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AN EXPLORATION OF THE GENERIC PARAMETERS IN THE *PIANO CONCERTO OP. 54* BY ROBERT SCHUMANN

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AN EXPLORATION OF THE GENERIC PARAMETERS
IN THE *PIANO CONCERTO OP. 54*
BY ROBERT SCHUMANN

A Master's Thesis

by
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To Neva and Zelal



AN EXPLORATION OF THE GENERIC PARAMETERS
IN THE *PIANO CONCERTO OP. 54*
BY ROBERT SCHUMANN

The Graduate School of Economics and Social Sciences
of
İhsan Doğramacı Bilkent University

by

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June 2024

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CONCERTO OP. 54 BY ROBERT SCHUMANN
by BATURAY KÖSOĞLU

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ABSTRACT

AN EXPLORATION OF THE GENERIC PARAMETERS IN THE *PIANO CONCERTO OP. 54* BY ROBERT SCHUMANN

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Starting from the question of the purpose behind its composition, this thesis examines how Robert Schumann's *Piano Concerto Op. 54* synthesizes innovative ideas within a traditional framework and restructures the individual's relationship with society within the context of romantic ideology. The theoretical framework of the thesis comprises two main chapters. The first chapter focuses on Schumann's critical ideas on music and his reasons for composing this concerto. In the second chapter, the analysis of the work in terms of genre and style is conducted based on Hepokoski and Darcy's sonata theory. This methodology has demonstrated the extent to which Schumann adhered to and deviated from classical formal principles in this concerto. The results indicate that Schumann's creative vision reflects his efforts to rectify the tendencies that he criticized in contemporary piano concertos. As a result, *Op. 54* is regarded as a cultural legacy representing Schumann's endeavor to combine his innovative mindset with his respect for tradition. In a broader context, this concerto emphasizes a new individual-society relationship that supports the ideal of a collective unity.

Keywords: Schumann, Piano Concerto Op. 54, Sonata Theory

ÖZET

ROBERT SCHUMANN'IN *OP. 54 PİYANO KONÇERTOSU*'NDAKİ TÜR VE STİL ÖZELLİKLERİNİN İNCELEMESİ

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Bu tez, Robert Schumann'ın *Op. 54 Piyano Konçertosu*'nun ne amaçla yazıldığı sorusundan hareketle, eserin geleneksel çerçevede yenilikçi fikirleri nasıl sentezlediğini ve romantik ideoloji bağlamında bireyin toplumla ilişkisini nasıl yeniden yapılandırıldığını incelemektedir. Tezin kuramsal çerçevesi iki ana bölümden oluşur. İlk bölümde, Schumann'ın müzik hakkındaki eleştirel düşüncelerine ve bu konçertoyu besteleme nedenlerine odaklanılarak, eserin bestelendiği dönem ve koşullar ele alınmıştır. İkinci bölümde, Hepokoski ve Darcy'nin sonat teorisi temel alınarak eserin tür ve stil açısından incelemesi yapılmıştır. Bu metodoloji kapsamında gerçekleştirilen analizler, Schumann'ın bu konçertoda klasik form ilkelerine ne ölçüde sadık kaldığını ve bu ilkelerden sapma nedenlerini göstermiştir. Sonuçlar, Schumann'ın yaratıcı vizyonunun, çağdaş piyano konçertolarında eleştirdiği eğilimleri düzeltme çabasını yansıttığını ortaya koyar. Bunun sonucu olarak *Op. 54*, Schumann'ın yenilikçi zihniyetini ve geleneğe olan saygısını birleştirme çabasını temsil eden bir kültürel miras olarak değerlendirilmiştir. Geniş bir bağlamda bu konçerto, kolektif birlik ideallerini destekleyen yeni bir birey-toplum ilişkisine vurgu yapmaktadır.

Anahtar Kelimeler: Schumann, *Op. 54 Piyano Konçertosu*, Sonat Teorisi

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CHAPTER I

INTRODUCTION

The concept of form in the music of Robert Schumann, whose career began with the sets of character pieces that he composed for the piano (thereby making significant contributions to piano literature) has been a subject of examination from the past to the present. Here, form refers to the instrumental character pieces which Schumann perceived as “small forms”, contrasting with the large-scale forms (such as sonatas, concertos, and symphonies) which he regarded as “high forms” (Daverio, 1993:21-22). For Schumann, small forms symbolized innovation and progress, whereas large forms represented his reverence for the past. Throughout the 1830s (a period that marked one of the pivotal points in his compositional career), Schumann consistently drew attention and attempted to establish a dialectic between these two elements in his works and critical writings.

Indeed, the most exemplary instances of this synthesizing thought structure have been observed in Schumann’s compositions in sonata form. In addition, noteworthy are

Schumann's chamber music compositions and other large-scale works that he composed in the early 1840s, representing a new period and understanding in his creative output. The *Piano Concerto Op. 54*, composed during this period, holds critical importance as it represents Schumann's continued development of his new understanding and his synthesizing and unifying mindset established in his compositions in the sonata form during the previous years. Drawing from the question of its compositional purpose, this thesis will illustrate how the *Piano Concerto Op. 54* synthesizes innovative ideas within a traditional framework, and reconfigures the individual's relationship with society within the context of romantic ideology.

