B section begins in measure 100 with Hétu's indication to decrease the tempo by more than one half – from the “vivace” indication of the A and A' sections (240 bpm to the eighth note) to “moderato” (104 bpm to the eighth note). Notably, this tempo is quite close to the 96 bpm used in the recitative section of “Rêverie.” Like “Rêverie,” the B section consists of numerous recitative-like phrases (recitatives I-VII) dissolving (to use Hétu's term) into F sharp and A major chords with added minor sixths (another conspicuous use of one of Hétu favored chords). Figure 12.11 shows the B section.

Recitative I

Recitative II

Recitative III

Recitative IV

Recitative V

Recitative VI

Recitative VII

Figure 12.11 The B section (mm. 100-128) of the “Final.”

Recitative I (measures 100-103) consists of a descent from a high E flat via two arpeggiations of major chords with added minor sixths (on E flat and E), moving to F sharp major with an added minor sixth. This phrase is issued from the transition phrase and thus could also be considered as continuing the  $HEX_{3,4}$  collection that was initiated in the precluding passage (save for the B flat in measure 100). Recitative II (measures 104-107) presents the main motive that is developed in the B section. As Fowler notes, the

first seven notes of this material are a direct transposition of measures 68-69 of the A2 section.<sup>621</sup> Like recitative I, this resolves to the F sharp major chord with an added minor sixth.<sup>622</sup> Figure 12.12 shows the material from the A section developed here (measures 68-69) and the first instance of the material in the B section (measures 104-106).

The figure consists of two staves of musical notation. Staff A shows measures 68-69, starting with a treble clef and a key signature of one sharp (F#). The tempo marking 'Piu lento' is above the first three measures, and 'A tempo' is above the last three measures. A curved arrow points from the end of the 'Piu lento' section to the beginning of the 'A tempo' section. A downward-pointing arrow labeled '↓m6' points to the final chord of the 'A tempo' section. Staff B shows measures 104-106, starting with a treble clef and a key signature of one sharp. The first measure is marked 'pp' and the second measure is marked 'f'. A curved arrow points from the end of the first measure to the beginning of the second measure.

Figure 12.12 Mm. 68-69 (A) and mm. 104-106 (B) of the “Final.”

In this way, the “Final” parallels the structure of the “Ballade,” which also developed two measures of material from the A section as the basis for the B section. Recitative III (measures 113-116) and IV (measures 117-122) present developments of the motivic material introduced in recitative I. Both phrases end with an A major chord with an added minor sixth. Recitative V (measures 117-122) and VI (measures 123-126) return to the F sharp major chord with the added minor sixth. Recitative V represents the climax of the section: an ascending and descending gesture made up six instances of the four unique augmented triads, each a semitone apart (a hexatonic collection analysis would also work here). Recitatives VI and VII return to the motive material presented in recitative I, the latter resolving to an *attacca* initiation of the return of the A section material. There is a

<sup>621</sup> Fowler, “Jacques Hétu’s *Suite*,” 77.

<sup>622</sup> *Ibid.*, 73.

bipartite phrase structure in the B section: recitatives I-IV consist of phrases that move to F sharp for the first two phrases and to A for the second two phrases. Recitative V-VII consist of two phrases that move to F sharp followed by a final phrase that moves to A, but rather than an iteration of the A chord with added minor sixth as expected, one hears the A tonal center of the semitone motive from the opening of the A' section. The effect is one in which the A tonal centre is prepared, but the musical content is one of surprise and interruption. The length of the phrases contributes to this sense of bipartite structure: Recitatives I and V both contain large scalar (and triadic) descents from high registers over two measures. These longer phrases demark the bipartite structure of the B section contributing to the overall effect of interruption while satisfying the internal needs of the section.

The A' section (measures 129-196) begins with A1.1', a recapitulation of the opening A section material with some minor modification (measures 129-150). The opening three phrases (measures 129-132, 133-136, and 137-140) are the same as those in A1.1. The fourth phrase (measures 141-150), however, deviates from what came before in the A1.1 section. Figure 12.13 shows the fourth phrase of the A1.1' section.

Figure 12.13 A1.1', fourth phrase, mm. 141-150 of the "Final."

The two-measure “staccato” material from A1 and A2 is present here, but the passage is extended to four measures. Similar to the structure of A2.2 (measures 76-80), instead of following the A1 section and leading to an ascending tritone motive, the semitone motive interrupts. A two-measure and four-measure unit continues (with the expected interruption motives). The result is a prolongation of the A tonal center and an increase in the sense of suspense (the ear expects a move to the second part of the section as heard in A1.1 and A2.1 of the A section).

A3 (measures 151-172) begins without the ascending tritone motive that ushered in A1.2 and A2.2. It opens with an arpeggiation (similar to the arpeggiation of the F sharp and A major chords with added minor sixths in the transition phrase) characterized by an ambiguous harmony, B-G sharp- G natural. Figure 12.14 shows the A3 section of the movement.

**Phrase 1**

**Phrase 2**

**Phrase 3**

**Phrase 4**                      staccato theme (expanded)

Figure 12.14 Mm. 151-172, the A3 section of the “Final.”

This could either be heard as a G major chord with an added minor ninth in the bass or a G sharp minor chord with an added major seventh (one of Hétu’s favoured chords). Hétu himself suggests that G is the more relevant reading when he states that G is one of several tonal centres that the movement “touches on” before it “finds E, the principal ‘tonic’ of the work.”<sup>623</sup> The structure of the A3 section is similar to the opening three phrases of A1.1’: three four-measure units with *forte* interruptive melodic notes occurring in the same manner but in octaves. As with A1.1’, the fourth phrase consists of four measures of staccato material (the relationship of the material in terms of pitch structure

<sup>623</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | Folder 1, Box No. 27, “Email Correspondence with François Fowler,” Dec. 1, 1999.

is less obvious). This is followed by two three-measure units of arpeggiation-based material with interruption material in a similar manner to the opening of the section.

The A4 section (measures 173-196) is characterized by an arpeggiation of an E major triad with added minor sixth, interrupted with eighth notes in octaves. Figure 12.15 shows the A4 section.

**Phrase 1**



**Phrase 2**



**Phrase 3**



**Phrase 4**



Figure 12.15 The A4 section, mm. 173-196, of the “Final.”

It begins with a similar three-phrase structure that we saw in A3 with a minor change contributing further to the unexpected suspense of the movement: instead of three four-measure phrases, one hears a five-measure unit followed by two four-measure units.

The final phrase of this movement consists of a rising line (six measures in length) to a high A, before falling to an E major triad with an added minor sixth (E – G sharp – B – C) rooted on the open sixth string of the guitar. This scalar gesture should be considered a

final staccato passage akin to those in the previous sections. The ascent of the passage is discussed further below in relation to the earlier staccato passages in the movement.

However, there are some notable aspects to mention about the descent of the passage.

After reaching its climax on a high A, the passage goes down in descending semitone

pairs. The first measure of the descent (measure 192) outlines an E major chord, further accentuating the final tonal center of the movement: A-G sharp, F-E, C-B. With the

exception of the first semitone pair, the remainder of the semitone pairs of the passage are

based on the six open strings of the guitar (E, B, G, D, A, and E): E-D sharp, B – B flat,

G – F sharp, D – C sharp, A and F – E (the low A breaks the pattern in order for E to be

achieved via a semitone descent). As Fowler points out, this tonal center is not only the

one that began the *Suite*, but these same notes opened the first four notes of the

“Prélude.”<sup>624</sup> Table 12.3 provides a detailed summary of the movement.

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<sup>624</sup> Fowler, “Jacques Hétu’s *Suite*,” 90.

Table 12.3 A formal summary of the “Final.”

A	Introduction (mm.1-9) <ul style="list-style-type: none"> <li>○ Phrase 1 (mm. 1-4)</li> <li>○ Phrase 2 (mm.5-9)</li> </ul>
	A1 (mm. 10-44) <ul style="list-style-type: none"> <li>○ A1.1 (mm. 10-27)</li> <li>○ A1.2 (mm. 28-44)</li> </ul>
	A2 (mm. 45 -99) <ul style="list-style-type: none"> <li>○ A2.1 (mm. 45-62)</li> <li>○ A2.2 (mm. 63-88)</li> <li>○ transition phrase (mm. 86-99)</li> </ul>
B	<ul style="list-style-type: none"> <li>○ recit. 1: mm. 100-103 (on F#)</li> <li>○ recit. 2: mm. 104-107 (on F#)</li> <li>○ recit. 3: mm. 108-112 (on A)</li> <li>○ recit. 4: mm. 113-116 (on A)</li> <li>○ recit. 5: mm. 117-122 (on F#)</li> <li>○ recit. 6: mm. 123-126 (on F#)</li> <li>○ recit. 7: mm. 127-128 (moving to the A tonal center of the A' section opening).</li> </ul>
A'	A1.1' (mm. 129-150) <ul style="list-style-type: none"> <li>○ A1.1 modified</li> </ul>
	A3 (mm. 151-172)
	A4 (mm. 173-196)

After exploring the form of the movement, one can now examine some of reoccurring motives in the work. Héту develops three basic ideas throughout the movement, a feature which contributes to the sectional form of the work: the semitone motive, the interruption motives and the staccato passages. The semitone motive begins the A1.1 and A1.2 section in A and D respectively (as well as the repeat of this material in A2.1 and A2.2). As discussed above, the first two phrases of each section consist of a repeated motive which sets the interruption motives in relief. In A3 and A4, this function of opening the

sections and providing a canvas for the interruption material is given to two arpeggio figurations, which can be considered similar in this way to the semitone motive. Figure 12.16 shows the semitone motive and its function-related motives.



Figure 12.16 Instances of the motives that open the A1.1 (A), A1.2 (B), A3 (C) and A4 (D) sections.

The repeated motive in A1.2 (Figure 12.16b) is a transposition of the original semitone motive presented in A.1 (Figure 12.16a). The repeated motives in A3 (Figure 12.16c) and A4 (Figure 12.16d) are apt substitutions for the semitone motive in that the rhythmic contour and resonance of the gestures are similar. Like the semitone motive, the G major triad (implied) with an added minor ninth arpeggio and the E major triad with added minor sixth both begin with an initial dip and peak on beat three. The arpeggio-like nature of the semitone motives on A and D on the guitar, following the fingering indication (which is marked on the sketches), also make the connection between the repeated motives of A3/A4 and the original semitone motive in terms of resonance. There are two other important variations on the semitone motive found elsewhere in the movement: an inversion variation and a tritone dyad variation. Figure 12.17 shows these two variations on the semitone motive.



Figure 12.17 Variations on the semitone motive including the inversion (A), m. 3, and the tritone-dyad variation (B), m. 42.

Both the inversion variation of the semitone (Figure 12.17 a) and the tritone-dyad variation (Figure 12.17b) are first encountered in the introduction (see the above for a formal analysis of that section). One notes that the introduction presents modifications of the tritone-dyad variation on G (the D – A flat tritone) in measure 4, and E (opening and closing with the B-F tritone) in measure 8 – in the first case simply presenting the tritone dyad. The inversion variation and tritone dyad variation are presented throughout the fourth units of the A1.2 and A2.2 sections. The inversion variation is found on G in measures 41 and 82, and on E in measure 43 and 84. The tritone-dyad variation is found on G in measures 42 and 83, on E in measures 44 and 85, and on A (opening with the E – B flat tritone) in measure 87 (the motive in measure 89 could be considered a further variation of this).

The material that is developed most in the movement is the interruption motive. Figure 12.18 shows the instances of the interruption motives.

Figure 12.18 consists of eight musical staves, labeled A through H, each showing a different instance of an interruption motive. Each staff begins with a rest followed by a descending semitone. The motives are defined by their intervallic structure: A (014), B (015), C (015), D (014), E (014), F (013), G (013), and H (013). The interval between the first and second notes is labeled as P5, P4, or M3. The interval between the second and third notes is labeled as (014) or (013). The notation includes various accidentals (sharps, flats, naturals) and stems with flags to indicate the specific pitch structure of each instance.

Figure 12.18 The interruption motives in the introduction (A), mm. 1-3; A1.1 (B), mm. 16-18; A2.1 (C), mm. 51-53; A1.2 (D), mm. 33-35; A2.2 (E), mm. 68-70; end of A1.1' (F), mm. 149-151; A3 (G), mm. 157-159 and 171-173; and A4 (H), mm. 180-182.

The rhythmic sequence of each instance of the interruption material is identical (except for the varied instances in A2.1 and A2.2) with a two-note iteration followed by a five-note iteration. However, the pitch structure of the five-note iterations never repeats. With the exception of the end of A1.1' in measures 149-150 (Figure 12.18f), each instance begins with a descending semitone. However, each instance continues in a slightly different manner from the next. The two most similar instances of the interruption motive are in the introduction (measures 1-2, Figure 12.18a) and A1.1 (measures 16-17, Figure 12.18b). Even here, however, the fifth note diverges. The interruptive material at the end of A1.1', measures 149-150 (Figure 12.18f), is also similar to that of A.3, measures 157-

156 (Figure 12.18g), except that in the former there is an upward tritone leap rather than a descending semitone. Thus, the interruption material, largely the content of each phrase highlighted by the repetition of the semitone motives (and related motives), contributes to the unpredictability and sense of the unexpected in the movement. However, the one similar characteristic that these motives share is how they move via a semitone motion to the proceeding material. When observing the next notes after each motive in Figure 12.18, this pattern is clear (Hétu leads the motive to the low E as the root of the chord in Figure 12.18h even though the B is the first note of the motive).

The staccato passages in A1, A2, A1', A3, and A4 (the final scalar gesture) show Hétu developing the original A1 staccato passage through transposition, variation and expansion. Figure 12.19 shows the staccato passages of A1.1', A3 and A4 in the A' section.

A.

B.

C.

D.

E.

Figure 12.19 A.1, mm. 22-24 (A), A1.2, mm. 38-40 (B), A1.1', mm. 141-144 (C), A3, mm. 163-166 (D), and A4, mm. 186-196 (E).

In terms of rhythmic character and articulation, the five staccato passages are similar. The passages all contain a metric disruption in their groupings – sometimes emphasizing the three beats of the 3/8 meter and sometimes emphasizing beat one and the off-beat of beat

two (as in 6/16 meter). The articulation is predominantly staccato with Pierri's editorial slurs in dotted lines (in the fair copy, the articulation is originally all staccato and even sometimes even pizzicato, as will be discussed below). With the exception of the A3 staccato passage, one finds a compound melody in these passages. In the A1.1 staccato passage, one finds a compound melody in which the upper voice often moves in neighbor motion (C – C sharp – D sharp – C sharp – C natural – D sharp – E – D natural etc.) against a stationary lower voice (A in measures 1-2). The voices of the compound melody rise in the ascending tritone motive in measure 3 of the passage preparing the entrance of the D-oriented A1.2 material. The same can be said for the A1.2 staccato passage which is an exact transposition of its counterpart in A1.1 (up a perfect fourth). In the A1.1' staccato passage, which is expanded to contain an additional two measures, there is a similar compound melody over four measures: the upper voice continues to move in passing and neighbour-note motion, while the lower voice moves from A in measures 1-2 to A sharp in measures 3-4. The A4 staccato passage (the scalar passage before the final cadential gesture) also exhibits a compound melody, while the staccato passage of the A3 section has this effect less pronounced. One notes that the A1.1' staccato passage is completely within the OCT<sub>0,1</sub>, and the A3 staccato passage is completely within OCT<sub>2,3</sub>.

In addition to this, each staccato passage emphasizes a common three-note melodic pitch structure: leaps of a third, fourth, or fifth followed by ascending or descending semitones (or vice versa, a semitone motion and then a large leap). Thus, there is a large concentration of melodic instances of pitch class sets (014) and (016) (see Figure 12.19). As the staccato passages are heard throughout the piece they undergo transposition and

development but retain the pitch-class structure of the first two measures. The passages in A1.1/A2.1 and A1.2/A2.2 are transpositions (a perfect fourth up). The staccato passage in A1.1' is extended by two measures. The four-measure passage in A3 is remarkably similar to that of A1.1'. The first two measures, plus the last three-note cell, are identical in terms of pitch classes (i.e. disregarding specific octave placement) but transposed to center on B (up a major second), emphasizing the first note of the A3 arpeggio motive as its tonal center (contrary to the interpretation above, as G). Measures 3-4 of the passage show remarkable similarity to measures 3-4 of the A1.1' passage in terms of the placement of the common three-note cells but with variations in the large leaps. One can then say that the final rising scalar gesture is a continuation in the development of the staccato figure.

With an understanding of the basic formal sections and motives of the movement, an examination of the sketches can be undertaken, leading to an understanding of the creative process in which the work developed. The sketches show a variety of drafts of the movement in various versions. One can summarize all the discernible drafts and versions (including the fair copy and published score) created during the composition of the "Final." Table 12.4 shows this in chronological order.

Table 12.4 A summary of the drafts of the primary and final versions in the sketches for the “Final.”

Version and Draft	Folio/Source	Form and Structure
Primary Version, 1 <sup>st</sup> draft (PV.1)	fol. 7r	3/4 meter, incomplete
Primary Version, 2 <sup>nd</sup> draft (PV.2)	fol. 7r	3/4 meter, incomplete
Primary Version, 3 <sup>rd</sup> draft (PV.3)	fol. 7r	contains A1.1', A3 and A4
Primary Version, 4 <sup>th</sup> draft (PV.4)	fols. 8r and 7r	contains revised A1.1' and A3
Final Version, 1 <sup>st</sup> draft (FV.1)	fols. 7v, 8r and 7r	ternary form (A-B-A'), A' section is PV.4
Final Version, second draft (FV.2)	fols. 7v, 8r and 7r	ternary form, modified to have internal repeat in A section (A1-A2)
Fair Copy	pp. 9-12	semitone motive is in its final form; addition of pizz. for staccato material in A1 and A' sections.
Published Edition	pp.12-15	omission of the pizzicato indications; addition of fingering and editorial articulations

These versions and drafts will be referred to by their abbreviations as presented in this table. The stages of the composition and the state of the formal and motivic content of the movement that they represent will be discussed in detail below. Before working on a stable draft of the movement, Hétu began with fragmentary musical ideas that sometimes only indirectly relate to the material of the published version.

## 12.2 Folio 6 (verso) and Folio 9 (recto)

Fols. 6v and 9r contain fragments that seem to have some relation to the tempo, meter or texture of the “Final” but were not directly used in the “Final.” Fol. 6v contains three

early musical ideas for “Rêverie” and potentially (as discussed in Chapter 10) the “Nocturne.” These fragments were identified as belonging to the same destination based on Hétu’s circles and lines grouping related material. Figure 12.20 shows the three fragments on staves 4, 5, and 6 of fol. 6v.

staff 4, mm. 4-6  
Vif



staff 6, m. 5  
Vif



Figure 12.20 The circled material on staves 4 and 6 on fol. 6v.

The fragments on staves 4 and 6 (Figure 12.20) have an affiliation based on the rhythmic figuration of their repeated notes. The toccata-like repeated figuration of these fragments resembles the meter (3/8), tempo (fast), and texture of the “Final.” The third fragment contains a *rasgueado* (strumming) triplet figuration that demonstrates a harmonic progression in which open-string chords are altered by the addition of perfect fourths that are stacked upon the lower B flat. Figure 12.21 shows the fragment on staff 6 of fol. 6v.

staff 7, m.1



Figure 12.21 The fragment on staff 6, m.1 of fol. 6v.

The first chord contains four open strings (A-D-G-B). The second chord (which is missing an open D string) would contain three open strings (D-G-B) with the addition of

the E flat replacing the open A string. This process continues until three stacked fourths are contained in the fourth chord with only one open string present (B). The semitone motive of the “Final” may have been inspired by this fragment, as it shows that Hétu was aware of some of the open-string harmonic minor seconds that are featured in the movement (such as in the semitone motive on A and D and its variations).

Fol. 9r contains a circled fragment on staff 4 that was intended for a movement that, like the “Final,” juxtaposes arpeggiation of minor second harmonies exploiting open strings with melodies of longer durations using semitone motion. Figure 12.22 shows this fragment.

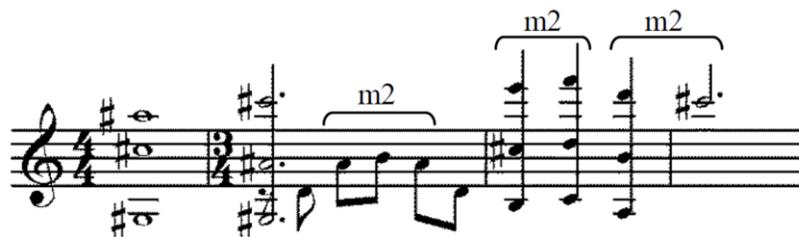


Figure 12.22 Circled fragment on staff 4 of fol. 9r.

The arpeggio in eighth notes of the chord, D-A sharp-B, shows Hétu investigating the ability of the guitar to have melodic semitone intervals sustain if they are on different strings. If the A sharp is played on the third string, this effect would occur with the open B string (although Hétu’s passage here defies any practical fingering). The semitone movement of the block chords in the third and fourth measures possibly relates to the semitone motion of the interruptive eighth-note figures throughout the “Final.” Although in any material with a high degree of octatonicism, one expects semitone motion. With the exception of C and A in the bass voice in measure 3, OCT<sub>1,2</sub> can account for the entire passage.

### 12.3 Folio 7 (recto)

Apart from some fragmentary working-out of unrelated (or indirectly related) material, fol. 7r contains Hétu's first work on material that would be directly used in the movement. From examining crossed out and erased material, one can find three drafts of a primary version (PV.1, PV.2, and PV.3) that takes the basic structure of the A' section of the published movement. It is notable because it shows that Hétu's form for the primary version of the movement was not a large-scale ternary form (like that of the published "Final") but a smaller-scale three-part structure that reaches a climatic cadence at its end – something more in line with the formal scope of the "Prélude" and "Prelude II." After the A1.1' and A3 material of PV.3 was crossed out and discarded, Hétu revised these sections in a fourth draft, PV.4, on fol. 8r. The A4 section on fol. 7r was retained in the final version (FV.2) of the movement (continuing a linear sequence from fols. 7v and 8r). Figure 12.23 shows the diplomatic transcription of fol. 7r.

(Le Dernier!)  
 Prélude IV  
 (Toccate?) ou dév. de Sonate!

[staff 1]

[staff 2]

[staff 3]

[staff 4]

[staff 5]

[staff 6]

[staff 7]

[staff 8]

[staff 9]

[staff 10]

[staff 11]

[staff 12]

Figure 12.23 The diplomatic transcription of fol. 7r.

