A critical analysis

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by

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This thesis is gratefully dedicated to my parents whose love, understanding and constant support made my graduate studies possible.
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ABSTRACT

WITOLD LUTOSLAWSKI - SYMPHONY NO. 3
A CRITICAL ANALYSIS

by

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Master of Arts in Music

This paper focuses on the compositional techniques and devices which Lutoslawski used in his Third Symphony. A general introduction to Lutoslawski's highly individual compositional style prefaces the analysis of the work. Separate chapters then detail the composition's pitch and rhythmic organization. The importance of the symphony's four note theme as the basis of its tonal plan and as being the single most unifying principle in the symphony, is brought to the forefront. Many musical examples explicate Lutoslawski's signature compositional technique, "limited aleatorism." Additional musical examples display the breadth of Lutoslawski's harmonic chordal structures from his use of twelve note chords to distinct tonal harmonies. In reference to the composer's statement that the second movement of the symphony is a "quasi-sonata" form, the writer examines how closely the work correlates to the traditional form.
The Third Symphony uses Lutoslawski's own system of musical notation. Included among the various notational devices is the composer's use of accidentals which is listed here. This system is also listed in the Appendix to the paper.

\[\text{\textbackslash n}\]

In the example, the notes read: F sharp, F natural, B flat, and B natural. Two consecutive F sharps in Lutoslawski's system would require a sharp directly preceding each note.

Pitch nomenclature throughout the paper adheres to the Helmholtz system and is as follows:

\[\text{\textbackslash n}\]
The most important aim...of an artist...is to give the truest form to what he has to communicate to others.  
LUTOSLAWSKI

Chapter 1
SYMPHONY NO. 3 - GENERAL FEATURES

Witold Lutoslawski, born in Warsaw, Poland, on January 25, 1913, moved to the forefront of the international musical arena in the late nineteen fifties. Although his compositional style embodies many aspects of traditional European classical music, his works of the sixties placed him at the center of the European avant-garde. In essence, he has never been an experimental composer but rather persisted on his individual course rethinking and elaborating upon a distinct style.

For Lutoslawski, one solution does not fulfill the compositional process as it does in serial music. Individual solutions of compositional problems mark his musical style.

Lutoslawski's Third Symphony, commissioned in 1972 by Sir George Solti, was completed in January of 1983. It received its premiere performance on September 29, 1983, by Solti and the Chicago Symphony Orchestra. During this span of some ten years, while working on the Third Symphony, Lutoslawski composed several other works: Les Espaces du Sommeil for baritone and orchestra, Mi-parti and Novelette for orchestra, the Double Concerto for oboe, harp and chamber orchestra, and various smaller works. In addition, Lutoslawski completely discarded the original

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second movement of the symphony, and only after his ideas for it had matured did the present movement materialize.

The instrumentation for the symphony consists of three flutes (second and third doubling piccolo), three oboes (third doubling English horn), three clarinets in Bb (second doubling clarinet in Eb, third doubling bass clarinet), three bassoons (third doubling contrabassoon), four horns in F, four trumpets in C, four trombones, tuba, timpani and a percussion battery that includes xylophone, glockenspiel, marimba, vibraphone, chimes, five tom-toms, two bongos, bass drum, side drum, tenor drum, three cymbals, tam-tam, gong, and tambourine, two harps, piano (four hands), celesta, and strings. The size of the orchestra and the virtuosity of the parts was undoubtedly influenced by the assured performance of the great Chicago Symphony.

The score to the Third Symphony is completely notated in regard to specific pitch although many sections have repeated passages which are not written out in full. The symphony uses what has, by now, come to be the signature of Lutoslawski's style - collective ad libitum playing. The term collective ad libitum (also variously called "limited aleatorism," "aleatoric counterpoint," "begrenzte Aleatorik," "kontrollierte Aleatorik," and "aleatorism of texture,"2) refers to Lutoslawski's particular style of chance or aleatorism. The element of chance applied to music provides multifarious possibilities of composition to the composer in general and we will begin to examine one of these styles as found in the Third Symphony.

2 On the "originality" of this technique with Lutoslawski, see György Ligeti's communication to Ove Nordwall: "Ligeti über Lutoslawski," Melos 22 (1968): 453. Ligeti states that Lutoslawski's concept of aleatoric counterpoint does not stem from Apparitions (first version, 1957), but is rather the latter composer's personal discovery.
A clear distinction exists between Lutoslawski's use of collective \textit{ad libitum} (also referred to in this paper as "limited aleatorism") and aleatoric counterpoint in the \textit{Third Symphony}. Collective \textit{ad libitum} is related to, but differs from aleatoric counterpoint in that the former deals with the rhythmic organization and the latter with the organization of pitch. Though each is technically distinct, Lutoslawski's view of chance is that "...its [collective] purpose is the loosening up of time relations between sounds."\textsuperscript{3} Neither form, dynamics nor individual pitch choice is left to chance in Lutoslawski's style of aleatoric writing. In this way, the technique is used within the composition to provide greater rhythmic and interpretive possibilities for both performer and composition, and to enrich the resources through the composer's means of expression. This technique is not used to organize sound occurrences which will be a surprise to either audience or composer. Players do not have sections in which they are called upon to improvise. Lutoslawski states, "I am an adherent of a clear-cut division between the role of the composer and that of the performer, and I do not wish even partially to relinquish the authorship of the music I have written."\textsuperscript{4}

Music performed in this way characteristically lacks a common division of time to which all performers must comply. Lutoslawski has so described this process:


"This treatment of the element of chance consists above all in the abolition of classical time division which is common for all the members of an ensemble. This is accomplished by having a certain, frequently large, number of performers playing ad libitum simultaneously. The sections constructed in this manner do not have the same pulse, the same meter, or even the same tempo for all the performers and cannot be conducted."5

The result is a complexity in the overall sum of rhythmic structures more intricate than could be achieved in any polyrhythmic structure of traditional or non-aleatoric music. This complexity is significantly influenced by the various parts' non-simultaneous accelerandi and ritardandi in the performance of these particular sections of the composition. The effect resulting from this technique is that the performers play within the pre-established sections of time as if they were playing alone and not with a complete orchestra, therefore disregarding their rhythmic relationship with the other members of the ensemble. This concept enables the music to take on a rhythmic flexibility not possible through any other means.

By choosing to incorporate collective ad libitum playing in his scores, Lutoslawski demonstrates a proclivity toward textures of extreme complexity as well as a desire to return to the musicians a sense of ease and enjoyment in the actual performance of a work. Lutoslawski has commented on the often absurd demands which some composers have made of performers in the nineteen fifties. He states that:

"...such demands are the result of a completely abstract approach to music considered exclusively

as a series of acoustic phenomena occurring in time.... I understand music not only as a series of sound phenomena but also as an activity which is carried out by human beings - the performers of the piece. Each of these persons is endowed with many far richer possibilities than those which a purely abstract score demands."

If the score is made up of parts which are not extremely difficult for the performer to play, then not only will the musician "recapture the sense of pleasure that the playing of music can provide," but his playing will significantly enhance the musical outcome of the work through his ease of interpretation.

In addition, Lutoslawski believes that this style of aleatoric composition gives the performers the possibility of benefiting from a solo situation within the music. "The idea behind 'collective ad libitum' music is to transpose all the richness of solo playing into the field of ensemble music...." Whereas a rubato tempo would allow only one player in a traditional piece of music to perform solo, in a collective ad libitum composition, many can have the experience of "solo" rubato playing. The superimposing of many parts played rubato and independent of one another is the most characteristic feature of the texture described.

Not all of the Third Symphony is written in the aleatoric style. Many metered sections, conducted in a traditional manner, are freely mixed among passages of ad libitum playing thereby fulfilling the function of points of orientation as well as contrast. The decision to use either ad libitum or strictly notated rhythm depends partly on the composer's desired

6Ligeti, Lutoslawski, and Lidholm, op. cit., p. 52.
7Hines, op. cit., pp. 130-1.
8Nordwall, op. cit., p. 86.
rate of harmonic change. Clearly, a rapid and precisely articulated harmonic change calls for a more exact playing style and therefore meter becomes important. If, however, a succession of static blocks is the desired effect, then *ad libitum* playing becomes one of the possibilities.

In speaking about the rhythmic aspects of his music, Lutoslawski distinguishes between two classes of rhythm in his compositions:

"...one is the rhythm within each separate section performed *ad libitum*, which may be called the "microrhythm." It is often very complex, for it consists of many parts superimposed one upon the other....The second rhythm is produced by the sections as a whole, or rather by their beginnings. In contrast to the first, the rhythm of the large sections, hence the "macrorhythm," is extremely simple....It is apparent, therefore, that the rhythmical construction, or preferably the organization of time, is closely bound with the formal structure of the composition as a whole and plays an important role in shaping this structure."  

Therefore the two levels of rhythmic activity, the "microrhythm" and "macrorhythm," not only occur simultaneously, but rely on one another to shape the course of Lutoslawski's compositions. The rhythmic rate or pulse of the specific sections will in turn affect the overall form of a section.

Control of the composition's "macrorhythm," or form, is perhaps one of Lutoslawski's greatest concerns. Lutoslawski has found that "if a longer musical work is really to have form, the broad outline of this form must be easily discernible....just as from a distance we are able to perceive the basic structure of a big mural, so a large scale musical form too should be

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immediately recognizable."10 Consistent with his unwillingness to relinquish control over the entire composition's form (in the aleatoric technique) and his aversion to those composers whose style permits that sort of treatment, Lutoslawski leans strongly toward the principle of closed form. Though some earlier compositions employ the open form, the Preludes and Fugue among them, he remains nevertheless committed to closed form in the more recent works. For Lutoslawski,

"...the closed form is a complex phenomenon, for it is based on the concept of a dual role that time can play in a musical composition. Open forms do not possess this quality of 'timelessness.' We might say that the closed form composition is an 'occurrence' while the open form composition is a means of inducing a certain psychological 'state' in the listener...The object of this music [open form] quite often is to induce a state of excitement similar to the effects produced by certain stimulants."11

The complex phenomenon that Lutoslawski refers to is the experience the listener undergoes upon hearing a given piece of music which employs a closed form. Closed forms can be found in most nineteenth century compositions such as the "rondo," "sonata," and "variations," to name a few. In traditional Western music, a certain amount of expectation-realization plays in the consciousness of the listener either through the use of motives and their repetition or fragmentation, or through the use of various harmonic areas indicating specific sections of a composition. Lutoslawski states, "...one of the reasons why we compose music is to evoke in the listener a series of specific reactions whose

10Tadeusz Kaczynski, "Interview with Witold Lutoslawski." Published in Ruch Muzyczny 1967, translated from Polish by Krzystof Klinger. p.86.
sequence and development in time is of essential importance to the final result, that is, to the perception of the composition as a whole. In his use of closed form composition, Lutoslawski leads the listener through the various stages of the composition to its final conclusion. Although the concept of closed form was at its height in the compositions of the Common Practice period, Lutoslawski does not seek to rejuvenate these "old" forms, but looks to the principle of closed form, fashioning it in his own style.

The closed form principle exists in Lutoslawski's Third Symphony, however, its use here has very little to do with the classical or neo-classical symphonic form. It is instead, a large-scale closed form composition for the symphony orchestra composed in two movements. The two movements exhibit a close interdependence as well as considerable contrast. The first movement is written in such a way as to attract, involve and prepare the listener for the second movement, but never to satisfy fully. The second movement follows the first without a pause. The composer correlates this type of two-movement composition to a dinner where "the first movement acts as the appetizer and the second movement, the main course."

