INFORMATION TO USERS

This reproduction was made from a copy of a document sent to us for microfilming. While the most advanced technology has been used to photograph and reproduce this document, the quality of the reproduction is heavily dependent upon the quality of the material submitted.

The following explanation of techniques is provided to help clarify markings or notations which may appear on this reproduction.

1. The sign or “target” for pages apparently lacking from the document photographed is “Missing Page(s)”. If it was possible to obtain the missing page(s) or section, they are spliced into the film along with adjacent pages. This may have necessitated cutting through an image and duplicating adjacent pages to assure complete continuity.

2. When an image on the film is obliterated with a round black mark, it is an indication of either blurred copy because of movement during exposure, duplicate copy, or copyrighted materials that should not have been filmed. For blurred pages, a good image of the page can be found in the adjacent frame. If copyrighted materials were deleted, a target note will appear listing the pages in the adjacent frame.

3. When a map, drawing or chart, etc., is part of the material being photographed, a definite method of “sectioning” the material has been followed. It is customary to begin filming at the upper left hand corner of a large sheet and to continue from left to right in equal sections with small overlaps. If necessary, sectioning is continued again—beginning below the first row and continuing on until complete.

4. For illustrations that cannot be satisfactorily reproduced by xerographic means, photographic prints can be purchased at additional cost and inserted into your xerographic copy. These prints are available upon request from the Dissertations Customer Services Department.

5. Some pages in any document may have indistinct print. In all cases the best available copy has been filmed.

University Microfilms International
300 N. Zeeb Road
Ann Arbor, MI 48106
AN ANALYTICAL STUDY OF THE PIANO CONCERTO IN A MINOR, OP. 54, OF ROBERT SCHUMANN

The Ohio State University

University Microfilms International

Copyright 1984 by Earle, Diane Kay
All Rights Reserved
PLEASE NOTE:

In all cases this material has been filmed in the best possible way from the available copy. Problems encountered with this document have been identified here with a check mark \( \checkmark \).

1. Glossy photographs or pages \( \checkmark \)
2. Colored illustrations, paper or print
3. Photographs with dark background
4. Illustrations are poor copy
5. Pages with black marks, not original copy
6. Print shows through as there is text on both sides of page
7. Indistinct, broken or small print on several pages \( \checkmark \)
8. Print exceeds margin requirements
9. Tightly bound copy with print lost in spine
10. Computer printout pages with indistinct print
11. Page(s) lacking when material received, and not available from school or author.
12. Page(s) seem to be missing in numbering only as text follows.
13. Two pages numbered \( \ldots \). Text follows.
14. Curling and wrinkled pages
15. Other
AN ANALYTICAL STUDY OF THE PIANO CONCERTO IN A MINOR,
OP. 54, OF ROBERT SCHUMANN

DOCUMENT

Presented in Partial Fulfillment of the Requirements
for the Degree Doctor of Musical Arts in the
Graduate School of The Ohio State University

By

Diane Kay Earle, B. M., M. M.

* * * * *

The Ohio State University
1984

Reading Committee:

Dr. Jerry E. Lowder
Professor Sylvia Zaremba
Professor Marshall Haddock

Approved by

Adviser
School of Music
This study is dedicated to
my parents and brothers.
ACKNOWLEDGMENTS

The writer wishes to express appreciation to those persons who assisted her in the completion of this study. Deep gratitude is extended to Dr. Jerry E. Lowder, principal adviser of this project, who gave so generously of his time and helpful advice. To him the writer is indebted for valuable assistance, guidance, and encouragement during the course of this study and throughout her graduate school program.

Special thanks are extended to Professor Sylvia Zaremba for her outstanding teaching and inspiration. As the major teacher in performance, she guided in the preparation of the four doctoral recitals, and provided many useful ideas for the performance of the Schumann Piano Concerto. She offered much support and help throughout the graduate program of the writer.

The writer is deeply grateful to Professor Marshall Haddock for his helpful ideas, fine coaching, and for the sensitive musical insights he granted when conducting the Schumann Piano Concerto with the writer and The Ohio State University Symphony Orchestra. His intense dedication to music has been an inspiration to the writer throughout her doctoral program.

The writer also wishes to thank Dr. Marie Rolf of The Eastman School of Music. Her Analytical Techniques classes contributed
substantial knowledge and exposure to many of the analytical ideas
and systems used in this document.

Additional thanks are extended to the following personnel of
The Ohio State University Libraries: Mrs. Lois Sims, Circulation
Supervisor, Music Library; Dr. Thomas F. Heck, Head, Music Library;
and Mr. Ross Poli, Information Specialist, Mechanized Information
Center. The Inter-Library Loan Office personnel were able to procure
helpful materials from the libraries of: Oberlin College, Bowling
Green State University, Case Western Reserve University, University of
Akron, and University of Louisville.
VITA

September 14, 1958 ................................................... Born - Canton, Ohio

June, 1980 ............................................................. B. M. in Piano Performance, (magna cum laude) 
College-Conservatory of Music, 
University of Cincinnati, 
Cincinnati, Ohio

1979 - 1980 .................................................. Graduate study, 
College-Conservatory of Music, 
University of Cincinnati, 
Cincinnati, Ohio

September, 1981 .................................................. M. M. in Piano Performance, 
The Ohio State University, 
Columbus, Ohio

1981 - 1982 .................................................. Doctoral study in piano, 
Eastman School of Music, 
Rochester, New York; 
Teaching Assistant in private and class piano

1982 - 1984 .................................................. Teaching Associate in piano and accompanying, 
The Ohio State University, 
Columbus, Ohio

FIELDS OF STUDY

Major Field: Piano Performance. 
Professor Sylvia Zaremba

Studies in Piano Pedagogy. 
Dr. Jerry E. Lowder

Studies in Piano Literature. 
Dr. Rosemary Platt

Additional Study and Coaching. 
Professors Marshall Haddock and Craig Kirchhoff
Performances

Graduate Student Recital Series
December 3, 1982. 8:00 P.M.
Weigel Auditorium

Diane K. Earle, piano

Program

Sonata, G Major, Longo 387
Sonata, G Minor, Longo 499

Sonata, B-flat Minor, Op. 35
Grave - Doppio movimento
Scherzo
Marche Funebre
Finale

Intermission

Capriccio on the Interval of a Second

Prelude, D Major, Op. 23, No. 4
Prelude, B-flat Major, Op. 23, No. 2
Prelude, B Minor, Op. 32, No. 10
Prelude, D-flat Major, Op. 32, No. 13

This recital is presented in partial fulfillment of the requirements for the degree Doctor of Musical Arts in piano.
OSU Performing Ensemble Series  
October 23, 1983. 3:00 P. M.  
Weigel Auditorium

OSU Symphony Orchestra  
Marshall Haddock, conductor  
Diane Earle, piano soloist

Concerto

Piano Concerto in A Minor, Op. 54  
Robert Schumann

Allegro affettuoso  
Intermezzo: Andantino grazioso  
Allegro vivace

This concerto is presented in partial fulfillment of the requirements for the degree Doctor of Musical Arts in piano.

---

Graduate Student Recital Series  
February 24, 1984. 1:00 P. M.  
Hughes Auditorium

Diane Earle, piano  
Lecture - Recital

Concerto for Piano and Wind Instruments  
Igor Stravinsky

Lecture Outline

Background of the Concerto  
General Characteristics  
Instrumentation  
Form  
Rhythm and Meter  
Melody  
Harmonic Structure  
Early Performances and Public Reception  
Bibliography and Discography

This lecture is presented in partial fulfillment of the requirements for the degree Doctor of Musical Arts in piano.
OSU Performing Ensemble Series
February 29, 1984. 8:00 P. M.
Weigel Auditorium

OSU Wind Ensemble
Craig Kirchhoff, conductor
Diane Earle, piano soloist

Concerto
Concerto for Piano and Wind Instruments  Igor Stravinsky

Largo - Allegro
Largo
Allegro

This concerto, in conjunction with the lecture, is presented in partial fulfillment of the requirements for the degree Doctor of Musical Arts in piano.