The theoretical framework of the thesis will be presented in two main chapters. The first chapter will delve into the period and conditions in which the *Piano Concerto Op. 54* was composed, with a focus on Schumann's critical ideas about music and the reasons that propelled him to compose this concerto. The methodological foundation of the second chapter, which examines the work in terms of genre and style, will be based on Hepokoski and Darcy's (2006) sonata theory. After introducing this framework, a series of analyses will proceed to examine each of the three movements that constitute the work (i.e., the *Phantasie*, *Intermezzo*, and *Rondo*) in terms of harmonic syntax, formal structure, and genre. The purpose of these analyses is to determine the extent to which Schumann adhered to classical formal principles and the reasons behind his deviations from these principles. Following the analyses, the conclusions reached will be discussed under an additional section emphasizing the sociocultural significance of the work.

CHAPTER II

THE GENESIS OF THE *PIANO CONCERTO OP. 54*

2.1. Schumann the Critic

The ensemble of the stylistic properties of Schumann's *Piano Concerto Op. 54*, as well as his complete oeuvre, is better understood with a retrospective approach on his identity as a music critic on which he spent considerable amount of time forming during the 1830s. Schumann's role as the founder and editor-in-chief of the *Neue Zeitschrift für Musik* laid the foundations for the formation of the dual nature of his persona both as a musician and music critic. The *NZfM*'s primary objective was clear: Battle against the prevailing musical aesthetics in Germany. This notion was promptly hinted at a motto (Plantinga, 1967:11) from the first issue of the journal:

Only they
That come to hear a merry bawdy play,
A noise of targets, or to see a fellow
In a long motley coat guarded with yellow,
Will be deceived.

Shakespeare

These lines suggest that only those who attend a theater for light entertainment, such as a lively spectacle with colorful costumes will be disappointed. In alignment with the satirical connotation of these lines, Schumann embarked on a quest to fight against the ostentation, mediocrity, degradation and vulgarism overriding the musical norms back in the day. Schumann's ideal stemmed particularly from his intolerance towards tasteless, shallow, and pretentious music and performances of composers and virtuosos exalted by bourgeoisie at that time.

In the 1830s, Parisian piano music dominated the European musical circles with its dazzling yet accessible compositions. Schumann and his contemporaries were disturbed by this tendency and founded the *Neue Zeitschrift für Musik* to challenge it. The *NZfM*'s main focus was on piano music. The journal aimed at fighting against mediocrity, foreign influences and works deprived of artistic inspiration. For Schumann, the *NZfM* served as a medium of individual and collective advocacy and constituted a voice for a larger community of sincere artists. The journal was known for its appraisal of composers such as Schubert, Chopin and Berlioz, whereas other publications praised virtuoso pianists and popular opera composers. (Plantinga, 1967:21). In a broader sense, the *NZfM* targeted a specific audience including musicians and music lovers, providing a space for conversations on music and its cultural implications, and advocating for a revival of older masterpieces by composers such as Mozart, Beethoven, and Bach to ensure that artists' abilities were properly challenged and showcased (Schumann, 1988:192-193). In sharp contrast to conventional journals, the *NZfM* placed greater emphasis on informative musical content rather than entertaining critiques of performances, and welcomed discussions on various disciplines, reflecting a blend of

Schumann's own progressive mindset and his respect for tradition (Plantinga, 1967:46-49).

As far as the newly-emerged virtuoso style was concerned, Schumann observed that virtuosos often based their compositions on pre-existing music, especially favoring fantasias and variations on operatic tunes. According to him, the problem with this type of practice was not a matter of genre, but what he perceived as shallow and tasteless style in playing and extravagant brilliance in compositional style. His reviews therefore expressed his frustration at the excess of these tendencies dominating the musical circles, which he felt was a distraction from more substantial piano works with greater expressive depth and intellectual significance (Plantinga, 1967:196-198).

On the other hand, Schumann's appraisal (1988:112-114) of the works by particular composers was noteworthy. These were some sonata compositions by Mendelssohn and Schubert, considered to be excellent examples of the sonata form. Mendelssohn's works were recognized as early indications of his later masterpieces, showcasing poetic originality. Schubert's sonatas received high acclaim, praised for their impeccable structure and material. Schubert was esteemed as a remarkable musician, akin to Beethoven, and celebrated for his profound expressiveness and ability to conjure up a range of sensations and emotions.

A source of Schumann's discontent for the concertos of the time was also evidenced by Plantinga (1967:203-204) with an article entry on the *NZfM* by Schumann himself in 1839:

This severing of the bond with the orchestra, as we have seen, was long in preparation. Modern pianistic art wants to challenge the symphony (orchestra), and rule supreme through its own resources; this may account for the recent dearth of piano concertos, and of original compositions with (orchestral) accompaniment in general. This journal, since its founding, has reviewed practically all the new piano concertos; in the past six years there have been only about sixteen or seventeen - a small number compared to former times... Surely it would be a loss, should the piano concerto with orchestra become entirely obsolete; but on the other hand, we can hardly contradict the pianists when they say, "We have no need of any assistance; our instrument can achieve a complete effect entirely by itself." And so we must confidently await the genius who will show us a brilliant new way of combining orchestra and piano, so that the autocrat at the keyboard may reveal the richness of his instrument and of his art, while the orchestra, more than a mere onlooker, with its many expressive capabilities adds to the artistic whole.

An exemplary argument is found in another article entry by Schumann from an earlier issue of the *NZfM* (Plantinga, 1967:204-205):

I am going to reprimand the composers of concert-concertos (no pleonasm intended) on two counts. First, the solos are all finished and ready to go before the tutti - unconstitutionally enough, for after all the consent of the parliament, that is the orchestra, should be necessary before the piano undertakes a thing. And why not begin at the real beginning? Was our world created on the second day?... I'll wager that Herr Kalkbrenner devised his introductory and internal tutti later, and merely shoved them into place...