Three episodes comprise the first movement of the Third Symphony - the first is the fastest and the third the slowest. Lutoslawski creates this movement so that the listener expects something more from the music,

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12Hines, op. cit., p. 133.
13Some, including the composer, have called the symphony a three movement work, though the present writer hears the composition as a two movement work. Lutoslawski made this statement in his address to the first BBC broadcast of the symphony on October 1, 1983 (Chicago Symphony Orchestra conducted by George Solti).
14Hines, op. cit., p. 137.
perhaps to even "grow somewhat impatient."\textsuperscript{15} The climactic second movement is a natural consequence of the first.\textsuperscript{16} It begins by restating the theme but moves immediately into the main idea of the work. Lutoslawski states that the second movement is an "allusion to the sonata-allegro"\textsuperscript{17} with its contrasting themes, repetitions, concentrated motivic development, and restatements.

Lutoslawski's discovery of his unique two movement form came after much searching for an individual solution to what he considered to be a problem in the existing traditional classical symphonic form. The large scale works of Brahms, for example, would leave Lutoslawski "exhausted after a performance of a symphony, concerto, or even a sonata, probably because of there being two main movements (first and last) in each of them."\textsuperscript{18} Lutoslawski's solution came in the two movement large-scale form with only one main movement and therefore one main climax occurring in the second movement.

Contrary to the traditional methods of conducting, the sections of collective \textit{ad libitum} playing are merely cued by the conductor with only a downbeat. Some of the more involved \textit{ad libitum} sections of Lutoslawski's music entail a type of left hand cuing which is used for specified soloists or individual groups of instruments as opposed to the entire ensemble.

The system of notation which has evolved in Lutoslawski's music, particularly the sections of collective \textit{ad libitum} playing in his later works,

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\textsuperscript{15}Witold Lutoslawski, Program notes written by the composer for the world premiere in September 1983.
\textsuperscript{16}The climax occurs at a point seven-tenths of its total length, just slightly after the Fibonacci Golden Mean proportion (approximately 2/3).
\textsuperscript{17}Lutoslawski, Program notes written by the composer for the world premiere in 1983.
\textsuperscript{18}Ibid.
\end{flushright}

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has remained predominantly traditional as compared to Penderecki, for example, who has opted to employ many supplementary notational symbols. Lutoslawski is opposed to any unnatural or brutal ways of playing traditional instruments, believing that these add a relatively small tonal repertory to the instruments' range of color. Therefore relinquishing any need for such effects, he generally tends to avoid new symbols, relying on traditional notation with only a limited number of symbols specifically designed for his purposes. These notational symbols are included in the Appendix of this paper.

Lutoslawski's organization of pitch in both the horizontal and vertical planes of composition is of fundamental importance in his music, but especially important is the management of vertical aggregates. His concept of harmony is a combination of a coloristic tendency based on an intuitive source, which for Lutoslawski stems from Debussy and the fascination of pure sound and beauty of harmony, and an intellectual source grounded in the system of chords. This twofold view of harmony and the process involved in achieving such a sound places Lutoslawski at opposition with the strict systematic control that Schoenberg, for example, had placed on his music. Lutoslawski, in speaking on this systematic approach stated:

"What is alien to me in Schoenberg is the pre-eminence of the system over ear control. The latter is of course also present in his music, after all Schoenberg was an outstanding musician. However, the system in his art assumes universal significance, and determines the composition of

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19"Harmony" is used here for lack of a better term. Lutoslawski prefers to avoid the expression in connection with his work due to its strong associations with traditional music and because it does not aptly describe his music.
not just one work but a whole series of works....An important feature of Debussy's world of music is his sensitivity to vertical aggregations, and also the independence [from] functional thinking in determining the logical sequence of musical events. Schoenberg's twelve-tone system was in my opinion a natural consequence of the functional system, and was born to replace it. Debussy's system of organizing sound shows that he was indifferent to functions - that is what I have in common with him."20

Not only is Lutoslawski opposed to the use of an all-encompassing system of composition, but he is also opposed to the use of mathematics to control the outcome of melody or harmony. He does not negate its existence, but considers it to be a misunderstanding to realize this form of beauty in music. He admits to using simple mathematical operations in his music, however, he tries to never lose sight of his basic aim - to capture the aesthetic experience of the listener.

Harmonic aggregates based on the chromatic scale form the fundamental unity in Lutoslawski's compositions since 1961. Lutoslawski believes that there exist infinite possibilities of creating twelve-tone chords which are truly distinct from one another. The interplay of these differences among the various chords of a composition illustrates one of the fundamental principles of Lutoslawski's technique. This technique, unmistakably, has nothing in common with either twelve-tone technique or serial music, the only similarity being the chromatic whole.

Since 1961, Lutoslawski's use of vertical twelve-note aggregates in his compositions has remained fairly consistent. In most of his compositions since that year, a twelve-note aggregate has appeared at the climax. The

20Varga, op. cit., pp. 16-17.
composer also uses these chords linearly to achieve coloristic effects as well as static harmonic backgrounds in the aleatoric sections. These chords generally contain between two and four different types of intervals. Throughout the remainder of the paper we shall refer to the various intervals of the vertical aggregates and horizontal lines in the symphony as interval classes. The essential physiognomies which Lutoslawski attributes to the twelve-note aggregates depends entirely on the harmonic intervals of which they are composed. Characteristically, different combinations of interval classes will produce various coloristic effects musically. For one of Lutoslawski's chords to take on the color of a particular interval, the chord must be so contrived as to let the interval dominate the entire structure of the chord. Those chords made up of two or three types of intervals (i.e., interval classes) between the vertically adjacent pitches are most characteristic of Lutoslawski. In the composer's opinion, an all-interval aggregate lacks distinct color and therefore lacks individuality; similarly, an aggregate made up of only one interval class defines solely one color and is of limited usefulness, yielding either a chromatic cluster, a group of clusters, whole tone chords, or a chord in thirds, fourths or fifths. Chords containing two or three interval classes provide the greatest flexibility as well as richness of color.

Lutoslawski's compositions frequently dwell on three types of chords: those emphasizing interval classes one, five and six; interval class two;  

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21 The twelve simple intervals comprising 0 to 11 semitones (unison to major seventh, i.e. 0 equals unison, 1 equals minor second, etc.), will be referred to as interval classes. In addition, these may be reduced from 11 to 7 interval classes (0 - 6) by considering an interval and its octave complement to be equivalent. In this manner, intervals 1 and 11 (minor second and major seventh) are both examples of interval class 1, as are intervals 13 (minor ninth), 23 (major fourteenth), etc.
and interval classes three and four. He uses the term "icy" to describe the harmonic aggregates containing some combinations of interval classes one, five and six. "The chord which I call ice-cold consists of tritones and perfect fifths (or fourths); it is the absence of the thirds which produces this ice-cold effect."\(^{22}\) Aggregates emphasizing interval class two render a whole tone sound and those emphasizing interval classes three and four offer an impressive range of expressive values due to the major and minor thirds of which varying triads could be made. In addition, Lutoslawski will often set up the vertical structures throughout the orchestra in a symmetrical pattern, having the aggregate of the lower timbres identical to that of the upper timbres.

Lutoslawski has also concerned himself with unique ways of transforming a particular twelve-note aggregate. One such solution is octave transfer or displacement. One or two pitches are selected and then placed in a different octave in the succeeding chord. In this way, a new chord is produced while maintaining a degree of similarity with the preceding one.

Though the vertical twelve-note aggregates occur predominantly in metrical contexts, Lutoslawski also uses these aggregates in linear settings combined with the element of chance. Lutoslawski calls the aleatoric technique extended into the domain of specific pitch "aleatory counterpoint." The composer describes this process as such:

"...if you take a twelve-tone chord which we regard as twelve different sounds that we hear simultaneously, we can write down a passage that is based on the notes belonging to this twelve-tone chord. The different parts can play very

\(^{22}\)Kaczynski, \textit{op. cit.}, pp. 86-88.
complicated rhythms, even sound sequences and yet they play only the notes of that chord....This is the simplest way of organizing pitch within an aleatoric section....a twelve-tone chord serves as the basis of that section. The instruments play only the notes belonging to that chord. It may occur that the chord never actually sounds in its entirety - it is supplemented by our memory and imagination."23

Ove Nordwall clearly miscalculates Lutoslawski's use of aleatory counterpoint when he claims that for Lutoslawski, "harmony becomes a mere by-product of a counterpoint which is aleatoric."24 On the contrary, the harmony produced in these sections of aleatory counterpoint is not left entirely to chance, as one might imagine; Lutoslawski effects a tight control over the harmonic outcome of even the aleatoric sections. Stated simply, by testing all possible combinations of pitches in a given section of aleatory counterpoint, and then altering any pitch which would produce an undesirable effect, Lutoslawski anticipates the outcome of harmonies in these sections of his compositions. By so ridding the section of even the slightest possibility of an undesirable sound, he is then assured that all other combinations which may result in performance will fulfill his required conditions.

Most of Lutoslawski's compositional techniques have remained fairly consistent since 1961, however, a revived aspect appears in the score to the Third Symphony. This addition is the element of "tone regions."25 Though the composition does not take on the tonal order of a classical symphony in terms of chord progression, the basic overall pillars of such planning are

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23Varga, op. cit., p. 25
24Nordwall, op. cit., p.19.
25The term tone region is used here to denote the emphasis of a particular pitch rather than the traditional key area.
clearly visible as well as audible. Passages of clear tone region arrive at many key points, frequently following areas of static or blurred harmony or, as in the second movement, after a climax. In addition, the basic tone region pillars augment the tension created at the climax.

Isolated chords appear throughout the symphony which may or may not reinforce the overall tonal strategy. Extended harmonies, polychords and added note chords show the influence of Debussy, Stravinsky, and Bartok. In the Debussian vein, Lutoslawski displays a strong inclination to major seventh, ninth and eleventh chords. Lutoslawski favors the diminished triad with a major seventh harmony and places it frequently throughout the composition. Once again we see that for Lutoslawski, sonority takes precedence to many compositional devices formally employed.

Many sections of Lutoslawski’s compositions since 1961 show a blend of various textural units connected in a way analogous to individual linear voices in traditional music. This, in turn, makes it possible to speak of textural (and timbral) homophony and polyphony. Separate units of texture are grouped together by their harmonic and rhythmic organization, their register and timbre. Texture is an extremely flexible and expressive parameter since the variables of the textural units may be subject to change either singly, in combination with other textures, or at varying rates of speed, et cetera. Lutoslawski effects textural transformations (by analogy to thematic transformations) by juxtaposing or superimposing engaging textural and timbral complexes as well as by individual growth within a single textural constituent.

Various recurring textures appear in Lutoslawski’s recent music adhering characteristically to either melodic, rhythmic, or instrumental
traits, and are so listed to be of help later in the analysis and discussion of the *Third Symphony*. 1) A "cantilena" texture, indicating a melody of lyrical rather than dramatic or virtuoso quality, is used almost exclusively in the strings and is found in sections of *ad libitum* playing in the woodwind instruments. 2) Passages in which a pitch stated melodically, is then sustained as harmony following its attack, may paradoxically be termed "monophonic polyphony." These notes fulfill a dual function operating in both the linear and vertical domains. 3) A "blurred toccata" or "static" textural style occurs when several lines, of similar or varying timbres, act as a single voice in association with other single voices without any clear line emerging. 4) The texture described by Lutoslawski as "mobiles" indicates passages of collective *ad libitum* in which parts contain discrete repeated fragments thereby creating a constantly changing relation of part to part and part to whole, while the overall sound remains constant.
Chapter 2

PITCH ORGANIZATION

Although dependent on the relation of each of a composition's seemingly remote details to the fundamental tonal meaning as a whole, tonality has an enormous range of architectonic and expressive possibilities, and each of these must be taken into account to sum up succinctly the contents and coherence of a given composition's harmonic language. Lutoslawski's Third Symphony combines special elements defining tonality with the composition's other aspects of form.