-------------

Graduate Student Recital Series
April 3, 1984. 8:00 P. M.
Weigel Auditorium

Diane K. Earle, piano

Program

Toccata in C Minor, BWV 911  Johann Sebastian Bach

Sonata in C Major, KV 330  Wolfgang Amadeus Mozart

Allegro moderato
Andante cantabile
Allegretto

L'Isle Joyeuse  Claude Debussy

Intermission

The Tides of Manaunaun  Henry Cowell
Aeolian Harp  Henry Cowell
Exultation  Henry Cowell

Variations and Fugue on a Theme of Handel, Op. 24  Johannes Brahms

This recital is presented in partial fulfillment of the requirements for the degree Doctor of Musical Arts in piano.
# TABLE OF CONTENTS

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACKNOWLEDGMENTS</td>
<td>iii</td>
</tr>
<tr>
<td>VITA</td>
<td>v</td>
</tr>
<tr>
<td>LIST OF TABLES</td>
<td>x</td>
</tr>
<tr>
<td>LIST OF FIGURES</td>
<td>xi</td>
</tr>
<tr>
<td>LIST OF ABBREVIATIONS</td>
<td>xii</td>
</tr>
<tr>
<td>INTRODUCTION</td>
<td>1</td>
</tr>
<tr>
<td>I. BACKGROUND OF THE CONCERTO</td>
<td>7</td>
</tr>
<tr>
<td>II. A &quot;TRADITIONAL&quot; FORMAL ANALYSIS</td>
<td>16</td>
</tr>
<tr>
<td>First Movement</td>
<td>17</td>
</tr>
<tr>
<td>Second Movement</td>
<td>33</td>
</tr>
<tr>
<td>Third Movement</td>
<td>38</td>
</tr>
<tr>
<td>III. A &quot;SHMRG&quot; ANALYSIS: MUSICAL ELEMENTS</td>
<td>49</td>
</tr>
<tr>
<td>Sound</td>
<td>49</td>
</tr>
<tr>
<td>Harmony</td>
<td>54</td>
</tr>
<tr>
<td>Melody</td>
<td>56</td>
</tr>
<tr>
<td>Rhythm</td>
<td>59</td>
</tr>
<tr>
<td>Growth</td>
<td>62</td>
</tr>
<tr>
<td>SUMMARY, CONCLUSIONS</td>
<td>69</td>
</tr>
<tr>
<td>APPENDIX: SCORE OF THE CONCERTO</td>
<td>72</td>
</tr>
<tr>
<td>BIBLIOGRAPHY</td>
<td>166</td>
</tr>
<tr>
<td>DISCOGRAPHY</td>
<td>174</td>
</tr>
</tbody>
</table>
List of Tables

<table>
<thead>
<tr>
<th>Table</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Form of First Movement</td>
<td>19</td>
</tr>
<tr>
<td>2. Form of Second Movement</td>
<td>34</td>
</tr>
<tr>
<td>3. Form of Third Movement</td>
<td>39</td>
</tr>
</tbody>
</table>
List of Figures

<table>
<thead>
<tr>
<th>Figure</th>
<th>Description</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>&quot;Urlinie&quot; (P) Theme</td>
<td>20</td>
</tr>
<tr>
<td>2.</td>
<td>Schenkerian Analysis of the Theme</td>
<td>21</td>
</tr>
<tr>
<td>3.</td>
<td>Transitory Theme ($T^1$), First Movement</td>
<td>22</td>
</tr>
<tr>
<td>4.</td>
<td>Secondary Theme (S), First Movement</td>
<td>24</td>
</tr>
<tr>
<td>5.</td>
<td>Transitory Theme ($T^2$), First Movement</td>
<td>26</td>
</tr>
<tr>
<td>6.</td>
<td>Closing Theme (K), First Movement</td>
<td>27</td>
</tr>
<tr>
<td>7.</td>
<td>New Theme: N(P), Development, First Movement</td>
<td>28</td>
</tr>
<tr>
<td>8.</td>
<td>Development variation of first three bars, First Movement</td>
<td>29</td>
</tr>
<tr>
<td>9.</td>
<td>Passionato / Piu animato Theme, Development, First Movement</td>
<td>30</td>
</tr>
<tr>
<td>10.</td>
<td>Cadenza Motive and its Sources</td>
<td>32</td>
</tr>
<tr>
<td>11.</td>
<td>Second Movement Theme and its Sources</td>
<td>33</td>
</tr>
<tr>
<td>12.</td>
<td>Second Movement Themes and Interrelationships</td>
<td>35</td>
</tr>
<tr>
<td>13.</td>
<td>Transition Between Second and Third Movements</td>
<td>37</td>
</tr>
<tr>
<td>14.</td>
<td>Sonata Rondo Form</td>
<td>38</td>
</tr>
<tr>
<td>15.</td>
<td>Third Movement Theme Derivation from P.</td>
<td>40</td>
</tr>
<tr>
<td>16.</td>
<td>Transition ($T^1$), Third Movement</td>
<td>40</td>
</tr>
<tr>
<td>17.</td>
<td>Secondary Theme (S), Third Movement</td>
<td>41</td>
</tr>
<tr>
<td>18.</td>
<td>New Theme (N), Development, Third Movement</td>
<td>42</td>
</tr>
<tr>
<td>19.</td>
<td>Development Section, Third Movement</td>
<td>43</td>
</tr>
<tr>
<td>20.</td>
<td>New Melody, Coda, Third Movement</td>
<td>44</td>
</tr>
<tr>
<td>21.</td>
<td>Octave leap Inversion, Third Movement</td>
<td>45</td>
</tr>
</tbody>
</table>
List of Abbreviations

Abbreviations used in labelling thematic and motivic sources:

0 = introductory material
P = primary materials (i.e., first theme or theme-group)
T = transitional material
S = secondary or contrasting functions (i.e., second theme or theme-group)
K = closing theme
N = new theme or material
() = original source of an idea. For example, S(P) = secondary theme derived from a primary theme.

Subphrases:

P = main function of primary materials
Pa, Pb, Pc, etc. = component phrases

INTRODUCTION

"Only when the form is quite clear to you will the spirit become clear to you."¹

This statement of Robert Schumann offers a primary reason for analytical study of a musical composition. This author believes that a performer must have an intelligent and well-conceived understanding of a work before he can attempt to arrive at a successful interpretation. The essence or "spirit" of a work cannot be grasped without a thorough comprehension of its underlying principles and structure.

Purpose

The purpose of this writer is to present an analysis of the Piano Concerto in A Minor, Opus 54, of Robert Schumann. The analytical product is not intended or expected to yield definitive performance solutions, for the description of how to play the Schumann Concerto could fill an entire document (or several volumes) in itself. Although the matter of performance will not be treated in detail in this paper, the insights gained from an in-depth analysis should aid in an understanding of the "spirit" and "form" of this
concerto. These ideas may in turn serve as a catalyst for the
performer, conductor, and theorist. Jan LaRue defines analysis as
"a very special kind of performance that seeks to bring out as many
qualities of a piece as possible". Therefore, one's perspective
is greatly enlarged by using his eyes and ears to examine a musical
composition.

Significance

The Schumann Piano Concerto is discussed in multitudinous
biographies of Schumann and in surveys of the concerto, including
its history and development. After much research into these sources,
this writer came to the realization that almost all of the existing
discussions and analyses deal with only the overall macro-form of
this concerto, along with some mention of the underlying conception.
In this paper, "macro-form" refers to large dimensions such as
exposition or recapitulation, and primary or secondary themes. The
term "micro-form" depicts smaller structural components, such as
phrases and motives. Because this concerto is a famous and significant
work in the repertoire, it is unfortunate that so little attention
has been devoted to it. This writer will provide an analysis which
will include details of micro-form, rhythm, harmonic and melodic
structure, orchestration, and piano/orchestra relationship.
Methods and Procedures

The analysis of this concerto began in January, 1983, while the writer was practicing it for performance. Most reading and research into other writings pertaining to Schumann and the concerto occurred from June through August, 1983.

To obtain materials necessary and appropriate for this subject, the author consulted The Ohio State University and Library of Congress card catalogues, The Ohio State University Library Computer System, music periodical indexes, pamphlet file, and phonograph records. The OSU Mechanized Information Center conducted search procedures (BATCH search, On-line search, Social Sciences Retrospective) in June, 1983, in order to acquire several helpful dissertations, RILM abstracts, articles, and other sources. The Inter-Library Loan Office procured additional materials from other university libraries.

Organization

This document is comprised of three parts: (1) historical discussion, (2) "traditional" analysis, and (3) detailed analysis based upon theories of Jan LaRue.

Part One contains a discussion of the historical background of the concerto: its position in the output of Schumann, and social and emotional factors which influenced Schumann.
Part Two presents a "traditional" analysis of the form and thematic structure, surveying both the macro-form and the micro-form of the concerto. Although most of the writings about the concerto found by this writer deal with this type of formal analysis, the overall analytical product is that of this author. The principal ideas of Rudolph Reti regarding analysis are presented in this part of the paper.  

Part Three contains a type of analysis created by Jan LaRue, which involves treating five musical elements: Sound, Harmony, Melody, Rhythm, and Growth, hence the acronym "SHMRG" (pronounced "shmerg"). This is a flexible system which provides a means of organizing thoughts and details regarding each parameter of a musical composition. LaRue explains these components in further detail in Chapter Nine of his book.  

Each of these five SHMRG elements is analyzed in terms of its large, middle, and small dimensions in the concerto. These categories are defined as follows:

- **Small Dimensions:** Motive/ Subphrase/ Phrase
- **Middle Dimensions:** Sentence/ Paragraph/ Section/ Part
- **Large Dimensions:** Movement/ Work
The underlying principle behind the inclusion of Part Three in this document is that an analysis of a work must go beyond form classification. LaRue expands on this idea:

... placing a piece in one of the categories of conventional form is almost the least that one can do, analytically: comprehensive observation can only make a beginning with this identification as a crude first step. All of the individualities of a composer occur as refinements, improvements, mutations, perhaps even as evasions of a stereotype. Although the final Shape may correspond fairly closely to a conventional type, only a full discovery of the sources of Movement and Shape can give us genuine understanding of a composer's style.

In the discussion of these five SHMRG elements, two additional recent analytical ideas will be applied to the Schumann Concerto, namely a linear or horizontal approach (Salzer/Schenker), and a rhythmic analysis based largely on the principles of Cooper and Meyer.