The only material on fol. 7r that does not directly relate to the material of the “Final” consists of the two fragments found on staff 8. Figure 12.24 shows the contents of staff 8 of fol. 7r.

Figure 12.24 consists of two parts, A and B, on a single staff. Part A shows a sequence of four chords in a treble clef. The first chord is labeled 'B+/C+' with an upward arrow and 'm3' above it. The second chord is also labeled 'B+/C+' with an upward arrow and 'm3' above it. The third chord has notes B, C, and D (with a sharp) above it. The fourth chord is labeled 'E' above it. A melodic line is written above the chords, consisting of notes B, C, D (with a sharp), and E. Part B shows four notes: E, G sharp, F, and G natural, each with a fermata below it.

Figure 12.24 The two fragments on mm. 1-4 (A) and m. 5 (B) of staff 8 on fol. 7r.

There is a chorale-like fragment consisting of four chords and a melodic line over an E pedal (Figure 12.24a) and four notes, E-G sharp-F-G natural (set in octaves), each with fermatas (Figure 12.24b). The latter is likely a skeletal outline for material that was not included in the *Suite*. However, it is notable that these four notes fit in OCT<sub>1,2</sub>. The chorale fragment has some obvious connections with the first movement of the *Suite*, “Prélude.” The first chord, which can be thought of as two superimposed augmented triads a semitone apart (on B and C, with enharmonic spellings), or an E major chord with an added minor sixth, major seventh, and minor third, contains the same notes as first six notes of the “Prélude” (see Figure 12.25).



Figure 12.25 The first chord of staff 8 on fol. 7r (A) and m. 1 of the “Prélude” (B).

The second chord of the first fragment contains the top five notes of the first chord, transposed up a minor third (see Figure 12.24a). The third chord continues the minor-third transposition pattern: considering the adjacent B flat melody note as part of the sonority, one can find two augmented triads a semitone apart: F – A – C sharp and D – F sharp – B flat (over an E pedal). The melodic line leads to a final E major chord. The presence of this material on the sketch for the primary version perhaps suggests that Hétu had thoughts about a contrasting B section at an early stage. He may have been looking for a way to incorporate the augmented triad structure from the “Prelude” into this movement – something that was achieved in the final version of the movement (note the use of the hexatonic collection and augmented triads in the introduction, transitional phrase, and B section of the movement discussed above).

Aside from these fragmentary musical ideas, fol. 7r contains three drafts of the primary version of the movement (PV.1 and PV.2 are incomplete). These stages of the movement provide insight into Hétu’s crafting of phrase structure (often to emphasize a character of surprise in this movement) and his strategies for varying motivic material. PV.3 contains all the basic material of the three subsections of the A’ section as found in the published version. Thus, one can identify the material of these three drafts of the primary version by the labels A1.1’, A3 and A4 (defined above for the published

version). However, before examining the process of writing the material of this sketch, a consideration of one of Hétu's short hand notations should be explored.

Hétu uses sixteenth-note abbreviation notation in this sketch which, following traditional convention, entails putting two slash marks through a quarter-note stem or one slash through an eighth-note stem. However, he employs single and double slash markings without consistency. Hétu sometimes writes a dotted quarter note with a single dash (which would traditionally indicate three eighth notes) and sometimes with a double dash (indicating 12 sixteenth notes), yet in both situations he intends the same thing: sixteenth notes rather than eighth notes. In this movement, while Hétu experimented with quarter-note based meter such as  $3/4$  time in PV.1 and PV.2 (as we shall see below), the sketch suggests that his earliest intention was to provide a toccata-like, repeating sixteenth-note texture interrupted by eighth-note statements. Evidence for this is found in the erased material in measure 2 of staff 1. While the pitch content is illegible, one can see notation for four sixteenth notes. These were replaced by Hétu with a quarter note with a single slash (low A). Thus, in this case and a similar passage, measure 4 of staff 3, quarter notes with a single slash are interpreted as four sixteenth notes. Two other examples of this inconsistency occur in measure 6 of staff 1 and measure 5 of staff 2. Hétu is clearly in  $3/8$  time in both instances, yet in these measures he writes only one slash through a dotted quarter while providing two slashes for the same note value of the previous measure.

PV.1 and PV.2 are both characterized by the employment of meters having the quarter note as their basic division i.e.  $2/4$ ,  $3/4$ , and  $4/4$  time. With the erasures and Hétu's habit of writing on top of previous material, it is impossible to present a complete realization of

the PV.1. Figure 12.26 provides PV.1, a partial realization of this draft showing the discernible sections.

The figure displays four staves of musical notation, labeled A through E. Staff 1 (A) is in 3/4 time and begins with a fermata over a B-flat note. Staff 2 (C) is in 3/4 time and contains a sequence of eighth notes. Staff 3 (D) is in 4/4 time and contains a sequence of eighth notes. Staff 4 (E) is in 2/4 time and contains a sequence of eighth notes.

Figure 12.26 The partial realization of PV.1 on fol. 7r

The initial material (Figure 12.26a) on staff 1, measures 1-2 (eventually crossed out), that begins PV.1 is in 3/4 time. Ending with a fermata over a B flat-A tremolo or trill, this is likely an introductory gesture. The opening measure contains the initial version of what would (after much revision) become the semitone motive, and the B flat-A descending semitone shows that these notes were the seed of the movement. PV.1 continues via illegible material to measure 1 of staff 2 (Figure 12.26b) in the same meter. Here one finds the first eighth-note interruption material, a consequence of a compound melody in which repeated A notes are iterated between accented sixteenth notes. This moves to repeated A notes in staff 2, measure 1 (Figure 12.26c), in 4/4 meter. It is not clear if this material moves directly to the next passage (one cannot be sure due to the later drafts covering the next measures of staff 2). The earliest version of the staccato theme continues (Figure 12.26d) beginning in 2/4 meter. This material exhibits a repetition that

is not present in the published version of the material. However, one can see that this was retained as a basic element of the staccato theme in its final stage. Figure 12.27 shows this early staccato material along with that of the final version of the “Final.”

Figure 12.27 consists of two musical staves, A and B, both in treble clef. Staff A shows an 8-note staccato motive: G4, A4, B4, C5, B4, A4, G4, F4. This is followed by a repeat of the same 8-note sequence. Staff B shows a 5-note fragment: G4, A4, B4, C5, B4. This is followed by a 7-note fragment: G4, A4, B4, C5, B4, A4, G4. The notation includes stems, beams, and slurs to indicate the sequence of notes.

Figure 12.27 The staccato passage of PV.1 on staff 3, m. 1, on fol. 7r (A) and the staccato theme of the published “Final,” mm. 22-24 (B).

After this, the compound melody eighth-note interruption material in Figure 12.26b returns. Héту then, as if inspired by the compound melody material, wrote an eighth-note motive in 3/4 time that more closely resembles the interruption material as found in the movement at later stages in the creative process (such as the interruption motive that directly precedes A3 in the published version). It is not clear if Héту intended for the material in Figure 12.26d to move directly into this eighth-note material.

One is struck by the interrelatedness of the motivic material at this early stage (something which becomes less obvious as the movement evolved). As we will see in the examination of Héту’s process in fol. 8r, the eighth-note material in Figure 12.26e is the compositional origin of the ascending tritone motive. Figure 12.28 shows the material of staff 4, measure 1, alongside the ascending tritone motive.

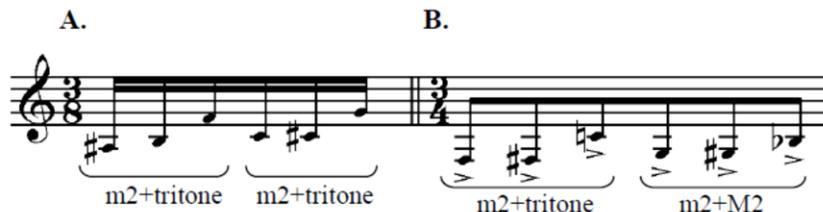


Figure 12.28 The interruption motive in staff 4, measure 1, of fol. 7r (A) and the ascending tritone motive as it is found in mm.27 of the published version (B).

While there is rhythmic augmentation occurring, the structural unity is clear. Another example of the interconnectedness of motivic material in PV.1 is the relationship of the eighth-note passages in the compound melody (Figure 12.26b) and the staccato theme (Figure 12.26d). The leaps of a major and minor third in the compound melody (F – A – F sharp – A) and the repeated A notes, show a close relationship with the staccato passage. Thus, if the eighth-note passage gave birth to the idea of the eighth-note interruption material, one can identify structural unity between the interruption material and the staccato theme which was not obvious before.

Staves 5-12 of fol. 7r contain early versions of A3 and A4 section material and are largely written in 3/8 time (with only two exceptional measures of 5/8 and 2/8). Based on this time signature, this material likely belongs to PV.3, which is in 3/8 time (discussed in detail below). Before discarding the A1.1' section material of PV.1, Hétu made a second draft, PV.2. Like PV.1, it is impossible to have a complete linear sequence of this draft because of the illegibility of its erasures. Figure 12.29 shows the legible material of this draft.

Figure 12.29 Partial realization of PV.2 on fol. 7r.

In PV.2, Hétu replaced the early version of the staccato material on staff 3, measure 1-3 (Figure 12.65d) with an expanded version on staff 2, measure 5 (Figure 12.29d), and added new material on staff 3, measure 4-5 (Figure 12.29e). The additional material replaces the 4/4 measure of repeated A notes with compound-melody eighth-note material, following the staccato passage in PV.1. It consists of one measure of 3/4 time and one measure of compound-melody eighth-note material (the meter of the latter measure is difficult to discern). This is then followed directly by the eighth notes in staff 4, measure 1 (Figure 12.26e), as indicated by an arrow. Thus, the purpose of this revision for Hétu was to modify and extend the staccato passage, creating linking material to the eighth notes in staff 4 (Figure 12.26e). Figure 12.30 shows the early staccato passage from PV.1 and the revised staccato passage on staff 2, measure 5, used in PV.2.

Figure 12.30 The staccato passage of PV.1 in staff 2, measure 5, on fol. 7r (A) and the staccato passage of PV.2 in staff 3, mm. 1-2, on fol. 7r.

One can see that the expansion is based on repetitions of four, five, and seven-note fragments of the eighth-note motive that repeats in the PV.1 passage. Rather than the regularity that arises from the repetition in the PV.1 passage, the result of the revision is a passage with a sense of unpredictability, without any regular internal repetition. There are two beaming schemes for this staccato passage on staff 2, measure 5, of the sketch: one in 3/4 time (two measures, although there is no measure line) and one in 3/8 time (four measures). Figure 12.31 shows the two beaming schemes.



Figure 12.31 Staff 2, m. 5, of fol. 7r showing the two beaming schemes.

After toying with 3/8 groupings (the 3/8 grouping beams are likely the later addition as they are in the downward direction unlike the earlier material), Hétu made a major revision excising or modifying most of the 3/4, 2/4 and 4/4 material of PV.2 and replacing it with material in 3/8. He then completed the rest of the draft. This included excising the introductory gesture in measures 1-3 of staff 1, and the material in staff 2 and 3. He kept the 3/4 material in measure 8 of staff 1 because this 3/4 measure can easily be interpreted as two measures of 3/8.

A complete realization of PV.3 can be ascertained following Hétu's arrows. This linear sequence shows a complete version of the "Final" following a small-scale formal plan rather than the final large-ternary plan. Beginning with measure 4 of staff 1, the material continues in staff 2, measure 2, via an arrow. From the end of staff 2 the sequence moves through measures 4-5 of staff 3 continuing on staff 4 at measure 2. The

A1.1' material is completed on staff 4. The sequence to the A3 material continues on staff 5 through to staff 6. At this point, we follow several arrows to complete the sequence. From the end of staff 6, we are taken via arrow to measure 6-8 of staff 7. Another arrow leads from this material to staff 7, measures 1-5. This continues via a downward arrow to measure 1 of staff 9. From the end of this staff, we are taken via a final arrow to measures 6-9 of staff 10. From this point, the linear sequence continues normally through staff 11 finishing on the final chord in staff 12. Figure 12.32 shows the complete PV.3 contained on fol. 7r.

5

10

14

18

23 *p*

26 *p*

32

35 *f*

40 *f*

44 *f*

48 *mf*

52 *crese molto*

The musical score is written in a single system with 11 staves. The time signature is 3/8. The key signature has one sharp (F#). The score includes various dynamics such as *p* (piano), *f* (forte), *ff* (fortissimo), and *mf* (mezzo-forte). There are also articulation marks like accents (>) and slurs. The piece concludes with a *crese molto* instruction and a final cadence.

Figure 12.32 The realization of PV.3 on fol. 7r.

Examining the first section (measures 1-17) of PV.3, one sees a similar phrase structure to the A1.1' section of the published version that includes many of the same basic building blocks. Figure 12.33 shows the first 17 measures of the realization.

Phrase 1



Phrase 2



Phrase 3



Phrase 4



Figure 12.33 Mm. 1-17 of PV.3.

Comparing this to the A1.1' section of the published version (see Figure 12.5), one notes that these 17 measures (lacking the final version of the semitone motive) exhibit the same four-phrase structure. There are two four-measure phrases (the lack of a measure line in the folio is negligible as two bars of 3/8 equal the single 3/4 measure in measure 5). Phrase 3 is shortened to two measures. Phrase 4 is eight measures long in comparison to the 10 measures of that of the A1.1' section (one could also divide this phrase into two four-measure sub-phrases that correspond to the length of Phrase 1 and 2). It is interesting to note that, without applying the phrase structure of the final A1.1' section, one would likely hear a different phrase segmentation of this section: Phrase 3 would



The phrase structure of the A3 section of PV.3 (measures 18-34) diverges from the published version in a similar way to that of A1.1' of the realization (measures 1-17).

Figure 12.35 shows the A3 section of the realization.

The musical score consists of four staves, each representing a phrase.   
**Phrase 1** (measures 18-22): Starts with a treble clef and a key signature of one sharp (F#). It begins with a piano (*p*) dynamic and features a series of eighth-note arpeggios. The first measure is expanded to five measures. The phrase ends with a forte (*f*) dynamic and a fermata.   
**Phrase 2** (measures 23-25): Continues with the same key signature and piano (*p*) dynamic. It features eighth-note arpeggios and concludes with a 5/8 time signature.   
**Phrase 3** (measures 26-27): Changes to a 3/8 time signature and continues with eighth-note arpeggios.   
**Phrase 4** (measures 28-34): Returns to a 5/8 time signature and continues with eighth-note arpeggios. It concludes with a forte (*f*) dynamic and a fermata.

Figure 12.35 The A3 section of the realization of PV.3, mm. 18-34 (A).

The first phrase is expanded by an extra repetition of the arpeggio, creating five measures compared to the four measures of the published version – the irregularity generates a feeling of surprise here. Further accentuating this feeling is a process of elimination in the phrase-structure model presented in the previous section, a feature of this version that is not present in the published movement. The placement of the two eighth-note interruptions occurs on the downbeat (rather than beats 2 and 3 as in the published version). The eighth notes in Phrase 2 also contribute to this unexpectedness initiating on the downbeat of a 5/8 measure (the phrase length itself is only one eighth note less than that of Phrase 2 of the previous section). Phrase 3 and 4 of this section reflect the structure of the previous section (A1.1') with one less measure in Phrase 4. Compared to

the fourth phrase of the published A3 section, which has 10 measures (a four-measure staccato passage plus two three-measure semitone/interruption motive sub-phrases, see Figure 12.14 above), this phrase is much shorter with seven measures. As noted above regarding the previous A1.1' section of the realization, one could hear a phrase structure in which Phrase 3 included the staccato theme material (measures 26-31) leaving Phrase 4 (measures 32-34) to be only three measures long due to the elimination of the first two notes of the interruption motive.

The variation of the staccato theme has a structure that is similar to the previous A1.1' passage of the realization. Figure 12.36 shows the staccato passage in A1.1' and A3 of the realization, plus the staccato passage of A3 of the published movement.

Figure 12.36 consists of three musical staves, labeled A, B, and C, each showing a staccato passage in a treble clef. Above each staff is a bracket labeled "staccato theme".  
 Staff A (A1.1', mm. 10-13) shows a sequence of notes. At the end of the sequence, there are two sub-phrases, each labeled "semitone neighbours".  
 Staff B (A3, mm. 28-31) shows a similar sequence of notes. At the end, there are two sub-phrases, each labeled "semitone neighbours".  
 Staff C (published A3, mm. 163-166) shows a similar sequence of notes without the sub-phrases.

Figure 12.36 The staccato passages of A1.1', mm. 10-13 (A), and A3, mm. 28-31 (B), of PV.3 and the staccato passage of A3 of the published version, mm. 163-166 (C).

The placement of the staccato theme is identical to that of the previous passage (see Figure 12.36a and b). Like the A3 arpeggio that precedes it, the contour of this staccato

material has many more leaps and covers a larger register span than the parallel A1.1' material of this realization. Like the parallel passage in the published version (see Figure 12.36c), the staccato material is transposed up a major second from its previous section with a marked difference in the contour of the gesture resulting only from octave transpositions. This is the same development technique found in A3 of the published version as noted above (see Figure 12.19d and c). The presence of the same strategy here shows that this was something present from an early stage in the compositional process for the "Final."

Further showing a process of elimination, the difference in structure between the first phrase of A3 (measures 18-22) and A4 (measures 35-39) of this realization is the rhythmic nature of the first instance of the two-note interruption motive in the first phrase. In contrast to the five-measure phrase of the A3 section, this A4 phrase is missing one eighth-note beat in the fifth measure (creating a 2/8 measure). This is also a divergence from the published version. Figure 12.37 shows the first phrase of the A4 section of the realization alongside that of the published version.

A.

B.

Figure 12.37 The first phrase of the A4 section of the realization PV.3, mm. 35-39 (A), and the published A4 section, mm.173-177 (B).

The two eighth notes of the fifth measure occur on beats 2 and 3 of a 3/8 measure as expected – further highlighting the fact that this elimination process was something Hétu discarded in later stages. The rest of the A4 section structure of PV.3 is identical to the published version (see Figure 12.15 above).

#### **12.4 Folio 8 (recto) and Folio 8 (verso)**

After completing PV.3, Hétu revised the first 34 measures of the draft resulting in PV.4. After crossing out the A1.1 and A3 material on fol. 7r, he began a new version of those sections on fol. 8r (this led to A4 found on fol. 7r). It is likely that included in this stage of the compositional process is fol. 8v, which contains an early version Phrase 4 of A4 (the variation on the staccato theme that serves as the final cadential gesture of the movement).

Figure 12.38 shows the diplomatic transcription of fol. 8r.

[staff 1] Rapide

Rapid      Lent

(A) (B) (A)

[staff 2] (B<sup>1</sup>)  
97  
⑥ ⑤ ④  
*mf pp pp mf*

[staff 3]

[staff 4] 15  
*pp p*

[staff 5] *f* *pp* *f* *p*

[staff 6]

[staff 8] 7 7

[staff 10] 7 7  
*poco cresc.* *mp*

[staff 12] 7 7  
*f mp f*

Figure 12.38 The diplomatic transcription of fol. 8r.

The sketch contains a clear linear sequence following Hétu's measure number labels and arrows from the opening measure to the end of A3. It seems clear that Hétu sketched the opening material, now referred to here as A1.1', and the A3 material by beginning on staff 2 and moved his way down, utilizing every other subsequent staff (staves 4, 6, 8, 10, and 12), as was his habit. Hétu wrote some musical ideas and notes (discussed below) on the staves in between but, in comparison to other sketches, there is relatively little in the way of revision (the exception is measures 7-8 of staff 4 which was substituted with measure 5 of staff 3 above, discussed below). Figure 12.39 shows the 38 measures of PV.4 as it is contained on fol. 8r (replacing the first 34 measures of PV.3).

The musical score is written in 3/8 time and consists of eight staves. The first staff begins with a *pp* dynamic and features a series of eighth notes with slurs and accents. The second staff continues with a *pp* dynamic, followed by a *p* dynamic. The third staff shows a *f* dynamic with accents, then a *pp* dynamic, and ends with a *f* dynamic. The fourth staff is marked with *p*. The fifth staff contains two groups of seven notes, each marked with a '7' above the staff. The sixth staff also contains two groups of seven notes, each marked with a '7'. The seventh staff is marked with *poco cresc.*. The eighth staff contains two groups of seven notes, each marked with a '7', and features dynamics of *mp*, *f*, *mp*, and *f*.

Figure 12.39 The linear sequence of PV.4 on fol. 8r.

To indicate where the material links up with A4 on fol. 7v, Héту provide arrows. When one lines up fols. 8r and 7r (as Héту must have done when composing during this stage), two arrows connect exactly leading from staff 12 of fol. 8r to staff 10 of fol. 7r. Figure 12.40 shows the two arrows on fols. 8r and 7r.

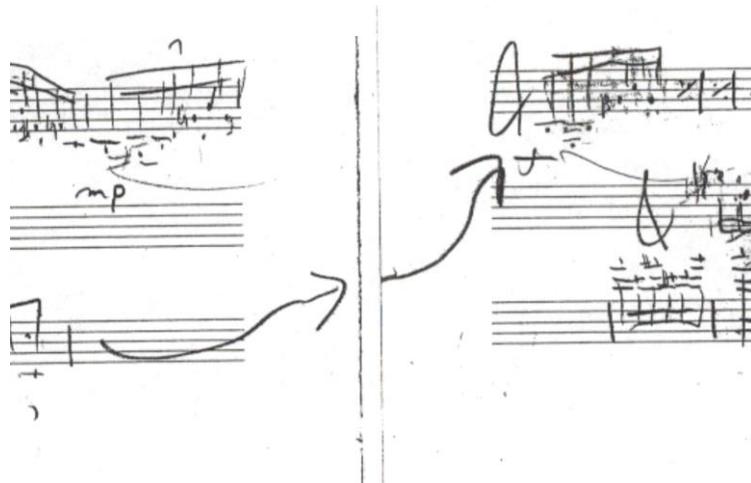


Figure 12.40 Details of fols. 8r and 7r, staves 10-12. Library and Archives Canada, MUS 279 | C5,18, volume 22, photograph by Michael Dias, 2012.

Thus, a full realization of PV.4 is possible. Figure 12.41 shows the complete realization of PV.4 contained on fols. 7r and 8r.

pp mf pp mf

pp p

f pp f

19 p

22 7 7

26 7 7 7 7

29 poco cresc.