The Third Symphony is made up of two movements: a first movement, which acts as a preparation or introduction to the second main movement. In this chapter we will look first at the pitch organization within the individual movements and then view the symphony as a whole.

Before we begin, however, it will be necessary to look at the structure of the symphony (even though its proper place is in the following chapter) for easy reference throughout this chapter.

Example 1

First Movement - Introduction - 0\textsuperscript{26} - rehearsal number 2

Episode 1) rehearsal number 3 - 10
Episode 2) rehearsal number 11 - 18
Episode 3) rehearsal number 19 - 30

\textsuperscript{26}A zero will be used throughout the remainder of this paper to indicate the first or opening section of the symphony.
Second Movement - Episode 1) rehearsal number 31 - 36
Episode 2) rehearsal number 37 - 39
Episode 3) rehearsal number 40 - 92
  a. rehearsal number 40 - 46
  b. rehearsal number 47 - 72
  c. rehearsal number 73 - 92
Epilogue - rehearsal number 93 - 98
Coda - rehearsal number 99 - 10227

I. First Movement

INTRODUCTION - The first four notes of the Third Symphony announce the principal unifying factor of the work: four E's played very rapidly and forcefully. This E motive, which is restated four times throughout the remainder of the first movement, acts as a structural signpost delineating the movement into an introduction and three episodes and provides a dramatic point of focus for the movement's contrasting materials. Initially, their manner of presentation is only varied in terms of slight changes of register and instrumental color, but later in the symphony the rhythmic groupings become less predictable and, at 40 in the second movement, the E's are altered to eight distinct pitches, none of which is E. This figure retains the rhythmic element of the theme and can therefore be labelled as such.

In addition to acting as structural signposts, the E theme provides the basis of harmonic structure for the entire symphony. Tonality, in a modern sense, begins with E, moves away from it in the second movement,

27Further reference to rehearsal numbers will be called "number" or simply the Arabic numeral.
and returns to it, as can be evidenced with the four E's with which the symphony closes. Lutoslawski uses the E theme in its original form eight times throughout the symphony. Five statements appear in the first movement and another three in the second movement. The theme also appears at other points in varied forms and will be discussed at greater length later in the paper.

The basic harmonic phenomenon which can be associated with Lutoslawski's *Third Symphony* is the simultaneity comprising all twelve chromatic pitches. Lutoslawski uses various twelve tone chords or aggregates, made up of several interval classes, throughout the composition and it is the specific combination of interval classes and their placement within the orchestra that defines or masks the tone region of a given section. The section immediately following the initial E opening contains a twelve note aggregate, and is a passage which Lutoslawski would define as a mobile of texture. In it, flutes, oboes and horns are each in bundles of three, three, and four individual lines, respectively. Disregarding reiteration, the chord is as follows:

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28 Although the concept of limited aleatorism affects the rhythmic character of Lutoslawski's music, pitch choice is not influenced by chance operations.
These pitches comprise simply three tetrachords (disregarding the octave E at the bottom), the highest assigned to the flutes, the middle to the oboes, and the lowest to the horns, while the strings sustain an E which acts as a tonic pedal tone. Lutoslawski, cleaving to pure timbral groupings, separates the tetrachords into families of instruments rather than blending dissimilar timbres. The particular voice limit is defined by the vertical width of each tetrachord and the three groups are arranged in such a way as to allow the total chromatic to sound throughout.

The chord is further identified by the four interval classes (6-4-3-1) of which it is constructed. Of particular importance is the tritone which is found at the bottom of the chord (small E-small Bb), lending the total chromatic aggregate an unsettled quality. The twelve note aggregate is also divided into a seventh chord and two added note triads. These are: F minor (add B) in the flutes, D major7 in the oboes, and Eb major (add E, the tonic pedal) in the horns. The multifarious levels of organization seen in this short segment are present throughout the entire symphony as well.

Though some uses of the twelve note aggregates express a feeling of motion or mobility, others are heard predominantly as blurred or static.
Such an area follows the section just described. Here, and throughout the remainder of the first part of the symphony, static textured areas precede the recurrent E theme.

Areas of static texture are arranged either as single lines per section, to be played by the section in unison, or as voice bundles, meaning that the section is divided into any number of parts while maintaining the same group of pitches. Two voice bundles, made up of three individual lines for both clarinets and bassoons, and two lines each for two harps and piano constitute this static texture. Each bundle except the clarinets intones all twelve chromatic pitches linearly.29 With the dynamic level at pp and the lack of motion in the section, the return of the E theme at number 2 comes as quite a surprise and is therefore very effective.

Section two is an abbreviated repetition of the first section, an octave lower and moves directly into the first episode.

EPISODE ONE - Following the E theme, episode one begins with chromatic chord clusters, from small G-Gb1, in the string sections producing a mobile texture slightly different than the one just examined.30 Here, each of the individual lines is made up of triplet motion; each beat of the triplets is made up of a fully chromatic succession. Example 3 displays this construction. Throughout the remainder of the paper, the procedure of generating pitches by the construction of a fully chromatic succession will be designated as x. (Note that x may include quarter-tones as well as, or in place of, semitones.)

29The clarinet parts are missing the pitch Eb.
30Pitch nomenclature throughout the paper follows the Helmholtz system which is listed in the Appendix.
These individual lines, as well as their vertical combinations, produce all twelve tones and Lutoslawski uses various combinations of strings, woodwinds, brass, keyboard, and pitched percussion with each of the different groupings punctuated by short spans of silence. In accordance with the composer's proclivity toward unity, sections of this nature each begin with three lines which start in unison for the first two notes of the triplet and then break off into their individual lines. Beats two and three follow in this manner until twelve individual voices are sounding. These sections are most commonly found in groups evenly divisible by three.

Symmetry also exists in Lutoslawski's process of varying texture widths in these lines. Each triplet beat adds an additional note to the vertical chromatic chord cluster arrangement. As shown in example 4, the triplets begin in unison, grows in size, and then diminish back to the unison.
Though the individual lines in triplet motion often spell out chords and various harmonies linearly, these harmonies are not discernible and are merely perceived as chromatic clusters.

Episode one ends with three individual lines creating a static texture. This particular combination of intervals (x material) and rhythm is used extensively throughout the symphony and will be referred to further as $x'$ (example 5). The static texture then heralds the arrival of the E theme and the second episode.

**Example 5**

![Example 5](image)

SECOND EPISODE - Number 11 - A cantilena melody (example 6) in the english horn with a chordal accompaniment in the horns (example 7) and a fully chromatic accompaniment in the two harps and piano opens this section. The melody introduces the basic procedures which will govern the pitch selection for the rest of the section as well as a melodic figure which we will examine in the second movement of the symphony. Here the fragment is made up of a half step and a tritone (in its first appearance). Further reference to melody containing the combination of a semitone plus any interval will be designated as $y$. 

24
Even though much of Lutoslawski's pitch organization in the symphony is tonally arranged, it is oftentimes not heard as such. The chords of example 7, though tonal, are not distinguishable because of the total chromaticism that occurs simultaneously in the two harps and piano. The second chord quality of example 7, a diminished triad with a major seventh, is a very common chord and can be found throughout the symphony.

Halfway through the section, at number 14, the clarinets enter with a melody based on a three note grouping of x. This is heard in combination with a mobile texture in the brass and strings. Periods of pause in the clarinets are filled in by the trumpets on clearly distinguishable chordal minor harmonies. Upon completion of these ideas, Lutoslawski builds a chord in the brass which is made up of an A minor and an Eb minor7 with a major9th. Polychords are a frequent occurrence in the symphony and
can sometimes be distinguished as distinct harmonies. Their exposed placement, between or following a section of static texture provides a significant textural contrast. Example 8 presents this chord.

Example 8

\[ \text{Example 8} \]

The second chord of example 8 is an eleven-note aggregate which occurs in the last measure of this segment. E is the missing note, and is later supplied by the E theme. A short section of static texture made up of \( x' \) material in the clarinets and bassoon ends the episode.

THIRD EPISODE - Number 19 - The celli begin by playing a melody that suggests an F minor seventh chord with added notes. Note that the harmony chosen is identical to the first harmony in the introduction to the symphony. A quarter-tone construction of \( x \) in the string \( \text{arco} \) section follows and string voices playing \( \text{pizzicato} \) are in dialogue to the \( \text{arco} \) string parts. At 21, the horns enter in a four voice bundle of \( x \) material from C\( ^1 \) to D\( ^1 \). Intermittent intervals of rest in the horns are bridged by the woodwinds and vice versa. In addition, each section begins on the same pitch with which the last sections left off. This process creates a continuous static texture, moving back and forth from woodwinds to brass, which rises by minor thirds to F\#\( ^1 \).
Immediately preceding 24 is a unison line of the flute, clarinet and violin sections. The main pitches found here are Db\textsuperscript{3}, Eb\textsuperscript{3}, E\textsuperscript{3}, A\textsuperscript{3}, and Bb\textsuperscript{3} with Bb as a strong point of arrival. Instead, however, of placing this note in the bass on the next beat, Lutoslawski assigns an A to the basses, and the rest of the chord, a Bb augmented, is as shown in example 9. Hearing a minor second situated so low in the harmony, creates a feeling of eeriness and tension, and blurs what was expected to be an area of Bb emphasis.

Example 9

This aggregate is made up of six pitches and of interval classes one, two and four. However, it also functions as a Bb augmented with an added G\#. The missing tones (to complete the chromatic scale): C, C\#, Eb, E, F, G, and B are found in the static textured lines of the flutes.

At 26, we see a verticalization of x material (great G\#-great Bb) as well as a linear presentation of these pitches in the celli. This linearization creates a static background texture against which various mobiles of sound are heard in the pitched percussion instruments. A dialogue begins between a solo oboe (with x' material) and the lower strings. The oboe at this point seems to create a feeling of impatience for the listener since the line does not move in a goal-oriented manner, but rather moves back and
forth, emphasizing chromatic pitches. This section ends at 30 with the bassoon, Eb clarinet, and bass clarinet joining the oboe in x' material, creating the last static texture of the first movement.

II. Second Movement

FIRST EPISODE - Number 31 - The E theme begins the section and moves directly into an eight note aggregate played with some octave doublings (example 10), at ff. The force and determination with which this opening is played, piques the listener's interest for it is unlike what has previously been heard.

Example 10

\[
\begin{array}{c}
\text{Example 10} \\
\end{array}
\]

E is the most prominent note in this chord, being played in ten of the twenty-two woodwind instruments, however, the added tritones (especially at the bottom of the chord), fifths, and thirds, and their placement in the orchestra in its lower range, add an ominous quality to the original theme. (Note that the chord includes octave doublings of the notes E, D, A, and C.) The tones needed to complete the chromatic scale, C#, F, G, and B are found in the cello parts.

At 32, a contrapuntal section comprising four distinct voice parts begins. The violas enter first, followed by the second violin entrance at 33,
and the first violins (divided into two sections) at 34, and 35, respectively. The four voice parts repeat their individual melodic ideas until 36 where new material is introduced in each line. The viola section, having started first, has five repetitions in addition to its original statement. A static textured, nine note, chromatic cluster from great D to great Bb in the celli, basses, and harps provides a background accompaniment to the counterpoint. At 33 and 34 these chord clusters diminish proportionately (from 9-6-3) in size and move up in pitch. The chord cluster at 33 is from small F to small Bb and that at 34 is from G# to Bb.