This writer hopes that the application and combination of these various analytical concepts with a detailed study of the music score will produce a clearer understanding of the concerto, resulting in a meaningful, musical performance.
Endnotes


4 LaRue, op. cit., p. 6.

5 Ibid., p. 6.

6 Ibid., p. 153.


PART ONE

Background of the Concerto

"Would to heaven that a race of freaks could arise in the world of artists, with one finger too many on each hand; then the dance of virtuosity would be at an end." — Florestan

As editor of the *Neue Zeitschrift für Musik*, Robert Schumann (1810 - 1856) avidly and mercilessly attacked empty virtuosity. He constantly heard and criticized contemporary concertos which featured mechanical bravura display for its own sake. Thus, when he decided to compose a work for piano and orchestra, he wrote to Clara, "I realize I cannot write a concerto for a virtuoso, so I must think up something else." Schumann wished to compose a "Phantasie", which he described as "something between a symphony, a concerto, and a large sonata", and "more an instrumental fantasia with piano in concerto form than an actual piano concerto".

The Piano Concerto in A Minor, Op. 54, of Robert Schumann was born of this philosophy. It is comprised of three movements:

- Allegro affettuoso
- Intermezzo: Andantino grazioso
- Allegro vivace

The first movement was written in Leipzig in May, 1841, and was originally titled "Phantasie". The last two movements were composed
in May and July of 1845 in Dresden. Schumann changed some of the
dynamics and instrumentation of the first movement between 1841 and
1845, expanding the original "Phantasie".

Schumann had harbored the idea of composing a piano concerto
for many years. In 1829, at the age of 19, he began writing a piano
concerto in F Major, a project which was soon aborted. The next year
he began another concerto which was never finished. Still another
concerto was begun and terminated in 1833.

The year 1841 seemed to lend itself more easily to the compo­
sition of a piano concerto. Musicologists divide Schumann's compo­
sitional development and output into distinct stages. His early
years were devoted to writing piano music. In 1840, Schumann married
Clara Wieck after years of opposition. This momentous and joyous
event began a "year of song" in which Schumann focused his attention
on the composition of vocal music. 1841 was a "symphonic" period.
It was in this year that the composer wrote the Phantasie for piano
and orchestra which was later to become the first movement of the
Piano Concerto. Also in 1841, Schumann composed an Overture, Scherzo,
and Finale, Op. 52, for orchestra; his First Symphony in B-flat Major,
Op. 38; a Symphony in D Minor (rewritten ten years later and
published as Op. 120), and a sketch of a symphony in C minor which
he never finished.5

The almost fanatical vigor with which Schumann approached his
compositions during the years 1840 and 1841 was most likely inspired
by his new happiness brought about by the marriage to Clara. Schumann wrote the Phantasie for Clara in little more than a week. (Clara had written a Piano Concerto in A Minor.) She played the Phantasie with the Gewandhaus Orchestra on August 13, 1841, but it "seems to have made no great impression, and was laid aside." This movement was intended to be an independent fantasia for piano and orchestra. Although it contains characteristics of a large first movement in sonata form, it was not originally meant to be the first movement of a concerto.

Schumann tried to publish the movement as an Allegro affettuoso, and then as a Concert Allegro, Op. 48. However, none of the publishers wanted it. "Doubtless it lacked the flashy virtuoso touch considered de rigeur for concertos at that period. This new type of 'symphonic' writing for piano and orchestra was something decidedly new and unheard-of in their eyes."

Even if the first movement of his A minor Concerto, originally entitled "Phantasie", is in sonata form, it has so many unusual turns of phrase and unexpected changes of direction, that publishers were unwilling to print the piece for fear it was too avant-garde.

Another writer justifies the poor reception by the publishers as follows:

Schumann, in fact, was at that time regarded as dangerously modern and often unintelligible. Since he was so cavalier with the old forms-- which were sometimes regarded as an end in themselves-- and since he discouraged musical pyrotechnics, one can understand the suspicion with which he was regarded.
In 1845, Schumann added the Intermezzo and Finale, making the work a complete Piano Concerto. "The case here seems to have been—as happens often with inventive and restless composers—that the music simply outgrew its original framework."¹² These last two movements were entitled Andantino and Rondo, and are related to each other like Mendelssohn's Introduction and Allegro gioioso, a work which Schumann admired.¹³

The fusion between the Intermezzo and Finale and the earlier movement

would not be so remarkable were it not for the fact that in the intervening years Schumann suffered a serious nervous collapse... In 1844 Clara Schumann took her husband to Dresden, where she hoped to restore normality to his tortured brain; the change of scene worked wonders, and the evidence is to be seen in the completion of the Piano Concerto, where the two additional movements are in such aesthetic and emotional communion with the first that there is no reflection of Schumann's intervening malady.¹⁴

In July, 1845, Schumann wrote to Mendelssohn that

an entire nervous prostration, accompanied by a host of terrible thoughts, nearly drove me to despair; but things look brighter now--music is again beginning to sound within me, and I hope soon to have quite recovered.¹⁵

The last two movements are a result of this music "sounding within him".

Written for Clara, the finished Piano Concerto in A Minor, Op. 54, was dedicated in friendship to Ferdinand Hiller. Clara wrote about it on June 27, 1845:
Robert has composed a beautiful last movement for his Fantasy in A Minor for pianoforte and orchestra, so that it is now a concerto, and I shall play it next winter. I am very glad about it, for I always wanted a large bravura piece by him. 16

On July 31, Clara again wrote: "Robert has finished his concerto and handed it over to the copyist. I am happy as a king to think of playing it with orchestra." 17

The Piano Concerto was first performed by Clara Schumann, conducted by Ferdinand Hiller, in Dresden on December 4, 1845, in the Hôtel de Saxe. On January 1, 1846, Clara performed it in the Leipzig Gewandhaus, with Mendelssohn conducting. She played it in Vienna in 1847 with her husband conducting. The couple collaborated many times in the years which followed, and Clara continued to perform the concerto after Robert's death. Spohr conducted the concerto in the Gewandhaus on June 24, 1850. It was later performed in Dresden as well. The first American performance took place in New York at a concert of the Philharmonic Society on March 26, 1859.

The public response to the concerto was not enthusiastic.

The rigorous deletion of all ingratiating elements of virtuoso display, the seriousness of his approach, and the novelty of his musical idiom, all mitigated against the early success of this work. More than a decade after its completion, Clara Schumann's London performance of this work (May, 1856) was indulgently passed off as "praise-worthy efforts... to make her husband's curious rhapsody pass for music." Liszt was the one pianist with sufficient public influence to persuade the Philistines that Schumann was worth listening to. Yet he, too, acknowledged defeat. "The repeated failure of my performances of Schumann's compositions both in private and in public", he wrote, "discouraged me from entering them on the programs for my concerts... This was an error which I afterwards recognized, and I indeed regretted." 18
Liszt facetiously wrote about the Piano Concerto of Schumann by referring to the composer's *Piano Sonata in F Minor*, Op. 14, the so-called "Concerto Without Orchestra". He commented, "So now we have a Concerto Without Piano, too!"\(^{19}\)

In 1856, a critic wrote of Clara's performance of the work in London:

> The chief novelty of the evening was Madame Schumann's performance of Dr. Schumann's Concerto in A Minor, which was received with a warmth well merited by the Lady's playing. Because we cannot fancy that the concerto will be adopted by any performer in London, we will forbear to speak of the composition as a work.\(^{20}\)

The structure of the concerto follows the overall plan of Mendelssohn, which was not well-received compared to the virtuosic compositions of the contemporary "Philistines". The influence of Mendelssohn is evident in many features. Instead of a double exposition, the piano and orchestra share in the presentation of themes. The last two movements are connected. The cadenza is by Schumann and is very much a part of the movement, rather than a separate entity superimposed merely for displaying technique. The brilliant third movement features a profusion of themes, including new ones in the development and coda.\(^{21}\) The plan of Schumann's concerto influenced Grieg in the writing of the latter's *Piano Concerto in A Minor*.

Schumann sought to exploit the improving musical and technical possibilities of the piano. In 1839, he wrote:
In the meantime the instrument itself has been brought near to perfection. With the advancing physical mechanics of piano playing and the bolder flight of piano composition, stemming from Beethoven, the instrument, too, has advanced in compass and significance.

The result is a concerto that is "warmly lyrical, rich in its orchestration, and never overly virtuosic."\(^{23}\)

Breitkopf and Härtel published the parts in August, 1846, and the score in 1862. Until recently, the manuscript was in the custody of Alfred Ancot in Aigenstadl, near Passau, Germany. Ancot was owner of the Wiede Collection, which contains over 70 Schumann manuscripts, including the original Fantasia and the concerto. American pianist Malcolm Frager (born in 1935) has studied these manuscripts at great lengths and has done much to revive the original writing in his articles and performances. In a comparison of the manuscript of the Fantasia of 1841 with the later concerto, Frager notes: "the orchestration of the Fantasia was more symphonic and in many ways more imaginative than the orchestration of the first movement of the concerto."\(^{24}\)
Endnotes


3 Ibid., p. 244.


7 Anthony Hopkins, op. cit., p. 75.


9 David Hall, Program Notes, Schumann Piano Concerto. Artur Rubinstein and RCA Victor Orchestra, William Steinberg, conductor (RCA Victor 1050).