33 7 7 7 mp f mp f

Figure 12.41 The realization PV.4 on fols. 7r and 8r.

Upon examination of PV.4, one notes that, with the exception of this staccato passage in Phrase 4 of A1.1', the phrase lengths and rhythmic structure of A1.1' and A3 on PV.3 are identical to A1.1' and A3 of the published movement. Having written the staccato theme in its four-measure form that one finds in the published A1.1' on staff 4, measures 5-8, Héту diverges from it by deleting measures 3-4 of this passage and replacing them with a version of the ascending tritone motive (he draws an arrow to this material in staff 3, measure 5). Figure 12.42 shows this material in staff 3 and 4 of the diplomatic transcription of fol. 8r.

Figure 12.42 The diplomatic transcription of staves 3 and 4 of fol. 8r.

This result, which was not retained in the published version of A1.1', is a structure that one finds in A1 and A2 of the published "Final."

While the phrase lengths are identical, the content of the phrases depart from that of the published movement. One notable difference is the semitone motive. The semitone motive underwent a change from PV.3 to PV.4, resulting in a motive very near to that of the published version. It is derived from measure 1 of PV.3 (a B flat and five A notes) but contains two B flats, occurring on beat 1 and 3 of the measure, with a second A on beat 2 raised up an octave. Why did Héту make this change? One possible reason is that the figuration of the new semitone motive is closer to the repeated arpeggiation gestures opening A3 and A4 of PV.3. Figure 12.43 shows the PV.3 precursor to the semitone motive, the PV.4 semitone motive, and the repeated arpeggios from A3 and A4 of PV.3.

Figure 12.43 The PV.3 semitone motive, m.1 of PV.3 (A); the PV.4 semitone motive as found on m.1 of staff 2 of fol. 8r (B); and the repeated arpeggio pattern for A3 (C) in PV.3.

Héту's string indications on fol. 8r for where to play the notes of the PV.4 semitone motive on the guitar are significant here (see Figure 12.43b). Similar to the arpeggio in A3 (Figure 12.43c), each of the three pitches of the motive are to be played on different

strings (this is not the most habitual place to play these notes). The suggested arrangement offers the possibility of sustaining all the notes at the same time, providing a blurring effect not unlike the *sostenuto* pedal on the piano. This change in the resonance of the motive from the motive in PV.3 (Figure 12.43a), thus, ties the sound of the new motive to the repeated arpeggios in A3 (as seen in Figure 12.43c) and A4, which also have a high degree of resonance.

Erased material on the sketch shows that Hétu explored some other earlier versions of the semitone motive. For example, in measures 1 of staff 2 on the sketch, written underneath the first semitone motive of PV.4, one finds a different version of the motive. This version is identical to the version used in PV.4 except for the substitution of a B flat (up the octave) for the A on beat 2 (see Figure 12.44).

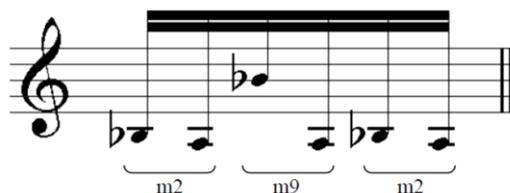


Figure 12.44 The erased material in measure 1, staff 2 of fol. 8r.

This version with its three semitone (or minor ninth) motions, although not used in this draft, is closely related to the tritone-dyad variation of the semitone motive found in later versions of the movement. Although the tritone-dyad variation is not used in PV.4, this could be where Hétu came upon the idea. Other parts of the fol. 8r sketch show other unused variations of the semitone motive. Figure 12.45 shows these variations.



Figure 12.45 The crossed-out variation of the semitone motive in measures 1-2 of staff 3 (A) and the erased version in m. 4 of staff 6 (B).

The amount of variance of the semitone motive found on this sketch might suggest that Hétu's conception of the movement at points during the writing process did not include a consistent single version of the semitone motive.

The final difference between PV.4 and the published movement is the nature of the arpeggios used as the repeated motive in A3. Like his work on the semitone motive, the sketch shows Hétu experimenting with the structure of the motive. Figure 12.46 shows two erased versions of this arpeggiated chord found in staff 6, measure 7 – the first instance of the chord on the sketch.



Figure 12.46 The erased initial versions of the A3 arpeggiation motive in m. 7 of staff 6.

These two erased versions are also present in all the other measures which contain the A3 repeated motive (including staff 8, measures 4 and 8; staff 10, measures 3 and 8; and staff 12, measures 1 and 3) suggesting that each alteration was applied to the whole passage. This experimentation is interesting considering that the version used in the published version was already used pervasively throughout the A3 section in PV.3. The most conspicuous experimentation with the motive is the septuplet figuration found in staves 8, 10, and 12 (see Figure 12.47).



Figure 12.47 The septuplet version of the arpeggiated motive in A3 of PV.4 on fol. 8r, staff 8, m. 4.

Although Hétu would revert back to the PV.3 non-septuplet arpeggiation in later versions, it is clear that this is the figuration that the composer intended for PV.4. It is notable that the septuplet is achieved by the addition of a D note. Considering the resulting sonority, one can say with confidence that the chord (as it is found in A3 section of the published version) was at some point in time considered by Hétu to be a G major chord with an added minor ninth in the bass. This resolves the ambiguity of the chord as found in the published version (discussed in 12.1 above). The difficulty of arpeggiating this chord in the right hand may be one reason that this septuplet figure was dropped (guitarists generally use four fingers of the right hand to arpeggiate chords so a five-note chord is more difficult to arpeggiate).

On fol. 8v, which contains the first version of the “Prélude” (explored in Chapter 7), Hétu wrote an early version of a portion of the fourth phrase of A4 on staff 12 (see Figure 7.10d). He was running out of room on fols. 8r and 7r so he flipped folio 8 over and used the available staff to continue work on the phrase. This provides us with an early version of this scalar passage. Figure 12.48 shows the first four measures of the early version of the passage on fol. 8v alongside the published versions of the passages contained on fol. 7r (the published version articulations are used here).

Figure 12.48 consists of four musical staves, labeled A, B, C, and D, each showing a sequence of notes with intervals indicated above them. Staff A shows intervals (014), (014), (016), (013), (014), (014), (016). Staff B shows intervals (014), (014), (016), (014), (014), (026), (016), (016). Staff C shows intervals (016), (016), (016), (016), (015), (015), (016) and includes the label 'neighbor notes' with arrows pointing to specific notes. Staff D shows intervals (016), (017), (016), (016), (016), (016), (016).

Figure 12.48 The staccato material of A1.1' of the published version, mm. 141-144 (A), the staccato material in A3 of the published version, mm. 163-166 (B), the early version of the rising scalar passage in staff 12 of fol. 8v (C), and the rising scalar passage of the cadential gesture in mm. 186-189 of the published version (D).

As discussed in Chapter 7 (see Figure 7.10), this fragment (Figure 12.48c) begins with the same six notes as the published version (Figure 12.48d). However, after these notes, while the nature of the material is similar, the notes diverge. In addition, the constant rising of the passage in the published version is not present here. The early version of the passage (Figure 12.48c) on fol. 8v, while generally moving upwards exhibits neighbor-note motion in each of the two voices of the compound melody: in the upper voice, the notes A sharp-B-B flat-B and C sharp-C natural-C sharp, and, in the lower voice, the G – G sharp-G natural-G sharp. This gives this early version of the final scalar gesture ascent more in common with the staccato passages in A1.1' and A3 passages in the A' section (Figure 12.48a and Figure 12.48b).

After sketching out the material on fol. 8r, Hétu decided that this would be a returning A' section of a ternary ABA' piece. We know this because of his note on fol. 8r providing a formal summary of the piece. Figure 12.49 shows this note on fol. 8r and its diplomatic transcription.

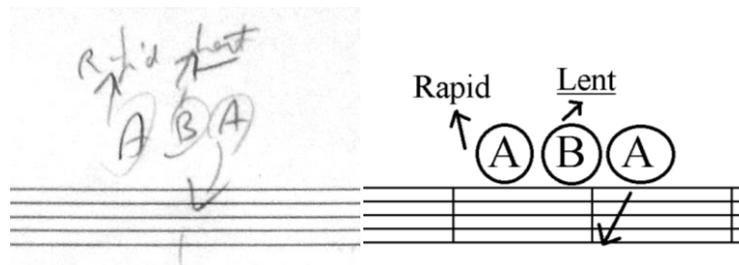


Figure 12.49 Detail of fol. 8r above staff 1 and the diplomatic transcription. Library and Archives Canada, MUS 279 | C5,18, volume 22, photograph by Michael Dias, 2012.

The first A section in the formal plan is designated as “Rapid” while the B section is given “Lent” tempo. The return to “A” simply points to the fol. 8r sketch material below which is titled “Rapide” (not shown in Figure 12.49).

Another note on staff 5 of fol. 8r (crossed out eventually) shows Hétu working out ways to move to a D tonal center after the four phrases of the A1.1' section (Hétu would do just this in A1.2 of the published movement). As a transition, Hétu provides two measures of interruption material that would have replaced measures 5-6 of staff 6. Figure 12.50 shows the diplomatic transcription of the note and material alongside the ascending tritone motive.



Figure 12.50 The crossed out written note and musical material on staff 5 of fol. 8r (A) and the ascending tritone motive, mm. 29, of the published version (B).

The motive, when leading to D, is a rhythmically augmented version of the ascending tritone motive (see Figure 12.50b). We can trace the origin of this motive back to fol. 7r on staff 4, measure 1 (see Figure 12.26e above). Interestingly, the ascending tritone motive in its original form on staff 3, measure 5, was one of only three revisions on this sketch – making it clear that Hétu had this motive fresh in his mind. While Hétu eventually abandoned this way of transitioning from A1.1 to A1.2, it shows that rhythmic augmentation and diminution were for Hétu an important way of developing motivic material in this movement. After deciding that the opening A section of the new large-ternary plan would differ containing material based on a tonal center of D and figuring out where the move to D should occur, Hétu began sketching the new A section of the piece on fol. 7v.

### 12.5 Folio 7 (verso)

Fol. 7v contains linear sequences for both FV.1, which has a formal scheme of A-B-A', and FV.2, which has a formal scheme of A1-A2-B-A' (identical to the published movement). Figure 12.51 shows the diplomatic transcription of the fol. 7v sketch.

3'30 Prelude VI (en Mi (+ - -))

(78) Rit Vivace (♩=80)

[staff 1] 91

[staff 2] 82 Lento Poco Accel Rit. To (♩=104)

[staff 3] 70 Moderato (♩=104) Piu Lento, A Tempo Piu Lento [LA] [Sol] 81 F#

[staff 4] 55 [Début] Rit Rall

[staff 5] 79-38 42 45 48

[staff 6] 43 [Deb] 49

[staff 7] 1 f ff

[staff 8] 2 49 pp f

[staff 9] pp f pp

[staff 10] 65 Rit Moderato (♩=104) 69

[staff 11] f

[staff 12] 78-37

Figure 12.51 Fol. 7v and its diplomatic transcription.

Before examining the chronology of Hétu's writing process on this folio, we will first explore the linear sequence for FV.1 present on the sketch.

Because Hétu began with the B section material on this sketch (discussed below), the sequence begins with the introduction halfway down the manuscript page of fol. 7v

(rather than on staff 1 where one might expect it). The introduction initiates in staff 7 and finishes in measure 3 of staff 8. There is no fermata over the measure of silence that ends the introduction (staff 8, measure 3) that one finds in the published version. However, Héту writes “2” over the rest in this measure suggesting a pause of two measures in length.

Before detailing the sequence as it continues in the A section of the sketch, a remark about the interruption material is needed. The sketch material for the A section of FV.1 on fol. 7v represents the content for both the A1 and the varied A2 sections for FV.2 (as will be discussed below, Héту provides two routes through the material to differentiate A1 and A2 sections for FV.2). At some point after the decision to repeat the A section, Héту decided to rewrite the interruption motives for the statements of the A theme reflecting the varied A2 versions. The rhythmic variations (see staff 8, measure 7; staff 9, measure 4; and staff 12, measure 3-4, of fol. 8r) are clearly revisions with the original A1 versions of the interruption motives erased and written over. Thus, as it makes sense that the idea to vary the A theme material only would come about upon the decision to repeat the A section, we can assume that the first draft (which did not have this repetition) contained the un-varied interruption motives.

Staff 8, measure 4, begins the A2.1 section (There is no A1.1/A1.2 in FV.1. In this examination of the linear sequence of FV.1, the “A2.1/A2.2” section labels will be employed because the phrase structure of the material on fol. 7v for this draft reflects this section of the published version). This continues to staff 9 and then, following Héту’s arrow, to staff 11. Measure 5 of staff 11 continues with the A2.2 material to the end of staff 12. Héту employs a two-label system for sections of the movement that double for

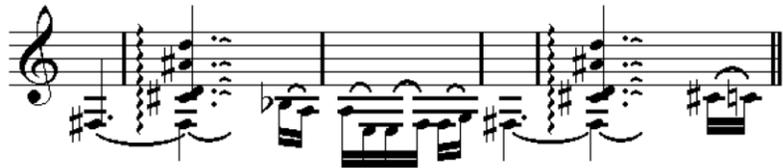
the A1 and A2 sections of FV.2 (as will be discussed later). Thus, the final measure of staff 12 is labeled with measure numbers “78-37.” The lower number, “37,” is the label that Héту would have written for FV.1, adding the “78” later upon deciding to repeat the passage (in FV.2). We find the first measure of staff 5 labeled “79-38” indicating that the sequence carries on in this staff. As such, the A2.2 section continues in staff 5 to measure 5, labeled “42.” Arrows bring the sequence down for two measures of ascending tritone motive on staff six (measure 1-2, labeled “43”) before continuing on measure 6 of staff 5. It is clear that these two measures of ascending tritone motive represent an addition (in an act of revision) to the material on staff 5 (something which will be explored below). The sequence continues from the end of staff 5, with the measure labeled “48” to staff 6, measures 3-8 below (note that at this point in the FV.2 draft, as will be discussed, Héту begins the repeat of the A section). Staff 6 ends with measure-number label “54” and thus leads to staff 4 (with an arrow) beginning with the label “55.” Following the measure-number labels (“64” at the end of this staff to “65”), Héту continues the sequence (for reasons explained below) on staff 10, measure 3. Measures 3-8 of this staff contain the end of the transition phrase and the first two measures of the B section, finishing with a measure labeled “69.” Following Héту’s measure number labels and arrows, the linear sequence of the rest of the B section moves from staff 3 (labeled with measure number “70”), to staff 2, then finally to staff 1.

This completes the linear sequence for FV.1 as is it found on fol. 7v. The sequence here ends with what Héту considered measure number 96 (following his measure number label “91” at the beginning of the staff and including an extra measure that was erased). However, where one would expect a “96” there is a measure number label “78” in

measure 5 of staff 1. This speaks to the many revisions that material on fol. 7v underwent (it is impossible to account for the “78” label as the erasures are illegible). Hétu continues the sequence on the next folio, fol. 8r, to the measure labeled “97” on staff 2 which provides the A1.1’ and A3 sections. Already discussed above regarding PV.4, the sequence then continues from the end of fol. 8r to staff 10 of fol. 7r following Hétu’s arrows to the final chord of the movement.

At this point, one aspect of the B section sketch should be clarified. The B section sketch on fol. 7v is identical to that of the published version except for the length of the chord gesture (an F major chord with an added minor sixth) which ends each recitative phrase. In an early version of the B section it is clear that each chord gesture takes up three measures (a measure for the bass note and two measures for the chord). However, a later change shows that Hétu erased the measure line that provides the delineation between the second and third measures creating a two-measure unit for the chord gesture. Figure 12.52 shows the material for the chord gesture of recitative 1 and the complete recitative 2 (in staff 3, measures 1-6) as they occur in the early version and as they occur in the revision.

A.



B.



Figure 12.52 The early version (A) and later version (B) of recitatives 1 (final chord) and 2 staff 3, mm. 1-6 on fol. 7v.

Because Héту's measure-number labels reflect the three-measure chord gesture that is found in the early version, one assumes that this version of the passage is included in FV.1.

Figure 12.53 provides the material of the linear sequence for the A and B sections of FV.1 contained on fol. 7v.

1 *f* *ff*

11 *pp* *f* *pp*

19 *pp*

23 *p*

28 *f*

36

42

47 *f*

52

59

65 *Rall.* *p*

Detailed description: This musical score is for a single melodic line in 3/8 time. It consists of ten staves of music, each starting with a measure number. The key signature has one sharp (F#) and the time signature is 3/8. The piece begins with a first ending bracket over measures 1-10. Dynamics range from fortissimo (ff) to pianissimo (pp). Articulation includes accents, slurs, and breath marks. The piece concludes with a 'Rall.' (Ritardando) marking and a final dynamic of piano (p).

Figure 12.53 The realization of the FV.1 material found on fol. 7v.

One notes that this realization is structurally akin to the A2 section of the published movement in terms of its phrase structure with two exceptions: it does not contain (yet) the rhythmically varied interruption motives and the published A2 section does not contain the transition phrase material in measure 52-57 of FV.1 (see Figure 12.53).

At a later point, Héту revised this draft repeating the A section material on fol. 7v and resulting in the internal repeat of the A section in FV.2 (A1-A2). While the semitone motive is not in its final form and there are some articulations that Héту would later add, FV.2 is identical to the published version in terms of its phrase structure. By making some small modifications to the structure of the A section of FV.1 and utilizing the two-label system (examined above), Héту was able to achieve a major revision of the movement without needing to move to another folio.

The linear sequence of the second draft of the final version is as follows. From the opening introduction material on staff 7, one follows the same linear sequence as that of

FV.1, until measure 38 at the beginning of staff 5 (the middle of the fourth phrase of the A1.2 section). At this measure, Hétu provides an arrow to measure 6 of this staff (labeled “45”) in order to indicate that the measure “38” material leads directly to measure “45.” This exactly reflects the difference between the fourth phrase of A1.2 and A2.2 in the published version. The sequence then continues to the end of staff 5 with the measure labeled “48” ending the A1 section of FV.2.

In order to bring about a repeat of the opening material (A2), Hétu indicates that, from this measure labeled “48” of the end of staff 5, one goes straight to the measure labeled “49” on staff 8, measure 4, which is the beginning of the A section, directly after the introduction (now considered A2). At this point, Hétu begins to use the two measure-number labels for sections of the sketch, one number for the first time through (A1) and one number for the second time through (A2). Therefore, the sequence continues from label “49” on staff 8, measure 4, in an identical way as the A section of FV.1, to the measure labeled “78-37” (“78,” at this stage of the sequence). This moves to staff 5, measure 1, labeled “79-38.” The two-label system does not continue past the numbering, “79-38.” In order to complete the A2 section of FV.2, one follows the “78” label at the beginning of staff 5 and continues to the middle of the staff with the label “42” (unlike FV.1 which skips to the measure labeled “45”). At this point, the next two measures are found below on staff 6, measure 1-2 (beginning with the label “43”). Arrows indicate this move to staff 6 and back and the sequence continues in the middle of staff 5 (measure 6) with the label “45.” From the “48” label at the end of this staff, the sequence skips to the first measure of staff 5 labeled “55.” This six-measure gap in the measure-number labels between “48” and “55” occurs because of the deletion of the six measures on staff 6,

measures 3-8 (Hétu crosses it out). The linear sequence then follows that of FV.1 from this measure (labeled “55”) to the final measure of the B section on staff 1, measure 5. As in the first draft, the return of A continues on fol. 8r and ends with A4 on fol. 7r. This linear sequence is more or less identical to the published version and, as such, will not be provided here. The minor differences, such as the contour of the semitone motive, will be discussed in the follow exploration of the chronology of Hétu’s writing on fol. 7v.

A summary of the chronology of the material on fol. 7v can now be undertaken. Hétu first wrote the B section material. Following this, he tackled the A section (as we find it in FV.1). Only then did he write the transition phrase connecting the end of the A section to the opening of the B section. This completed the FV.1 draft. At this point, the composer opted for the A1-A2 repeat and modified several aspects of the A section. He deleted some material (the six measures of staff 6, measure 3-8 for example), changed the progression of some phrases for A1 (such as the fourth phrase of A1.2 as noted above in the exploration of the linear sequence for FV.1 and FV.2), and rhythmically varied the interruption motive material in the A section. Thus, one surprising revelation from the fol. 7v sketch is that the material of recitative II and VI was written before the rhythmically varied interruption material in Phrase 2 of A2.1. A more detailed exposition of this chronology and explication of the development of the motives and structures follows here.

Before writing the fol. 7v sketch, Hétu had just completed PV.4. Deciding to make a ternary form A-B-A’ movement, the important question was the following: what would be the nature of the B section? Having a good conception of the basic nature of the A section material (as he recorded on fols. 8r and 7v), Hétu began work on fol. 7v on

measure 1 of staff 1 with B section ideas. His first idea was to utilize and develop the interruption material. One can see his first musical idea (which was crossed out and erased) in measures 1-2 of staff 1. The four notes (A-E-F-G) consist of a transposition of the interruption material at the end of A1.1' and within A3 in PV.4. Figure 12.54 shows this erased material along with the interruption material in A1.1' and A3 of PV.4.

The figure consists of three musical staves, labeled A, B, and C, each in treble clef. Staff A shows a single melodic line with four notes: A4, E4, F4, and G4, followed by a double bar line. Staff B shows a more complex melodic line with various accidentals and a double bar line. Staff C shows a similar complex melodic line. Arrows and labels indicate intervallic relationships: a downward arrow labeled 'M6' connects the end of staff A to the start of staff B, and an upward arrow labeled 'M2' connects the end of staff B to the start of staff C.

Figure 12.54 The erased material in staff 1 m.1 (A) and mm.149-150 of Phrase 4 of the A1.1 section (B) and mm. 157-157 of phrase 2 of the A3 section of the published version (C).

After crossing out this material, the composer moved to staff 3 (following his habit of skipping staves). One cannot decipher the content of the other erasures that followed this earliest material on staves 1-3 of fol. 7v. However, it seems that after some work (now erased) the composer decided that the material in staff 3 (beginning with the chord gesture that ends recitative I) could be considered the opening of the B section. Hétu wrote the term “Début” at the beginning of staff 3 to indicate this (which he subsequently erased). This replaced the label “Deb” on staff 5 and must have contained erased opening B section material (it is difficult to know the exact details of this stage without being able

to decipher the erased material). This opening B section material on staff 3 is a rhythmically altered and transposed (down an octave) version of the erased material in staff 1, measures 1-2. Figure 12.55 shows the opening B section material and the erased material on staff 1 measure 1-2.