Two harps, each playing different scalar lines, intone the Eb minor and the D major scales. A clear tone region, however, is not audible since the scales are so distant, producing instead, a chromatic cluster. At number 34, the emphasis changes to Bb/A and A/G#, respectively, with a clear tone region, as before, not discernible.

The prominent interval in the string parts is the semitone which also includes the major seventh and minor ninth. The second violin part, shown in example 11, is used quite extensively throughout the remainder of the symphony. It is derived from the chromatic succession (x material, example 3) as well as the melodic fragment referred to as y in the first movement (example 6). We will refer to the combination of the two as z (example 11).

Example 11

\[\text{Example 11}\]
The second part of example 11 is an inversion of the first, a minor seventh lower, and Lutoslawski uses both forms throughout the remainder of the symphony. The importance of this particular line rests on the fact that both segments of the melodic fragment emphasize the half step, (major seventh - the accented descending D-Eb and ascending E-Eb), and minor seventh. In this section, the linear arrangement of contrapuntal themes as well as the accompanying harmony are both chromatic.

Three-quarters of the way through this contrapuntal section, x material is added to each of the voices in larger note values. The section rises in dynamic level and moves steadily into the E theme. This is the first time in the symphony that the E theme arrives without a static texture forerunner.

SECOND EPISODE - Number 37 - This episode announces the second theme of the symphony in the strings. The theme is stated as a five voice homorhythmic passage. The upper voice emphasizes a tone region in A. The chordal structure retains at least three common tones from one chord to the next. Example 12 presents this chord structure.

Example 12

Lutoslawski employs a variation of the E theme here; the original four eighth notes have now been altered to three quarter notes and a dotted
half tied to a half note. At 37, a rhythmic idea is stated in the oboes which is derived from the figure previously referred to as y material.

Example 13

The figure begins with a semitone and in this example displays a descending major seventh interval and then returns to its second pitch. We will now refer to this figure as y'. Throughout the remainder of the symphony, the y' figure is seen in both ascending as well as descending forms. At three measures before 38, the flutes have an ascending version of y' with a major seventh interval.

The chord at one measure before 38 is what the composer refers to as an "icy" harmony. It is made up of interval classes five and six. Example 14 presents the chord and its resolution. The interval classes alternate from bottom to top starting with the tritone in the first example and with the perfect fourth in the second example. Not only is the vertical arrangement dominated by interval classes five and six, but the melodic arrangement as well. Each resolution is an interval of a perfect fourth or a tritone lower than the original chord.
Example 14

At number 40, the theme returns, however, this time it is no longer four E's but two separate chords: C diminished with a major7 and Bb major7.

Example 15

Sounding between the three statements of the theme at 40, the harp, celeste, and upper strings contribute three distinct melodic ideas. The rhythm of the second violin part is noteworthy since it is used again, with different intervalic structure, in the remainder of the symphony.
At three measures before 41, the first violins and the celli play the z melodic figure (*q.v.* example 11 and appendix). Both the ascending and descending versions appear with the minor sixth as the prominent interval. The flutes and oboes create a static texture through the repetition of their z material lines.

At 43, the bassoons play a variation of z material in which the first part of the figure is a descending form of x material (except bassoon 2) instead of the ascending form and the second part is altered to a descending minor third and minor seventh instead of the original descending minor seventh and half step. Likewise, the second half of the melodic figure is also varied. Here, the first part of the figure is in ascending instead of descending motion and the second part is composed of an ascending minor seventh and minor third instead of the original ascending minor seventh and half step. Both piano parts reinforce the bassoons' prominent descending intervals - the descending minor third and seventh - although not at the same pitch levels. At 44, this same melodic fragment is varied even further in each of the string parts to a descending minor sixth and third in the first violin part, and two measures later to an ascending perfect fourth and major third in the same part.
At number 45, we hear the first of the symphony's two climaxes, which lasts a total of approximately forty-four seconds. Here, flutes, oboes, and clarinets have fast-moving lines based on \( y' \) (q.v. example 13 and appendix) material and stressing the ascending and descending perfect fifth and the descending minor seventh. Trumpets, horns, and trombones play slower moving lines set apart by their ascending lines and the bassoons, tuba, and timpani intone D to complete a fully chromatic cluster.

A slight variation of the ascending form is presented here with the semitone between the first two notes instead of the second and third. This variation is the inversion of \( y' \).

Example 17

![Example 17](image)

The strings enter toward the end of the climax, before 46, with \( x \) material and intone a fully chromatic cluster. Again at 46 they are cued to begin a descending chromatic cluster which comes to a halt at 47 with an accented chord in the brass.

The second section of episode three begins at number 47 with the bassoons playing the material formerly referred to as \( x' \) with the second part of the melodic fragment before the first part. We will now refer to this figure (example 18) as \( x^\prime \).
Much of the material Lutoslawski uses in the second movement of the symphony is derived from the material of the first movement. Beginning at 49, the string section is reminiscent of that which took place at 19 in the first movement. The common interval here is the perfect fourth and fifth, and the major and minor second. In this section, the violas play a figure which is the first half of the $x''$ idea (example 18). The second violins play a rhythmic fragment similar to the line played at number 40 and shown in example 16. The free inversion of this melodic fragment is heard as well. Example 19 is the second violin part at five before 54.

Lutoslawski begins to use $x$ material from four measures before number 52 until the close of the section at number 62 to achieve a fully chromatic static cluster. He does this by increasing the pace of the section through the addition of smaller note durations (triplets from eighth and quarter notes) to the parts but, this will be discussed further in its proper place. The section continues for an extended period of time.
Leading into the symphony's main climax at 62, the entire brass section sounds an eleven-note aggregate shown in the example below.

Example 20

Two each of interval classes one, two, three, four and five are played and though the distribution is equal, the two fourths (B-E, G#-C#) connected by a major third (E-G#) at the bottom of the chord sound more than the others. The missing pitch of the twelve note aggregate, A natural, is present in all string parts sounding at A3.

The main climax begins at 62, with the woodwinds playing a repeating melodic fragment of y material stressing the descending major sixth interval. The upper strings contribute x material in continuous triplet motion and rendering a fully chromatic static cluster between the two voice parts. A emerges as the tone region for three measures before 63, but is blurred by the Eb-A tritone interjections from the bassoons, contrabassoon, celli, and basses. At 63, the woodwinds and strings begin again with their same melodic figures. In this section, accented chromatic clusters are heard at fff in the piano. The woodwinds cease and the brass take up at 64 with staggered x material which gives the feeling of continuous motion. Individual lines as well as sustained notes following one another are in a semitone relation. This is shown in example 21.
Also at 64, the violins have an ascending version of y' material. The intervals found here are the ascending minor seventh, major and minor sixth, perfect fourth, and the major and minor third. The most common intervals are the ascending minor seventh, minor sixth and perfect fourth. The climax continues steadily and the tritone C-F# emerges as the prominent interval slightly after number 65. In this section, flutes, oboes, and clarinets are in unison with the violins and a descending version of the y' motive is presented. The prominent interval is the descending major seventh. Number 67 begins with an ascending version of y' material in the flutes and violins stressing the interval of a tritone. One measure later, the violas and celli enter with a descending version of the y' material also stressing the tritone. As the section progresses, flutes and trumpets trade off with the trombones in wild flutter tonguing which continues to stress the tritone.
At 69, we see a strong melodic gesture in which the energy level of the climax is significantly reduced. Woodwinds and strings, predominantly homorhythmic and in unison, create an interesting texture. The first measure of 69 begins with a vertical arrangement of four tones followed by chords of eight pitches, twelve, (rest), three, seven, eleven, three, two, five, eight, three, four, two, etc. Example 22 presents the pitches of the first six chords at number 69.

Example 22

The first and fourth chords begin series of three chords each. Both of these chords are made up of interval class five and are consonant chords. As the number of notes in the chord increases, so does the amount of dissonance. The second chord is composed of interval classes three and four and is slightly more dissonant than the preceding one, and the third chord is even more dissonant with interval classes one, three, and four. The number of notes in each of these three chords increases by four notes from one to the
next (4, 8, 12). The second series is of the same basic design and also increases from one chord to the next by increments of four notes (3,7,11).

Although the climax seems at first to have ended here, it has only reached a plateau; the energy is maintained in the strings and the section builds up again in the strings and brass to its former level of intensity.

A rhythmic canon begins at 70 in the brass. At 71, the woodwinds enter in unison with a passage rhythmically related to the brass theme. The pitches F₂, E₃, C#₃, and G#₂ of the woodwinds are emphasized because of the section's strength. The ascending major seventh emerges as the prominent interval in this section. Individual lines of the brass section spell out distinct chordal structures, but these harmonies are indistinguishable, and what does emerge is a fully chromatic texture which is gaining momentum and force. At 72, the brass drop out and the woodwinds and strings, playing ff, generate a fully chromatic cluster. The cluster is created from alternating patterns of these combinations of pitches:
The piano and xylophone have four entrances in section 72, contributing splashes of color, and emphasizing two distinct four note patterns. The xylophone and right hand piano part play predominantly descending lines of Eb, C, B, Bb. The left hand piano part is from the previous section's woodwind line, F, E, C#, G#. It is heard both ascending and descending. Final statements of the first three entrances each display symmetrical note arrangements. In each, the major seventh is on the outside, and the minor third and perfect fourth are on the inside.

At 73, the strings once again play the second theme of the symphony (q.v. appendix and example 36). The pitch level is now transposed down a perfect fifth from its initial appearance. Bb is the lowest note of this homophonic section. Although it is not clearly distinguishable, it is nonetheless important since it is the farthest point from the main tone region of the composition --E-- and thus provides the greatest amount of tension.
The strings, however, begin rhythmic patterns of y' material once again, and the rhythmic intensity rises. These patterns are both ascending and descending versions with intervals of a perfect fourth and fifth. This section of string activity is like a little flurry of reminiscences from their previous appearances. At 74, the tempo slows down again and the second part of the second theme is stated homorhythmically as before, however now the upper voice is a fourth lower. The construction of both chords is made up of perfect fourths and tritones with a tritone in either the upper or lower voice thus producing great tension.

Two measures of y' material ensues with perfect fourths and fifths and once again the end of the second theme is stated, as before, a fourth lower. This leads into the last part of the second theme at 75 in the flutes and violins with the violas and trumpets doubled an octave lower. B natural emerges as the tone region in this lush romantic setting of woodwinds,
brass, and strings. While the theme is heard above, the remaining instruments sustain a B fourth chord:

Example 26

At 76, the oboes and clarinets are joined by the piano, celeste and chimes in fast-moving rhythmic patterns *tutta forza* creating a fully chromatic texture. Celli, second violins, and part of the first violins play sustained note *tremoli*, *ff*, made up of rising chromatic lines. The entire section is rising to its destination which arrives at 77 with B in the melody, the peak of this multileveled climax which Lutoslawski has so masterfully constructed. With the attainment of B, Lutoslawski begins to reduce the action significantly and does so with trumpet and trombone *glissandi*. The trumpet notes are Ab\(^2\) to D\(^2\); the trombone notes are D\(^2\) to Ab\(^1\), and sound as a continuous downward motion. The rhythmic intensity is maintained in the strings with \(y'\) material of ascending and descending variety each placed in octaves. The intervals which they stress are the tritone and the octave. The flutes and oboes sustain B (B\(^2\) and B\(^3\)). The dynamic level reduces from the *fff* at the height of the climax to *p* at 78. By this time, many of the instruments have dropped out, but remnants of each of the
climax's ideas remain. At 79, the brass take up patterns of x material while the flutes and oboes sustain B until 80, where the climax ends.