10 Jacob Suskind, Program Notes, Schumann Concerto, Martha Argerich, Mstislav Rostropovich, National Symphony Orchestra of Washington, Deutsche Grammophon 2531 042, 1978.


16 Arrand Parsons, Program Notes: Schumann Piano Concerto, Chicago Symphony Orchestra, April 5 - 7, 1979, p. 11.


19 David Hall, *op. cit.*


PART TWO
A "Traditional" Formal Analysis

The writer will now proceed to an analysis of the music itself.
The score used is that of the later complete concerto, rather than the
1841 manuscript. The rationale behind this decision is that this is the
score which is generally performed.

Schumann wrote that "form is the vessel of the spirit". The
extent of his high regard for form is apparent in the structure of his
Piano Concerto. The "spirit" of the music is revealed through a
carefully created design.

Although the Classical concerto form is not strictly preserved,
the general sonata-allegro structure is maintained in the outer
movements. The second and third movements are segue, imposing greater
unity on the concerto.

Economy of means is yielded by thematic metamorphosis, and inter-
quotation among the movements and sections of movements. George Szell
describes this process of linking movements by motivic cells as follows:

Berlioz' device, prompted by a poetical idea, to link the
various movements of a symphony by the red thread of a
leitmotiv was taken over by Schumann, transformed and
enriched and given purely musical motivation. In this, as
in certain turns of phrase, Schumann's influence on Brahms
is too obvious to need further elaboration. Less obvious,
but equally provable, is Schumann's influence on Tchaikovsky. . . .
The concise motivic unity and thematic transformation will be analyzed and discussed in further detail later in this paper (see p. 18).

One distinguishing feature of the Schumann Piano Concerto is the intimate relationship between the piano and the orchestra. The form which Schumann created serves to enhance and intensify this relationship. The concerto is:

a dialogue piece which, while observing the general contours of the sonata, avoids all the dual features of the old concerto. There are no real ritornels, few sharp confrontations of contending forces; the solo instrument is in the center and remains there throughout the piece. The thematic material--most appealing--is developed in a dialogue between the two partners, and stimulating exchanges are provided for solo woodwinds and the piano.

There is no clear delineation between orchestral and piano passages. For example, there is no opening orchestral tutti at the beginning of the first movement. Instead, the presentation of thematic material is shared between the two forces.

The writer will now proceed to an analysis of each movement. Following this formal analysis, further details will be discussed in Part Three.

First Movement: Allegro affettuoso

The form of the first movement is difficult to categorize, largely because of the tremendous amount of motivic unity and thematic transformation. This gives the movement a character not unlike either
a monothematic or variation principle. 6

It is the belief of this author that the entire concerto is essentially monothematic. However, from this primary theme which dominates the first movement, Schumann creates a sonata allegro form with variation elements. The key relationships are the decisive factor which this writer has used to determine the categorization of sonata allegro form. LaRue describes the breadth and variety inherent in this form:

Sonata form, which particularly in its concerto subtype reaches the greatest organizational complexity of any stereotype, necessarily calls upon many types of continuation in highly evolved versions, not only in the generalized functions that we sense in large sections such as expositions, developments, and recapitulations, but also for highly specialized interior relationships as well.7

Table 1 depicts the overall form classification of the first movement. This structure will be analyzed in detail below following a discussion of the omnipresent theme itself.

Exposition

The first forte orchestral sound, the dominant note doubled in octaves, catapults the soloist into a brilliant display of chordal figuration. This gives the introduction a "florestanish" expression not unlike Schumann's Symphony in D Minor.8 Thus, rather than presenting the thematic material in a double exposition between solo and
<table>
<thead>
<tr>
<th>Bars</th>
<th>Function</th>
<th>Tempo</th>
<th>Tonal Structure</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 - 3</td>
<td>Introduction</td>
<td>O*</td>
<td>Allegro affettuoso</td>
</tr>
<tr>
<td>4 - 155</td>
<td>Exposition</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4 - 19</td>
<td>Primary Theme</td>
<td>$P$</td>
<td></td>
</tr>
<tr>
<td>19 - 66</td>
<td>Transition</td>
<td>$T^1(P)$</td>
<td></td>
</tr>
<tr>
<td>67 - 111</td>
<td>Secondary Theme</td>
<td>$S(P)$</td>
<td>Anima</td>
</tr>
<tr>
<td>112 - 133</td>
<td>Transition</td>
<td>$T^2(P)$</td>
<td></td>
</tr>
<tr>
<td>134 - 155</td>
<td>Closing Theme</td>
<td>$K(P)$</td>
<td></td>
</tr>
<tr>
<td>156 - 258</td>
<td>Development</td>
<td></td>
<td></td>
</tr>
<tr>
<td>156 - 184</td>
<td>New Theme</td>
<td>$N(P)$</td>
<td>Andante espressivo</td>
</tr>
<tr>
<td>185 - 204</td>
<td>O</td>
<td></td>
<td>Allegro (Tempo I)</td>
</tr>
<tr>
<td>205 - 258</td>
<td>K, T, P</td>
<td>Piu Animato</td>
<td>G - $\sim\sim$</td>
</tr>
<tr>
<td>259 - 398</td>
<td>Recapitulation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>259 - 274</td>
<td>Primary Theme</td>
<td>$P$</td>
<td>Tempo I</td>
</tr>
<tr>
<td>274 - 319</td>
<td>$T^1$</td>
<td></td>
<td></td>
</tr>
<tr>
<td>320 - 364</td>
<td>S</td>
<td>Animato</td>
<td>A Major (I)</td>
</tr>
<tr>
<td>365 - 384</td>
<td>$T^2$</td>
<td></td>
<td>$V/A$</td>
</tr>
<tr>
<td>385 - 397</td>
<td>K</td>
<td>Accelerando poco a poco</td>
<td>$\sim\sim$VI$^7$ ($F^7$)</td>
</tr>
<tr>
<td>398 - 457</td>
<td>Cadenza</td>
<td></td>
<td></td>
</tr>
<tr>
<td>458 - 544</td>
<td>Coda</td>
<td></td>
<td>Allegro molto</td>
</tr>
</tbody>
</table>

* = See list of abbreviations, p. xi
tutti, Schumann allows the piano soloist to open the exposition via this figuration. This introductory procedure had also been used by Mozart, Beethoven, Mendelssohn, and Moscheles.9

The Primary Theme

Following the chordal cascade, Schumann presents his primary theme which is to serve as the "kernel" or "Urinie" of the entire concerto. This theme, shown in Figure 1, is presented first by the orchestra, then answered by the solo piano.

Figure 1
Several features characterize this primary theme (abbreviated P). In contrast to the "Florestanish" introduction, this espressivo theme has the character of "Eusebius". Three descending notes begin the theme (motive Pa), followed by a four-note ascent (Pb) and descent spanning the interval of a fifth (Pc). There is then an octave leap upward (Pd), followed by a turn (Pe), then a scalar descent to the tonic ( Pf). A Schenkerian analysis of this theme is shown in Figure 2, depicting three levels of analysis.

Figure 2

Schenkerian Analysis of P Theme
It is apparent that the three descending notes (C-B-A/3-2-1) which begin this theme also function on a larger level as the three basic notes of the "Urlinie", along with a neighbor note (D). Throughout this concerto, this theme recurs in a variety of keys, rhythms, tempos, meters, and moods. Schumann was obviously fond of this theme, and years later it reappeared like an "apparition" in his Introduction and Allegro in D Minor, Op. 134.

Thematic transformation abounds throughout the exposition. It is noteworthy that Schumann instantly starts to develop the subject in the exposition, rather than waiting until the development section.

For example, motives Pa, Pb, and Pc are important in the transition (mm. 19 - 47), characterized by harplike arpeggiation in the piano which accompanies the orchestral theme, as shown in Figure 3.

Figure 3
Transition

![Image of musical notation](image-url)
This is followed by Florestanish scalar passages, but Eusebius returns in a piano variation of the theme in mm. 47 - 67. Beginning in m. 67, the clarinet takes up the theme in the relative key of C Major.
Thus, the transposition of the primary theme functions as the secondary theme in this sonata form. This is accompanied by piano arpeggiation and rising three-note motives (inversion of motive a) in the violins, shown in Figure 4.
Figure 4 continued
A dialogue between oboe and piano occurs in mm. 102 - 11. The transitory material in mm. 112 - 133 features the ornament following the octave leap in the P theme (m. 8), as Figure 5 depicts. This is also a transformation of the first transition.

Figure 5

\[ \text{Figure 5: Transition} \]

\[ \text{Figure 5: Transition} \]

\[ \text{Figure 5: Transition} \]
The fanfare-like closing theme in m. 133 (Figure 6) is presented by full orchestra, which is reduced until only solo piano begins the development section. The motivic relationship of this closing theme to the materials of Figure 5 (D-E-G) is readily apparent.

Figure 6

Closing Theme
Development

The development begins in A-flat Major, the flatted VI/III. This key is reached not by modulation, but by a typically Schumannesque "side-slipping short cut". This distant key enhances the languid transformation of the principal theme. This section is a nocturne-like dialogue between solo piano and clarinet, with flutes, bassoons, and strings adding to the warmth of the sonority.

The principal theme is varied by the arpeggiated harplike accompaniment, by the major tonality, and most of all by rhythmic augmentation. Thus the subject is slowed down, as shown in Figure 7. It yields the effect of a new theme.