The combination of these critical writings surely points out the fact that many of these works lacked the depth and complexity expected from such a substantial musical form, often manifested in an imbalance where the piano overpowered the orchestra. Therefore, Schumann deplored the decline of the conventional piano concerto structure, highlighting the lack of original compositions accompanied by orchestras.

On the contrary, in a review (Schumann, 1988:198-199) of Mendelssohn's *Piano Concerto No. 2*, for instance, Schumann praised the composer's ability to prioritize musical expression over virtuosic display. He noted that while the concerto did not offer as many opportunities for bravura technique, its musical substance was undeniable. These accounts foreshadow that the element of virtuosity was to be treated with great

care in Schumann's own *Piano Concerto Op. 54*, and the problems concerning the roles of the piano and the orchestra were to be given special attention in establishing a symbiotic relationship between both.

2.2. Composition of the *Piano Concerto Op. 54*

The genesis of Schumann's *Piano Concerto Op. 54* can only be understood with a retrospective look at his opinions on the sonata and concerto forms, genres which he regarded as outdated genres. In the 1830s, Schumann's character piece cycles for the piano, as well as his innovative approach¹ in synthesizing the past and present in his sonata-form compositions, serve as evidence of this perspective. However, Daverio (1997:125) draws attention to Schumann's exhortation at the end of the 1830s to "turn away from the smaller forms and towards the higher genres such as the sonata and concerto". Schumann's changing thoughts on this matter complicate the understanding of his views on the forms mentioned above. When considered in relation to his previously explained music criticism, it is apparent that the issue here is not specific to genres or forms, but rather pertains to the content and quality of the works produced at the time. Indeed, Schumann's dissatisfaction on the relevant matter can be explained by factors such as the rarity of original qualities achieved in the sonata form by only a few composers like Schubert and Mendelssohn, the imbalance between soloist and orchestra in the concerto form, and symphonies being unable to surpass "pale imitations of Beethoven" (Daverio, 1997:125). When considered in this perspective, it is understood

¹ Schumann, a critic and composer in the 1830s, believed that traditional musical forms like the sonata and other genres were losing their relevance and becoming obsolete. He urged composers to seek out new, innovative forms. He saw the classical forms in a state of decay, but believed that composers should embrace alternative modes of organization (Daverio, 1993:21-22).

that Schumann defended that the products of the past should neither be blindly replicated nor completely abandoned. Therefore, the need for fusion aimed at combining respect for past values with enthusiasm for innovation is the most important aspect in understanding the synthesizing essence in Schumann's works. His *Piano Concerto Op. 54*, along with his subsequent symphonies and chamber works, were crafted as products of such mindset.

Schumann's intention to compose a concerto dates back to his youth. In this regard, Jensen (2012:81-82) mentions Schumann's E-flat Major and C minor concerto sketches, which he drafted at the age of eighteen. Although these works remained as drafts and were left unfinished, another concerto sketch from 1830 is noteworthy: The *Piano Concerto in F Major*. At that time, Schumann was eager to develop himself as a virtuoso pianist, yet the pieces at his disposal were insufficient to achieve this goal. Hence, he continued working on the *Piano Concerto in F Major*. Additionally, Schumann presented this draft to Hummel in the hope of becoming his pupil. However, when his plans to study with Hummel did not materialize, Schumann only wrote the solo part of the first movement of the concerto and left it incomplete (Jensen, 2012:91).

Another one of Schumann's attempts to return to higher genres was evidenced in a letter to Clara in 1839, indicating a draft of "something between a symphony, a concerto, and a large sonata" (Jensen, 2012:164). The piece in question was the *Piano Concerto in D minor*. Daverio (1997:237) asserts that a closer examination of the recently reconstructed work reveals how it anticipates the themes explored in the first movement of Schumann's *Piano Concerto Op. 54*. The *Piano Concerto in D minor* exhibited a limited set of themes, a departure from conventional formal structures, and a

deliberate avoidance of flamboyant virtuosic passages. Although left unfinished, this draft with the aforementioned characteristics foreshadowed a new era in Schumann's output.

A new and prolific period of changing perspectives in Schumann's compositional style is referred to as the "symphonic year of 1841" by Daverio (1997:222). During this period, Clara encouraged Schumann to broaden his horizons beyond piano music. As a result, he delved into orchestral compositions in which his compositional style became more refined and direct, reflecting his desire for recognition. His creative output during 1841 was varied and inventive, spanning from expansive *Symphony Op. 38* to compressed *Ouverture, Scherzo and Finale Op. 52*. The former displays a departure from typical symphonic conventions while demonstrating his mastery of the genre. Employing innovative techniques such as thematic transformation and intricate relationships between motifs, Schumann infused this work with a quality beyond traditional structural parameters pertaining to a symphonic composition. Building on its success, he further explored cyclic unity and structural experimentation in the *Ouverture, Scherzo and Finale Op. 52* (Daverio, 1997:222-229).

After the successive completion and premieres of the aforementioned works, Schumann started working on a single-movement *Phantasie for Piano and Orchestra*. The composition of the *Phantasie* in A minor was in close relation to his prior works and influenced by his evolving vision. By the spring of 1841, he completed the *Phantasie*, namely the first movement of what would later become the *Piano Concerto Op. 54*. This accomplishment marked a significant breakthrough for Schumann, who had

been experimenting with piano concertos for some time, including earlier attempts in F Major and D minor (Daverio, 1997:237).