At 80, the strings intone an eight note chord:

Example 27

![Music notation]

This chord is especially significant because not only is it made up of the composition's second most important interval, the major seventh, but it is also reminiscent of the opening movement's sustained E and this is the first reappearance of a sustained chord in the strings.

Two restatements of the climax appear before 81 in the brass voices. They are made up of y' material in the trumpets in the ascending and descending versions, and stressing the minor third, a reappearance of the z melodic figure in the horns, accenting the minor second, and a texture of monophonic polyphony in the trombones made up of x material. The first occurrence is at ff, however the second is at p, with the horns muted, creating the effect of a large earthquake, (the climax), and two aftershocks of lessening degrees.

At numbers 81, 82, and 83, the strings move from short flurries of a mobile texture to a sustained four note chord (F, Ab - D#, F#) made up of two minor thirds connected by a perfect fifth (example 28a).
At 84, the strings play heterophonic lines with a delicately executed accompaniment in the flutes, marimba, and two harps. The harps play a three note figure (x material, q.v. app.) in a chromatically descending line from D\textsuperscript{3} to F\textsuperscript{2}, while the flutes and marimba accent the harps' first pitches. The oboes enter at 85 with an abbreviated version of x' material.

The section which follows, number 86, is truly one of the most beautifully composed sections in the symphony with the strings carefully spelling out a G minor chord melody and the timpani sounding its major seventh in a quintuplet figure on the last beat of every measure. At three measures before 87, the tone region becomes blurred with added notes, and at 87, a descending line in the violins ends on a G#, thereby breaking the previous tone area. The harps return to their three note figure once again descending chromatically now from G\textsuperscript{1} to Db\textsuperscript{1}.

At 88, Lutoslawski returns to quarter-tone x material in the upper strings. This leads to a reprise of the material heard at 81, 82, and 83 with the minor third sustained intervals separated by a perfect fifth. The section is transposed up a minor tenth and sounding at G#, B and F#, A (example 28b) and then at 90, sounding a major seventh lower at A, C and G, Bb (example 28c). Rhythmic activity increases the pace and the strings each have variations of x material creating a fully chromatic cluster.
Section 91 is a culmination point for three of the melodic figures that Lutoslawski has employed throughout the symphony. Materials referred to as z, and y' are found in the clarinets, celeste and harp, respectively.

The clarinets have a rhythmically altered version of y' (which we will refer to as y'') stressing the ascending minor third interval (example 29). The clarinets, in the remainder of this section, have octave and rhythmic displacement of the notes in these two melodic figures.

Example 29

![Example 29](image)

The celeste at 91 has seven statements of z material, the first of which accents the descending minor third. The remaining statements stress the major third, minor and major sixth and the major seventh. These intervals are also stressed in the harp in its statement of y' material.

This idea is abruptly interrupted at 92 by a trilled chord in the brass, strings, and percussion. The chord is a fully chromatic aggregate from small B to C\(^2\). A static texture of x' material follows in the clarinets and bassoon at \(p\) to end the section quietly.

EPILOGUE - Number 93 - The section that follows, the epilogue, is the most peaceful and serene of the entire symphony. In keeping with the thematic protocol established in the first movement, Lutoslawski follows the area of static texture from the previous section with the E theme. Its
presentation, however, is a variation of the original theme in that it is a linearization of E in long sustained notes in all the instruments sounding. Basses, celli, piano and harp sustain E and B while a beautiful cantilena melody is heard above in a solo horn. This melody is a melodic inversion, starting on A, of the string melody at 86.

**Example 30**

![Example 30](image)

The horn line deviates from the original string line at the fourth measure. From there, an ascending melodic sequence is heard beginning in the trumpets and continued by the flutes. The height of the line is reached at one measure after 95 in the flutes, at C⁴, however, their melodic destination is reached at 96 with the pitch B. In keeping with the E tonal plan of the symphony, the epilogue at this point emphasizes the E and B, or the tonic and dominant.

The first part of the second theme of the symphony returns at number 96 and is immediately followed by its restatement. Flutes, oboes, clarinets, horns and trumpets state the theme in three octaves. The intervals and the note values have been altered in this appearance, but the overall shape and sound of the second theme is similar to its original form.
At three measures before 97, the woodwinds have a fast moving passage in three octaves which leads into the ff chord at 97.

At number 97, the first two segments of the horn line from 93, the beginning of the epilogue, are restated in octaves in the flutes, oboes, violins I and II. The first two notes are then sequenced up a half step (example 31) leaving the uppermost note on Bb, the "leading tone" to the dominant (B).

Example 31

![Example Music Notation]

Occurring simultaneously in the clarinets 2 and 3, violas, celli, and bassoons 1 and 2, are melodic lines emphasizing the octave. Additional interest is added to the section through the syncopated rhythms of the trumpets, trombones, tuba and bass.

Number 99 begins the Coda to the symphony. A twelve note chord is played sffp in the woodwinds, brass and strings. Both E and B are doubled at the octave below.
Here also, a four voice rhythmic canon begins in the pitched percussion instruments. Their entrances are in the order: vibraphone, marimba, xylophone and chimes. The rhythms with which the canon begins are identical to the rhythmic canon in the brass at 70. Example 33 presents this rhythm.
As seen in example 33, the opening pitches are D\textsuperscript{1}, Eb\textsuperscript{1}, Db\textsuperscript{1}, and Ab\textsuperscript{1}, respectively. The canon is not strict in regard to pitch. The canon continues until number 102 where it ends with each of the voices on E.

The coda, beginning at 99 acts like a final climax to the symphony. The chord at 99, a twelve note aggregate, is sustained through 100 where it functions as percussive accents. Lutoslawski's use of syncopation in this section adds interest, as well as drive, to the final goal. The chords undergo transformations in structure, always, however, maintaining the twelve chromatic pitches. At 101, the chord drops out and just the drive of the canon \textit{tutta forza} is heard with the piano accenting varying lines from the canon at different rhythmic intervals.

The penultimate chord, at 102, is an eight note chord (B, D, F, and Ab are missing) and is sounded with the same octave doublings between the woodwinds and brass, and the strings. The chord is made up of two diminished seventh chords: a D\# diminished seventh on bottom, and an E diminished seventh on top.

\textbf{Example 34}

\begin{center}
\includegraphics[width=0.5\textwidth]{example34.png}
\end{center}

The strings are connected by \textit{glissandi} from their respective pitches to the final E (small E and E\textsuperscript{1}), the trumpets and horns have a chromatically moving line which takes them from G\textsuperscript{1} or G\#\textsuperscript{1} down to E\textsuperscript{1},

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the trombones and tuba also have a chromatically moving line which takes them from great D# to small E, and the woodwinds simply hold the original chord. The final downbeat of the symphony sounds the final statement of the E theme and the culmination of the symphony.

**OVERVIEW**

Now that we have looked in detail at pitch organization at the micro level, we will step back and look at the symphony as a whole from an overall perspective.

The principal unifying force and the single most significant element of the *Third Symphony* is the opening E theme. This theme, which can be compared in some ways to the opening of Beethoven's *Fifth Symphony*, occurs nine times throughout the course of the composition. Tone regions in E begin and end the composition. The symphony's tone regions can be summed up as:

**Example 35**

**PART I**

E  E/Bb  A/Eb  E

**PART II**

E  A  C  (D/Eb  D  Eb)  B  Eb/A  F#/C  Bb  B  F  G  E

climax

or in simplified form:  E  -  A  -  B  -  (Bb)  -  B  -  E

Lutoslawski's use of intervals and harmonic tone regions are closely related. The overall "tonal" plan correlates to the intervallic relationship within the motivic material. The most important intervals of the *Third*
Symphony are the unison and octave. These intervals, which act as the
tonal pillars of the symphony, are found in the E theme. The symphony
begins and ends with these intervals. The second movement of the
symphony also begins with the unison and octave E theme. As the tone
regions of both movements of the symphony move away from the E's to tone
regions of greater distance, the intervals which are emphasized are more
dissonant. Likewise, upon returning to the consonant tone regions, more
consonant intervals are stressed.

Large gestures stress the major seventh interval, E - Eb, but rather
than Eb expanding outward to the E, Lutoslawski collapses it inward to E's
tritone, Bb. This tritone acts as the leading tone to the dominant, or in
"traditional" terms, the secondary dominant, and creates a double tension.
The dominant (of E) that arrives later in the piece produces an area of less
tension since Lutoslawski had accustomed the listener to this double
tension. The final octave E, the result of the major sevenths resolving
outward, is the most logical way the symphony could end.

Despite the fact that the first movement is merely a series of fleeting
events, it is not without areas of mild tension. Sections which stress the
tritone, E-Bb, and A-Eb, though not for extended periods of time, cause mild
ripples in a pool of calm. In the second movement, the main climax, found
approximately two-thirds through the symphony, stresses dual tone
regions a tritone apart -- Eb-A and F##-C -- before arriving at Bb, and
eventually B, the height of the climax. These additional tone regions act as
building blocks, constructing an event of greater magnitude, and help to
create interest, as well as add intensity, to an ever-evolving climax. The
epilogue is made up of broad lyrical paragraphs which translate into some
of the most beautiful points of telling harmonic sonority.
Lutoslawski's emphasis or narrowing in on specific pitch has been present in his compositional style as far back as his *String Quartet* - 1964 (repeated octave C) and *Les Espaces du Sommeil* - 1975 (F#). In neither one of these works, however, is the tonal importance carried to the extent of the *Third Symphony* where E actually becomes the composition's tonal center. What we hear now is sonority in addition to texture; each note becomes more vital as it alters the sound color. This new avenue toward harmony through pitch has been fine tuned and brought to fruition in the *Third Symphony*, reflecting the increasing breadth of Lutoslawski's compositional approach.

Though the symphony is in two distinct movements, there are compelling reasons for regarding it as a single span of music. Clearly, the goal of the symphony is the large climax which occurs from 62 to 80. All events prior to this point are then introductory or preparatory. In this respect, the symphony can thus be summed up: 1) introduction, 2) preparation and approach to the climax (inclusive of the first climax), 3) climax, 4) period of subsidence after the climax, 5) epilogue (and coda).

In traditional music, the first movement of a symphony is usually written in sonata form. In addition, the second as well as the last movements are sometimes also found in sonata form. Lutoslawski has stated that the second movement of his *Third Symphony* follows a "quasi-sonata" form. To what extent then, is the second movement actually in sonata form?

Surprisingly, much of the movement reflects this form. The first movement acts as a symphonic introduction. In keeping with the traditional formal character of sonata structure, Lutoslawski's slow symphonic introduction (numbers 0-30) is then followed, as in classical
symphonies, by an "allegro" movement. The Exposition occurs at 31
beginning with the E theme. The section immediately following is the first
sustained rhythmic passage of the symphony and can be labelled as the
first theme. The spirited character of this first theme conforms to the
traditional symphonic sonata form first theme following a slow
introduction. Its force and energy move directly into a restatement of the E
theme followed by the second theme appearing at number 37. The first half
of the second theme includes a development of the E theme as well. The
Development section begins at 40 with a restatement of the E theme and the
climax occurs from 62 to 80. But prior to the climax's completion, the
Recapitulation starts. Beginning at 73, the composer restates the second
theme at an interval of a fifth below its original statement. The
reappearance of the second theme at a fifth below is also quite typical of the
traditional sonata form. Before this statement has finished, however,
Lutoslawski returns to the intensity of the climax for three measures. This
is then followed at 74, with two more measures of the second theme. The
climax and theme trade off once more before both meld into the climax and
continue until its end at 80.