Figure 7

New Theme derived from Principal Theme
Development Section
There is something improvisatory in the slowing down and rhythmical transformation of the subject, and this is in line with the general character of a movement which, although built as a sonata form, has all the freedom and spontaneity of a fantasy. One can see why Schumann was at first inclined to call it so.\[13\]

This lyrical section is interrupted by a violent octave feud between solo and orchestra, shown in Figure 8. This is a direct variation of the turbulent first three introductory bars of the movement.

Figure 8

Development:

\[\text{mm. 185}\]

First Three Bars of Concerto:

\[\text{mm. 1}\]

Pianoforte.

Allegro affettuoso.
After this interruption of Florestan, the principal Eusebius theme recurs in still another disguise, labelled Passionato and Piu animato (Figure 9). It is first in G Major, then is transformed a fourth higher to C: "once more the Schubertian trick of building a development". This then moves with a long diminuendo and ritardando to the recapitulation.

Figure 9
Passionato / Piu animato Theme

Thus, the basic techniques which Schumann employs in this development are thematic and motivic transformation, modulations, extensive and brilliant figurations, discourse of material between solo and orchestra, and harmonic, melodic, and rhythmic spinning-out of the opening material.
Recapitulation

The recapitulation is fairly traditional and straightforward. It begins with a repetition of the primary thematic material, and the secondary theme and closing theme are now presented in the tonic major key. In the recapitulation, the piano forcefully plays through the orchestral closing theme texture, which varies from the exposition which was only orchestral. This provides a more forceful push to the cadenza. There is then an "accelerando poco a poco" which suddenly turns to the dominant seventh of B-flat, thus driving into the solo cadenza. This is a sort of Neapolitan harmonic effect.

Cadenza

The cadenza is motivically conceived, and it summarizes the thematic transformation of the entire movement. It lies in the middle register of the piano keyboard, where much of Schumann's keyboard music lies, including most of this concerto. Florestan and Eusebius are presented in continuous dialogue. Instead of being the culmination of virtuosic display, this cadenza has an improvisatory character.

The opening is based on the rising four-note figure from the principal theme (Pb), and is extemporaneous and improvisatory. It begins deliberately at half the tempo of the rest of the movement. One thematic association is especially interesting, shown in Figure 10.
A stringendo leads to staccato chord passages. Then the cadenza settles on the first part of the principal theme (Pa), and a long dominant pedal point builds suspense to the tonic resolution in the coda.

Coda

The coda is an allegro molto march which is a further transformation of the primary theme. The Pa motive is presented in 2/4 meter at a tempo doubling that of the original theme. This coda features the piano and orchestra together at a great energy level, with much brilliant figuration and virtuosity on the part of the soloist. The movement ends on the tonic A minor.
Second Movement: Intermezzo: Andantino grazioso

With the Intermezzo movement Schumann employs the fairly common practice of the Romantic concerto composer of using the second movement as a connecting section between the first and third movements or as an introduction to the finale. Short and intimate in style, this Intermezzo is reminiscent of the innocence and simplicity of the Kinderszenen.¹⁶

The second movement is a tripartite, ABA form, outlined in Table 2. Whereas the first movement seemed to be based on the Urlinie of three descending notes, C-B-A, this movement is based on four ascending staccato notes, derived from the second bar of the principal theme of the first movement (Pb).¹⁷ The octave leap (Pd) is also significant in this movement. Figure 11 illustrates the thematic derivations and transformations inherent in this movement.¹⁸

Figure 11

![Figure 11](image-url)
Table 2  
Form of Second Movement

<table>
<thead>
<tr>
<th>Bars</th>
<th>Function</th>
<th>Tonal Structure</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 - 28</td>
<td>A</td>
<td>F Major (I)</td>
</tr>
<tr>
<td>29 - 68</td>
<td>B</td>
<td>C Major (V - V(^7))</td>
</tr>
<tr>
<td>68 - 102</td>
<td>A</td>
<td>F Major (I)</td>
</tr>
<tr>
<td>103 - 108</td>
<td>Transition to Third Movement</td>
<td>A Major - minor - Major</td>
</tr>
</tbody>
</table>

The piano and orchestra are intimately welded together in this movement. One writer describes it as follows:

The delectable dialogue is carried further in the second movement, but in a refined, intimate fashion that was altogether new in the concerto; here indeed was the victory over the virtuoso that Schumann dreamed about.

The opening theme is a question-answer session between piano and orchestra in F Major. The second part of this theme is then transformed to become the theme of the B section of this movement, as illustrated in Figure 12.
Figure 12

Thematic Transformation in Second Movement

"A" theme:

```

```

"B" theme:

```

```

augmentation of m.7 of "A" theme
The B section of this tripartite form is reached not by modulation, but simply by juxtaposition. The dominant (C Major) then serves as the V\(^7\) which leads back to F Major and the return of the A section.

The contrast between the A and B sections is readily apparent. The A section is a closely-knit dialogue between piano and orchestra. The B section presents piano arpeggiation not unlike that which is omnipresent in the first movement. The cello section of the orchestra provides the theme upon which the piano embroiders, and the rhythm of the B section is much more florid. The return of the A section is slightly varied from the first A section, as Schumann condenses the dialogue at measure 85, leaving out one of the repetitions of mm. 17 and 18.

The four-note rising motive is repeated by the orchestra and piano in dialogue, mm. 90 - 99, and then in augmentation in m. 100. Then suddenly the first bar of the first movement theme (Pa) is prominently inserted, but in the major key. The soloist enters in a descending figuration derived from the first three bars of the concerto. Then the orchestra answers with another repetition of the first Pa measure, but this time in a minor key, the original form. After another improvisatory descent from the piano, the orchestra decisively repeats the major key Pa motive at a tempo, yielding a stringendo into the third movement, which is segue. Figure 13 shows this transition.
This transition provides much unity: it inserts the first movement theme, leads to the A Major tonality of the finale, and increases tempo to the Allegro vivace. The major-minor-major alternations provide forward and backward glances at the differing moods; then at last it moves triumphantly to the finale.
Third Movement: Allegro vivace

The writer has chosen to categorize the third movement as a sonata rondo form. This movement features elements of sonata form, such as a clearly distinct development section, and contrasting primary and secondary themes (although they are based on the same material). The recapitulation is a literal one, repeated almost exactly from the exposition. However, the return to the primary theme is not in the tonic key, as would be the case in a true recapitulation, but instead is in D major, the subdominant key.

Here Schumann has made use of another Schubertian trick, characteristic of a composer who is accustomed to finding everything essential in the invention itself: by starting the recapitulation of the exposition, first concluded on the dominant, in the subdominant key, he arrives in the end at the tonic without having to change anything except for exactly transposing, and concludes and crowns it by a coda of irresistible momentum.20

Thus, the effect is not that of sonata form, but that of a series of closely related themes and episodes organized according to sonata rondo form.21 The author has delineated this form in Figure 14.

Figure 14
Sonata Rondo Form

<table>
<thead>
<tr>
<th>Rondo Form</th>
<th>A</th>
<th>B</th>
<th>A¹</th>
<th>C</th>
<th>A</th>
<th>B</th>
<th>A¹</th>
<th>Coda</th>
</tr>
</thead>
<tbody>
<tr>
<td>Thematic Function</td>
<td>P T¹ S T² K</td>
<td>N/NNN</td>
<td>P T¹ S T² K</td>
<td>Coda</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sonata Function</td>
<td>Exposition</td>
<td>Development</td>
<td>Recapitulation</td>
<td>Coda</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
A detailed outline of the form of this movement is presented in Table 3.

### Table 3

**Form of Third Movement**

<table>
<thead>
<tr>
<th>Sonata Function</th>
<th>Rondo Function</th>
<th>Measures</th>
<th>Thematic Function</th>
<th>Key Function</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exposition</td>
<td>A</td>
<td>109 - 148</td>
<td>P₁</td>
<td>I A major</td>
</tr>
<tr>
<td></td>
<td>B</td>
<td>148 - 188</td>
<td>T¹</td>
<td>I V</td>
</tr>
<tr>
<td></td>
<td>A + development</td>
<td>188 - 251</td>
<td>S₂</td>
<td>V</td>
</tr>
<tr>
<td></td>
<td></td>
<td>252 - 327</td>
<td>T² (S)</td>
<td>V - V⁷</td>
</tr>
<tr>
<td></td>
<td></td>
<td>327 - 359</td>
<td>K (P)</td>
<td>I - V</td>
</tr>
<tr>
<td>Development</td>
<td>C</td>
<td>359 - 496</td>
<td>N (P)</td>
<td>V V V IV</td>
</tr>
<tr>
<td>Recapitulation</td>
<td>A</td>
<td>497 - 528</td>
<td>P₁</td>
<td>IV D major</td>
</tr>
<tr>
<td></td>
<td>B</td>
<td>528 - 568</td>
<td>T¹</td>
<td>vi I</td>
</tr>
<tr>
<td></td>
<td>A + development</td>
<td>569 - 632</td>
<td>S₂</td>
<td>I - V pedal</td>
</tr>
<tr>
<td></td>
<td></td>
<td>633 - 707</td>
<td>T²</td>
<td>I - IV</td>
</tr>
<tr>
<td></td>
<td></td>
<td>707 - 770</td>
<td>K</td>
<td>IV V / IV</td>
</tr>
<tr>
<td>Coda</td>
<td>Coda</td>
<td>771 - 979</td>
<td>N/</td>
<td>(IV) V V</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>combines various elements</td>
<td>I</td>
</tr>
</tbody>
</table>
The fanfare-like P theme of this movement is indebted to the P theme of the first movement for its basic structure: it features the fall of a third, rise of a fifth, and an ascending octave leap, as illustrated in Figure 15.22

Figure 15

Third Movement Theme Derivation from P

Measure 112 in the strings is a repetition of m. 108, further linking the third movement to the second. After the opening declamatory statement of the first theme (a question–answer, or antecedent–consequent structure), a dancelike transition follows in the piano, punctuated by strings only. Figure 16 shows this material.