Daverio (1997:236-237) also notes that Clara's performance of the initial version of the *Phantasie* offered valuable insights into Schumann's innovative approach. Clara drew attention to the seamless blending of the piano and the orchestra, emphasizing their collaborative and almost symbiotic nature. Schumann's meticulous attention to detail and his employment of a finely crafted partnership between these two entities laid the foundation for the concerto's enduring popularity. Furthermore, his exploration of thematic transformation, cyclic coherence and tripartite formal structure in the *Phantasie* stemmed from his earlier works during 1841. These attributes imbued the *Phantasie* with an overtly symphonic dimension. Despite its initial success, failure to find a publisher for the *Phantasie* forced Schumann to put it aside for four years. As a result, he had to turn it into a complete concerto by adding the second and third movements in 1845, after which a publisher was eventually found (Jensen, 2012:199).

Schumann's attempts in the symphonic genre were followed by problems in his private and professional life. This period was a challenging time for Schumann, as a composer torn between focusing on his own talents and ideals and supporting his wife's performance career. Amidst jealousy, guilt, anger and confusion², Schumann's ultimate prioritization of his own needs led to greater issues and occasional ruptures in their

² The issues mentioned here arose from disagreements regarding Clara's and Robert's careers. During one of Clara's concert tours, Robert had to return to Leipzig as he could not leave the *NZfM* unattended, causing Clara to continue her tour alone. Additionally, Robert was displeased when he was not invited to a reception after one of Clara's concerts. Furthermore, Clara's omission of Robert's works from her concert programs further exacerbated their relationship. As they endeavored to find a middle ground without disregarding their own needs, Robert's sentiments were summarized as above (Daverio, 1997:242-243).

relationship. This was around 1842 when he began to work intensively on chamber music compositions (Daverio, 1997:242-246).

Particular works from 1842 such as the *String Quartets Op. 41*, the *Piano Quintet Op. 44*, and the *Piano Quartet Op. 47* show Schumann's developing musical style and his emphasis on craftsmanship and clarity. Influenced by classical masters such as Beethoven and Mozart, Schumann integrated contrapuntal elements and monothematicism into these chamber compositions. His exploration of classical forms, fused with his lyrical sensitivity, provided works displaying both his desire for innovation and respect for tradition. The *String Quartets Op. 41*, in particular, reflect Beethoven's influence as they incorporate elements such as unconventional tonal relationships, chromaticism, and contrapuntal elements at the service of structural organization. These works received widespread acclaim (Jensen, 2012:199-204). This intellectual change in Schumann's compositional stance would later become crucial in understanding the essence of the two additional movements to the *Phantasie*, which transformed it into a complete piano concerto in 1845.

The failure to find a publisher for the *Phantasie* after its completion in 1841 repeated itself in 1843 when Schumann submitted the work to Breitkopf und Härtel with a renewal in title: "*Concert Allegro for Piano with Orchestral Accompaniment*" (Daverio, 1997:312). Then in 1845, amidst his ongoing health concerns including symptoms such as "nervous debility, insomnia, dizziness, and feelings of weakness" (Jensen, 2012:209-210), Schumann returned to the *Phantasie* and expanded it into a three-movement concerto during the summer. The composition of the two additional movements were realized in reverse order. Namely, Schumann first drafted and

orchestrated the third movement which he called *Rondo*; the second movement, *Intermezzo*, was composed afterwards; and finally, he made a revision on the *Phantasie*. In consequence, the new piano concerto was premiered during the winter of 1845, with Clara as soloist (Daverio, 1997:312).

Having received widespread acclaim, the *Piano Concerto Op. 54* marked a significant milestone for Schumann, indicating his return to large-scale symphonic projects. A noteworthy characteristic of this concerto is its thematic coherence and cyclic unity, characterized by recurring motifs and variations all derived from the primary theme. The motivic and thematic unity demonstrates Schumann's careful method of examining and elaborating upon musical material, which has been influenced by his exhaustive studies in counterpoint, symphonies and chamber works. To be explained in greater detail in the following sections; (1) the *Phantasie* displays an organic layout of meticulously crafted elements pertaining to a fantasy embedded in sonata-allegro paradigm. (2) With its motivic allusions to the *Phantasie*, the *Intermezzo* reveres a historical lineage in that it resembles an operatic interlude contrasting with the preceding and following movements. (3) Based on the *Phantasie*'s motivic unit, the *Rondo* is constructed on a purely classical architecture in Mozartian fashion, offering an amalgamation of a sonata-rondo and a concerto-sonata adaptation in ritornello form.

CHAPTER III

GENERIC AND STYLISTIC PARAMETERS

3.1. Methodology

This thesis encompasses a series of formal analyses aimed at demonstrating Schumann's critical approach to the concerto genre through his own *Piano Concerto Op. 54*, and what this composition achieved within the sociocultural context of its time. The formal analyses presented in the following sections are based on Hepokoski and Darcy's *Elements of Sonata Theory*. Within this theory, norms and deformations in various sonata forms are addressed, particularly with regards to late eighteenth-century sonata types. However, the authors (Hepokoski & Darcy, 2006:vii) have noted that this theoretical framework can also be applied to nineteenth-century music as follows:

In addition to furnishing a new mode of analysis for the late-eighteenth-century instrumental repertory, the *Elements* also provides a foundation for considering works from the decades to come - late Beethoven, Schubert, Weber, Mendelssohn, Schumann, Liszt, Brahms, Bruckner, Strauss, Mahler, the "nationalist composers", and so on. As we point out from time to time, most of these sonata norms remained in place as regulative ideas throughout the nineteenth century, even as the whole sonata-form genre, with its various options, was continuously updated, altered, and

further personalized with unforeseen accretions, startling innovations, and more radical deformations.