The figure consists of two parts, A and B, both on a treble clef staff. Part A shows two measures of music with eighth notes and rests. Part B shows a more complex passage with sixteenth notes and rests. A bracket and arrow labeled '↓ 8<sup>ve</sup>' connects the material in A to the corresponding material in B, indicating an octave transposition.

Figure 12.55 The erased material in staff 1, measure 1-2 (A), and mm. 1-7 of staff 3 of fol. 7v. (B).

The composer altered the rhythm of the material “fill in” the original with sixteenth notes maintaining the basic contour and melodic content of the original eighth-note material. After completing the B section on staves 2 and 1 (thereby saving the lower half of the manuscript page for the A section), the composer turned to writing the introduction on staff 7.

Underneath the final version of the introduction on staves 7 and 8 there are several erasures which suggest an early version of this passage. Figure 12.56 shows the published version with the legible erased material in the early version above what replaced it.

The figure shows two staves of music. The lower staff is the published version, featuring a complex melodic line with sixteenth notes, rests, and various dynamics (f, mf, sfz) and articulations (accents, slurs). The upper staff shows the legible erased material from an early version, which is simpler and less developed than the published version.

Figure 12.56 Two versions of the introduction in staff 7, mm. 1-4, on fol. 7v (erased material is on the upper staff).

Initially, the fourth measure of Phrase 1 of the introduction was a similar to the gesture that ends Phrase 2: a form of the tritone-dyad variation of the semitone motive. In addition, the fourth measure of Phrase 2 contained a complete version of this motive before ending on a tritone dyad, B-F. It is clear that Héту decided to make the introduction more symmetrical by making two phrases of four measures with a one-measure pause rather than the “4+5” structure of this early version. This speaks to Héту’s concern here of setting up four-measure phrases in the movement in general. The exceptions to this pattern within the A1 and A2 section then lead to moments of surprise. The later version also appeals to the character of surprise with the abrupt end to the first phrase. The hexatonic nature of the downward scale in Phrase 2 can be seen as relating to the use of augmented triads in the scalar passages leading to the B section (in the transition) and recitative V.

Directly following the introduction, Héту wrote the opening A section of the movement beginning in measure 4 of staff 8. At this point, the material is identical to the A1.1’ material on fol. 8r, including the contour of the semitone motive in the passage. Not until the transition phrase in measure 1 of a staff 4 do we see the published version of this semitone motive used. Figure 12.57 shows the semitone motive of the A theme on fol. 7v alongside the inversion variation and the published version of the motive.



Figure 12.57 The version of the semitone motive found on fols. 7v and 8r (A), the inversion variation of the semitone motive (B), and the final version of the motive found in the published version (C).

Notably, the contour of the version mainly used in fols. 8r and 7v (see Figure 12.57a) shows a more direct inversion relationship to the inversion variation used throughout the piece (see Figure 12.57c above). Indeed, it is not until the fair copy that Hétu makes the change to the published version of the semitone motive. However, while the semitone motive received an update, Hétu did not change the contour of the inversion variation of the semitone motive to match the change of contour.

As noted above in section 12.4, Hétu planned to open the A section with a move to a tonal center of D after the fourth phrase of A1.1 (see Figure 12.50 above). However, the sketch shows that he attempted a different plan: an early move to the new tonal center directly after the staccato theme material in the fourth phrase. This early version of the fourth phrase moves from the staccato theme material in measures 9-10 of staff 9 of fol. 7v to the ascending tritone theme in measure 1 of staff 10. It finishes with a single semitone motive on D (which would have been continued had Hétu not discarded the idea). Figure 12.58 shows the early version of this fourth phrase.



Figure 12.58 The realization of the early version of the fourth phrase of A1.1 as seen on staff 9, measures 9-10, to staff 10, mm. 1-2.

Deciding against this, he continued on the staff below (staff 11) in a way that follows the plan he came upon during the fol. 8r sketching process: the transition to D would occur after the semitone theme on A was reiterated. However, Hétu decided here that the semitone theme on A would only occur for two measures before another ascending tritone motive (with G instead of F sharp) would take him to the A1.2 section in D (see

measures 23-28 of the realization of FV.1, Figure 12.53, to see the final version of this passage).

It seems Hétu continued with the A1.2 material (recall that the idea to have the A section theme occur in D had been conceived of on fol. 8r but not yet written) without a hitch until the fourth phrase of this A1.2 section. After running out of space in the bottom half of the page, Hétu continued on staff 5 (which was available). Here the composer had written an abrupt change from the semitone motive on D (measure 5 of staff 5) to the inversion variation of the semitone motive on G (measure 6 of staff 5). He would soon after revise this to add two measures of ascending tritone material. Figure 12.59 shows the resulting version of the fourth phrase of A2.2 with the revision that one finds in the published version.

Figure 12.59 The realization of the early version of the fourth phrase of the A2.2 section with the added material (above) that was inserted into the later version.

Interestingly, the ascending tritone in the final version of this phrase is the same each time – this is something that is changed in the fair copy (the C in measure 1 of staff 5 is changed to B natural). This reflects a similar change in the ascending tritone motive in the A1.2 section, fourth phrase. Having the A1.1 and A1.2 sections complete, Hétu moved the task of writing a transition to the B section.

The sketch shows two versions of the transition phrase. The first version contains six measures of material on staff 6, measures 3-8, that was discarded in FV.2. Figure 12.60 shows the two versions of the transition material.

The figure displays two musical staves. The top staff, labeled 'early version', contains six measures of music. It begins with a treble clef and a key signature of one sharp (F#). The melody consists of eighth and sixteenth notes, with some measures containing beamed sixteenth notes. The bottom staff, labeled 'later version', contains four measures of music. It also begins with a treble clef and a key signature of one sharp (F#). The melody is similar to the early version but shorter, ending with a final cadence. A dashed line indicates the continuation of the early version's material beyond the six measures shown.

Figure 12.60 The early version and the final version of the transition material.

The discarded material foreshadows the F sharp chord which dominates the B section. The spelling of the interruption motive here “E-F-A-E-E sharp” in measures 7-8 of staff 6 (measure 5-6 of Figure 12.60) suggests that F sharp could be the next note in the sequence. This follows Hétu’s habit of continuing the interruption material via a semitone (see the A1, A2, A3 and A4 discussed above in 12.1). Figure 12.61 shows the interruption motives of the deleted transition material and the A4 section of the published movement.



FV.1 marks the stage where Hétu added slurs to the staccato theme. Figure 12.62 shows the slurs in the staccato themes in measures 23-25 and 39-41 of FV.1 alongside the versions of the passage in the published version.

The figure consists of four musical staves, labeled A, B, C, and D, arranged in a 2x2 grid. Each staff shows a sequence of measures in a single melodic line. Staves A and C represent Hétu's version, while B and D represent the published version. The notation includes treble clefs, a key signature of one sharp (F#), and a time signature of 3/8. The music is characterized by staccato rhythms and slurs. In the Hétu versions (A and C), slurs are placed over the final sixteenth note of each measure, whereas in the published versions (B and D), slurs are placed over the downbeats of each measure.

Figure 12.62 Mm. 23-25 (A) and mm. 39-41 (C) of FV.1 beside the parallel passages mm. 22-24 (B) and mm. 38-40 (D) of the published version.

Hétu's slur placement in these measures in FV.1 displaces the accent from the downbeat of the measure to the final sixteenth note of the measure – achieving a localized metric dissonance and contributing to the instability and tension of the passage. The suggested slurs on the downbeats of each measure in the published version undermines this effect (one can assume that these dotted-line slurs originated with Pierri during his fingering process). One also notes that the ascending tritone motives in FV.1 both had an added slur marking on the second group of three notes (the instance of this motive in measure 41 of FV.1 was erased), something which was not retained in the fair copy or published version. Rather, in these later versions Hétu put slurs over both groups of three sixteenth notes in the measure. As a left-hand fingering indication, these particular three-note slurs are not possible to achieve. Therefore, the added two-note slurs in the ascending tritone motive of FV.1 provide some clarity as to Hétu's the intended affect (or at least a possible solution for practical execution). Hétu also writes slurs in the recitative phrase material in FV.1 that are not present in the fair copy nor published version (there does not

seem to be a practical reason to omit these slurs except that they may be more difficult to control technically in a slow quite passage like that required in the B section). The slur markings imitate the two-note slurs that are present in the rhythmic variation of the interruption motive material.

More than any other movement, the fair copy for the “Final” is an important reflection of Hétu’s late-stage composition processes after the sketches on fols. 7r, 8r, and 7v. There are differences between the fair copy and the second draft of the final version (the melodic contour of the semitone motive, as discussed above). There are also differences between the fair copy and the published edition that may reflect some editorial influence of Pierri. The fair copy of the *Suite* matches the published version, save for some articulation changes and omission of pizzicato effects particularly in the “Final.” For example, the fair copy has pizzicato effects employed in measures 22-23, 38-39, 141-144, and 163-67 that are absent in the published version. These changes probably issue from a concern for practicality. Considering the speed of the final movement, changes to and from pizzicato technique (muffling the resonance of the string by dampening them with the hand) are very difficult.

Careful examination of the fair copy reveals that the composer made revisions with the use of correctional fluid. There are several notable instances. First, the early version of the fair copy shows the A1 section containing the version of the semitone motive found in FV.2 (see Figure 12.57a). It is not until A2 (beginning in measure 45) that Hétu presents the semitone motive in its published form. Thus, this late development of the semitone motive was initially part of the varied presentation of the A1 material in A2. Second, Hétu revised articulation notation. He removed a slur over the first two notes of

each semitone motive throughout A1 and A2 (measures 10-79 of the fair copy of the “Final”). The composer neglected to make his modification in measures 26 and 28 (see Figure 6.30, page 8). The presence of a phrase markings in addition to these two-note slurs suggests that Hétu intended the latter to indicate the guitar technique of a “pull-off.” This conflicts with the fingering indications on fol. 8r for this motive (see Figure 12.43b) and Pierri’s editorial fingerings on the published edition. Hétu also removed staccato markings for the ascending tritone motive in A1 and A2, replacing them with three-note slurs (measures 24, 40, 59, and 80-81). He neglected to do this in measure 27. Hétu’s revision of the articulation of the ascending tritone motive obscures the relationship between the staccato material of the A1 and A2 sections and that of the A1.1’ and A3 sections. For this reason, it is possible that Hétu opted for the pizzicato indications present for the staccato material in A1, A2, A1.1’ and A3 (providing a timbral connection between these passages). The lack of any erasures of pitch or articulation in the A1.1’ section suggests that Hétu made these revisions before completing this fair copy.

Like the sketches for other movements, the folios examined above reveal that Hétu may have initially had a plan for the *Suite* as consisting of smaller-scale (prelude-like) movements. PV.4 matches the formal scope of the early versions for “Prelude I,” “Prelude II,” and the “Rêverie” (both the early draft and the published version). Only later did Hétu modify the movement to reflect the large-ternary form of the published version of the “Nocturne” and “Ballade.”

In general, while others have noted the organicism in Hétu’s musical language in his writing for the guitar, the sketches for the “Final” attest to the organicism in the

composer's writing process.<sup>625</sup> The composer started with a small amount of motivic material which was varied, modified and expanded in a process of revision. Héту used techniques of rhythmic augmentation and diminution, inversion and octave transposition to develop motives. During the revision process, some motives and phrase structures were modified more than others resulting in structural relationships between some motives that are diluted over the compositional process (leading one to see connections that were not obvious based only on the final state of the movement). Chapter 13 draws some analytical conclusions regarding the sketch process for the entire *Suite* and examines the way in which a theoretical framework of *critique génétique* can inform this.

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<sup>625</sup> Burdetti, "Complete Organicism."

## Chapter 13 The Creative Process in Op. 41

This chapter provides some conclusions regarding Hétu's general creative process. What is Hétu's general method of generating musical material? Which elements are written first? How does the form of a movement take shape? How did Hétu approach writing specifically for the guitar? These questions are addressed based on the findings of Chapters 7-12. Then some analytical findings based on Op. 41 as a textually plural work are provided. These findings address the role of certain harmonic and melodic structures, such as the major third and perfect fourth intervals and re-examine the role of octatonicism in the piece.

Two analytical studies on the composer's guitar works are addressed: Fowler's analysis of the *Suite* and Andre Burdetti's examination of Hétu's *Concerto pour guitare*, Op. 56, and *Concerto pour deux guitares*, Op. 77.<sup>626</sup> Fowler's research has been drawn upon in Chapters 7, 9, 10, 11 and 12, buttressing the presented analyses of the published edition of the movements. Some of his broader conclusions are contextualized here. Burdetti not only analyzes aspects of Op. 56 and Op. 77, but he makes statements about the composer's style and general compositional process. While Burdetti's analytical finding that the works exhibit a high degree of organicism is irrefutable, his conclusions about Hétu's compositional process are based on the analysis of the published editions and Hétu's own statements about his craft rather than a rigorous examination of the sketches (although he does touch on the sketches for both pieces in a superficial way). Thus, this study builds on this previous research, contributing a view of Hétu's

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<sup>626</sup> See Fowler, "Jacques Hétu *Suite*," and Burdetti, "Complete Organicism."

compositional process as revealed by the textual artefacts of that process, the sketches for Op. 41.

### 13.1 Hétu's Compositional Process in Op. 41: A Summary

Hétu's own statements on his regular compositional practice have been explored in Chapter 7. Can one say that these general statements describe Hétu's process in the *Suite*? Having now waded through the 10 folios of sketch material, one can make some general remarks.

First, it can be said that often Hétu's primary step in writing a movement of the *Suite* was to compose fragmentary material, exploring motivic and thematic possibilities (upon which he may base a movement or section of a movement). This exploratory stage was sometimes a preliminary activity, separate from writing a continuous draft (the fact that this was not always the case is discussed below). One sees this with his work on two movements, "Rêverie," the "Nocturne" on fols. 6v and 9r. The fact that these early ideas for the movements are all contained on two folios suggests that the composer worked on musical ideas for different movements concurrently – before developing one into a continuous draft of a movement. This contrasts Burdetti's view that Hétu "concentrates on the movements of a work individually" (a hypothesis based on one or two sentences from Hétu describing his process and the fact that each movement has its own set of sketches).<sup>627</sup> In the case of the A theme of the "Nocturne," the composer began with a six-note melody in 3/4 time on staff 6 of fol. 6v: E – F – G – A flat – B flat – F (see

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<sup>627</sup> Burdetti, "Complete Organicisim," 12.

Figure 9.12). Initially thought of as a passacaglia theme (Hétu labeled it “Passacaille” and indicated that it should be repeated), the composer wrote it down to record it for future use. The next time Hétu took up work on this movement, the composer had developed the melody, retaining the second half, A flat-B flat-F, and rearranging the G to follow (E and F were eliminated). This was then explored as a bass line in three different chordal harmonizations on staves 2-4 of fol. 9r. He had expanded the melody in a canonic setting in staff 1 of fol. 9r, and it was this expanded melody that led to the 19-note A theme that one finds in the later draft on fol. 2r (a draft that retained some of the settings on fol. 9r, with modifications). This process for writing the A theme is in line with the composer’s comments about his creative practice (noted already in Chapter 7): he usually begins with a short melodic idea which is used as the starting point for a movement.

However, in contrast with his comments portraying a composer solely focused on melody (he has stated, “always it’s a melodic line,”<sup>628</sup> and, “it always starts with a melodic idea”<sup>629</sup>), one finds that Hétu was not only concerned with melodic content at this stage. He was also concerned with harmonic, rhythmic, textural and contrapuntal aspects. In short, he was looking for motivic material or basic musical ideas upon which to build a theme. Burdetti compares his compositional process with Beethoven’s. This deserves unpacking here. He finds there are two general ways that a composer can ensure organicism or thematic unity in his or her works: “one begins with the motive, which serves as a building block for all themes, or one is inspired with a melody and derives motives and thus, constituents to make other themes from.”<sup>630</sup> He continues, “Beethoven

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<sup>628</sup> Cornfield, *Canadian Composers*, 4.

<sup>629</sup> Laroche, “Jacques Hétu Interview,” 30.

<sup>630</sup> Burdetti, “Complete Organicism,” 15.

is often seen as the former, chipping away at the flint block to uncover the consummate motive, whereas Hétu was of the latter school, bestowed [sic] a melody and discovering its riches by means of dismantling.”<sup>631</sup> Burdetti bases his view on Hétu’s declarations on his general compositional process in which he starts with a melody “of ten or twelve seconds”<sup>632</sup> rather than shorter building blocks. However, one sees that this is not always the case – at least for Op. 41. An example is the development of the quartal motive for “Rêverie,” a musical idea that consists of quartal harmony and a descending semitone in a reverse-dotted rhythm (see Figure 11.4). Even from the earliest fragments on fol. 6v, Hétu toyed with the descending semitone in a wide variety of rhythmic, harmonic and contrapuntal settings: in 4/4 time in a chorale-like setting drawing solely from OCT<sub>1,2</sub> in fragments in measures 1-2, staff 2, and measures 1-2, staff 4 (see Figures 11.9c and 11.9d); on an off-beat in 3/4 time over rising fourths in measures 1-3, staff 8 (see Figure 11.8b); and finally two quartal settings – in counterpoint with rising fourths in 3/4 time in measures 3-4, staff 2 (see Figure 11.8a), and in the bass voice in measure 3, staff 4 (see Figure 11.9e). Hétu then takes up the quartal-chord setting in fragments on fol. 9r, staff 2, measure 7, and staff 5, measures 2-3 (see Figure 11.11a and 11.11b). One notes that, even at this exploratory stage, Hétu often worked on fragmentary ideas by a process of revision before arriving at a material that he would attempt to use as the basis for a continuous draft. Thus, one finds the same basic building blocks (intervals, harmonies and rhythmic structures) in the discarded fragmentary ideas for particular movements (such as those described above for “Rêverie”).

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<sup>631</sup> *Ibid.*

<sup>632</sup> Cornfield, *Canadian Composers*, 4.

At times, Hétu explored motivic material while writing a continuous draft. During the drafting process for the two versions of the “Prélude,” the composer experimented with the basic nature of the primary motivic material of the movement by changing the contour of the arpeggiation model and even expanding the measure from 12/16 to 15/16 time (see Figures 7.14-16, 7.18, and 7.20-21). The results of these trials are akin to the fragments one finds related to the “Rêverie” on fols. 6v and 9r – except that these were erased for the sake of space and continuity on the manuscript page. That this experimentation occurs in the second draft on fol. 1r is surprising because of the linearity that one finds in the composer’s chronological process here. But, it reveals that even though this draft is essentially identical to the published version, the process from which it came was not a stable and assured one. That Hétu’s final drafts (final in that they are the latest found in the sketches) are often written without a teleological inevitability is underscored in the development of the semitone motive in the last movement (see Figure 12.4a). Not only was this motive developed through changes in meter, pitch content, contour and octave transposition during the process of writing the first four drafts of the first version, but the semitone motive was not in its final form even on the first version of the fair copy.

Generally, after developing some motivic material for a movement, Hétu would begin a continuous draft of a movement. Hétu noted that it was his habit to write in a montage style in which passages of a work are written out of linear order. In fact, he specifies that what is important to him is “the beginning and the end – and the rest is filling out [...]”. Sometimes I begin at the end, without even having the beginning, but that’s where

structure comes in, which is so important to me.”<sup>633</sup> Following this habit, Hétu conveys that he would compose the outer sections of a work first before moving to the middle. This is indeed what one finds upon examination of the creative process for the first version of the “Prélude,” the discarded “Prélude II,” the “Nocturne,” and the “Ballade.” In the first version of the “Prélude” on fol. 8v, a movement that follows the form of a parallel period, the composer wrote the opening material (which would function for the beginning of the both antecedent and consequent phrases) and then wrote the end of the consequent phrase (the end of the movement). He then filled out material that would end the antecedent phrase. The second version of the “Prélude,” which has a similar form, was written more or less linearly on fol. 1r. However, in one exception, the sketch does reveal that Hétu returned to expand the end of the antecedent phrase (i.e. the middle of the movement). The process for “Prelude II” on fol. 1v follows Hétu’s “outsides first” chronology as well: the opening material was written first, followed by the ending material. The continuation material was then composed last. The “Nocturne” and “Ballade,” both large-ternary form movements, also reveal Hétu moving from work on the outer sections to the inner ones. After some work on the thematic material of the opening section of the “Nocturne” on fol. 9r (which constitutes as the first draft), Hétu began the second draft of the movement on fol. 2r beginning with the varied return to the opening section. He then composed a stable draft of the opening section followed by work on the contrasting middle section (and the transition to it). The first version of the “Ballade,” which was initially issued as a possible B section for the “Nocturne” on fol. 2r, also followed this basic chronology. Hétu wrote the opening material first (a

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<sup>633</sup> Larochelle, “Jacques Hétu Interview,” 31.

condensed form of the A section as found in the second version and published version), followed by the coda, the introduction, and finally the contrasting middle section (which was left incomplete). The second version of this movement on fol. 5r is roughly the same: Hétu wrote the opening A section, then an alternate ending (he already had the introduction from fol. 2r), which was eventually discarded in favor of the coda from the first version on fol. 2r. After the opening and closing A sections were written (the closing section being roughly identical to the opening section) and a possible ending was in place, Hétu tackled filling in the contrasting B section.

However, Hétu's process for writing "Réverie" and the "Final" diverged from this pattern of moving from the outer material inwards as a compositional process. While Hétu wrote exploratory motivic ideas for "Réverie" early in the process that were eventually used in the opening and closing sections, the composer began the drafting of the movement with the middle recitative section first. After a skeletal outline for the recitative section on fol. 3r, Hétu wrote the fleshed-out draft of the recitative section on fol. 4r. This was followed by the closing section and finally the opening section. The writing process for the "Final," having the most complex form of all the movements drafted for Op. 41, has the most complicated chronology. For the first version of the movement, Hétu wrote in a linear fashion going from the A1.1' section (initially the opening section, see Chapter 12 for details), to the A3 section and the A4 section (revising the opening section, A1.1', twice and the A3 section once). The drafts of this version are contained on fols. 7r and 8r. However, after deciding on an ABA' large-ternary form, he composed the contrasting B section material and finally the introduction and A section on fol. 7v.