At 86, a melody is played in the strings reminiscent of the cello line at
19. At number 19, the line is stated pizzicato and at pp. It functions here
as the germ for its development at 86. The Epilogue ensues at 93 restating
many of the motivic ideas of the symphony, including the theme just
mentioned. The E theme, however, has not resurfaced in its original
configuration since 40. For the first twelve minutes of the symphony,
Lutoslawski presented this theme seven times and by the time the epilogue
arrives, thirteen minutes or so have passed without hearing it once. In
addition, since it was not restated in the Recapitulation, nor in the Epilogue (excluding its developed appearance), it would have to be stated in the Coda.

The Coda begins at 99 and the intensity level builds continually to the final statement -- the original E theme.
MOTIVIC AND THEMATIC DEVELOPMENT

As described above, Lutoslawski's *Third Symphony* follows sonata form in many respects. In this section, we will trace the development and growth of the symphony's motives and themes.

The first movement of the *Third Symphony*, acts as the seedbed for most of the motives and themes of the composition. The Introduction presents the E, or first theme. Further recurrences of the E theme are heard predominantly at the same dynamic level with the most change occurring in instrumental color. The theme is stated five times in the first movement; it separates the first movement from the second; ends the first episode of the second movement (thereby ushering in the second theme), and closes the symphony. In addition, two varied versions appear. The first is at 40, and though the rhythmic configuration and dynamic level of the theme remains, the pitch level is altered. The second appearance is at the entrance of the Epilogue at 93 where neither rhythmic nor dynamic level remain. Here the theme is heard in a lyrical fashion as opposed to its percussive original manner, however, the persistence of the E tone region brings us to the conclusion that this is indeed the E theme. Its final appearance, in its original form, is at the close of the symphony.

The second theme of the symphony is first stated at 37 in the strings and is continued by the oboes at two before 39. It is a two part theme as shown below in example 36.
The end of part one is a development of the E theme's repeated notes in longer rhythmic values. The second theme's next appearance at 73, the climax, is broken up by intermittent statements of the climax, however, the entire theme is eventually stated. Its last appearance is at 96 where only a portion of part one is stated in the woodwinds and brass.

The theme played in the strings at 86, as mentioned, was first heard at number 19 in the celli. Here, at 86, it has a three measure introduction in which the melodic ideas are reset. The theme's third appearance is at 93, the Epilogue, where it is heard in melodic inversion. Lastly, it is heard at 97 for six measures directly preceding the Coda.
Certain ideas besides the x, y, and z motives and their variations recur often throughout the symphony. One of these appears first in the strings at 27 to 29. This idea of rhythmic deceleration acts as transitional material to the static texture forerunner of the returning E theme. The additional reappearances of material similar to numbers 27 through 29 are in the strings as well, making them especially discernible. These recurrences, at 81 to 83 and again at 89 to 90 also function as transitional material. Sections 81 and 82 function as a bridge between the restatements of the climax and the slower, more serene section that follows at 84, and sections 89 and 90, as a transition into rhythmically faster material.

The numerous motives used throughout the symphony are derived from the fully chromatic succession of notes in combination with various rhythmic ideas, first presented in eighth note triplets in episode one of the first movement. 31 The chromatic combination of intervals has been referred to as x material (q.v. example 3 and appendix) throughout the paper. The octave and unison are the most important intervals of the symphony. Lutoslawski begins and ends the symphony with these intervals; they act as a point of departure, a point of return, and as harmonic anchors within the symphony. The most common interval, though, is the semitone (inclusive of the major seventh and minor ninth as well). This interval functions as a means of moving away from and back to the "tonic" E with the greatest amount of tension. It also is used to move from the tritone which has great tension to the perfect fourth or fifth which is more consonant. The x motive is used in almost every section of the symphony in some respect.

31 Eighth note triplets, however, do not define the process. It is the arrangement of semitones which is of importance.
Lutoslawski's use of melodic intervals relates closely to the symphony's "tonal" plan. As described above, the symphony begins in consonance on the unison and octave. As the composer moves to tonal regions further away from E, his choice of intervals becomes more dissonant. Likewise, in returning to the E tonal region, more consonant intervals appear.

The figure referred to as \( x' \) (q.v. example 5 and appendix), combines the basic \( x \) motive with a sustained pitch preceding it. This melodic figure is used regularly in passages of static texture which act as a harbinger to the E theme. The reversed appearance of the \( x' \) motive, that is, the chromatic succession preceding the sustained pitch, is referred to as \( x'' \) (q.v. ex. 18 and app.). It first appears at the contrapuntal section at 34 in the first violins and then again at 47 and 48 in the bassoon and oboe, respectively. Rhythmic variations of \( x'' \) are also seen in the string parts of sections 47 and 48.

The melodic fragment referred to as \( y \) (q.v. ex. 16 and app.), is derived from the basic \( x \) unit. This motive combines the semitone with other intervals. In its first appearance, in the first episode of the first movement, that interval is a whole tone. The combination then expands to include a semitone plus major and minor third, perfect fourth, tritone, and minor seventh, however, not in that order. It is used predominantly in the first movement.

Developing out of the \( y \) motive is a configuration of four pitches instead of three which we will now call \( y' \) (q.v. ex. 13 and app.). The motive \( y' \) is found more frequently in the second movement. This motive includes the semitone plus other intervals and is found in two forms, ascending and descending. Its first appearance is at 32 in the viola. Following the \( x \)
motive, the y' motive is the next most frequently used. Both the ascending and descending versions are seen with a combination of semitone and every interval. Example 37 presents three descending and three ascending y' figures.

Example 37

Lastly, we see a motive which is a combination of both x and y (though all are derived from x). This motive has been referred to as z throughout the paper (q.v. ex. 11 and app.). It combines the x motive in the first part and the y motive in the second part. Its first appearance is in the string contrapuntal section beginning at 33. Most often, the first part of the motive is in the rhythm of a sextuplet, though this is not always so. The y portion, or the second half of the z motive is found in both ascending and descending forms. The ascending intervals which Lutoslawski uses for this motive are: the major second, minor sixth, and minor seventh. The
descending intervals are: the minor third, minor sixth, and minor seventh.

Though much of the symphony uses the motives described, Lutoslawski employs variations of these as well. The most common means of variation is to change the semitone to some other interval. In the first episode of the first movement for example, Lutoslawski uses combinations of semitone and whole tone, two whole tones, two minor thirds, semitone and perfect fourth etc., instead of the two semitones. This principle is carried over to the other motives mentioned as well. Generally, contour is the guiding principle of unity in the variations.

Another means by which Lutoslawski attains unity within the symphony is the saturation of intervalic color within a section. Sometimes a single interval is found in a section, or more often, it is a combination of two or three intervals in their ascending and descending forms. This concept in its linear form relates to Lutoslawski's verticalization of pitches in the chord aggregates of two and three predominant intervals. The ascending and descending minor thirds and perfect fifths or the ascending and descending minor and major seconds and sevenths or minor sixths and perfect fourths together with the perfect fifth and tritone are some of the combinations found. Lutoslawski's specific use of these intervals in the various sections throughout the composition works to unify the section through the similarity of intervalic color or intervalic color combinations.
Chapter 3
RHYTHMIC ORGANIZATION

The rhythmic organization of Lutoslawski's music, as discussed briefly in chapter one, occurs on two distinct levels: the micro- and the macrorhythmic levels. As we may recall, the microrhythm has to do with the unit of rhythm which is smaller in general, while the macrorhythm concerns itself with rhythm on a larger scale: the overall form as a result of the various units in conjunction with one other.

In this chapter, we will posit a systematic hierarchy of micro- and macrorhythmic levels and examine Lutoslawski's rhythmic organization within the symphony.

1. Grouping of larger units into formal divisions.
2. Grouping of numbered sections into groups.
3. Length and rhythmic character of individual numbered section.
4. Rhythmic characteristics of individual parts.\(^{32}\)

We will start at the smallest level of organization, level 4, and gradually proceed upward to level 1, the symphony's form.

The symphony's opening statement -- the E theme -- from the onset, arouses the listener's expectations through its force and directness. Its

\(^{32}\)This system was used in Steven Stucky's master's thesis "The String Quartet of Witold Lutoslawski" (Cornell University, 1973), p. 36.
additional appearances throughout the remainder of the symphony create varying psychological effects.

In the same section, the woodwinds present another element which recurs frequently in the symphony. This element is shown in example 38.

Example 38

As seen in example 38, Lutoslawski creates individual lines of unequal numbers of eighth note beats preceding a sustained note. Though the lines start simultaneously, each successive repetition is not synchronized to the original occurrence since the phrases are of different lengths. This technique assures a controlled variation in each repetition, guarantees that the sustained notes arrive at different times, and provides constant though unsynchronized eighth note motion intermixed with sustained notes. The end result of a repeating horizontal line, as in the flute part above, is the placement of agogic stress on the note of longer duration, and this together with the other lines provides a section of polyagogics. Example 39 presents the cello parts at 26 which also exemplify this device.
Lutoslawski frequently employs quarter and eighth note triplets in the *Third Symphony*. Their functions vary as to the section in which they are used. They can be used as a means of accelerating motion or as a way of slowing motion down, as in areas of static texture. Eighth note triplets constitute most of the first episode of the first movement, the section from which the initial germ for the symphony's motives is derived. One use of quarter note triplets is illustrated in the *staccato* brass sections two before 15 and 16 and at 17. These passages arrive before and after static textured sections and act as exclamations of accented tone regions. Also seen in the symphony, though not with as much frequency, are sixteenth note triplets which comprise the gestures we previously labeled $x'$ or $x''$, and as mentioned before, are common to the static textured passages preceding the E theme.

Lutoslawski bases much of the symphony's first movement rhythmic structure on the triplet figure. The chart below diagrams the elongation of the triplet throughout the first movement.
In the second movement, this process unfolds itself in reverse order. Starting at number 31 and advancing to number 44, the order of triplets moves from half notes (in 3/2 time), to quarter note triplets, to eighth note triplets. This same order presents itself once again from numbers 47-61. The order of triplets throughout the main climax appears as described in the first movement (ex. 40). The Epilogue, through the end of the composition, maintains half notes in 3/2 time.

Lutoslawski uses a rhythmic gesture of acceleration and deceleration to control the microrhythm in selected sections throughout the composition. The workings out of this gesture are found at every section of static texture preceding the E theme. At number 10, for example, the clarinets (1 & 2) and bassoon emerge with longer note values after their section of eighth note triplets. Lutoslawski includes the sixteenth note triplets to break up the sustained note line, to add direction, and to create polyagogics. Triplets here also act as a means of unifying this section with the preceding one. The sixteenth note triplets at 10, however, are not faster than the eighth note triplets directly preceding them because Lutoslawski changes the tempo from half equals 108 to half equals 54. This tempo change causes the former triplets to equal the latter. The motion can be so described:
A gesture of rhythmic deceleration, somewhat different from the one just described, can be seen in the string parts at 27, 28, 29; 81, 82, 83; and 89 and 90. Here, note values move from a pattern of sixteenth notes to eighth notes and finally to a sustained whole note as follows:

Ascending chromatic unison melodies follow the rhythmic deceleration gestures at 81, 82, 83, and 90 and a descending chromatic unison melody follows the gesture at 89. Intervallically, these melodies emphasize the semitone, stressing this interval's importance. Rhythmically, the melodies demonstrate a slow acceleration back to the sixteenth notes with which the sections begin.
The string section which begins at number 49 demonstrates the acceleration gesture over a period of 13 rehearsal numbers. The section begins in half notes, at 51 adds quarter notes and eighth note triplets, at 53 quarter note triplets, and at 55 eighth notes. From 56 to 61, the number of eighth note triplets increases in all of the parts. The section moves directly into the climax at 62. This gesture of acceleration, with one section of deceleration, is as follows:

Example 48

\[ \frac{\text{d}}{\text{d}} \rightarrow \left[ \frac{\text{d}}{\text{d}} + \frac{3}{\text{d}} \right] \rightarrow \frac{3}{\text{d}} \rightarrow \frac{3}{\text{d}} + \frac{3}{\text{d}} \]

It is not hard to discern, even upon first hearing, where the main climax begins. What is difficult to determine, however, is its ending point. The problem arises due to the climax's length and mercurial nature.