The analytical procedures delving into the formal and tonal properties of *Op. 54* are grounded in the theoretical framework of the principles illustrated and explained below. The first and second movements of *Op. 54* have formal structures that are seemingly obvious to detect. Namely, (1) the *Phantasie* embodies a typical sonata-allegro form along with tonal and formal deformations. On the other hand, (2) the *Intermezzo* comes in a large ternary form³ which consists of three major sections, each trisected by three subsections as well. However, (3) the *Rondo*'s ambitious complexities can only be clarified through meticulous examination based on more sophisticated aspects of sonata theory as illustrated below. As such, the *Rondo* is quintessentially synthesized with three devices: Sonata-allegro, rondo and concerto in ritornello form.

More concretely, the formal principles of the late eighteenth-century sonata paradigm are particularly observed in the first and third movements of Schumann's *Piano Concerto Op. 54*. Indeed, the *Phantasie* embodies a formal structure categorized by Hepokoski and Darcy (2006) as "type 3 sonata". This structure is examined under three main formal events: Exposition, development and recapitulation. The formal components of type 3 sonata are not illustrated and explained here, since they are frequently used in this standardized mode of organization in the majority of sonata-allegro movements. Therefore, it should be kept in mind that what is referred to as "type 3 sonata" throughout this thesis is the sonata-allegro form with three principal formal events. As for the third movement, even though its title, the *Rondo*, appears to indicate

³ See Caplin (1998:211) for further reference.

its formal structure, a detailed analysis reveals that Schumann’s formal organization in this movement extends beyond a mere rondo form. That is, the structure of this movement is a synthesis of a sonata-rondo (a combination of sonata-allegro and rondo) and concerto-sonata adaptation in ritornello form. For theoretical purposes, these formal structures are respectively referred to as “type 4 sonata” and “type 5 sonata” by Hepokoski and Darcy (2006). To facilitate the complications regarding the structural organization of the third movement of *Op. 54*, the main principles of the aforementioned sonata types are respectively provided in and explained through tables 3.1. and 3.2. below, and will be referred to as such throughout this thesis.

TYPE 3 FORMAT	EXPOSITION			
TYPE 3 COMPONENTS	P	TR	S	Closing zone
RONDO COMPONENTS	A	B		
	Refrain	Episode		

TYPE 3 FORMAT	DEVELOPMENT	
TYPE 3 COMPONENTS	Developmental core	RT
RONDO COMPONENTS	A	C
	Refrain	Episode

TYPE 3 FORMAT	RECAPITULATION			
TYPE 3 COMPONENTS	P	TR	S	Closing zone
RONDO COMPONENTS	A	B		A
	Refrain	Episode		Refrain

Table 3.1.⁴ Type 4 sonata as a synthesis of type 3 sonata-allegro, and rondo

⁴ This table has been created based on the descriptions and explanations given in Hepokoski & Darcy (2006:404).

In chapter eighteen, Hepokoski & Darcy (2006:388) describes the principle components of type 4 sonata as follows: (1) A sonata-rondo is a mixture of type 3 sonata constructed with three main formal events, and refrains and episodes pertaining to rondo form; (2) By the theoretical definition of this hybridity, a rondo refrain corresponds to the primary theme, whereas an episode matches any component other than the primary theme of the sonata-allegro paradigm, i.e., transition, secondary theme, closing zone and retransition; (3) These components should be in the standard order observed in the exposition of a sonata-allegro; (4) The exposition of a sonata-rondo lacks a repeat sign at its end, signaling a new formal design other than the standard type 3 sonata; (5) The exposition must be symmetrically recapitulated after the development.

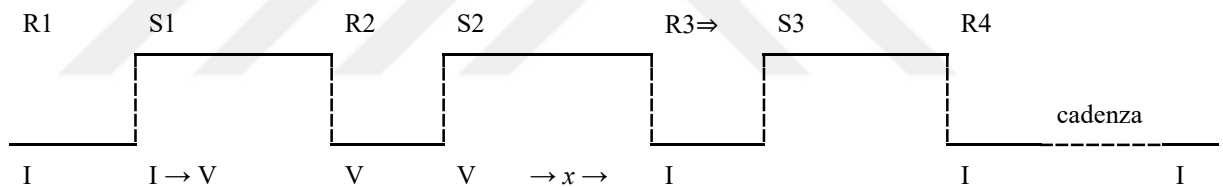


Table 3.2. “Subtype B from the late eighteenth-century type 5 sonatas”, a concerto-sonata adaptation in ritornello form (Hepokoski & Darcy, 2006:437)