Thus, one can say that Hétu's self-declared habit of writing, starting with the outer sections (usually the opening first) and moving inwards, was indeed at play for the majority of the movements of the *Suite* (the "Rêverie" and "Final" being exceptions). However, it is worth exploring the possibility that other factors are at work that result in this consistent chronology – aside from compositional habits. Are there other explanations for the creative process for these movements? One explanation is that this process could be a consequence of a composer with a pre-planned form for these movements. In writing ternary-form works such as the "Ballade" and the "Nocturne," in which the A section material returns at the end, one might be apt to naturally follow the "outside-in" chronology. The outer A sections would be written at the same time (as they consist of the same material), and the B section would naturally come after as it would be conceived only in contrast to the existing A section material. In addition, during the writing of the A section, one would naturally tackle how the end of the piece might occur. Thus, one can see how a composer would write in the observed fashion by nature of the forms of the movements. In writing particular binary forms whose second parts consist of a repeat of the opening material but which end differently (such as the parallel period structure of the discarded "Prélude II"), one might also follow the same chronological steps as Hétu's self-declared habit.

The prelude as a genre (following Hétu's models of Villa-Lobos and Chopin) does not have stable form, and therefore it may have been that Hétu did not have a presupposed form in mind at the beginning of the writing process (or at least not a fixed idea) for each movement. One can see that the projected forms of several movements changed over the writing process including the "Final" (a contrasting B section was an afterthought) and

the “Nocturne” (initially conceived of as a set of variations on a short repeating theme in the structure of a passacaglia – the B section was a later modification). Hétu may or may not have been aware of a formal scheme as he was writing each movement. He has stated that much of his writing arises from an unconscious habit developed over time and that he is not consciously analyzing it during the process. Hétu reveals, “I analyze my music after writing it [...]. This is because the creative process works on technical experience that must have been digested over a long time, a little like the instrumentalist who must do their scales by no longer worrying about the fingerings ...[.]”<sup>634</sup>

The chronology of Hétu’s process as it pertains to the larger picture of the *Suite* as a whole is discussed in detail in Chapter 6. As opposed to Hétu’s statement that “when I write a multi-movement work (usually in three movements [...]), I start with the *Adagio* and work outwards from there,”<sup>635</sup> it seems that Hétu wrote the movements of Op. 41 more or less in linear order but with two large-scale formal plans, a six-prelude collection and a five-movement suite. At some point, after completing the early short-form versions of some of the movements, Hétu undertook a series of revisions to some movements and started others as larger, less prelude-like, works. This also provides counterevidence to Burdetti’s view that Hétu always wrote slow movements first, mining motivic material from this movement for use in the outer movements. Burdetti seems to base this assumption on Hétu’s statement quoted above and the cyclic unity within the three movements of the Concerto for guitar, Op. 56. This may or may not be true regarding

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<sup>634</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | Folder 1, Box No. 27, “Email Correspondence with François Fowler,” Jan. 18, 2000. Original: “j’analyse ma musique qu’après l’avoir écrite... [...]. C’est que le processus créateur fonctionne sur des acquis techniques qui doivent être depuis longtemps digérés, un peu comme l’instrumentiste qui doit faire ses gammes en ne souciant plus des doigtés...[.]”

<sup>635</sup> Robert Markov, “Jacques Hétu: A self-styled classicist,” *Classical Music Magazine* 17, no. 1 (Feb-Mar, 1994). 19.

Hétu's process for writing the Concerto (the sketches for this work are archived in the Jacques Hétu Fonds, but Burdetti does not specifically reference them to support his view), but it is certainly not the case with the *Suite*.

### 13.2 Hétu's Approach to the Guitar

Another aspect of Hétu's composing process for Op. 41 is his emphasis on the intervallic structures inherent to the guitar as well as the instrument's idiomatic techniques. Hétu wrote to Fowler, "Obviously, I adapted my writing technique for the guitar (as is the case for all other instruments), but the musical ideas (thematic material, harmonic elaborations, etc.) were expressly conceived for the guitar!"<sup>636</sup> The sketches show that Hétu explored the use of open strings to produce harmonic minor seconds, i.e. two notes sustained that are a semitone apart (this aspect is discussed in detail below in section 13.3). Open strings were also often used for large chords (for the sake of practicality), bass notes and as a tonal center. In general, guitaristic writing pervades the *Suite*, such as the use of parallel chord shapes.

Shifting the same chord shape up or down the fretboard (often with the use of open strings) is something that is idiomatic to the instrument. This is a common strategy for writing for the guitar (as noted in Chapter 5), and one that Hétu did not wholly admire. As his correspondence with Fowler attests, he took pains to study the fretboard of the guitar in order to avoid depending on this technique. This is perhaps why one finds this

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<sup>636</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | Folder 1, Box No. 27, "Email Correspondence with François Fowler," Oct. 2, 1999. Original: "Évidemment, j'ai adapté à la guitare ma technique d'écriture (comme c'est le cas pour tous les autres instruments), mais les idées musicales (matériel thématiques, élaborations harmoniques, etc.) furent expressément pensés pour la guitare!"

technique utilized only twice in the *Suite*. Hétu employs parallel chord shapes in conjunction with open-string bass notes in the discarded “Prelude II” in measures 3, 4, 11, and 14. The prevalence of this oft-used technique, though usually avoided by Hétu, may be one aesthetic reason that he did not publish this movement. The middle section of the “Ballade” also uses a sonority in parallel motion (a major chord with an added minor ninth in the lowest voice) for its climax (measures 71-75).

One finds open strings used throughout out the published movements of the *Suite*. That Hétu was aware of his use of these notes is clear from his habitual use of incomplete ties indicating that the notes should sustain past their written durational value (a prominent example is in the second version of the “Ballade” on fol. 5r as well as the fair copy of this movement). The rising fourths in “Rêverie,” beginning with E – A – D – G (open strings), in measures 37-44, in addition to the lower notes of the D9 motive (a D major chord with an added major ninth in the bass), E – A – D, are an obvious example of the conspicuous use of open strings as a featured characteristic of a musical motive in the *Suite*. One notes that fragments written on fol. 6v during the exploratory stage of the “Rêverie” also show similar use of open strings (staff 8, measures 1-3 and staff 1, measures 3-4). The middle section of the published “Ballade” utilizes open E and A as the basis for its two pedal points (measures 54-81). It is notable that the texture of the middle section material in the first version on fol. 2r and the second version of this section on fol. 6r show Hétu reiterating the E as well as the open D and B (see Figure 10.25). Hétu erased the reiterated bass line opting for a version (as seen in the fair copy) in which the open strings sustain and, in this way, are more prominent. The semitone motives of the “Final” are based upon the open A and D strings. This is an important

aspect of the movement, which makes up over one quarter of the entire movement (not including variations of this motive). There are many more uses of open strings in the “Final,” but an exemplary one is the use of all the open strings for the final descending scalar gesture of the piece (measures 192-195). In measures 193-194, every open string (accompanied by a note a semitone below) is present until the open low E, the penultimate note of the work.

Hétu’s interest in capitalizing on the sustain of open strings is also seen in the unpublished versions, drafts and fragments of the *avant-texte*. For example, all of the 34 bass notes of the sketch material for the discarded “Prelude II” are open strings (save for one). The use of the open high E string as part of the *moto perpetuo* motive further highlights the congruity of the piece with the construction of the guitar (see Chapter 7). The discarded harmonizations of the first five notes of the A theme of the “Nocturne” on fol. 9r (staff 2, measures 1-3, and staff 3, measures 1-2) also show Hétu’s use of open strings within five-note chords (see Figure 9.17). Because of the limits of the guitar associated with playing large chords (only six strings and four fingers of the left hand), the practicality of chords of four to six notes in size can be increased with the use of open strings. In addition, there is the opportunity for harmonic major and minor seconds, something difficult to achieve without the use of open strings based on the intervallic construction of the guitar. Hétu’s approach to writing for the guitar included these considerations of practicality. Ironically, these harmonizations of the main theme contain near-impossible note formations that may have deemed them not suitable for retention in later drafts. The repeated arpeggiation figure in the A3 section of the third draft of the first version of the “Final” shows several revisions before settling on a septuplet figure

using open strings (see Figure 12.47). While one finds the use of open strings, G and B, in the repeated motive (a chord consisting of G sharp-B-G natural-B) in A3 of the published “Final” (measures 151-172), Héту added a further open string, D, to the chord and created a septuplet figuration. While the added open string does not infringe upon the practicality of the chord in the left hand, the septuplet arpeggiation pattern results in difficult fingering for the right hand (at least at fast tempi). Whether or not it was the issue of practicality or an objection to the rhythmic irregularity of the septuplet, Héту discarded it in the fair copy of the movement. Finally, open strings figure prominently in the incomplete fragments created during the exploratory stages of the writing for various movements, such as the triplet chord progression on fol. 6v, staff 7, the chords for the fragment labeled “vif” on staff 4, measures 4-6, of fol. 6v, and the arpeggiation in the fragment in staff 4, measures 3-5, on fol. 9r.

Open strings also figure into Héту’s choice for local and large-scale tonal centers throughout the published *Suite* and the *avant-texte*. Tonal centers based on the four lower open strings of the guitar, E, A, D, and G, are common. First, as noted before in this study, the tonal centers of each published movement correspond to these open strings: the “Prélude” in E; the “Nocturne” in G (with a middle section in E); the “Ballade” in E; “Reverie” in D; and the “Final” beginning in A, moving to D, touching on G, and ending in E (the F sharp major middle section is the one tonal center that diverges from this). The sketches also support this adherence to tonal centers based on open strings. The unpublished “Prelude II” is consistent with these possibilities beginning in A and ending in E. The discarded fragment labeled “‘Nocturne’ (en Mi)” on fol. 9r, which was likely an idea for a contrasting B section for the “Nocturne,” begins, as Héту’s label indicates,

centered on E. Although it is difficult to speak of a tonal center for many of the musical fragments in the sketches, it is notable that several begin or end on chords rooted on an open string: measures 1-2, staff 2, on fol. 6v (beginning on E and ending on G); measure 1-2, staff 4, fol. 6v (on E); measures 1-3, staff 8, on fol. 6v (on E); and measures 1-3, staff 8, fol. 7r (on E).

### 13.3 Organicism in Héту's Compositional Process

Burdetti hypothesizes that Héту's compositional process must be an organic one in which small amounts of motivic material conceived early in the process result in the larger landscape of the published edition through a procedure of experimentation and revision.<sup>637</sup> Indeed, the sketches reveal Héту modifying motives and thematic material in revisional stages through octave transposition, rhythmic diminution, inversion, contrapuntal settings and re-harmonization.

A common strategy for this is the modification of a motive by transposing one or more notes by an octave. One such motive that underwent a lot of variation during the creative process was the semitone motive of the "Final" (an exposition of the full development of this motive can be found in Chapter 12). The semitone motive found in the fourth draft of the early version on fol. 8r (beginning on staff 2, measures 1-3) was the result of modification of an earlier version of the motive found on fol. 7r (staff 1, measure 4) in which one pitch, A, was transposed up an octave and an additional semitone neighbor motion was added (see Figure 12.43). The folio shows Héту experimenting with other erased or crossed-out variations of the semitone motion via octave transposition, as seen

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<sup>637</sup> Burdetti, "Complete Organicism," 15.

in staff 2, measure 1 (see Figure 12.44). The fair copy further modifies this motive through one more revisional step by transposing another pitch up an octave. In a similar process, the early version of the staccato theme of the A3 section on fol. 7r (staff 6, measures 3-6) shows Hétu modifying the staccato material of the A1.1' section in staff 2, measure 6, by transposing the entire passage up a whole tone and modifying the contour of the material by further transposing some notes up an octave (see Figure 12.36a and 12.36b). This transformational relationship is retained between revised versions of the staccato theme in A3 (measures 141-144) and A1.1' (measures 163-166) of the published version. Additionally, from the very beginning of Hétu's work on the first version of the "Prélude" on fol. 8v, the composer was experimenting with various contours of the arpeggiation model upon which the movement is based. Hétu continued to explore the arpeggio model well into the second version of the movement (see Figure 7.24), retaining the structure of the model with regard to its content presenting four unique augmented triads, but re-arranging the order of the constituent members of the triads and transposing them by an octave. Hétu's proclivity for octave transposition reveals his attitude toward pitch content that aligns with his compositional roots in dodecaphonic writing. As in basic twelve-tone technique, he is concerned with retaining the sequence of pitch-class material but is freer with his decisions of octave transposition for each pitch.

Hétu also develops his material by exploring different settings of the same melody through re-harmonization or alternate counterpoint. For example, in his exploratory work on "Rêverie" on fol. 6v, Hétu experiments with the descending semitone in a reverse-dotted rhythm in five different harmonic and contrapuntal settings: two purely octatonic chorale-like settings (on staff 2, measures 1-2, and staff 4, measures 1-2; see Figure 11.9c

and 11.9d); a non-octatonic setting in which the descending semitone is put in counterpoint with a bassline of rising fourths (on staff 8, measures 1-3; see Figure 11.8b); and two settings of the semitone descent with quartal harmony (the quartal motive) – one above the moving line (staff 4, measure 3; see Figure 11.8a) and one below with rising fourths (staff 2, measures 3-4; see Figure 11.9e). These fragments on fol. 6v contain the reverse-dotted rhythm as an “eighth note – dotted quarter note” structure and in rhythmic diminution, in a “sixteenth note – dotted eighth note” structure. Fol. 9r contains two more related fragments (staff 2, measure 7, and staff 5, measure 2-3) showing the quartal motive but with different surrounding harmony (see Figure 11.11). Even toward the end of the drafting of “Rêverie” on fol. 3r, the composer was still toying with the counterpoint, at times choosing the accompanying line to be rising fourths and at other times to be descending fourths (see Figure 11.23a and 11.23b). In addition to “Rêverie,” the A theme of the “Nocturne” underwent numerous exploratory settings on fol. 9r including three harmonically different chordal settings (staff 2, measures 1-3, staff 3, measures 1-2, and staff 4, measures 1-2; see Figures 9.17) and a discarded canonic setting (staff 1, measures 1-11; see Figure 9.15). These kind of experiments with melodic setting are something one expects from a self-styled lyrical composer which the Op. 41 sketches confirm.

Another technique that Hétu uses to modify motivic material during the compositional process is rhythmic diminution. The rhythmic diminution between the fragments for “Rêverie” on fol. 6v has been noted, setting the descending semitone motive in eighth notes as well as 16<sup>th</sup> notes. This technique in Hétu’s process for the “Final,” highlighting the relationship between the ascending tritone motive and the interruption motive (see

Figure 12.28). In the first draft of the first version of the movement on fol. 7r (staff 4, measure 1), Hétu first writes a six-note motive in which the first half, an ascending semitone and ascending tritone, is transposed up a whole tone (see Figure 12.26e). Here the figure consists of eighth notes. In measures 4 and 7-8 of the third draft of this version, Hétu used a fragmented version of these notes as the first instance of the interruption motive, placed in between passages of running sixteenth notes (fol. 7r, staff 4, measures 4-5; see Figure 12.33). Here the material is still in eighth notes but in 3/8 time compared to the initial 3/4 time. Upon the decision to turn the “Final” into a large-ternary form movement, this figure is metrically modified in the fourth draft of the first version on fol. 8r in an attempt to find a way to create an initial A section of the piece (staff 5, measures 1-2; see Figure 12.50a). It seems that after this, Hétu used the material transposed up a major third and in sixteenth notes rather than eighth notes to follow the staccato material of A1.1’ – the ascending tritone material (staff 3, measure 4; see Figure 12.42). However, in this last modification of the motivic material the last pitch is modified. Thus, through Hétu’s organic process, the material that resulted in the interruption motive was also the seed of the ascending tritone motive – a connection that is not obvious by solely looking at the products of the organic process in the published edition.

Hétu displays in the sketches the technique of metrically modifying motivic and thematic material, by changing where the material lies within the measure, adjusting beaming or grouping to reflect a foreign meter, or altering the length of measures. For example, in the first version of the “Ballade” on fol. 2r, Hétu experiments with three different metric schemes for roughly the same A theme material (staff 13, measure 1-4): the earliest version seems to be in the 3/4 time (although one part of one measure is

illegible), the middle version has three measures of  $\frac{3}{4}$  time followed by a measure of  $\frac{2}{4}$ , and the final version has one measure of  $\frac{3}{4}$ , one measure of  $\frac{2}{4}$ , followed by two measures of  $\frac{3}{4}$  time (see Figure 10.27). Hétu would eventually revert to the middle scheme in his second version of the movement on fol. 5r, but, regardless, this shows Hétu beginning to experiment with different the ways the content of the passage could be affected by different metric schema. The sketches also reveal Hétu experimenting with beaming in an analogous way in the writing process of the “Final.” Between the second and third drafts of the first version of the “Final” on fol. 7r, Hétu changed the meter from predominantly  $\frac{3}{4}$  (he uses other quarter-note based meters as well) to  $\frac{3}{8}$  time, yet he retained much of the basic material (see Figures 13.29 and 13.32). This in itself shows Hétu working with different groupings (rather than diminution) because in the draft, one measure of  $\frac{3}{4}$  equals two measures of  $\frac{3}{8}$ . He further experimented with hemiola effects in the staccato theme material in staff 2, measure 6, providing beaming for both  $\frac{3}{4}$  time and  $\frac{3}{8}$  time (see Figure 12.31). The writing process for the “Final” shows Hétu often working with other methods of meter manipulation. The staccato material of the A3 section of the third draft of the first version is similar in its pitch material to the analogous passage in the fourth draft (or published version). However, they differ with regard to their placement within the  $\frac{3}{8}$  measure: the early version begins on beat three, while the latter begins on beat one (Figure 13.34). Finally, one also finds Hétu inserting changes in the prevailing  $\frac{3}{8}$  meter, such as  $\frac{5}{8}$  and  $\frac{2}{8}$ , during the A3 section of the third draft of the first version in order to intensify the effect of the interruption motive (see Figure 12.32). This was something that was not retained in later drafts and versions. The writing process for the “Prélude,” too, shows Hétu modifying the meter of the climax

of the consequent phrase in the second version of the movement on fol. 1r (measures 10-19). In the initial conception of the second phrase in the first version of the movement on fol. 8v (see measures 7-11 of the realization in Figure 7.11), one finds that the meter changes from 12/16 (the prevailing meter of the movement) in measures 7-8 to time signature of 18/12 in measure 9, returning to 12/16 in measures 10-11. The notational change in meter is somewhat superficial as the arpeggio patterns here contribute to the perception that the meter does not change. Indeed, in the erased first draft of the parallel passage in the second version of the movement on staff 7 of fol. 1r, Hétu consistently notates 12/16 for the passage (see Figure 7.22). However, Hétu revised this by employing rhythmic diminution and changing the meter of one measure to 6/16 yet retaining the pitch content from the earlier draft. In this way, the sketches reveal a composer who is attentive to metric nuance.

Finally, one also sees the composer utilizing the technique of inversion in his development of motivic material during the compositional process. The type of inversion that one finds is not exact inversion in which interval relationships are maintained but a more general inversion of the contour of musical motives. For example, in exploring material related to the arpeggiation model in the first version of the “Prélude” on fol. 8v, Hétu wrote two and a half measures of unused material on staff 4, measures 1-3, that retains the same content as the arpeggio model (four discrete augmented triads), but it has a contour that descends and then ascends every measure (see Figure 7.10a). This is the inversion of the arpeggio model on the staves above which generally has a contour that begins with an ascent in the first half of the measure and descends in the second half of the measure. This inversional material was not used in the “Prélude.” It is, however,

similar in its presentation of augmented triads (usually in a voicing showing the closest arrangement of stacked major thirds rather than the more spread-out voicing seen in the arpeggio model) to passages in the B section of the “Final” and the transition to the B section (see Figure 12.11 and 12.10, respectively). The semitone motive of the “Final” also underwent inversion in the later stage of the writing process on fol. 7v. The version of the semitone motive at this stage had a contour that exhibited an inversional relationship with the contour of the inversion variation of the semitone motive (see Figure 12.57). While the semitone motive was further revised in the fair copy of the movement, thus changing its contour, the inversion variation of the semitone motive was left.

The examples cited above show that Hétu undertook a process of revision to his motivic and thematic material which transformed the initially conceived idea in steps. Hétu’s revision process was also applied to phrase structure and large-scale form as well. For example, in the “Final,” the first version underwent a large-scale formal revision, in which a contrasting B section and expository A section were added. The resulting was a ternary form. This process of large-scale formal expansion can be seen in the writing process for “Nocturne” as well on fols. 2r and 10r. Hétu’s addition of a B section here is also something that came into place at a later stage.

There is no doubt that the organicism observed in the material of the published *Suite* itself is in part the result of Hétu’s organic process of composition. However, the organicism in “the product” is not always a result of organicism in the process: a composer can design unity in a work, having material derive from a motivic “seed,” without actually carrying out an organic process of writing beginning with that seed

material. As Fowler notes, a conspicuous feature of the *Suite* is the way that adjacent movements subtly link via a structural connection between the ending of the former and the beginning of the latter.<sup>638</sup> Hétu highlights this quintessentially organic aspect of the piece stating in the program that “the pieces chain themselves to each other: the last measures of one piece giving birth to the first of the following piece.”<sup>639</sup> One wonders if this was a result of an organic writing process or a feature that was designed.

Some movements “give birth” to following movements in subtler ways than others. The opening of the “Final” for example does not directly link to the D major chord with an added ninth at the end of “Rêverie” but, instead, has a disruptive function (as Hétu notes in his correspondence with Fowler discussed in Chapter 12). Only after the introduction and A1.1 section does the movement emphasize a D major tonal centrality (occurring in the A2.1 section, measures 28-44) thereby linking the “Final” to “Rêverie.” The disruption of the inter-movement linkage, something the listener has come to expect, contributes to setting a tone of surprise and interruption for the last movement. In contrast, the linkage between the “Prélude” and the “Nocturne,” the “Nocturne” and the “Ballade,” and the “Ballade” and “Rêverie” is quite prominent. It is notable then that this prominent organic structural feature of the *Suite* was partly a result of coincidence and partly design, emphasized by revisions at a relatively late stage of the process.

Indeed, it is clear that the movements that have the most prominent linkage, such as the end of the “Ballade” (a G sharp melody note) and the beginning of the “Rêverie” (a

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<sup>638</sup> Fowler, “Jacques Hétu’s *Suite*,” 86-87.