The climax divides into five sections:

<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
<th>Rehearsal Number</th>
<th>Duration in minutes</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>climax begins</td>
<td>62</td>
<td>1:23</td>
</tr>
<tr>
<td>2</td>
<td>climax drops back</td>
<td>70</td>
<td>:15</td>
</tr>
</tbody>
</table>

66
3  climax builds                      72  :25
4  climax drops back & then builds  73  1:03
5  reaches the highest point        77-80  :29

In the first section of the climax, fast moving woodwind and string parts trade off with slower moving brass parts until number 65, where all parts sound simultaneously. Lutoslawski does not confine himself to small rhythmic values, but instead uses a variety of slower rhythms as well, while always maintaining the underlying momentum. At 69, the winds and strings have unison descending lines in a predominantly homorhythmic section. Five variations of the quarter note triplet (example 44) are found here and by interlocking these values with one another Lutoslawski creates a passage of continuous motion.

Example 44

![Example 44](image)

Section two begins at 70 with a slower moving rhythm generated in the brass section, but with an underlying rhythmic intensity in the celli, sustaining the motion and drive of the climax. The section is characterized
by a steady building of instruments in the strings, driving with new momentum toward the third section.

In the third section of the climax - the *ad libitum* section at 72 - the woodwinds and strings drive forward in unsynchronized propelling eighth note patterns. Lutoslawski has removed the pulse from this section and each of the groups press forward with their individual *accelerandi*. With the entrances of the xylophone and piano in a steady triplet pulse, the woodwind and strings' lack of pulse becomes even more pronounced. Before the close of the section, the woodwinds and strings undergo a rhythmic deceleration, to allow for the extended xylophone and piano entrance, which is then followed by rhythmic acceleration. The rhythmic gesture is as follows:

**Example 45**

\[
\text{\underline{\text{Example 45}}} \\
\text{\underline{\text{\small $\downarrow \text{dec.} \rightarrow \downarrow + \downarrow \rightarrow \downarrow \uparrow \uparrow \uparrow$}}} \\
\text{\underline{\text{\small $\text{Example 45}$}}}
\]

The fourth section begins at 73, the meno mosso, with the reinstatement of pulse and a rhythmic deceleration from eighth note triplets to half notes in addition to a tempo deceleration from half equals 126 to half equals 84. This gesture lasts for just three measures before the rhythmic activity of the strings starts up again. Lutoslawski switches the tempi three more times before 75 where the tempo is set at half equals 78. Although the tempo is actually slower, the intensity level remains high due to the rising lines (in unison) of the upper voices, the timpani tremolo, and the growing dynamic level.
Number 77 is the arrival point of the climax with the attainment of B natural in the melodic line. From here, the denouement takes place and can be heard quite clearly in the descending *glissandi* in the trumpets and trombones. The climax is concluded at 80, yet in this section, two "aftershocks" of lessening degrees transpire in the brass which are two reminiscences of the climax. These climactic reminiscences transpire against a sustained eight tone chordal string background, which is of particular importance here since it is the first time since the opening phrases of the symphony that the strings function in this manner.

Lutoslawski uses syncopation at various points throughout the symphony, but this rhythmic device is most strongly heard in the closing sections. At numbers 96 and 97 piano, harps, vibraphone, and bells trade off with the trombones and tuba in syncopated chords against a background of steady-pulsed, moving woodwind and string lines, and at numbers 100 to 101 the entire orchestra (excluding the instruments in canon) sound marked syncopated chords. This section exhibits a strong resemblance to Stravinsky's *Dance of the Adolescents* section in the *Rite of Spring*.

A rhythmic procedure employed only once in the symphony is found in the xylophone, marimba, vibraphone, two harps and piano at 26. Lutoslawski creates individual lines in rhythmic palindrome. These begin after the second *fermata* at number 26 and continue until 27 where the strings take over in rhythmic deceleration.

**Level 3** To aid in our examination of the symphony's level three microrhythmic structure, we will use a table to summarize the events in the one hundred three sections into which the symphony is divided. The symphony's division into one hundred three sections (one hundred two numbered sections, plus the opening section) represents more than mere
rehearsal convenience on Lutoslawski's part. Each numbered section displays musical parameters which provide some degree of contrast to those of the preceding section. For example, the opening section states the theme and has a moving texture which can be called a mobile of sound. Section 1 has a texture that is static and is much slower than the opening. Section 2 repeats the first two sections in a compressed form, et cetera.

The most obvious means of articulating sections is by using the E theme. However, there are nine statements of the theme and one hundred three sections, and one of the theme statements closes the symphony. Lutoslawski, therefore, uses many other ways for the remaining ninety-five. One of the more common means of articulating a new section is through orchestration. Lutoslawski alternates orchestral groupings and timbres from section to section. In addition, repetitive timbral patterns, such as at 7, 8, and 9 where the violins enter after a pattern played by the woodwinds, are a means of section articulation.

Another means of section differentiation is, as we have just seen, through rhythmic value change. Often a new rhythmic value is introduced at a new section. Additional articulation devices include sudden staccato (sections 17 and 100), accented chords (sections 43, 73, 92, 97 and 102), and sudden p (sections 70 and 75). Articulation devices and textural components, as listed below, will be used to chart the differences between the various sections. It is necessary to look at each of these sections in terms of articulation, length, and proportion in order to understand the overall form. This is the same thought process one uses in traditional music where one must examine phrases, phrase structure, cadences, etc., to determine the composition's total formal organization. It is also important to remember that these differences will be the determining factor
in dividing the symphony into larger units at the macrorhythmic levels. Groups a through d are subjective points of reference. Smaller rhythmic values denote rhythms that sound fast to the listener and larger rhythmic values, those rhythms which sound slower to the listener. This system will be used since tempo markings (which are not charted) determine specific duration.

a. Groups of notes with small rhythmic value (as perceived by the listener), slurred
b. Groups of notes with large rhythmic value, slurred33
c. Groups of notes with small rhythmic value, unslurred
d. Groups of notes with large rhythmic value, unslurred
e. Repeated notes (including the E theme), *staccato, pizzicato*
f. Sustained rhythmic values
g. *Glissandi*
h. *Tremoli*
i. *Syncopation*

Those sections without a clear beginning or end have been so indicated in the "means of articulation" column by a blank space. The column labelled Texture refers to the techniques mentioned above (a-i).

---

33 This grouping will be differentiated from the sustained note grouping by the intent of "line" as opposed to a "blurred" type effect often created in the composition.
### Example 4634

<table>
<thead>
<tr>
<th>Section</th>
<th>Instr. Groups</th>
<th>Duration in Seconds</th>
<th>Means of articulation Indicating section has Begun Ended</th>
<th>Texture</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>1,2,3,4</td>
<td>28</td>
<td>E theme</td>
<td>bcdef</td>
</tr>
<tr>
<td>1</td>
<td>1,3,4</td>
<td>23</td>
<td>change of texture</td>
<td>bcdf</td>
</tr>
<tr>
<td>2</td>
<td>1,2,3,4</td>
<td>26</td>
<td>E theme</td>
<td>bcdef</td>
</tr>
<tr>
<td>3</td>
<td>2,3,4</td>
<td>21</td>
<td>E theme &amp; sm. note values</td>
<td>ae</td>
</tr>
<tr>
<td>4</td>
<td>1,3,4</td>
<td>15</td>
<td></td>
<td>fermata ac</td>
</tr>
<tr>
<td>5</td>
<td>3,4</td>
<td>23</td>
<td>reentry of celli</td>
<td>fermata ac</td>
</tr>
<tr>
<td>6</td>
<td>1,3,4</td>
<td>12</td>
<td>reentry/violins</td>
<td>woodwinds ac</td>
</tr>
<tr>
<td>7</td>
<td>1,2,3,4</td>
<td>15</td>
<td>reentry/violins</td>
<td>wws. desc. line ac</td>
</tr>
<tr>
<td>8</td>
<td>1,2,3,4</td>
<td>10</td>
<td>reentry/violins</td>
<td>wws. asc. line ac</td>
</tr>
<tr>
<td>9</td>
<td>1,3,4</td>
<td>16</td>
<td>reentry/violins</td>
<td>wws. asc. line ac</td>
</tr>
<tr>
<td>10</td>
<td>1,3</td>
<td>27</td>
<td>thicker texture</td>
<td>static texture acf</td>
</tr>
<tr>
<td>11</td>
<td>1,2,3</td>
<td>30</td>
<td>E theme</td>
<td>fermata acefg</td>
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<tr>
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<td>1,2,3,4</td>
<td>13</td>
<td>reentry eng. horn</td>
<td>acefg</td>
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<tr>
<td>13</td>
<td>1,2,3,4</td>
<td>20</td>
<td></td>
<td>sustained notes acefg</td>
</tr>
<tr>
<td>14</td>
<td>1,2,3,4</td>
<td>20</td>
<td>reentry/clarinet</td>
<td>trumpet staccato acdefg</td>
</tr>
<tr>
<td>15</td>
<td>1,2,3,4</td>
<td>14</td>
<td>change of texture</td>
<td>trumpet staccato adefg</td>
</tr>
<tr>
<td>16</td>
<td>1,2,3,4</td>
<td>14</td>
<td>change of texture</td>
<td>abdef</td>
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<tr>
<td>17</td>
<td>1,2</td>
<td>10</td>
<td>change of texture</td>
<td>sustained note ef</td>
</tr>
<tr>
<td>18</td>
<td>1</td>
<td>23</td>
<td>static texture</td>
<td>static texture af</td>
</tr>
<tr>
<td>19</td>
<td>2,3,4</td>
<td>21</td>
<td>E theme</td>
<td>pizzicato ef</td>
</tr>
<tr>
<td>20</td>
<td>3,4</td>
<td>36</td>
<td>arco</td>
<td>pizzicato befg</td>
</tr>
<tr>
<td>21</td>
<td>1,2,4</td>
<td>16</td>
<td>horn entry - change of texture</td>
<td>wws.sustained beg</td>
</tr>
</tbody>
</table>

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34 The particular grouping of this chart was used in Steven Stucky's master's thesis "The String Quartet of Witold Lutoslawski" (Cornell University, 1973), pp.46-50.

35 Since Lutoslawski writes for "families" of instruments as opposed to mixing primary timbres, the "instrumental groups" column will consist of the: number 1) woodwinds; 2) brass; 3) percussion; and 4) strings. The keyboard instruments (piano, harp, vibraphone, celeste) have been included as part of the percussion group.
<p>| | | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>22</td>
<td>1, 2, 4</td>
<td>20</td>
<td>reentry/horn wws.sustained abeffg</td>
</tr>
<tr>
<td>23</td>
<td>1, 2, 3, 4</td>
<td>15</td>
<td>reentry/horn per. accent fermata abef</td>
</tr>
<tr>
<td>24</td>
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<td>73</td>
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<td>1,2,4</td>
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<td>81</td>
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<td>17</td>
<td>change of texture</td>
</tr>
<tr>
<td>82</td>
<td>4</td>
<td>8</td>
<td>change of texture</td>
</tr>
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<td>4</td>
<td>13</td>
<td>change of texture</td>
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<td>26</td>
<td>reentry/flute</td>
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<td>1,3,4</td>
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<td>chg of character</td>
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<td>89</td>
<td>4</td>
<td>13</td>
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</tr>
<tr>
<td>90</td>
<td>4</td>
<td>37</td>
<td>change of texture</td>
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</table>
Level 2 - This level of organization involves the combining of individual (numbered) sections into groups. The *Third Symphony*, unlike many of Lutoslawski's recent compositions, makes special use of tone regions which aid in the symphony's division into larger groups and eventually, into movements. In addition, a strong theme acts as a powerful unifying force in the symphony as well as an effective means of delineating its sections.