Chapter nineteen in Hepokoski & Darcy (2006:430) provides different subtypes of concerto-sonata adaptations in ritornello form, among which the subtype B is illustrated above as a reference to the subsequent analysis of the third movement of Schumann’s *Op. 54*. This particular subtype is the norm in Mozart’s late concertos (Hepokoski & Darcy, 2006:434). The components of this subtype therefore display the interplay between orchestral ritornellos and soloistic entries, respectively indicated with R and S in table 3.2. above. (R1) is essentially an orchestral entry. It starts and ends in

the tonic, and presents thematic materials; (S1) is associated with a non-repeated exposition of a sonata-allegro. It also prepares the key of the secondary theme; (R2) coincides with the cadence at the end of S1, and might repeat some materials from R1; (S2) is comparable to the development section in a sonata-allegro. It starts with a new thematic material and ends with a cadence; (R3) normally serves as retransition, preparing the tonic for the recapitulation on S3. In the case of $R3 \Rightarrow S3$, however, the retransition is already realized at the end of S2. This way, the recapitulation has to begin on R3, which is then transformed into and complemented by S3. Finally, (R4) is the last orchestral ritornello and does not correspond to any component of a sonata-allegro. In the given type B, it consists of two parts. The first one proceeds to a fermata on cadential 4-6, after which the cadenza begins. After the cadenza, R4 resumes, complements and closes the entire form. An additional coda might follow as well.

Throughout this thesis, the theoretical framework provided above should be referred to at all times for a solid understanding of Schumann's adherence to and divergence from the late eighteenth-century norms in sonata forms. Following the analyses below, Schumann's ultimate goals in following such procedures are discussed in an additional section.

3.2. *Phantasie*: Allegro affettuoso

3.2.1. Main Motivic Unit

To understand the formal foundations of *Op. 54*, one must first look at the motivic basis of the primary theme in the *Phantasie*, which renders the entire work monomotivic. It seems to be containing a hidden meaning by way of a musical cypher

that originated from Schumann's earlier literary tendencies. It is explained by Jensen (2012:79) to have been adopted from one of Schumann's favorite authors:

A love for mystery and concealed meaning is a notable characteristic of Jean Paul, one frequently encountered in his novels, whether it be the long-concealed true identity of characters or mysterious machinations within the plot. In Schumann's music, this has its counterpart in the enigmatic Countess Abegg of *Op. 1*, the concealed programs behind works such as *Papillons*, the fondness for musical puzzles (such as spelling words with pitches), and the borrowings from Beethoven, Clara Wieck, and other composers, which often served as a cryptic form of communication.

A letter (Storck, 1907:132) to Heinrich Dorn, a friend and teacher of Schumann's, stating that Clara was his main motivation for composing the *Concerto* supports the cryptographic basis of the main motif in the first movement:

Some traces of the battles I have had to fight on Clara's account may perhaps be discernible in my music, and you will not fail to comprehend them. The *Concerto*, the *Sonata*, the *Davidsbündler dances*, the *Kreisleriana*, and the *Novelettes*, may be said to have been almost entirely inspired by her.



Figure 3.1. *Piano Concerto Op. 54/I*: Clara motif, mm. 4-5.

Based on Schumann's use of musical pitches to correspond to the musical letters constituting a particular word or name, Sams (1965) speculated that Clara's name had its share in this puzzling tendency, although her name consisted of only three letters of the musical letters. In line with Sams' suggestions, the main motif of the *Phantasie* is hereby thought to be a reduction of Clara's name, musically represented in pitches C-B-A.

3.2.2. Formal Trajectory

The discussion revolving around the formal trajectory of the first movement of the *Piano Concerto Op. 54* mostly stems from the fact that it was never intended to be a concerto, but a single-movement *Phantasie*. Even though Schumann later transformed the *Phantasie* into a three-movement concerto, his rejection of the framework of a classical concerto in ritornello form⁵ draws attention from the first page onwards. The *Phantasie* displays the layout of type 3 sonata instead of type 5 concerto-sonata adaptation. The table 3.3. below shows the formal trajectory of the first movement of *Op. 54*:

MEASURE	1	4	19	67	134
SECTION	EXPOSITION				
SUBSECTION	Intro.	P	TR	S	Tutti
KEY → a:		i	→	III	

MEASURE	156	185	205	251
SECTION	DEVELOPMENT			
SUBSECTION	Pre-core 1	Pre-core 2	Core	RT
KEY → a:	bI		VII	V/i

MEASURE	259	274	320	385	402	458
SECTION	RECAPITULATION					
SUBSECTION	P	TR	S	Tutti	Cadenza	Coda
KEY → a:	i	→	I		→ V	i

Table 3.3. *Piano Concerto Op. 54/I*: Formal trajectory

⁵ See also Caplin (1998:243).

In contrast to the expectation of an opening ritornello, the first movement of *Op. 54* begins with a chordal introductory motif on the piano leading towards a PAC in m. 5. As of m. 4, an 8-measure antecedent introducing the primary theme out of Clara motif is played by the orchestra and complemented with an 8-measure consequent on the piano. The tonic establishment in root position is hereby avoided through measures 11-18, and only achieved in m. 19.



Figure 3.2. *Piano Concerto Op. 54/I*: Introductory motif, mm. 1-3.



Figure 3.3. *Piano Concerto Op. 54/I*: Primary theme, mm. 4-7.

The second half of the m. 19 marks the beginning of the transition, which is built upon the simultaneous and conversational use of motifs a and b on the strings and piano, displayed in figure 3.4. below.



Figure 3.4. *Piano Concerto Op. 54/I*: Motifs a and b, mm. 19-21 and 25-26.

In Caplin's terms (1998:125), the transition is characterized by "modulation and forward drive", preparing the entry of the secondary theme. Indeed, the transition as of m. 19 modulates towards standing on V/III in m. 31, which prepares the secondary theme in C Major. Defined by Hepokoski & Darcy (2006:24) to be a short and emphasized break to dissipate the energy built by the transition, the medial caesura (MC) signals the entry of the secondary theme. Since there appears to be no such break before and/or after m. 31, the energy-loss effect before the secondary theme is instead achieved through a caesura-fill (Hepokoski & Darcy, 2006:40) derived from an extension of the motif b on G Major pedal until mm. 35.