<sup>639</sup> Library and Archives Canada, Jacques Hétu Fonds, MUS 279 | D,50, “Suite pour guitare, Opus 41,” file consisting of concert programs, program notes and a press clipping. Original: “les pièces s’enchaînent les unes aux autres: Les dernières mesures d’une pièce donnant naissance aux premières de la pièce suivante.”

high A flat) came to be this way in a circuitous fashion. Upon examination of the process for “Rêverie,” it is clear that the descending fourths beginning on A flat of the opening issue directly from an attempt to balance the rising fourths of the ending – which, at a later stage, end on this same high A flat. The specific pitch of A flat itself results from the construction of the guitar – a rising fourth line using the four lower open strings, E-A-D-G, eventually reaches A flat (C-F-B flat-E flat-A flat). The use of the open strings in this way was an idea that Hétu had before the composition of the “Ballade.” Thus, it would be improbable for the A flat of the beginning of “Rêverie” to have been issued from the end of the “Ballade.” Also, improbable is the notion that the “Ballade” may have been written to match the A flat of the “Rêverie.” The final G sharp of the “Ballade” was conceived in the first version of the “Ballade” on staff 15 of fol. 2r (resulting in an E major chord) to balance the A flat ending melody note (resulting in a G major chord with an added minor 9<sup>th</sup>) of the introduction material (see Chapter 10 for a full discussion of this).

Significantly, this material was written *before* the first draft of the “Rêverie.” Another linking pair to examine is the “Nocturne” and the “Ballade.” Fowler finds that the final two notes of the “Nocturne” create the melodic interval of a descending minor ninth (A flat to G), separated by three octaves, that creates a link to the identical interval opening the “Ballade” (F to E). The fact that both movements draw from the same octatonic collection further emphasizes this linkage. However, the sketches show that the “Ballade” theme, whose first notes, F-E, open the first measure of the introduction, was written before the “Nocturne” had a final ending (see the discussion of this in Chapter 9). Thus, while the ending of the “Nocturne” may have been planned to link with the beginning of the “Ballade,” it was likely not the other way around. Finally, in the case of the “Prélude”

and the “Nocturne,” the former ends with a high G harmonic which links to the opening note and tonal center of the “Nocturne.” As discussed above, the original order of the movements had “Prelude II” between the “Prélude” and the “Nocturne.” Previous endings of the first version of the “Prelude” on fol. 8v and decipherable erased endings on the second version on fol. 1r do not include this G. Thus, any revision of the ending linking to the “Nocturne” in such a pronounced way must have occurred after the “Prelude II” was discarded from the set, an event which occurred late in the writing stage. The amount of erasures present in the ending measures of the second version of the “Prélude” on fol. 1r makes it difficult to decipher the previous versions of the ending. However, it seems likely that the ending was revised and the final G harmonic added as one of the later changes to the *Suite* in order to emphasize this linkage. One obviously cannot deny the linkage between movements in the published version, but the sketches show that this feature of the piece (at least in such a consistent way) was a later stage addition. In this way, the specific organicism of the inter-movement linkage can generally be said not to be the result of a parallel organicism in the compositional process. Having examined Hétu’s process, one can turn to specific analytical findings of this study.

#### **13.4 The Analysis of the Text and *Avant-texte***

Adopting a semiological model of music that is modified according to the tenets of *critique génétique*, Hétu’s Op. 41 must be considered a textually plural entity. As expounded upon in Chapter 3, following this model, the written traces of the poetic process (on fols. 1-10 and the fair copy) are “neutralized” – brought into a dominion of the tripartition in which they are now subject to an immanent analysis. Such an analysis

of Op. 41 includes the published edition as well as the *avant-texte* – that is, the incomplete six-prelude version of Op. 41 (including “Prelude II”), the unpublished drafts and versions of the published movements, and the fragmentary sketches. Before presenting this analysis, it is necessary to present the six-prelude plan (in an incomplete and mobile state).

### 13.4.1 The Six-Prelude Plan

As noted in Chapter 6 (and elucidated in Chapters 7-12), the sketches for the *Suite* reveal two general plans: a six-prelude collection and a *Suite* of five movements. Beginning with relatively brief prelude movements, Hétu wrote complete early versions of the “Prélude,” “Prelude II” (there is no later version for this), “Rêverie” and “Final.” His work on this version stopped short of the completion of this plan, leaving an incomplete draft of the early version of the “Ballade” and an un-achieved passacaglia version of the “Nocturne.” He then changed his mind and developed three movements as larger-form members of a *Suite* – extending the “Ballade,” “Nocturne” and “Final” as large ternary form works. One must be careful not to present an oversimplification of the account of the writing process here. As discussed in Chapter 2, there are two kinds of writing generally accepted in *critique génétique*: programmatic writing, i.e. writing according to a prefigured end, and process writing, i.e. writing without a fixed intended final structure.<sup>640</sup> Did Hétu begin the piece with a programmatic writing mode with a final plan of a *Suite* in mind? Certainly not, according to the evidence of the sketches.

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<sup>640</sup> Ferrer, “Clementis’s Cap,” 225.

Did Hétu's plan shift in a moment from a programmatic writing attending to a six-prelude plan to one attending to a plan of a five-movement *Suite*, or was there an element of process writing involved? Put more specifically, did Hétu change his plan for Op. 41 to be a five-movement suite discarding "Prelude II" and expanding the "Ballade," "Nocturne" and "Final," or did these movements take on a structure in his compositional process in which the expansion was dictated? Ferrer notes that there is a blurring of the distinction between programmatic and process writing – in practice, "the intention shapes up along the way."<sup>641</sup> There may not be an accounting of the exact process regarding these two plans. However, taking this into consideration, one can nevertheless identify the constituent pieces of the six-prelude plan. Simply because one cannot be sure exactly when each piece of the puzzle came into place, does not mean that it should not be viewed and considered as a whole (however chronologically mobile it is) – especially considering its import to the *avant-texte*. Taking the early versions of the movements, as they are elucidated in Chapters 7-12, one can reconstruct the early stage of the Op. 41. Figure 13.1 presents Op. 41 as *Six Préludes*.

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<sup>641</sup> Ibid., 232.

## Prelude I

Musical score for Prelude I, featuring seven staves of music in treble clef with a 12/8 time signature. The score includes various musical notations such as notes, rests, accidentals, and dynamic markings like *f*.

Staff 1: First line of music.

Staff 2: Second line of music, starting with measure 4.

Staff 3: Third line of music, starting with measure 5 and ending with measure 6.

Staff 4: Fourth line of music, starting with measure 7 and ending with measure 8.

Staff 5: Fifth line of music, starting with measure 9 and ending with a double bar line.

Staff 6: Sixth line of music, starting with measure 9 and ending with a double bar line.

Staff 7: Seventh line of music, starting with measure 9 and ending with a double bar line.

## Prelude II

*Vif*

Musical score for *Prelude II*, *Vif*. The score is written in G major (one sharp) and 2/4 time. It consists of eight staves of music, numbered 1 through 23. The piece features a rhythmic pattern of eighth and sixteenth notes, often beamed together, with a steady bass line. The music concludes with a final chord and a fermata.

### Prelude III

[incomplete]

Musical score for Prelude III, [incomplete]. The score is written in 3/4 time and consists of a single system with a treble clef. The melody is composed of dotted half notes and quarter notes, with a key signature of one flat. The bass line consists of a steady eighth-note accompaniment.

### Prelude IV

[incomplete]

Musical score for Prelude IV, [incomplete]. The score is written in 3/4 time and consists of five systems. The first system is marked "Modéré" and features a treble clef with a melody of eighth and sixteenth notes. The second system continues the melody. The third system is marked "Accel" and features a treble clef with a melody of eighth and sixteenth notes. The fourth and fifth systems feature a treble clef with a complex, rhythmic accompaniment consisting of eighth and sixteenth notes.

# Prelude V

[first draft]

Musical score for Prelude V, first draft, showing measures 1 through 50. The score is written in a single system with a treble clef and a key signature of one flat (B-flat). The piece begins with a melodic line in the right hand, marked *pp*. The left hand enters at measure 8 with a complex, multi-layered texture, marked *pp*. The texture continues to evolve, with dynamics ranging from *pp* to *ff*. The score includes various musical notations such as triplets, slurs, and dynamic markings. The piece concludes with a final chord marked *ff* and a fermata.

Measures 1-7: Melodic line in the right hand, marked *pp*.

Measures 8-12: Complex texture in the left hand, marked *pp*.

Measures 13-17: Complex texture in the left hand, marked *mf*.

Measures 18-23: Complex texture in the left hand, marked *f*.

Measures 24-30: Complex texture in the left hand, marked *mf*, *f*, *mp*, *ff*, *f*.

Measures 31-38: Complex texture in the left hand, marked *p*.

Measures 39-46: Complex texture in the left hand, marked *p*.

Measures 47-50: Complex texture in the left hand, marked *ff*.

## Prelude VIa

5

10

14

18

23 *p*

26 *p*

32

35

40 *f*

44 *f*

48 *mf*

52 *cresc molto*

The score consists of a single melodic line in treble clef. It begins with a series of eighth notes, gradually increasing in complexity and dynamics. The piece is marked with various dynamics including *p* (piano), *f* (forte), and *ff* (fortissimo), as well as *mf* (mezzo-forte) and *cresc molto* (crescendo molto). The music features a variety of articulations, including accents and slurs, and concludes with a final cadence.

## Prelude VIb

The musical score for "Prelude VIb" consists of eight staves of music. The first staff begins with a treble clef, a key signature of one flat (B-flat), and a 3/8 time signature. The music is characterized by a continuous eighth-note pattern. Dynamics include *pp*, *mf*, and *pp*. The second staff continues the eighth-note pattern, with dynamics *pp* and *p*. The third staff features a dynamic of *f* followed by *pp*. The fourth staff, starting at measure 19, has a dynamic of *p*. The fifth staff, starting at measure 22, includes a seven-measure rest (marked with a '7') and a dynamic of *f*. The sixth staff, starting at measure 26, also includes a seven-measure rest (marked with a '7') and a dynamic of *f*. The seventh staff, starting at measure 29, includes the instruction *poco cresc.*. The eighth staff, starting at measure 33, includes a seven-measure rest (marked with a '7') and dynamics *mp*, *f*, *mp*, and *f*.

The image shows a musical score for five staves, numbered 39, 44, 48, 52, and 56. The notation is in treble clef with a key signature of one sharp (F#).  
 - Staff 39: Starts with a dynamic marking of *f*. The music consists of a series of eighth-note chords.  
 - Staff 44: Starts with a dynamic marking of *f*. It continues the eighth-note chord pattern.  
 - Staff 48: Starts with a dynamic marking of *f*. The pattern continues.  
 - Staff 52: Starts with a dynamic marking of *mf*. The music changes to a more melodic line with some accidentals.  
 - Staff 56: Starts with a dynamic marking of *cresc molto*. The music becomes more complex with sixteenth-note patterns and a final cadence marked with a double bar line and a fermata.

Figure 13.1 The early draft of the Op. 41 as *Six Préludes*.

This is not a reconstruction of how the piece would have ended up had Hétu continued under the six-prelude plan, but a relatively stable large (yet incomplete) draft of the piece at an early stage of the writing process for Op. 41. Nor is it probable that this is a version of the piece as it was at one point in time. On one hand, this reconstruction of Hétu's Op. 41 as *Six Préludes* provides a possible view of the piece in an early stage. On the other hand, it is both mobile and incomplete. One notes that there are two options for the "Prélude VI" based on which draft of the early version of this movement one wishes to consider. Hétu did not seem to reach a point in the compositional process in which all the pieces exhibited the same short prelude-like formal scope. Thus, there are two movements, "Prélude III" and "Prélude IV," which are incomplete. With this significant part of the *avant-texte* clearly presented as a single entity, some analytical conclusions regarding Op. 41 can be detailed.

### 13.4.2 Analytical Conclusions

Héту states in his program notes that “the work utilizes simple and rigorous forms whose unity is ensured by harmonic and melodic constants [harmonico-mélodiques]: the privileged melodic intervals being the major third and the perfect fourth, the sonority type being the major triad with an added augmented fifth [...]”<sup>642</sup> Fowler’s analysis of the published *Suite* echoes Héту’s statement regarding sonority types, hexatonic collections (based on major thirds), as well as octatonicism. Taking the six-prelude version of Op. 41 into consideration as well as the sketches in general for the piece, one can confirm the statements of the composer himself and Fowler by identifying structural elements that unify the work and inform the analysis of the published edition.

As mentioned above, Héту employs the use of open strings to produce a harmonic (sustained) minor second. The two notes of this interval are not always initiated simultaneously in Op. 41 but they do sustain and overlap creating a harmonic color. This is an effect that necessitates a good understanding of the guitar (it is difficult to achieve harmonic minor seconds on the guitar without the use of open strings), and it is at once a pitch structure and an element of resonance. The instances of this effect in Op. 41 utilize open strings in order for the notes to sustain and the piquancy of the harmonic interval to be achieved. There are several instances of this in the published version of the piece. The arpeggiated semitone motive (Figure 12.43b) of the “Final” (in the fingering that is suggested by the published version and more explicitly by the string indications on fol.

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<sup>642</sup> Library and Archives Canada, Jacques Héту Fonds, MUS 279 | D,50, “Suite pour guitare, Opus 41,” file consisting of concert programs, program notes and a press clipping. Original: “l’œuvre utilise des formes simples et rigoureuses dont l’unité est assurée par des constantes harmonico-mélodiques: les intervalles mélodique privilégiées étant la tierce majeure et la quatre juste, la sonorité type étant l’accord parfait majeur avec quinte augmentée ajoutée [...]”

8r, staff 2, measure 1) contains the harmonic minor second. This motive and related motivic material such as the inversion variation, tritone-dyad variation, and the repeated arpeggiation figures of A3 and A4 contain this effect (the arpeggiation patterns of A3 and A4 are a related effect as they contain harmonic minor ninths). As melodic minor seconds abound from the beginning to the end of this movement, one can say that in the case of the “Final,” the harmonic and melodic minor second is the *idée fixe* of the movement. One finds harmonic minor seconds in the published “Ballade” as well. In measure 31, the G sharp, specified to be played in the sketch (fol. 5r, staff 9, measure 4) on the fourth string, and the G natural, played on the open third string, also produce a harmonic minor second. This fingering arrangement produces this effect which is specified in the sketches but not indicated in the fair copy or published version (although the recapitulation of the A section on page six of the fair copy, measure 107, seems to indicate this fingering). The effect also occurs numerous times in the B section of the “Ballade,” between C sharp and D, the open fourth string, in measures 56, 59, 61, 63, 65 and 77-79, as well as between A sharp and G, the open third string, in measures 57, 58, 60, 62, 64 and 76.

Although it features prominently in two movements of the published edition of Op. 41, one finds the harmonic minor second more frequently in the *avant-texte*. For example, the *moto perpetuo* motive in the discarded “Prelude II” on fol. 1v, staff 1, measure 1 (see Figure 8.4), also contains a harmonic minor second using an open string: D sharp and E that initiate the motive. The dissonance of the sustained notes adds a tension on the downbeat of the motive that provides the feeling of propulsion in the repetition of this motive. In addition to this instance, the discarded harmonization of the A theme of the

“Nocturne” on staff 2, measures 1-3, of fol. 9r (mentioned above) also contains this harmonic minor second: the second measure contains chords on the off-beat of beat one and the off-beat of beat three which contain A sharp and B, the open second string (see Figure 9.17). This is one way to add minor seconds into a chord without breaking the limits of practicality on the guitar. There are two fragments which were discarded that also utilize this effect. The fragment, labeled “vif,” seemingly destined for a hypothetical ending movement on fol. 6v, staff 4, measures 4-6, utilizes this effect (see Figure 12.20). In this case, the composer uses five open strings, E-A-D-B-E, for the chord in the third measure, and one closed B flat, which would be played on the third string. This produces a sustained harmonic minor second (B flat and open B) which adds some dissonance to this sonority. In the triplet chord material on fol. 6v, staff 7, (potentially destined for a never-written final movement as well), one sees harmonies based on a process of moving incrementally from two stopped pitches on the sixth fret of the guitar (on strings 1 and 6) to five stopped pitches on this fret (on strings 1, 2, 3, 4 and 6), a fingering nearly impossible to achieve (see Figure 12.21). The harmonic minor second interval is utilized several times here: in the first chord between the B flat and the A (open fifth string), in the second chord between the E flat and the D (open fourth string, which was neglected to be written down by Hétu), and in the third chord between the A flat and the G (open third string). Thus, it seems that Hétu was acutely aware of the special effect of the harmonic minor second on the guitar, experimenting with it in the writing process for Op. 41 to be a featured aspect of his motives and thematic material. This structure contributes to a unification of the soundscape of the *Suite* as a textually plural entity.

Notably, Hétu does not mention the harmonic minor second as a structurally unifying element of the *Suite*. He does however give two other “privileged intervals” for Op. 41: the major third and the perfect fourth. Considering Hétu’s proclivity for major and minor triads, the use of major thirds in these common harmonies must be seen as trivial. Aside from the trivial usage found throughout the *Suite*, the published “Prélude” and “Final” emphasize the major third by utilizing a structure based on superimposition of this interval, that is, the augmented chord. As noted in Chapter 7, the arpeggio model of the “Prélude” has the augmented triad as a fundamental building block. The first transposition of the arpeggio model in measure 3 is by a major third. In addition, the “Final” utilizes a further construction based on the major third, the hexatonic collection (made of two augmented triads a minor second apart). The elements of the introduction, the transition to the B section, and the B section itself (the first and fifth recitative phrases) contain the explicit use of augmented triads and the hexatonic collection (this is discussed in detail in Chapter 12).

Inclusion of the *avant-texte* in this analysis increases the emphasis on the major third and augmented triad. For example, the early version of the “Prélude” on fol. 8v as well as the unpublished “Prelude II” on fol. 1v have the major third and the augmented triads as basic building blocks of their structure. The first version of the “Prélude” is noteworthy in this way in that it represents a significant quantity of material exploring a variety of ways to present the augmented triad structure of the arpeggio model (the use of four unique augmented triads). Yet, it does not bring any further kind of qualitative emphasis on the major third than the published “Prélude.” The discarded “Prelude II,” however, shows a remarkable usage of the same abstract musical material but in a unique way. The

parallel major thirds that make up the *moto perpetuo* motive (consistently repeated throughout the realization; see Figure 8.10) contribute to this. However, an even more pointed connection to the “Prélude” is the statement of a variation of the *moto perpetuo* motive (on staff 5, measures 1-2, of fol. 1v; see Figure 8.2c) which presents four unique augmented triads separated by a minor second. This is clearly related to the structure of the “Prélude” and the fifth recitative phrase of the B section of the “Final” (the three passages use a sequence of four unique augmented triads). In addition, the parallel usage of the major chord with an added minor sixth (which contains an augmented triad) in “Prelude II,” also in four transpositions separated by a minor second, further makes this connection (see measure 11-12 of Figure 8.10). This discarded “Prelude II” makes clear musically that Hétu’s favored chord, the major chord with an added minor sixth which is so prevalent in the piece, is structurally related to the augmented triad and ultimately the major third (aside from its use of the sonority as its final chord). Thus, one can relate the use of the major chord with the added minor sixth in the B section of the “Nocturne” and in the A4 section of the “Final” to the use of augmented triads in the “Prélude,” creating further unification in the piece. A final usage of augmented triads (and thus Hétu’s privileged interval of the major third) in the *avant-texte* is in the fragmentary chorale material on staff 8, measures 1-3, of fol. 7r (see Figure 12.24a). Aside from the fact that the harmonic content of this fragment is connected to the “Prélude” (the first chord is identical to the first six notes of the “Prélude”), the first three chords consist of superimposed augmented triads. As noted in Chapter 12, the presence of this material on the sketch for the first version of the “Final” suggests that Hétu was looking for a way to

connect the final movement with the first movement even at this stage (something that would be achieved in the B section).

The other privileged interval that Hétu mentions in his program notes for the *Suite* is the perfect fourth. This interval is highlighted throughout the published movements of the piece. The numerous harmonic and melodic instances of the perfect fourth in the “Rêverie” are well explored in Chapter 11. It is not surprising then to see the interval so emphasized in the exploratory musical material for the movement on fols. 6v and 9r (see Figures 11.8, 11.9 and 11.11). The “Prélude,” as well, contains a marked use of the perfect fourth: the arpeggio model contains a falling fourth motive which is developed in the climactic phrase of the movement (see Figure 7.2). The fourth related tonal centers of the B section of the “Ballade,” E and A, represent a conspicuous use of this interval as well. Further, the “Final” contains larger-scale connections with the perfect fourth: A, D and G are the first tonal centers hit upon in the A section of movement (measures 1-45). In the *avant-texte*, the discarded “Prelude II” contributes significantly to the concentration on this interval. It has been noted above that the bass notes of the fragmentary material in the sketch for the movement are based on the lower open strings of the guitar, a fourth apart (E, A, D and G). In addition to this, the motion of parallel major thirds by leaps of fourths is found in the discarded fragment on staff 3, measures 2-3, of fol. 1v (see Figure 8.2d) and the final cadential gesture on staff 5, measure 4, of this folio (see Figure 8.2c) – both instances representing a merged manifestation of the perfect fourth and the major third. Burdetti notes that perfect fourths also feature prominently in all the movements of the Op. 56.<sup>643</sup> As noted in section 13.2, the predominance of the

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<sup>643</sup> Burdetti, “Complete Organicism,” 20.

perfect fourth in Hétu's guitar music is likely a result of Hétu's desire to utilize basic attributes of the instrument just as much as a desire to structurally unify his works.

A final analytical conclusion about a textually plural Op. 41 relates to the role of octatonicism. The sketches elevate the importance of the octatonic collection as a structural resource for the piece. While this collection is the primary resource for two of the five published movements of the *Suite* (the "Nocturne" and "Ballade"), the amount of material in the *avant-texte* that draws from this collection is significant. In addition to the pervasive use of this resource in two the movements, there are published movements of the *Suite* that allude in layered and more sporadic ways to the octatonic collection. For example, the octatonicism in the melodic material of "Rêverie" has been explored in Chapter 11. Fowler also points out the octatonic fragment of the bass line of the "Prélude" in measure 7-9 (E-G-B flat-F-E).<sup>644</sup> However, focusing now on the *avant-texte*, a significant number of discarded fragmentary musical ideas also draw heavily from the octatonic collection.