Figure 16

Transition
The rhythmically displaced second theme yields the effect of being in 3/2 meter, but is actually written in 3/4 meter. Figure 17 presents this theme.

**Figure 17**

It is presented as question - answer in the orchestra in the dominant E major. An eight-bar piano solo follows in the dominant of E (V/V, m. 205), but together with another orchestral statement leads back to the dominant. This final statement is characterized by the winds doubling the strings and eighth-note perpetual motion in the piano.

A forte interruption features the orchestra and piano again in question - answer fashion. After many sequences and a bare orchestration, the piano figuration changes; the accents and pattern are now shifted. This section, although based on the S material, functions as a transition to the closing theme.

The closing theme, based on the P theme, begins at m. 327; it is presented in the orchestra and punctuated by an ascending octave leap in the piano. After a sequencing chain of rhythmically displaced octaves in the piano followed by trills on V/V, the development begins. There is considerable counterpoint on fragments of the first theme. A new
melody (m. 391) is expanded into a fairly lengthy episode. This new melody is similar in structure to preceding thematic material, as shown in Figure 18.

Figure 18
N theme and its derivations
This development section then alternates motives among the instruments and piano, thus dividing itself into clearly delineated sections, shown in Figure 19.

Figure 19

Motive a:

Motive b:
(chord based on chord leap, mm. 111 - 112, third movement)

Motive a: mm. 391 - 413
Motive b: mm. 414 - 421
Motive a: mm. 422 - 437
Motive b: mm. 438 - 457
Motive a: mm. 458 - 473
Motive b: mm. 474 - 484

Allegro vivace.
A pedal point on the tonic A major (V/D) prepares for the "recapitulation" or return of the P material in the subdominant key. The initial "hunting motive" of the P theme, presented in mm. 485 - 487 in the winds, prepares the listener for the full re-entry of this theme. Measures 497 - 770 are comparable in structure to mm. 109 - 366, the "exposition". The S material is now in the tonic key. However, the end of the closing theme (mm. 739 - 770) is full orchestra alone, providing a brief respite for the pianist before the lengthy coda begins.

This coda is over 200 measures in length, encompasses all registers, and features a winding new melody. It is shown in Figure 20.

Figure 20

The orchestra presents the P theme in diminution in m. 811. Arpeggiated figurations in the piano, coupled with motivic declamations in the orchestra, unite the coda with preceding material. Measure 820 yields an interesting inversion of the octave leap: this time it is descending rather than ascending! Figure 21 illustrates this.
Repetition of other motives is notable: the source of m. 835 in the flute is from m. 391; m. 847 in the piano is from mm. 335 and 715. At m. 859, the coda seems to begin again, typical of the question-answer format of this entire movement. Strings and winds interject the P theme in mm. 883 - 898. After much sequencing which builds tension and momentum, the solo piano and orchestra crescendo in mm. 907 - 910, culminating in a subito piano in m. 911. The ensuing section is a light, elegant dance in the piano, with orchestral punctuation. The orchestra continues to provide punctuation and dialogue in mm. 943 - 966, but the piano reigns alone until m. 967, when the full orchestral timbre blends and doubles with the piano sonority until the double barline at the close of the concerto.

It is evident that the lengthy coda of this movement is a significant part of the structure. It serves to further develop as well as
summarize preceding material of the entire concerto.

The concerto is unified by many cyclic connections, including motivic, rhythmic, melodic, and harmonic elements. The five musical elements of Sound, Harmony, Melody, Rhythm, and Growth will be discussed in further detail in Part Three.
Endnotes


23. Paul Henry Lang, editor, *op. cit.*., p. 82.
PART THREE

Each of the elements of Sound, Harmony, Melody, Rhythm, and Growth embodies many parameters which contribute to its character. By examining these components, as well as additional pertinent items, a better understanding of the concerto will result.

Sound

Among the components contributing to a style analysis of Sound are: timbre, range, texture, and dynamics.¹ A discussion of the orchestration is of paramount importance in the analysis of this concerto.

The "classical" scoring, for two flutes, two oboes, two clarinets (A and B-flat), two bassoons, two horns (C, A, F, E), two trumpets (C), timpani (A, E, C, C) and strings, omits trombones, "with which Schumann often clouded up his scores".²

Much has been written about Schumann's lack of expertise in his orchestrations. General criticisms include: Schumann's lack of formal training; use of brass for "padding" or filling out the texture; over-emphasis of middle parts; over-prominence of bass lines (e. g., string basses doubled by bassoons and trombones); and top voices
Weakened by using woodwinds in less effective registers or by too much doubling in melody lines. 3

There are some awkward parts in the orchestration of Schumann, and it does not seem to be one of his strongest facets. In the Piano Concerto, however, this factor does not seem to be nearly as prominent as in some of his purely symphonic works. Also, this issue of the weakness of Schumann's orchestration has become a point of exaggeration among musicologists, performers, and conductors alike.

George Szell discusses this matter when referring to the symphonies of Schumann:

While his position as a composer of piano music, of songs and also of chamber music seems established beyond doubt, I find Schumann's merits and his influence as symphonic composer sadly underrated. . . . The symphonies undergo eclipses not because of their intrinsic weaknesses, which are negligible, but because of the fallacy that Schumann did not know how to write for the instruments of the orchestra, that his scoring is "muddy" and that it is "inflated pianoforte music with mainly routine orchestration", as the contributor to the last edition of Grove's dictionary puts it. This opinion is too fatuous to merit refutation. Schumann's symphonies are orchestrally conceived, if not altogether expertly realized, and the inspiring image of orchestral sound can be found often enough in his piano works. . . . Schumann's shortcoming as orchestrator -- apart from minor lapses due to inexperience -- is his inability to establish proper balances. This can and must be helped with all means known to any professional conductor who professes to be a cultured and style-conscious musician. 4

Another aspect of Schumann's scoring is the interesting parallel between the piano texture and the orchestral texture.
The persistent thickness of texture of Schumann's piano music, like the technical demands it makes in its successions of massive chords, its full-blooded leaps from one register to another, in short, the sense that it is pressing towards the limits of what two hands can encompass -- this tempts one to think that Schumann hears such music in terms of full orchestral sound. . . . At the same time his orchestral timbre is for the most part an undifferentiated mass, like the aggregate tonal product of his piano music -- indeed, often sounding like perfunctorily orchestrated piano music.5

A varying opinion is expressed by another writer:

What is overlooked by . . . critics is that Schumann may have written a thick symphonic texture simply because he wanted it that way. An interesting parallel may be found in the piano works, generally conceded to be Schumann's finest compositions. How often one finds an unusually thick texture, with four- and five-note chords in each hand, frequently duplicating the notes of one hand in another. . . . Conversely, over and over in the piano works there are suggestions of orchestral color (especially the omnipresent Romantic horn-calls) which may give further substance to the validity of drawing a textural analogy between the orchestral and the piano compositions.6

Another writer supports this concept further:

In his book Style and Idea Arnold Schoenberg effectively contradicted the frequently encountered nonsense about Schumann's "poor" orchestration by stating that if the orchestration were changed, much of the typically Schumannesque quality of these works would be lost. Schumann wanted certain tone colors and especially wanted blends of tone, subject to the natural limitations of the brass instruments... and we should not blame the composer for not wanting his orchestral works to sound like those of Mendelssohn or Berlioz.7

In this concerto, Schumann utilizes the orchestra in many different ways. "The scoring is outstanding for its delicacy and restraint, and in no other work does Schumann show such understanding of the personality of each instrument as an individual."8
The orchestra / piano relationship in the concerto was of particular concern to Schumann, and the piano and orchestra parts are subtly enmeshed. In his Neue Zeitschrift für Musik in 1839, Schumann wrote:

And so we must await the genius who will show us in a newer and more brilliant way, how orchestra and piano may be combined, how the soloist, dominant at the keyboard, may unfold the wealth of his instrument and his art, while the orchestra, no longer a mere spectator, may interweave its manifold facets into the scene.

Clara Schumann described the second movement as an "impassioned conversation between the orchestra and the soloist, though at times very gentle and kindly." The piano and orchestra are in constant dialogue in this movement, as well as in portions of the other movements.

The use of varying timbres provides interest throughout the concerto. Schumman's careful treatment of Sound can be discerned in large, middle, and small dimensions of the work.

In the large dimensions of this concerto, Schumann uses varying combinations of timbres not only for musical interest, but to delineate the overall form of each movement and the work as a whole. For example, the scoring of the first and third movements is thicker than that of the second movement. This enhances the more intimate character of the second movement.