Figure 3.5. *Piano Concerto Op. 54/I*: Motif b extension on V/III, mm. 31-33.

Even though the motivic material on the strings as of m. 35 is now in C Major, it is still an extension of the motif b. That is to say that is not thematized enough to constitute the secondary theme. In fact, it gives way to a modulation to F Major in m. 41. This way, the transitional quality dissipated by the so-called caesura-fill is brought back, canceling the first possible spot for the secondary theme.



Figure 3.6. *Piano Concerto Op. 54/I*: Motif b extension on III, mm. 35-37.



Figure 3.7. *Piano Concerto Op. 54/I*: Motif b extension on VI, mm. 41-43.

The remainder of the transition is based on sequential progression on the piano, arriving at a cadential point in m. 58 where the $\text{vii}^{\text{o7}}/\text{V}$ resolves to a cadential 4-6 in C Major. However, this is yet another failed attempt for the secondary theme. The primary theme appears in the relative major in m. 59, yet with no root position of C Major whatsoever. The first satisfactory cadence appears on V/C in m. 66, marking the beginning of the secondary theme in C Major in m. 67.

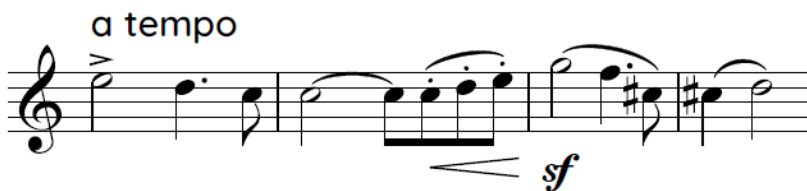


Figure 3.8. *Piano Concerto Op. 54/I*: Primary theme in relative major, mm. 59-62.

The music heard until the secondary theme is critical in that the *Phantasie* has a monothematic exposition, the importance of which will be further discussed in the following sections. In accordance with this monothematic layout, the secondary theme indeed comes from the major-mode variant of the primary theme, which is now given to the clarinet as of m. 67 shown in figure 3.9. below. The piano is henceforth employed with accompanimental arpeggiated figurations underneath the clarinet.



Figure 3.9. *Piano Concerto Op. 54/I*: Secondary theme, mm. 67-69.

On a phrase-level analysis, the secondary theme zone is developed through a series of large sentences. The first one encompasses mm. 67-94, and begins with a 4-measure first statement followed by a 5-measure response statement, both of which progress towards open-ended diminished harmonies. The continuation begins in m. 77, progressing towards standing on the dominant as of m. 87. The second sentence is stretched across mm. 95-111, and begins with an almost identical reuse of the first statement and the response statement from the previous sentence. The continuation as of m. 102 is now built on a different material than that of the previous one, namely on a variant of motif b played by oboe as shown in figure 3.10. below.



Figure 3.10. *Piano Concerto Op. 54/I*: Motif b variant, mm. 102-104.

The continuation unit progresses towards a half cadence in m. 111, which, at first sight, appears to be a directional motion towards a PAC as the ending of the secondary theme and the tonal and structural goal of the exposition (Hepokoski & Darcy, 2006:117-118). This procedure is nullified in m. 112 and gives way to a chain of secondary dominants as of m. 116. The forward momentum achieved through these

progressions culminates in tutti's entry in C Major in m. 133, with a variant of motif b, yet with no prior PAC. The absence of a PAC here points out the absence of EEC and closing zone, which is referred to as “failed exposition” by Hepokoski & Darcy (2006:177). Since the EEC is the ultimate tonal and structural goal of an exposition, its absence leads to a questioning⁶ on the ontology of type 3 sonata.



Figure 3.11. *Piano Concerto Op. 54/I: Motif b variant, mm. 133-135.*

The secondary theme zone is remarkable in two ways: (1) The use of a major-mode variant of the primary theme as the secondary theme renders the exposition strictly monothematic, which, in turn, strongly emphasizes Clara's imagery as the main source of inspiration in the genesis of the *Phantasie*. In a way, both the primary and secondary themes are in a symbiotic relationship. That is, they grow upon and/or take over each other's roles; (2) The dual function of a single musical idea, that is the Clara motif, serves as textural variety rather than motivic development. Indeed, this motif is not further developed in different disguises, but is employed instead in new contexts. An exemplary instance can be found at the thematic exchange between the clarinet and piano in the secondary theme where the roles of the piano and orchestra are vis-a-vis readjusted. The secondary theme on the clarinet is accompanied by the sweeping and

⁶ Since the secondary theme zone, i.e., mm. 67-134, is too varied to constitute a closure, I opt for claiming that the first movement of *Op. 54* has a failed exposition, with no PAC, EEC and closing zone. Instead, the tutti entry in m. 133 brings back the motif b for one last time to enrich the cyclic unity and textural coherence of the music, preparing the development section.

cascading arpeggios on the piano. Together with the prominent use of secondary dominants and diminished seventh chords, the overall effect is a lush of colors and open-ended soundscape usually associated with “rhapsodic style” (Rink, 2001).