As mentioned above, two fragments on fol. 6v related to "Rêverie" pervasively draw from OCT<sub>1,2</sub>. The chorale-like material on staff 2, measures 1-2, (Figure 11.9c) as well as the measure 1-2 of staff 4 of fol. 6v (see Figure 11.9d). Further, the pitch material (C-F-G flat-B natural) of the recitative material in the skeletal outline on staff 4, measures 2-3 of fol. 3r (see Figure 11.15a) is completely drawn from OCT<sub>2,3</sub> (including the D major chord that precedes it, if one excludes the low E). This material is transposed and expanded in the recitative section of the published version in a way that moves beyond the bounds of the octatonic collection, masking its role. However, the *avant-texte*, in this case, reveals

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<sup>644</sup> Fowler, "Jacques Hétu's *Suite*," 84.

that the initial seed of this middle section was tied to the octatonic collection. The material directly above the skeletal outline on staves 1 and 2 of fol. 3r (see Figure 12.14) is difficult to relate to any published movement, but it is also completely derived from OCT<sub>1,2</sub>. Its presence on the sketch for the “Rêverie” coupled with the other work on the movement drawing from this collection noted above underscores the presence of octatonicism in the writing of “Rêverie,” even though it is subtle enough in the published movement to not receive any mention in Fowler’s thorough analysis. The “Passacaille” theme (on measures 1-4, staff 6, of fol. 6v; see Figure 9.12) which was modified as the basis for the A theme of the “Nocturne” is accounted for by OCT<sub>1,2</sub> (as was its offspring, the “Nocturne”). It is not surprising that one finds octatonic fragments on fol. 2r, which contains sketches for the only pervasively octatonic movements, the “Nocturne” and “Ballade.” However, even the unrelated material on staff 6 of fol. 2r is highly octatonic (see Figure 9.32): the material of measure 1 of this fragment is completely drawn from OCT<sub>1,2</sub> save for the initial E flat. The material in measure three is highly octatonic as well with exception of the F and A flat in the upper line. There are numerous other fragments that were discarded on fol. 2r that are drawn completely from OCT<sub>1,2</sub> (such as staff 9, measures 7-10; staff 10; and the two fragments on staff 11). Fol. 7r, staff 9 (see Figure 12.24) contains two fragments based on OCT<sub>1,2</sub>: a chorale-like passage which contains an octatonic melody (the chords underneath are based on augmented triads, as mentioned above and shown in Chapter 12) and a skeletal outline for a hypothetical passage containing the notes E, G sharp, F and G natural. Additionally, two fragments written for hypothetical final movements also find Hétu exploring octatonicism. The fragment marked “vif” on staff 6, measure 5, of fol. 6v (see Figure 12.20) shows Hétu toying with

octatonicism for a hypothetical final movement. While the material is highly chromatic (with the exception of G, the full chromatic aggregate is present), the rising bass line, A-B-C-D-E flat-F, is only two pitches shy of a complete octatonic scale (F sharp and G sharp is missing and this latter pitch class is highly emphasized in the upper line). A further example, the discarded material on measure 3-5 of staff 4 on fol. 9r shows Hétu's exploration of octatonicism for a potential ending movement as well (see Figure 12.22). The open strings D and B are utilized here while OCT<sub>1,2</sub> prevails (with the exception of three notes in the bass in the third measure, C and A). The fact that this material on fol. 9r is beside the harmonizations of the A theme of the "Nocturne" (also octatonic) reveals Hétu's practical consideration of an octatonicism that exploits open strings of the guitar. Thus, considering the wider role that the octatonic collection plays in the sketches, subtle allusions to the collection in the published version (such as those discussed in "Rêverie" and "Prélude") take on more significance.

The consequences of this analysis are multifarious in the development of a performance interpretation of Op. 41. Of course, having knowledge of the structural connections between divergent passages of a movement or between movements is critical for a performer interested in presenting an interpretation that transmits these connections. Knowledge of the role of octatonicism and the important intervals of the major third and perfect fourth can help a performer find a soundscape in which to set his or her performance. More specifically the analytical findings in addition to the knowledge of Hétu's writing process can suggest technical choices for the performer. Guitarists often have numerous possible ways to arrange a passage on the instrument. Sometimes the fingering is suggested by the score (if this is chosen to be observed), but more often than

not, guitarists must make these decisions themselves. This leads to fingering choices that affect the color, resonance and balance of a performance (for better or worse). For the performer of Op. 41, the knowledge that Hétu was aware and actively sought to capitalize on the open strings of the instrument in order to create harmonic minor seconds may persuade a performer to choose fingerings that allow this effect to occur even when it is not explicitly implied (or even when it may be concealed) by the editorial finger indications of the published version. That Hétu was acutely aware of the use of open strings, often putting incomplete ties on these notes to indicate that they should be allowed to ring, might also convince a performer to be judicious in the treatment of open-string pitches. These incomplete ties are not retained in the published edition (either because of an editorial choice by the engraver or out of practical considerations by Pierri).

In the concluding chapter of this study, we turn to theoretical considerations regarding the construction of the numerous elements that make up the *avant-texte* and the consequences of a musical *critique génétique* in the realm of performance.

## Chapter 14 Conclusion

The conclusion of this study addresses theoretic questions. As some editorial interpretation is needed for constructing a realization of the seemingly incomplete sketch material, such as the discarded “Prelude II,” an exploration of the ontological status of such material is needed. How have completions, realizations and reconstructions – the hall marks of much of sketch study – been received in the musicological discourse? What is the role of the musicologist in all of this? How can an approach of *critique génétique* position collaborative works like “Prelude II” in comparison with the canon? Finally, some of the consequences of following the theoretic framework of orthodox *critique génétique* and its application to music are examined. If the neutral level of the semiological tripartition of music is pluralized to include the written traces of the creative process, then what are the consequences for the esthetic level (i.e. the perception of the piece through performance)? How can a plural musical text be performed?

### 14.1 *Critique Génétique* and the Act of Completion

The sketch entitled “Prelude “II” on fol. 1v contains fragments that, to a person unfamiliar with the composer’s idiosyncrasies and musical language, seem to be in disarray and certainly do not represent a complete movement. Because sketches at early stages like this are, as Sallis states, “primarily mnemonic” and used as tools to record that which a composer cannot trust him or herself to remember, the elements that are not written down are not done so because there is no need. With Hétu’s intuitive grasp of his craft and the understanding of the scope and possible form of the movement, the

fragmentary sketch of “Prelude II” most likely represented a work in or very close to a finished state. The composer held the knowledge that could close the gap between viewing the material on fol. 1v as an exploratory sketch and a complete work. Since Jacques Hétu’s death in 2010, this work cannot be fully realized – the gap cannot be fully closed – without the intervention of a second person to decipher and interpret the sketches. This can be said for all the realizations in the *avant-texte* presented in Chapters 7-12 as well as the *Six Préludes* realization above. In this way, the realizations presented as part of the *avant-texte* must be considered completions – here defined as works that are left unfinished by one person and finished through the compositional acts of another person. Stories of such completions are surprisingly common in the canon of Western classical music since the 19<sup>th</sup> Century. Like Mozart’s *Requiem* in the choral world or Puccini’s *Turandot* in the opera arena, a work such as “Prelude II,” for example, could represent a welcome addition to the stage-worthy concert repertoire for classical guitarists. Yet, surrounding any completion, a question seems to linger: How do these works ontologically relate to the oeuvre of the original composer? Perhaps an explanation for such lingering is that completions have a history of being neglected in the musicological literature and rarely receive a sufficient critical and ontological account.<sup>645</sup>

There exists a consistent bias in music scholarship towards a negative viewing of the act of completion. For example, Richard Kramer refers to the act of posthumous completion of fragmentary works a “dangerous game,” in which “the work is always debased, deprived, of its authenticity. The more adept the forgery – for that is what is at

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<sup>645</sup> A notable exception is Friedeman Sallis, *Music Sketches* (Cambridge: Cambridge University Press, 2015).

issue here – the greater the damage.”<sup>646</sup> Even composer-musicologists who have completed works *themselves* tend to condemn the act. Brian Newbould refers to his completions of Schubert as “counterfeit” and the result of a “felony” which is only tolerable because of its “musicological interest.”<sup>647</sup> Luciano Berio, the completer of such works as Schubert’s sketches for a tenth symphony (*Rendering*, 1989), Bach’s *Contrapunctus XIX* from the *Art of Fugue* (2001), Mozart’s *Zaide* (*Vor, während, nach Zaide*, 1995), and Puccini’s *Turandot* (2002), paradoxically scorns those responsible for acts of completion.<sup>648</sup> In a 1997 interview, he states, “I have an especial dislike for musicologists who decide to complete an unfinished work.”<sup>649</sup>

Furthermore, the small amount of existent scholarly criticism regarding completions is often couched in an implicit theoretical framework. Robert S. Winter, a sketch study scholar and co-author of the groundbreaking tome in Beethoven studies, *The Beethoven Sketchbooks*, rightly finds that “the assumptions that lie behind what have been variously called ‘realizations,’ ‘completions,’ ‘restorations’ or ‘reconstructions’ [he uses the terms interchangeably here] of unfinished works are generally unarticulated.”<sup>650</sup> A revealing instance of “unarticulated assumptions” is exhibited in the writings of Berio and Newbould regarding their completions of the same material: Schubert’s sketches for D.936a. Berio composed *Rendering* (1989-1990) for orchestra and Newbould created the

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<sup>646</sup> Richard Kramer, *Unfinished Music* (Oxford and New York, Oxford University Press, 2008), 314.

<sup>647</sup> Brian Newbould, “Schubert’s Other ‘Unfinished,’” *The Musical Times* 119, no. 1625 (1978): 589.

<sup>648</sup> David Osmond-Smith, “Berio, Luciano,” in *Grove Music Online. Oxford Music Online*, ed. Dean Root, accessed October 10, 2014, <http://www.oxfordmusiconline.com>.

<sup>649</sup> Theo Muller, “‘Music is not a solitary act’: Conversation with Luciano Berio,” *Tempo New Series*, 199 (1997): 19.

<sup>650</sup> Johnson, Tyson, and Winter, *The Beethoven Sketchbooks*.

1981 publication, *Schubert: Symphony No. 10 in D Major*.<sup>651</sup> Both projects are worth examining here for comparison.

In the late 1970s, a set of Schubert manuscripts representing work on a single symphony was identified amongst a volume of piano sketches.<sup>652</sup> These sketches, written in piano shorthand, consist of substantial fragments of material that seem to be destined for a three-movement symphony in D major.<sup>653</sup> The fragments comprise complete formal sections, such as the exposition of the first movement, but lack harmonic indications (there are rarely bass lines and internal voices), complete orchestration indications, and, most importantly, indications of how to put these formal sections together.<sup>654</sup> In Newbould's completion, the completer inferred the harmonic implications of the thematic material, filled out the voicing, orchestration, and imposed a formal structure (including composing a small amount of new material for transitional passages). The result is what he refers to as a "performing edition" of the work and states that "this version was made on the assumption – based on the deduction from internal indications – that Schubert had come close to the stage at which sketching was completed and scoring could begin when death intervened."<sup>655</sup> Newbould contends that the sketches represent a work that is in a "materially complete" form.<sup>656</sup>

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<sup>651</sup> Luciano Berio, *Rendering: per Orchestra/ Schubert – Berio* (Vienna: Universal Edition, 1989); Brian Newbould, *Schubert: Symphony No. 10 in D Major* (London: Faber Music, 1995).

<sup>652</sup> Brian Newbould, *Schubert and the Symphony: A New Perspective* (London: Toccata Press, 1992), 297.

<sup>653</sup> *Ibid.*

<sup>654</sup> *Ibid.*

<sup>655</sup> Brian Newbould, *Schubert: The Music and the Man* (Berkeley and L.A.: University of California Press, 1997), 385.

<sup>656</sup> Newbould, *Schubert and the Symphony*, 290.

As opposed to Newbould's completion, which is labeled "by Franz Schubert, realized by Brian Newbould,"<sup>657</sup> Berio's *Rendering* contains the collaborative attribution, "Schubert-Berio," on the title page of the work.<sup>658</sup> The reason for this is clear. Berio is invested in portraying his completion in way that does not finish Schubert's fragments as Newbould's does. Rather, Berio emphasizes the way in which he collaborates with Schubert to highlight the fragmentary nature of the sketch material. In *Rendering*, the sketch fragments are presented in Schubertian orchestration. In between these fragments, however, is material that is distinctly un-Schubertian, what Berio calls 'cement-work.'<sup>659</sup>

Berio's *Rendering* is undoubtedly a completion. It contains many of the similar decisions that Newbould made regarding harmony, voicing and orchestration. It is revealing, however, that through their writings each composer/musicologist portrays their work differently with regard to its ontological relationship with Schubert's oeuvre. Berio seems to insist that *Rendering* is not a completion of Schubert as such. Berio's program note for his 1991 edition of *Rendering* is telling: "These sketches are fairly complex and of great beauty: ...Seduced by those sketches, I therefore decided to restore them: restore and not complete or reconstruct."<sup>660</sup> Some years later, Berio denounced such acts of completion in the 1997 interview quoted above. Newbould, on the other hand, does not deny that his work is a completion, but denies it full status as an artwork. He refers to his completions of Schubert as "counterfeit" and the result of a "felony" which is only

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<sup>657</sup> Newbould, *Schubert: Symphony No. 10*.

<sup>658</sup> Berio, *Rendering*, title page.

<sup>659</sup> *Ibid.*, preface.

<sup>660</sup> *Ibid.*

tolerable because of its “musicological [read “historical”] interest.”<sup>661</sup> Newbould thus ensures that his act is divorced from Schubert’s “legitimate” work. What is clear is that both composer/musicologists are uncomfortable portraying their works as completions which have artistic *and* historical merit. Why is this so? Perhaps one explanation is the consistent bias in Romantic-music scholarship towards a negative viewing of the act of completion.

To his credit, Winter attempts to explore the status of completions in a rigorous way. On the surface of his 1991 article, “Of Realizations, Completions, Restorations and Reconstructions: From Bach’s ‘The Art of Fugue’ to Beethoven’s Tenth Symphony,” Winter seems to engage with the underlying issues inherent in the act of completion.<sup>662</sup> He proposes three categories for completions: “orchestral completions,” “continuity completions,” and “speculative completions.” However, it is soon apparent that Winter’s categories do not serve to ontologically situate completions with the goal of facilitating critical engagement. They are simply an apparatus to approve of some completions and dismiss others. Winter explicitly approves of “orchestral completions,” like Mahler’s 10<sup>th</sup> Symphony by Derycke Cooke, in which Winter states oxymoronicly, “no completion has been necessary, in the usual sense – that is, free composition to fill in gaps in the structure.”<sup>663</sup> Any completion to which the completer has added newly composed material is dismissed as a “continuity completion.” This includes Newbould’s completion of Schubert’s 10<sup>th</sup> Symphony. Winter states that Newbould’s work belongs to the “more

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<sup>661</sup> Newbould, “Schubert’s Other ‘Unfinished,’” 589.

<sup>662</sup> Robert S. Winter, “Of Realizations, Completions, Restorations and Reconstructions: From Bach’s ‘The Art of Fugue’ to Beethoven’s Tenth Symphony,” *Journal of the Royal Musical Association* 116, no. 1 (1991): 96-126.

<sup>663</sup> *Ibid.*, 99.

problematic stratum of completions,” in which “sizable quantities of continuous sketches survive, but which contain gaps that cannot be filled in with any certainty.”<sup>664</sup> Finally, Winter’s third category, “speculative completions,” is reserved for those completions which, for Winter, are not successful, such as Barry Cooper’s publication of Beethoven’s 10<sup>th</sup> Symphony, which is based on a smaller number of fragmentary sketches. For Winter the category of “speculative completions,” which he says represents a “radical break” from the previous two categories, is simply a tool to allow him to denounce the act of completion.<sup>665</sup> He deals the final judgment in the form of an ethical blow regarding Cooper’s “speculative completion.” He ventures, “there is little to be gained from presenting the public with a piece of music that can only distort their understanding of Beethoven’s late style.”<sup>666</sup> Winter’s basic criterion for judging the merit of a completion (for that is what he doing) is the degree of completeness of the original sketch material. The more “finished” the sketch material is, the more legitimate he finds the completion. For example, he calculates that compared to Cooke’s Mahler completion, which is purportedly “90% Mahler,” Cooper’s Beethoven completion is only “20% Beethoven.” This seems enough for Winter to relegate the work to the “speculative” category. There is a contradictory logic here: the more finished the original sketch material is, the more acceptable he finds the completion. Simply put, he favors completions for which the least amount of *completing* is necessary.

The study of completions forces us to engage in issues regarding the production of a text or score. A legitimate criticism of Winter’s categories is that they are based on

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<sup>664</sup> *Ibid.*, 100.

<sup>665</sup> *Ibid.*, 102.

<sup>666</sup> *Ibid.*, 114.

criteria that subscribe to a linear and teleological view of the creative process. He deems a moment in the creative process (the first draft of a text, for example) to only have relevance with regard to the final text (which is usually defined as the published text). For Winter, not all completions are judged as equal. However, it is more apt to say that not all completions are *created* equal – because it is their act of creation that matters. Rather than having discrete categories for completions based on finalist criteria, a continuum of categories can be made that draws on the theoretical framework of *critique génétique*. As discussed in Chapter 2, rather than making the traditional assumption that the “final” text is imbued with more authority compared to pre-publication documents, the basic assumption of genetic criticism sees this “final” text and the texts that came before (or after) as a rich and complex “mobile image.”<sup>667</sup> In contrast, laden with the teleological assumptions of finalism, Winter’s approach implies that any version of a work that can possibly be viewed as divergent from the composer’s hypothetical final state deserves to be disregarded. Winter’s categories of completions are based on the degree of “musical continuity” in the original sketches and the degree of speculation needed to complete these works as the original composer would have – two conceptions that are based on finalist assumptions. Winter views the creative act as a linear and teleological process in which subsequent drafts of a work become closer and closer to the final authorized published text. The further along an unfinished sketch is to that final state at the time of abandonment, the more valid the completion. Clearly, a continuum of completion

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<sup>667</sup> Michael Groden, *Ulysses in Focus: Genetic, Textual, and Personal Views* (Gainesville: University Press of Florida, 2010), 62-63.

categories that is attentive to the creative process should not have “musical continuity” as its basic criterion.

In search of a basis for which to position different acts of completion, we can turn to how practitioners of *critique génétique* view rough or incomplete drafts. Bellemin-Noël states that “what writers wanted to say or thought they were writing is of no interest. What counts for me is what the text itself says....”<sup>668</sup> More recently, Sally Bushell, an Anglo-American practitioner of genetic criticism, echoes Bellemin-Noël’s sentiments. She finds that a draft “as material object, holds meaning in two dominant ways: in the intentional acts of the maker on the page, and in the physicality of the manuscript as a present-at-hand thing.”<sup>669</sup> Thus, she differentiates between the text “as a record of (willed and unwilled) acts” and “as a thing of language and meaning that exists in an authentic open-ended state.”<sup>670</sup> Thus, in this post-structuralist open-ended mode, these practitioners of *critique génétique* treat the text of the incomplete draft in the same way they would treat the text of a published work: as something in which the composer’s original intentions are deemed superfluous (or at least secondary). Thus, to hold the unknowable intention of a composer as a criterion by which to position acts of completion is anathema to orthodox *critique génétique*. Instead, one can propose a continuum of categories of completions whose operating criterion could be referred to as the “degree of imposed intention” (the term continuum is meant to leave open the possibility for works that may straddle two or more categories). This is shown in Figure 14.1.

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<sup>668</sup> Bellemin-Noël, “Psychoanalytic reading,” 30.

<sup>669</sup> Sally Bushell, *Text as Process*, 229.

<sup>670</sup> *Ibid.*, 228.

## Continuum of Completions

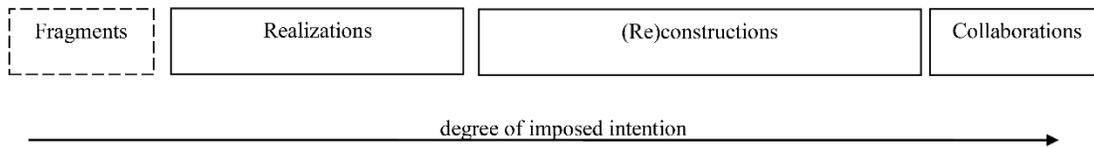


Figure 14.1 The proposed continuum of categories of completion.

Thus, we can identify the following continuum of three basic categories, free of the assumptions of finalism. They are (in order of degree of imposed intention, from lowest to highest): realizations, (re)constructions and collaborations. The choice of the word “realization” is deliberate as it connotes following instructions. For example, continuo indications are “realized.” The second category, “(re)constructions” refers to completions for which the completer imposes intention that is congruent with the intention as “acts on the page.” The particular spelling of the term “(re)construction,” with parentheses, emphasizes the aspect of construction while referring to a word commonly used for completions (without parentheses, the term is problematic because these works were never constructed). Finally, “collaboration” completions exhibit the highest degree of imposed intention from the completer. Table 14.1 gives a short list of works that are positioned along the continuum of categories of completions.

Table 14.1 An abridged list of completions positioned along the continuum of categories.

Realizations	↔	(Re)constructions	↔	Collaborations
Hétu, 'Prélude II' (Michael Dias), 2018.		Schubert, Symphony No. 10 (Brian Newbould), 1995.		Bach, J.S. <i>The Art of Fugue</i> (Zoltan Göncz), 1991.
Mahler, Symphony No. 10 (Deryck Cooke), 1989.		Berg, <i>Lulu</i> (Friedrich Cerha), 1979.		Elgar, Symphony No. 3 (Anthony Payne), 1997.
				Beethoven, <i>Symphony No. 10</i> (Barry Cooper), 1988.
				Berio, Luciano. <i>Rendering</i> (Schubert), 1990.
				Bryers, Gavin. <i>The Porazzi Fragment</i> , (Wagner), 1999.
				Wuorinen, Charles. <i>A Reliquary for Igor Stravinsky</i> (Wuorinen- Stravinsky), 1975.
				Czernowin, Chaya. <i>Zaide/Adama, fragments</i> (Czernowin-Mozart), 2006.
				Neuwirth, Olga. <i>American Lulu</i> (Neuwirth- Berg), 2006-2012.
				Haas, Georg Friedrich. <i>Torso, after the unfinished Piano Sonata in C major D840</i> (Haas-Schubert), 1999-2000/2001.

On the surface, this may seem like simply dressing up Winter's categories in different terminology. However, this continuum rescues the act of completion from its ghetto in much musicological scholarship and allows for interesting confrontations with other implicitly accepted collaborative acts. Some acts of completion are intuitively accepted within classical music institutions while others are not. For example, one does not flinch at the notion of a performer composing or improvising a cadenza in an early Classical piano concerto. Yet, adding a transitional phrase connecting two incomplete fragments from a Beethoven sketch book is considered sacrilegious. Whether considering a harpsichord realization of a Baroque basso continuo or a highly ornamented performance of a Palestrina motet, the act of completion is an inseparable aspect of much music.