Within each movement, this technique of different timbre combinations clarifies the form. Each thematic function is set apart by its
own timbre. One example is the use of wind instruments to present the P theme in the first movement, contrasted with the use of strings and piano arpeggiation at T^1.

Within the different sections of each movement (middle dimensions), Schumann varies the element of Sound. The new melody of the third movement (m. 391, oboe) is exemplary: its "imaginative scoring throws up in sparkling new light with every repetition".11

Dynamics are generally graduated; Schumann adds instruments to the texture and expands the range to achieve a crescendo. One illustration of a diminuendo which is implied by orchestration as well as by instructions written in the music is found in mm. 147 - 156 of the first movement. As instruments gradually drop from the texture, a diminuendo is implied as well as stated.

Because of Schumann's creativity with Sound, phrases and motives (small dimensions) are colorful and varied. The cello theme (B) in the second movement demonstrates this. "Its reinforcement by violins, an octave higher, at the climax is an instance of the composer's addiction to doubling proving a stroke of genius."12 The orchestral recall of the first theme which links the second and third movements is another example.

By analyzing these varied combinations of timbre, range, texture, and dynamics, the element of Sound becomes more meaningful. This is apparent in large, middle, and small dimensions.
Although movement relationships, key schemes, and several harmonic features were discussed in Part Two of this document, the study of the element of Harmony can be extended further. Harmony was of utmost significance to Schumann. He wrote: "We have learned to express the more delicate nuances of feeling by penetrating more deeply into the mysteries of harmony". "Florestan" wrote that "music resembles chess. The queen (melody) has the greatest power, but the king (harmony) decides the game."^13

In analyzing the element of Harmony in this concerto, several components will be discussed, including counterpoint, harmonic rhythm, and nonharmonic tones. These items are significant in large, middle, and small dimensions.

Regarding the large dimension of tonality, one writer notes that the minor key was typical of the period in which the concerto was composed. "By 1830 the tendency of German romanticism was towards melancholy. Thus Mendelssohn, as Schumann, found it convenient to notice, by tonal reference, the prevailing sentiment".^15

Counterpoint is an integral feature in this concerto. In 1840, Schumann studied the Well-Tempered Clavier of J. S. Bach, and in 1841 he supplemented this with a study of Beethoven's orchestral scores. In 1845, the study of the music of Bach became more intense. Clara Schumann wrote about her husband's interest in counterpoint: "He himself has been seized by a regular passion for fugues, and beautiful
themes pour from him”. Robert Schumann wrote: “From 1845 onwards, when I started to invent and work out in my head, a quite different way of composing began to develop.” This new interest in counterpoint is especially apparent in the third movement, which was composed in 1845. The first subject (P) in this movement undergoes a lengthy fugato treatment in the "development" section.

However, contrapuntal writing is evident in other portions of the concerto. A contrapuntal conception is evident in much of the first movement cadenza.

In middle and small dimensions, imitation is prevalent. Schumann creates the impression of counterpoint by harmonizing a melodic line with an active rhythmic figure. The impression of more voices is created because of numerous entries, and the number of voices is obscured by overlappings.

The interesting and varied pacing of the harmonic rhythm plays an important role in the total element of Harmony in this concerto. One writer discusses this aspect of the third movement:

One of its secrets lies in the variety of its harmonic rhythm, which traces large spans across the bar lines, alternating with quick changes. Suspensions and dissonances, too, stimulate the ear in a seemingly reckless flow of enharmonic changes that Schubert would have loved.

Another writer states that "another typical device (of Schumann) consists of powerful march-like passages, with full chords in both hands and a fast harmonic rhythm".
Since the Urline of the opening P theme serves as the core of the concerto, different harmonizations of this material are of primary importance. The varied harmonic structure defines and differentiates each theme.

Other harmonic components are creatively utilized to achieve a palette of color: chromatic harmonies, distant modulations, key juxtaposition, pedal points, diminished and extended chords, and the use of nonharmonic tones.

Schumann's bass lines are superb, and his harmonic imagination is best shown through a lavish use of inversions and secondary dominants. Schumann, as well as Chopin, was an innovator in writing around but avoiding the tonic... and thus directly contributed to the "psychological tonality" of Liszt and Wagner. 21

**Melody**

The components of range, motion, patterns, and function are relevant and significant aspects in the analysis of Melody. It is from variation and development of these components that Schumann achieves the melodic interest in this concerto.

In Part Two, the motivic structure of each of the themes of the concerto was defined, and it became apparent that each theme was derived from the same kernel or Urline. Some writers have theorized that the basic theme (P) of this concerto, as well as themes of several of Schumann's other works, is a musical transcription of the name "Clara". This theory maintains that the letters C - A - A are
used, and that for the missing letters there are various possibilities, the simplest of which would be a stepwise contour, such as:

\[C\ B\ A\ G^\#\ A\]

\[C\ L\ A\ R\ A\]

Schumann wrote of his extramusical allusions, especially famous in *Carnaval*, but it is not known to what degree this feature is inherent in his compositional process. Although this theory could be twisted to effectively apply to the P theme of this concerto, this writer questions its validity in this instance. However, the concerto is extremely cohesive and unified in its motivic and melodic conception. Yet, within this limited framework, Schumann is able to achieve a tremendous variety of themes; it is significant "that so much melody has been made to come from so few sources".

The element of melody is important in large dimensions because it helps to delineate the form. The range is wider in the outer movements, and more intimate and confined in the second movement. The outer movements are further differentiated.

The closing allegro vivace is very nearly as lavish melodically as the opening movement. Its themes are perhaps less hauntingly tender, although, as one would expect in a concerto finale, they are on the whole brighter and more robust.

Schumann also employs alternations of mode to create different thematic characters. In large dimensions, this is especially obvious in the joyous major tonality of the last movement, contrasted to the
opening minor theme of the first movement.

In middle dimensions, varying ranges are utilized with the different themes. As each theme is developed, its range increases. For example, in the third movement coda, "the piano embarks on a long moto perpetuo whose span grows increasingly wider the further it goes". Contrast is achieved in the second movement by narrow, primarily stepwise motion in the A section, and wide intervals in the B section melody.

Alternations of mode are significant in middle dimensions. For example, in the first movement, the major tonality of the N(P) theme in the development (m. 156) enhances the contrast and new mood which occurs.

The Passionato theme of the first movement (m. 205) provides another example of Schumann's creative use of Melody. "The sustained melodic invention marks out the unconventional nature of this development, as does the philosophical fall through chromatic harmonies into the recapitulation".

Schumann uses another prominent technique in middle dimensions: often he formulates a melody from a fragment of his accompaniment. Conversely, fragments of his themes are then used as accompanimental figurations, and in imitative, stretto, and sequential passages. The interplay of motives, harmonies, and rhythms provides musical interest.

Melodic transformation is very obvious in small dimensions as well; there are melodic and rhythmic motivic relationships within and
among movements. By slight variations in range, motion, or contour, a multitude of melodic patterns is established.

Rhythm

"To study rhythm is to study all of music. Rhythm both organizes, and is itself organized by, all the elements which create and shape musical processes." This statement summarizes the purpose of Grosvenor Cooper and Leonard B. Meyer in their study of rhythm. They believe that an analysis of each of the architectonic levels of rhythm is of fundamental importance in an analysis of music.

As movement of all kinds, especially melodic and harmonic movement, beginning on the lowest architectonic level, grows into larger and larger spans of time with cumulative effect, the shape of a piece -- its tonal configuration in time -- gradually emerges. And it is this shape, on all its levels of movement, which is the object of the art which we call "analysis". To practice this art, we need as many good implements as we can get, and we need to sharpen, perhaps reshape them, with use.

Rhythmic structure is, of course, only one aspect of this shape. But because it is a summarizing aspect, an understanding of rhythm -- perhaps more than that of any of the other organizing forces of music -- reveals in delicate detail as well as in dynamic development the full richness of the processes which create and mold musical experience.

Several components must be considered in an analysis of the element of Rhythm: surface rhythm, meter, tempo, textural rhythm, and additional rhythmic variants.

In the large dimension, the most notable and famous example of Schumann's rhythmic creativity is the second subject of the third
movement. This passage, shown in Figure 17 (page 41 of this document) is the rhythmically displaced second theme. Although it is written in 3/4 meter, it creates an effect of 3/2 meter.

... one of Schumann's most ingenious rhythmic experiments: it is ingenuity better appreciated on paper or by watching the conductor's down-beat cutting through silence (or a tie) in alternate bars than with the ear alone, which, after momentary bewilderment, adjusts itself by transforming the passage into simple 3/2:

\[ \frac{3}{2} \quad \ddot{d} \quad \ddot{d} \quad \ddot{d} \quad d \quad d \quad d \quad d \quad \frac{29}{d} \]

Then, "witness the consummate ease and grace with which, after four varied repetitions of \[ \ddot{d} \quad \ddot{d} \quad \ddot{d} \quad d \quad d \quad d \quad d \quad \frac{30}{d} \], he restores to us the feeling for 3/4 time."

Because of this rhythmic displacement, "many an orchestral conductor has here met his Waterloo, to the immense (if suppressed) glee of his armed forces". This particular performance difficulty seems to be one of the more notorious aspects of this concerto; there are many anecdotes about the perils it can present.