Not only does the E theme separate sections at the level 3 microrhythmic division, but it does so at the level 1 and level 2 macrorhythmic divisions as well. At level 3, we have seen that Lutoslawski employs the theme at the beginnings of sections thereby separating these sections from surrounding ones. The level 2 distinction is in the grouping of numbered sections into formal divisions, and here we have seen that the episodes are also divided by the E theme. Lastly, the level 1 macrorhythm divides the symphony into two parts with part one
beginning with the theme and part two beginning and ending with the theme.

Adhering to this order, the symphony separates into eight sections. Character and textural cohesion are used as further determinants in combining numbered sections into level 2 macrorhythmic groups.

Sections 0-2 create the Introduction of the first movement. Sections 0 and 1 are two distinct thoughts, however, section 2 merely reiterates the two preceding sections in a condensed form. Note also that section 2 is the only place in the symphony where the E theme is presented and does not introduce new material. This creates an interesting psychological effect since the E theme is used in the symphony to trigger a certain response, namely, new material, and here we find the mechanism without the expected response.

Sections 3-10 group together by their textural similarity (textures ac plus f in section 10). In addition, Lutoslawski’s use of eighth note triplets binds the section rhythmically. This section is important because it presents the eighth note triplet which is then used as the rhythmic basis throughout the remainder of the first movement. Example 40 presents graphically the use of triplets found within the first movement. Sections 3-10 comprise what Lutoslawski calls Episode 1.

The next subdivision, Episode 2, begins at number 11 where we see similar textures in sections 11-13 (textures acfg), and 14-16 (textures acdefg). In addition, sections 11-18 combine together due to their timbral similarity. The section thins down to a static texture at 17 and 18 which, as we have mentioned, is common before a restatement of the E theme.
The E theme presents itself once again at section 19 where sections 19-23, and 24-30 combine texturally. This subdivision will now be labelled Episode 3.

The Introduction and Episodes 1, 2, and 3 group together formally by the "unsettled" character they create; they appear as a group of fleeting thoughts, giving the first impression of being chosen arbitrarily, and set forth in a goal-less manner. Lutoslawski uses rhythm to achieve this effect in the symphony. Changes in rhythmic value within the Introduction and three Episodes (see ex. 40), besides acting as a means of unification within these sections, provide considerable contrast here and give the impression of a lack of direction from one section to the next. Even the theme, which at first provided a sense of curiosity, loses its initial effect by its fifth appearance before the third episode. In short, the listener is waiting for something which never arrives in the first movement.

The next subdivision, at 31, however, changes this. Here the theme is presented in a way we have not yet heard. Our curiosity is once again aroused; the section proceeds into new material with drive and force. The unfulfillment that was experienced from the first three episodes dissolves into hope of fulfillment with the arrival of a long awaited section having clear shape, purpose, and goal.

As before, textural material aids in the formation of numbered sections into larger groups. Sections 31-36 show strong cohesion through their textural and timbral similarities and thereby constitute a single episode, however, the listener perceives this section as a whole primarily through its rhythmic unity. The E theme is heard at the end of section 36, and creates a subdivision here as it has previously, but works also in a way to heighten the level of expectation between these two sections.
Sections 37-39 begin a new division grouped together by timbral and textural similarities. Again, rhythm is a very important factor.

At number 40, the E theme reappears, introducing the part of the composition containing the development and both climaxes. Texturally similar material occurs throughout, however, this section does not subdivide as readily as did the first three episodes of the symphony. This is in part due to the goal-directedness of this section and the force with which the material is presented.

Sections 40-44 present a series of texturally and timbrally varying ideas and move directly into the climax at 45.

The first climax, from 45-46, appears at the outset to be the point of arrival of the symphony, but before one minute has passed, the level of excitement disintegrates. An extended section ensues from 47-49, which points back to the string section of the third episode (number 19). This section groups together by its timbral similarity and drives ahead moving directly into the main climax of the composition.

The climax begins at 62 and as we have mentioned earlier in the chapter, divides into five sections. Sections 62-69 group together by their constant motion and textural similarity of slurred and unslurred short note values (textures ac). At 70, Lutoslawski increases the tempo to half equals 126. This section also contains a rhythmic canon in the brass which extends into the woodwind section at 71. These textural similarities unify the two sections.

At number 72 we find a section of one number which stands as one complete division of the climax. As described above, the passage undergoes rhythmic deceleration, followed by acceleration and encompasses a complete idea.
Sections 73-76 group together by the shifts of tempo and thematic ideas (recapitulation, climax). The addition of the timpani at 75 adds drive to the climactic ascent through 76.

Section 77 is the culmination of the symphony and from here until 79 we hear the denouement in the brass glissandi. Tone emphasis aids in the level 2 macrorhythmic grouping here by determining the end of the climax - the attainment of the note, B, in the melody (the "dominant" when we consider the symphony in E). The climax is finally completed at 80, but in this section, two restatements of the climax, as well as a return to the opening section's string sustained notes appear. Sections 80-83 group together by timbral as well as recurring textural similarities.

Various disjunct sections follow which point back to earlier episodic material, however, the effect produced on the listener upon hearing this material is now quite different from its first appearance. Then it was heard in anticipation of something more to come; now it arrives as material previously encountered.

At section 84 the tempo decreases to half equals 44-50, the slowest in the symphony. Sections 84-92 group together through rhythmic and thematic unity.

The division at 93 is in part sectioned into its level 2 macrorhythmic grouping by Lutoslawski's use of tone emphasis. Following a section of static texture, which is in fact composed of a slight rhythmic variation from previous sections of this nature, a section follows based on the E theme and the tone region E as well. This thematic variant functions in place of the original E theme as section delineator. Rhythmic similarity as well as microrhythmic acceleration joins sections 93-96. At 97, the rhythm decelerates but rises again at 98 moving into the Coda at 99.
Sections 99-101 group together through rhythmic and textural similarity. This section, the fastest within the symphony, has a tempo marking of half equals 160. The use of accelerated tempo here is another means of section unification. It arrives in contrast to the preceding slower sections (numbers 84 and 93). The intensity rises throughout these final sections, leaving the symphony to end at a high point, and once again repeating the E theme.

**Level 1** - Advancing to the level 1 macrorhythmic grouping, we are now ready to discuss the symphony's form. The introduction and first three episodes of the composition group together through textural, thematic, and psychological similarity, and therefore constitute the first movement of the symphony. Material presented in this movement is in a primordial state, as opposed to its developed state in the second movement. Sections 31 to 102, the end of the composition, resolve the listener's sense of anticipation created in the first movement, and fulfill his expectations. These sections join together to form the second movement. Two particular sections in the second movement should be noted since they express a clear change of character. These are the sections beginning at 93 and 99, which Lutoslawski calls the epilogue and coda, respectively. Example 47 is a schematic representation of the symphony's level 1 macrorhythm.

**Example 47**

<table>
<thead>
<tr>
<th>I</th>
<th>II</th>
<th>Epilogue &amp; Coda</th>
</tr>
</thead>
<tbody>
<tr>
<td>10:22</td>
<td>7:35</td>
<td>3:35 8:49</td>
</tr>
<tr>
<td>rise of anticipation</td>
<td>1st climax, rise of anticipation</td>
<td>climax post-climax</td>
</tr>
</tbody>
</table>
The dramatic plan of the symphony can then be seen in four sections. The
first movement, section one, sets forth the composition's thematic, motivic
and textural material, but it is presented in a way that causes the listener to
have feelings of uncertainty and incompleteness. What the listener is
waiting for does not arrive in this movement. The second section begins at
the second movement. After new thematic material (sections 31 and 37) is
presented, a climax occurs which fulfills the listener's expectations, but
then generates new ones. The third section is the climax of the symphony
(sections 62-79), the achievement of the composition's goal. Lastly, the
fourth section comprises the denouement, and a general subsidence of
rhythmic activity, followed by a rhythmic build up (section 90) to a final
climax at the last measure.

Employing the temporal organization of the symphony's four
sections, we can begin to look at the psychological effect that these divisions
create. The total duration of the symphony, thirty minutes and twenty-one
seconds, is divided as follows: I - 10 minutes, 22 seconds; II - 7 minutes,
35 seconds; III - 3 minutes, 35 seconds; and IV - 3 minutes, 49 seconds.36
This division equals roughly: I, 34 percent; II, 25 percent; III, 12 percent
and IV, 29 percent. The effective distribution of listener expectation versus
listener fulfillment that Lutoslawski is able to create in the Third
Symphony is perhaps responsible in part for such an outstanding work of
art.

36 The indicated timings are approximate and are derived from the C.B.S.
Masterworks recording with the Los Angeles Philharmonic. Other
performances are sure to vary a certain amount, however the proportions of
the sections will remain roughly the same.
EPILOGUE

In speaking about the composer and the listener, Witold Lutoslawski has written:

"The main purpose of a piece of music is that it should be experienced by the listener." 37

If this be the case, have our remarks about the symphony been in vain? One prefers to think not, that instead, through the efforts contained in this paper, the reader is in fact led curiously to the music and to further investigations both aural and intellectual. Written language provides us with poor substitutes for aural experience; music takes over where words fail.

In closing, perhaps the composer's remarks regarding his Second Symphony on this very topic would suffice.

"I have described here only one, the external, aspect of my composition. It is only a façade which hides the true life of this as it does of every other work. It is the inner life, however, which is the more important, the more essential part of the composition. What can I say about it? How could I describe it? What is it supposed to express? Fortunately, I cannot possibly have anything to say on the subject. Fortunately, for if the essence of music could be expressed in words, then the music would be unnecessary in the composition. One could then simply take a few minutes to read the verbal description. Writing this essay, I was aware the whole time that I was only skimming.

37Nordwall, op. cit., p. 121.
the surface of the subject which the music alone can communicate fully."38

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III. Other Sources Pertinent to the Study of the Third Symphony


DISCOGRAPHY

APPENDIX I

INVENTORY OF NOTATIONAL DEVICES

Synchronization

Conductor's signal to begin an *ad libitum* section.

Metrical beats within an *ad libitum* section.

Left hand beats.

Left hand cues to individual sections.

Break off the repeated passage immediately at the conductor's signal.

At the conductor's signal play up to the next repeat sign (or rest, etc., usually specified) and then stop (or go on, etc., as specified).
Duration and Articulation

Repetitions of the same pitch. Notation for the duration of glissando.

The length of fermate is often left up to the individual player. For strings, it often equals one whole bow.

Pitch

Accidentals affect only the notes they immediately precede; read F#, F, Bb,B. Performance materials, however, include cautionary natural signs.

Three-quarters and one-quarter flat, respectively.

One quarter tone sharp.
HELMHOLTZ SYSTEM

Reference to pitch throughout the paper is in accordance with the Helmholtz system. For convenience it is listed here.

CONTRA GREAT SMALL C1 C2 C3 C4 C5

MOTIVIC MATERIAL
THEME ONE