Sallis has noted that this kind of “collective composition” inherent in the act of completion is viewed as an infringement of the “single-author paradigm” that is dominant in musicological discourse that appeals to Romantic aesthetics.<sup>671</sup> This is evident in Winter’s article and in the writings of Newbould and Berio. In addition to an allegiance to the single-author paradigm, the inherited mode of thought in some music studies results in a teleological conception of the creative process and an insistence on a singular notion of text. This leads to a dismissive account of completions. As seen upon examining the ontological positioning of the works in Table 1, embracing the often “paradoxical poetics”<sup>672</sup> of completions such as Hétu’s “Prelude II” can lead to fascinating areas of scholarship, areas that can benefit from a rigorous theoretical framework that rejects finalism and a singular notion of text. In order for the musicological discourse to be liberated from its bias regarding completions, a deeper and more nuanced theoretical understanding of the creative process is needed. *Critique génétique* may offer just that.

## 14.2 Theoretical Consequences of an Approach of *Critique Génétique*

But, what are the consequences of unilaterally adopting an orthodox musical *critique génétique*? In Chapter 3, an ontological account of a *critique génétique* of music was found to best be couched within a modified version of Nattiez’s semiological tripartition of music. One recalls that Nattiez’s tripartition, as he offers it, consists of the poietic level

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<sup>671</sup> Sallis, *Music Sketches*, 193.

<sup>672</sup> Lorraine Byrne Bodley, “Late Style and the Paradoxical Poetics of the Schubert-Berio *Rendering*,” in *The “Unknown” Schubert*, eds. Barbara M. Reul and Lorraine Byrne Bodley (Burlington: Ashgate, 2008), 233.

(the creation of the work), the neutral level (the work itself, as represented by a single score), and the esthetic level (the perception of the work). A close structural analysis without regard to its historical context (say the biography of its composer) or perception from a listener (say the psychological effect of the music) is an analysis of the immanent work as represented by its singular score. As previously pointed out, because *critique génétique* denies the validity of appealing to a singular view of a text (musical or literary) that results from a creative process, a “genetic” semiological tripartition demands a tectonic shift from Nattiez’s original to one in which the poietic and neutral levels converge. Nattiez purports that the tripartition accounts for the “total musical fact” which consists of “poietic strategies, a resultant trace, and esthetic strategies unleashed by that trace.”<sup>673</sup> A genetic semiological tripartition must therefore consist of poetic strategies, resultant *traces*, and esthetic strategies unleashed by those *traces*. The neutral immanent analysis thus considers the *avant-texte* and the published text. This was undertaken in Chapters 7-12 and above. However, a question remains: if the traces of the poietic process (compositional documents such as music sketches) are to be neutralized, brought into the now-mobile set of imminent traces of the work, how does this affect the esthetic level? What is unleashed by a plural conception of the musical text?

One can begin to answer these questions by examining the primary activity of literary practitioners of *critique génétique*, the so-called genetic edition. Often the result of genetic inquiry (to a fault, some would say), the genetic edition presents a readable edition of the *avant-texte* in one of two manners. There are what Biasi calls “horizontal” genetic editions in which a single stable draft, a layer in the genetic dossier, is presented

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<sup>673</sup> Nattiez, *Music and Discourse*, 70.

in isolation (a particular early draft of a poem, for example). This is in contrast to “vertical” genetic edition in which the layers of the creative process are read at more or less the same time – at least to the extent that this is possible. Vertical editions, according to Biasi, “cross the thickness of the genetic dossier to reconstruct a genetic path from, for example, the first formulations of the project to the final text of the published work.”<sup>674</sup> This may be done by a variety of editorial strategies: the *avant-texte* may be beside text, offering variants created during the writing process to the reader in real time; or, in electronic media, the variants may be presented via “hypertext” providing variants digitally on-demand.<sup>675</sup> The ideal vertical genetic edition is one in which a reader may read a text and the *avant-texte* in a mobile and plural way, moving at will between layers of the creative process and the published text. Thus, in literature, esthetic strategies of a genetic semiological tripartition are facilitated by a vertical genetic edition – the reader perceives the text and *avant-texte* together. Further critical activity can be undertaken from here, of course, but at least all the bases of the tripartition are covered.

Certainly, one could make a genetic edition of music in an analogous way. In fact, there exist numerous critical editions in which competing authoritative versions and variants are in one way or another presented together, such as in a side-by-side layout or with the use of footnotes. However, as we know from Goodman (discussed in Chapter 3), whereas literature is a single-step art in that its notation can be transmitted and perceived

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<sup>674</sup> Pierre-Marc de Biasi, “Manuscrits - la Critique Génétique,” *Encyclopaedia Universalis*, accessed 7 July, 2018. <http://www.universalis.fr/encyclopedie/manuscrits-la-critique-genetique/>. Original: “à traverser l'épaisseur du dossier de genèse pour reconstituer un trajet génétique allant, par exemple, des premières formulations du projet au texte définitif de l'œuvre publiée.”

<sup>675</sup> Jean-Louis Lebrave, “Hypertextes - Mémoires – Écriture,” *Genesis* 5 (1994): 9-24.

in one activity (i.e. reading), music needs two steps for it to fully be perceived.<sup>676</sup> Simply put, it needs to be performed before one can truly say the esthetic process is taking place. But, how can one perform a textually plural work? Can there be such a thing as a vertical genetic performance?

Horizontal genetic performances do not pose any inherent problem for a musical performance. One can play the early draft of the opening of Beethoven's Fifth Symphony. However, vertical genetic performances require the ability for the listener to mentally superimpose and substitute variants in more-or-less real time. As performance occurs in time, as one continuous activity with a fixed beginning and end, it is thus inherently a singular act. The reader of a vertical genetic edition of poetry or a novel have the synchronic option of stopping to consider a passage from the published edition alongside the early version of the same passage. There is usually no such freedom from the element of time in the performance of music.

Musicians have attempted genetic approaches to music performance with a degree of verticality (comparing variants made during the creative process) in the past with some success. For example, in a lecture entitled "Beethoven's Fifth Symphony," broadcast on the CBS Television Network in 1954, Leonard Bernstein curated performances of Beethoven's discarded drafts, versions of themes, and revised orchestration (at the piano and also at the podium with an orchestra).<sup>677</sup> This is thus a kind of genetic performance. As one observer puts it, "the program is a study in how, brick by musical brick, Beethoven accomplished the gripping momentum, logic, and concision of his final result,

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<sup>676</sup> Goodman, "Language," 208.

<sup>677</sup> Leonard Bernstein, "Beethoven's Fifth Symphony," in Leonard Bernstein, *The Joy of Music* (New York: Anchor Books, Doubleday, 1994,) 129.

giving us insight into the painstaking and inspired work process that yielded what we perceive as the score's 'inevitability.'"<sup>678</sup> This is a favorable evaluation of the lecture. Subverting the idea that Beethoven's process led to a final inevitable result is exactly the non-teleological approach that is the aim of *critique génétique*. Bernstein also emphasizes the process of writing, the struggle of the composer – also something that is in the spirit of *critique génétique*. However, while Bernstein does explore variants produced during the compositional process, it is always with the caveat that these were inferior formulations to the final product. His thesis statement is explicit: "We're going to take certain discarded sketches that Beethoven wrote, intending to use them in his symphony, and find out why he rejected them [...]."<sup>679</sup> The presupposition is that Beethoven rejected the early drafts because he was searching for (and supposedly found in the published version) ideal perfection. The published work contains, for Bernstein, "not only the right notes, but the right rhythms, the right climaxes, the right harmonies, the right instrumentation."<sup>680</sup> It received high praise and is undoubtedly very interesting to hear the performances of the *avant-texte*. Bernstein takes a valiant first step, but this is more of a lecture-recital than a true "vertical" genetic performance of the Fifth Symphony. Another piece of the puzzle comes from the field of Chopin Studies.

One can say that ingenuity comes from necessity. The textually troubled field of Chopin studies has long had a need to confront the numerous competing editions, versions of pieces, and differing authoritative manuscripts left by the composer. It is from this field that one sees the development of a kind of genetic edition that facilitates

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<sup>678</sup> Allen Shawn, *Leonard Bernstein: An American Musician* (New Haven: Yale University Press, 2014) 130.

<sup>679</sup> Bernstein, "Beethoven's Fifth Symphony," 73.

<sup>680</sup> *Ibid.*, 74.

performance – the “dynamic edition.”<sup>681</sup> Summarized by John Rink, a Chopin scholar, the dynamic edition is an electronic online platform which inhabits the textually plural approach of *critique génétique* by presenting for comparison, through various digital strategies, textual variants. It is dynamic because the performer makes the editorial choices which can be changed on-demand for subsequent performances. This idea was the result of a perceived problem with textual criticism in music. He states “modern performers regularly insist that their goal is to realize ‘the composer’s intention’ though it is rarely made clear whether they are referring to authorial intentions at the time of the music’s conception, or when the first manuscript was finished, or when proofsheets of the first edition were corrected, or at the first performance, or after years of performances and, if so, by whom.”<sup>682</sup> He points out that intentions, recorded in fragmentary form in sketches and documents, change over time and, thus, he casts doubt on the regularly upheld tradition that the latest compositional documents are the most authoritative. For Rink, this kind of “finalist” thinking is in Chopin’s case, “indefensible both historically and aesthetically.”<sup>683</sup> For example, regarding Chopin’s two autograph manuscripts of his Barcarole, he asks, “So which of the two extant manuscripts best reflects Chopin’s intentions: the earlier of the two, prepared when he was most alert and his ideas freshest, or the later one, copied out more or less mechanically but with the opportunity to refine initial thoughts and introduce new ones?”<sup>684</sup> He recommends (without stating as much

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<sup>681</sup> John Rink, “Making the Music Work: Towards a ‘Dynamic edition’ of Chopin,” in *Gèneses Musicales*, eds. Almuth Grésillon, Nicolas Donin, and Jean-Louis Lebrave (France: Presses Universitaires de Paris-Sorbonne, 2015) 255-265.

<sup>682</sup> *Ibid.*, 255.

<sup>683</sup> *Ibid.*, 256.

<sup>684</sup> *Ibid.*

outright) an approach to the text of Chopin that is similar to that of *critique génétique* finding that, “What is needed is an understanding of the Chopin work, and indeed the works of any composer, as existing in a state of flux, in an endless process of change involving not only the given composer but all those who engage with it later on (by which I mean editors, performers, listeners, critics and so on).”<sup>685</sup>

Rink soon arrives at the same theoretical impasse as one finds above in this chapter: “But what does this mean in the context of musical performance, given that the performer has to commit to, or at least project, a single self-consistent version of the music on each performance occasion?”<sup>686</sup> The solution is to have an interactive dynamic edition such as the electronic editions found on the Online Chopin Variorum Edition (OCVE), which has “unique presentational features, as a result of which users can juxtapose selected passages from a range of digitized sources for the sake of comparison, and add annotations according to the individual prerogative.”<sup>687</sup> Working with OCVE, performers can make their own Chopin edition – a dynamic edition “transcending the fixity [and singularity] of the page.”<sup>688</sup> In cases where there are competing versions of material from authoritative sources (say a forgotten flat or sharp), the performer then makes an informed choice (which can be changed in a later performance).<sup>689</sup> This is a particularly “dynamic” interface for the text of Chopin because, as Rink states, “OCVE *indicates*, the user must finish the picture.”<sup>690</sup>

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<sup>685</sup> *Ibid.*

<sup>686</sup> *Ibid.*

<sup>687</sup> *Ibid.*, 258.

<sup>688</sup> *Ibid.*

<sup>689</sup> *Ibid.*, 263.

<sup>690</sup> *Ibid.*, 264.

Rink's dynamic editions offer a way of providing a platform for genetic editions of music as well as a way to facilitate genetic performances. One can eschew the problem of acknowledging a plural text in a singular medium bound by the passage of time such as one finds in music performance. By creating a single user-chosen version that draws upon the *avant-texte* in a "vertical" way, that is, across the thickness of the genetic dossier, one can take steps in reconciling these two aspects of the music: the plural text and the singular performance. This is one way in which a textually plural work can be performed (maintaining continuity) which at least approaches the ideals of the vertical genetic edition.

Of course, the dynamic edition cannot solve the issue of pluralizing a singular and temporally bound medium such as music. This leads one to turn to "horizontal" genetic performances. There is no barrier of plurality in this endeavor – one can perform Hétu's six-prelude version of Op. 41. But should one? What is the consequence of turning sketches into sounding objects? Could this lead to legitimate negative criticism? If one follows Biasi, the answer is no. He finds that *critique génétique* is in the business of doing an analogous act within literature stating that,

genetic criticism is criticized for 'literalizing' manuscripts, transforming them into readable documents, as if making manuscripts legible went against their nature: a read manuscript would no longer be a manuscript. This is a strange idea, since, while not text, a manuscript is never an object of pure writing: from the first deletion (which necessarily presupposes reading), it is available for the writer him – or herself as the site of a continual confrontation between writing and reading.<sup>691</sup>

Working documents are constantly being read in order to be revised during the compositional process in literature. Can it not also be said that musical sketches are

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<sup>691</sup> Biasi, "Typology," 55.

already played during the compositional process? That they are either literally made into – or, at least, imagined as sounded objects during the act of composition and therefore are not altered by further performance?

One legitimate concern is the intended social function of the genetic dossier. In the public performance of the *avant-texte* (and indeed in the publishing of reproductions of the *avant-texte*) there exist intuitive boundaries separating some material from others. While the fact that Hétu donated archival documents related to Op. 41 within his lifetime suggests that the composer valued their historical import and may have encouraged this kind of sketch study, one could understand a certain hesitation on the part of the composer in having the discarded drafts (that were generally not meant to be performed) executed in public alongside or even replacing the published edition. As noted in Chapter 2, *critique génétique* scholars have acknowledged this difference in social function between the text and *avant-texte*. Grésillon, for example, sees the differentiation between text and *avant-texte* in that the latter was “generally not meant to be seen by others.”<sup>692</sup> However, there does not seem to be a clear boundary dividing public from private – the intended social function placing *avant-texte* material toward one category or the other is a matter of degree. It is clear that performing the fair copy version of the “Final” (with the variants in articulation that are missing in the published version) alongside works by Bach and Boulez does not pose the same concerns as performing a set of Hétu’s exploratory fragments on fol. 6v. This is because of the degree of difference in the intended social function of the published edition, positioning it more toward the public sphere than the exploratory sketch but not as much as the published edition itself.

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<sup>692</sup> Grésillon, “Slow,” 115.

Regarding genetic editions of literary works, Grésillon finds that the *avant-texte* “joins the ranks of the readable corpus of literature”<sup>693</sup> and yet retains its status as a “non-work” or putting it another way, a “laboratory product.”<sup>694</sup> Following Grésillon, and barring any ethical or legal barriers, the notion of the genetic performance elevates the performance of the musical *avant-texte* alongside canonic repertoire, provided the “genetic” qualifier is explicit.

Leaving the issue of the vertical genetic performance aside for the moment, there are several possible ways one might achieve a horizontal genetic performance of Hétu’s Op. 41. Table 14.2 provides some of the genetic performance options for Op. 41.

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<sup>693</sup> *Ibid.*

<sup>694</sup> *Ibid.*

Table 14.2 Genetic performance options for Op. 41.

Performance Option	Contents	Location
Six-Movement Suite	<i>i.</i> “Prélude”	published ed.
	<i>ii.</i> “Prelude II”	fol. 1v
	<i>iii.</i> “Nocturne”	published ed.
	<i>iv.</i> “Ballade”	published ed.
	<i>v.</i> “Rêverie”	published ed.
	<i>vi.</i> “Final”	published ed.
Six Préludes	<i>i.</i> “Prelude I,” 1 <sup>st</sup> version of “Prélude”	fol. 8v
	<i>ii.</i> “Prelude II”	fol. 1v
	<i>iii.</i> “Prelude III,” 1 <sup>st</sup> draft of “Nocturne,” incomplete	fol. 9r
	<i>iv.</i> “Prelude IV,” 1 <sup>st</sup> version of “Ballade,” incomplete	fol. 2r
	<i>v.</i> “Prelude V,” first draft of “Rêverie”	fols. 4r and 3r
	<i>vi.</i> “Prelude VI,” 3 <sup>rd</sup> or 4 <sup>th</sup> draft of 1 <sup>st</sup> version of “Final”	fols. 7r and 8r

First, one could perform a “Six-Movement Suite” restoring the “Prelude II” as part of the piece. This, of course, disrupts the linkage between the “Prélude” and “Nocturne,” but provides a sense of Op. 41 as represented by its latest versions of each movement. The “Six Préludes” performance option, as seen in Figure 13.1 above, consists of the versions of the movements as they reflect the early six-prelude large-scale plan. The drawback of this option is that the early versions of the “Nocturne” and “Ballade” are incomplete. These could be left incomplete in the performance or excised. In addition to these suggestions, as preludes, any of the stable early versions of the movements of the *Suite*, including “Prelude II,” could be performed as single isolated works or in small pairs (for example, because of the structural and formal similarities, the early version of the

“Prélude” and the discarded “Prelude II” would make a satisfying set). Finally, the fragmentary material in the sketches equally deserves genetic performance. These could be grouped according to their intended musical destinations in the *Suite* (if applicable). For example, it might be satisfying to hear all the fragmentary material intended for “Rêverie” in chronological order (or not!), followed by the early draft of the movement and the published movement itself. All manner of creative amalgams of different sketch material could be satisfying as well. For example, one might perform the published version of the “Final” substituting the published version of the semitone motive with an early version of the semitone motive or using the septuplet repeated arpeggio pattern for A3 (found in the third draft of the first version) instead of the published figure.

The notion of a vertical genetic performance is a stimulating proposition. A solution which satisfies the same esthetic needs as the literary vertical genetic edition is elusive, and the endeavor to do so opens up more questions. Could phrases or sections be excised from the linear sequence of a piece and be repeated in performance (once in an early version and once in a later version), somehow maintaining a sense of context and continuity of the whole? Could one play two versions of a work simultaneously allowing the audience to choose which genetic layer they “tune into” at any one moment?

Following Rink, might there be such a thing as a “dynamic genetic recording” in which a listener chooses his or her linear route through the piece according to the available layers of the creative process with the end result being a continuous performance on demand? Is there a creative and artistic way of morphing between layers of the creative process in a similar artistic approach to Berio’s completion of Schubert in *Rendering*? There is likely no consistent approach that would satisfy all pieces and composers. Genetic

performances would no doubt have to be tailored to the kind of genesis with which the piece comes into its definitive text.

### 14.3 Final Thoughts

The archived materials in the Jacques Hétu Fonds offers scholars a rich and prodigious source for the study of the composer's life and music. There is an amount of educated guesswork involved in analyzing the *avant-texte* and even establishing a chronology of the genetic dossier. The sketches are not dated, and there are no known diary entries detailing Hétu's chronology. Therefore, the only way to increase the certainty of the findings of this study is to continue this kind of exploration in Hétu's other works. There are 2.3 meters of textual documents alone in the archive which include sketches related to the majority of his oeuvre. Hétu was a composer who, until his declining health in the first decade of the 21<sup>st</sup> century, composed with pencil on paper, saving his discarded sketches created during the process. Even when he turned to digital notation software, he saved these documents. His desire for posthumous study and musicological interest in his work is clear. The result is a particularly rich archive which deserves further study. Hétu's writing and music provides a view of a Quebecois composer who considered himself a moderate and yet, at the same time, was entrenched in the commercial and cultural arms of the avant-garde scene of the time. His testimony provides a unique lens from which to view the historical details of an important burgeoning music scene in Quebec and Canada during the latter half of the 20<sup>th</sup> century. A valuable resource in the endeavor to historically contextualize this composer and his works is Hétu's unpublished

writings in the Jacques Héту Fonds, which includes lecture notes, autobiographical documents (curriculum vitae, lists of works, etc.) and correspondence. As one of the most performed Canadian composers, the musicological attention needs to catch up with the attention he receives from concertizing artists, chamber ensembles and symphonies inside Canada and abroad.

The study of Héту's compositional process contributes to the conception of what constitutes the creative act of the twentieth and twenty-first century composer. Héту's process consisted of tentative experimentation rather than calculated and clinical precision. In this way, his process is not unlike that of Beethoven whose struggles to achieve satisfactory compositional products are evident in his sketches and perhaps part of our notion of Beethoven as a Romantic figure. Héту was also a Romantic at heart and this is reflected not only in his musical language, but his compositional process as well.

In a broader context, this study contributes to the understanding of the creative process as a human act. Part and parcel of the sober engagement with this noble and defining object of study is adopting a self-critical rigor that re-examines basic inherited assumptions. One need not only ask "what is an art work?" (a question deservedly attended to in art philosophy and aesthetics), but "*when* is an art work?" and "*how* is an art work?" Born out of an intellectual and cultural climate in which the assessment of inherited norms was at a height, the version of *critique génétique* established by its pioneers offers a way of addressing these questions (whether or not *critique génétique* in practice today, which itself has been subject to revision, adheres to this conception is a valid question). Structuralism and post-structuralism demanded a kind of inclusive and universal criticism in which subjectivity and individual perception ruled – at once calling

for the “death of the author” and rejecting an inherited system in which a specialized and erudite few held the key to the interpretation and evaluation of art works. At its heart, *critique génétique* also rejects inherited notions of exclusivity but shifts the target of its inclusive agenda from the meaning of the text (although this is part of *critique génétique* as well) to the text itself. This can be conveyed by Biasi’s question: “What miracle takes place, on the basis of the simple fact that a ‘pass for press’ signature and a printed transposition exist, to make the content of the manuscript become radically different from everything that has preceded and produced it?”<sup>695</sup> A *critique génétique* of music leads to interesting consequences, such as the genetic performance, collaborative completions and textual plurality, that fly in the face of intuitive and inherited ideas about the nature of the score, composer and performance. This upheaval of tradition and complication of hitherto blissfully simple notions is not to be avoided. On this Biasi asks, “Should this constitute grounds for complaint? Should we prefer ignorance or a comfortable illusion? [...] The fragmentary, heterogeneous, and divergent side of pre-textual documents, their multiplicity, sometimes their superabundance, all seem to intervene as so many obstacles to the elucidation of the meaning and structures of the work. But whether we like it or not, these documents exist and are absolutely bound up in the fabric of the text.”<sup>696</sup>

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<sup>695</sup> Biasi, *Typology*, 54.

<sup>696</sup> *Ibid.*, 56.

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