Clara Schumann's first London performance of the Piano Concerto in 1856, was a disaster because of a rhythmic misunderstanding. She wrote to Brahms: "Dr. Wylde (the conductor of the New Philharmonic Society) . . . could not grasp the rhythm of the last movement. At the performance he put the orchestra quite out . . . ."

The waltz-like coda of the last movement features great rhythmic drive. This is intensified by the perpetual motion of the piano, orchestral punctuations, accents, and dynamics.
Unexpected barline positioning is also a facet of middle dimensions of the concerto. One example is \( T^1 \) of the first movement, shown in Figure 3 of this document (pp. 22 - 23). The barline positioning does not seem to coincide with the inherent rhythm of the thematic material; the barline sounds a beat earlier than when it actually is present, which seems to be characteristic of much of Schumann's writing. \(^{33}\)

The metronome markings in this concerto have been a subject of controversy among performers and musicologists. The half note equals 84 at the beginning seems fast, and one wonders whether it is intended to refer to the Animato of m. 67. After a comparative study of the concerto with the original manuscript, Malcolm Frager noted that Clara did not alter any metronome markings in her edition. He states:

> In spite of years of differing tradition, I believe that these original metronome markings have validity. . . . The opening Allegro affettuoso is marked \( \text{\textbf{\small \text{\textdollar}}=84} \), which is very fast. The A-flat major section in the first movement and the opening of the last movement are both marked \( \text{\textbf{\small \text{\textdollar}}=72} \). I have come to believe that Schumann did not originally intend the Andante espressivo to be played too slowly nor the finale too fast. The intermezzo, which is marked Andantino grazioso, \( \text{\textbf{\small \text{\textdollar}}=120} \), should not be too slow. . . . I believe that the metronome markings which Schumann gave indicate the tempos he originally intended. Even if he later changed his mind (although there is no evidence to this effect), I think we should at any rate take his original ideas into consideration.\(^{34}\)

In the small dimensions of the concerto, rhythm is influenced by factors such as: melody, beat placement, articulation, harmony, instrumentation, syncopation, hemiola, accents and sforzandos,
suspensions, and syncopated harmonic rhythm. His "penchant for dotted rhythms is evident in the forceful introductory figure in the solo piano which leads to the principal theme".

The sextuplets in the first movement cadenza exemplify another facet of Schumann's rhythm: "again, it is not only the persistent rhythm, but also the harmonic progressions, which are made more forceful and convincing if semiquavers and triplets coincide".

It is each minute detail and every microrhythmic component that combines to give the concerto its rhythmic effectiveness. From fractions and beats to larger modules such as phrases, sentences, and sections, there is tremendous vitality and variety. In the P theme, every bar, apart from the first and third, is rhythmically different.

In addition, the element of Rhythm both reinforces and is reinforced by the other musical elements.

... dynamics, texture, orchestration, and character, as well as melody and harmony, can play important parts in the analysis of rhythm. Indeed, a satisfactory rhythmic analysis can be said in some sense to summarize the effects of these factors.

Growth

The element of Growth embodies the balance of unity and variety throughout a work. LaRue describes its function as follows:

The five basic elements do not stand on a completely equal footing. Taken singly in isolation, S, H, M and R in most cases cannot individually maintain successful musical structures. ... As a result, they typically function as contributing elements. Growth, however, develops a dual
existence as both the emerging product and the adjusting matrix of the other four elements: it is the combining, controlling element, absorbing all contributions into the simultaneous processes of Movement and Shape. Owing to this combining function, Growth stands somewhat apart from the other elements in character, yet at the same time it usually maintains a closer relationship to each of them than they to each other.

Equally important are the potential conflicts with articulations in other dimensions, what we might call "dimensional stratification". A well-crafted piece owes much of the conviction of its flow to the confirmation of articulations in different dimensions. 39

Unity and variety are indicators of the element of Growth. It may seem that these two components represent opposite poles; however, an effective combination of unity and variety creates musical meaning.

For instance, the first and second subjects of a sonata are usually considered as contrasting, certainly not as identical or even related manifestations. In reality, however, they are contrasting on the surface but identical in substance. In fact, it is this being "different on the surface but alike in kernel" in which is centered the inner process of musical structure of the last centuries. 40

Unity and variety are inherent features of this concerto. Both components are embodied in the five "SHMRC" elements.

Unity results from the essentially monothematic structure of this concerto, which is based on a singular conception of thematic contour (the "Urlinie"), rhythmic, harmonic, and motivic relationships within and among movements, and in various micro-details throughout the concerto.

Schumann's stylistic characteristics are evident everywhere: in the fiery passages representing Florestan and the introspective passages depicting Eusebius, the two imaginary extremes of the composer's personality; in the dramatic dotted-note rhythms
which are Schumannesque cliches; in the long melodic passages with the theme on top and the accompaniment falling below; in the rich sonorities of the widely-spaced open chords; in the Bach-like polyphonic texture; and most significantly, in the fact that Schumann never writes for mere virtuosic effect.\(^4\)

The unique, personal style of Schumann pervades the concerto.

... the originality of Schumann's concerto lies, as with all his music, in the originality of his lyrical romantic imagination, not in individual features of structure or formal conception. And his Piano Concerto, perhaps uniquely among all his extended works, sustains this originality throughout its three movements with a sureness of touch made the more miraculous by the length of time over which it was composed and the alarming deterioration of his physical and mental condition.\(^4\)

Variety is achieved through varied orchestration; thematic compression and transformation; harmonic changes; changes of tempo, rhythm, and accent; varied accompanimental figurations; and continuous development, including sections such as the exposition and coda.

The element of Growth embodies many features, the most difficult of which is impossible to analyze: the spiritual realm of the composer's personal emotions and soul. Both the inward emotional aspect and the outward compositional product are intertwined. For example, although Schumann is usually considered the culmination of purest romanticism, his whole idea of compositional creation is rooted in structural conceptions.\(^43\)

One may well wonder whether our current theoretical schematisms, dividing compositions into all kinds of sections, subjects, bridges, and so forth, can really account for the whole of what constitutes musical form. Even if these schematisms should prove to be right -- that is, to bear some resemblance to the reality of the great compositional practice -- they can
only describe the more outward, ephemeral attributes of the complex and mysterious process through which "form" manifests itself in music. There must be stronger forces at work, shaping a composition's content, determining why one section follows the other, influencing its proportions and interrelations, and establishing that the whole has not only quantitatively but also qualitatively a different effect from its single parts.44.

The most important product in an analysis of Growth is the understanding of this role of the personal feeling of the composer.

What is to be demonstrated is only that an interrelationship between the thematic and spiritual spheres does exist — and that it must have existed while the composer formed his work. . . . Once the structural idea of a composition is thoroughly established, it is left to the individual to reproject the structural idea into the spiritual sphere and interpret the work according to whatever symbolism may seem to him fitting.
Endnotes


6 Kathryn Obenshain, *op. cit.*, p. 31.


12 Ibid., p. 174.


17 Ibid., p. 59.


21 Ibid., p. 124.


28 Ibid., p. 182.


31 Ibid., pp. 427 - 428.


37 Alfred Nieman, op. cit., p. 247.


39 Jan LaRue, op. cit., pp. 11, 133.


41 Wendell Nelson, op. cit., p. 64.

42 Ronald Taylor, op. cit., p. 245.

43 Rudolph Reti, op. cit., p. 295.

44 Ibid., pp. 104 - 105.

SUMMARY, CONCLUSIONS

This document explored the background of this concerto, the factors which influenced Schumann, and early performances. Reception by publishers and critics was discussed.

Through a traditional formal analysis, the cohesive thematic conception of this concerto was demonstrated. The macro-form and micro-form were analyzed in all three movements.

The five elements of Sound, Harmony, Melody, Rhythm, and Growth were discussed. Various components were shown to be significant in achieving the unity and variety characteristic of this concerto.

Finally, the spiritual and emotional content of the work, which defies any sort of analysis, was acknowledged. This very personal aspect transcends all analytical systems.

Thus, although analysis is an extremely helpful tool in understanding a composition, it cannot possibly explain and master the grandeur of a work.

... even the most sensitive musical analysis artificially freezes a motion art. In this laudable attempt to understand more of the sources of movement than can be grasped during the fleeting impressions of performance, when we stop the motion, we naturally lose some precious flexibilities and subtleties; against these losses, however, we gain new depths of understanding that we could hardly hope to achieve even by repeated hearings.
Analysis plays a vital role in the understanding of a composition. However, "the last magical content of any work of art, and of musical works in particular, will never yield entirely to intellectual comprehension."²
Endnotes


APPENDIX

Score of the Concerto
KONZERT
für das Pianoforte mit Begleitung des Orchesters
von
ROBERT SCHUMANN.
Op. 54.

Allegro affettuoso.

Flauti.
Oboi.
Clarinetti in A.
Fagotti.
Corni in C.
Trombe in C.
Timpani in A.E.
Pianoforte.

Violino I.
Violino II.
Viola.
Violoncello.
Basso.

Allegro affettuoso.
Accelerando poco a poco.
INTERMEZZO.
Andantino grazioso. 4 3 4 114
Clar. in B.
Fag.
Cor. in F.
Andantino grazioso.
Andantino grazioso.
Fag.
Allegro vivace.
BIBLIOGRAPHY

Books


Periodicals and Journals


Unpublished Works