The aforementioned properties can be attributed to Schumann’s piano music back in 1830s, in which he paid special attention to connecting the relevant parts of his compositions through hidden or overt motivic connections and allusions, a literary technique⁷ that he borrowed from Jean Paul Richter. In particular, what Schumann did in the exposition of the first movement of *Op. 54* was a developed application of such earlier tendency. Namely, all the motivic units are in the service of formal functions such as primary and secondary themes, transition, and closing zone; and of different instruments. Therefore, all of these motivic and thematic connections imbue the exposition with a cyclic coherence, textural integrity, and a symphonic dimension.

Despite not being as problematic as the exposition’s layout, the development section is remarkable in that it presents a formal combination of classical tendencies and a particular stylistic trait of the nineteenth-century virtuoso concertos. The common ground of these concertos lies at the slow and cantabile-style beginning of their development section, which handles either the basic idea from the primary theme or a new material. Examples are found in works such as *Op. 11* by Chopin; *Op. 89* by Hummel; and *H. 58* by Field. These are some of the possible inspirations for the beginning of development in Schumann’s *Op. 54* where the piano plays arpeggiated chords underneath a cantabile melody.

⁷ Daverio (1997:141) refers to this technique as the faculty of “Witz”.

In the case of Schumann's *Op. 54*, the part of the development section spanning mm. 156-184 compels attention in its augmentation of the primary theme displayed in figure 3.12. below, this time in tender $\flat$ I. Marked "andante espressivo", the cantabile treatment of this motif makes a beautiful contrast to the one heard in the exposition, which was then marked "allegro affettuoso". In accordance with the Sturm und Drang movement highlighting the preponderance of the emotions over the rationalism of the Enlightenment, Schumann would have easily put "innig" (German for heartfelt) at the beginning of this section, if it were a piece from one of his character piece cycles in the 1830s. During the "andante espressivo", the thematic material remains the same as the primary theme in the exposition; the tonal goal is stable, and yet the phrase structures are looser than that of the primary theme.



Figure 3.12. *Piano Concerto Op. 54/I*: Primary theme augmented, mm. 156-158.

The first statement covers mm. 156-159, and is subsequently answered with a response statement on the clarinet in mm. 160-163. After this, a large continuation phrase is employed through mm. 164-178 wandering around V, $\flat$ v, IV and ii with a collaboration of the strings and winds. As of m. 179, the music passes through cadential progressions, arriving at $\flat$ V in m. 184. The overall tonal stability, loose-knit phrase

structures, and the calm and soft⁸ character of the “andante espressivo” allow it to be labeled as pre-core 1 in table 3.3.

With the PAC in m. 185, Ab Major as the development key is stabilized.

However, the subsequent material proves the contrary. That is, m. 185 brings back the introductory motif in mm. 1-4, treated in model-sequence technique for modulatory purposes in mm. 185-195.

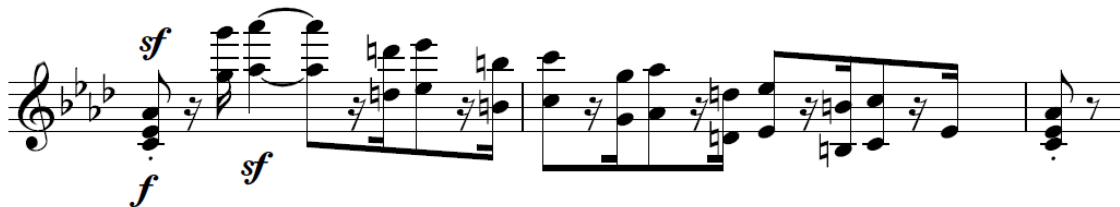


Figure 3.13. *Piano Concerto Op. 54/I*: Introductory motif on bI, mm. 185-195.

As of m. 197, there appears a reminiscence of the primary theme, and it is then sequenced in m. 201 to modulate towards G Major. Due to its short and modulatory nature, the whole of this section is labeled as pre-core 2 in table 3.3. in conformity with Caplin’s (1998:153) “transition-like pre-cores”.



Figure 3.14. *Piano Concerto Op. 54/I*: Primary theme, mm. 4-7.

⁸ See Caplin (1998:147).



Figure 3.15. *Piano Concerto Op. 54/I*: Primary theme reminiscence, mm. 197-198.

Marked “passionato”, m. 205 initiates the core of the development and brings up heightened rhythmical activity by means of accompanimental triplet figurations underneath the melodic line. Aligned with purely classical tendencies, Schumann applies a well-known procedure of model-sequence and fragmentation technique for three pages. Indeed, the model shown in figure 3.16. below is derived from the Clara motif, and takes up four measures in length. Through mm. 209-221, the model is sequenced for three times, the last couple of which is slightly altered. Several fragmentations are introduced in mm. 221-228, which then give way to the repetition of the model-sequence throughout mm. 229-244. A couple of new fragmentations in canonical treatment are introduced as of m. 245, highlighting the $\flat\text{II}^6$ as an indication of modulating back to A minor for the recapitulation. Thus, the retransition is established through m. 251-258 by standing on the dominant in accordance with the standardized procedure in a classical-style sonata-allegro design⁹. The recapitulation begins as the primary theme is retrieved in A minor in m. 259.

⁹ “A retransition prepares for the return of the primary theme in the tonic key by destabilizing the key it begins in and leading towards an active and often prolonged dominant” (Hepokoski & Darcy, 2006:191-193).



Figure 3.16. *Piano Concerto Op. 54/I*: Model after the Clara motif, mm. 205-209.

With the exception of a particular twist in the transition, and therefore the tonal goal of the secondary theme, the thematic and formal layout of the recapitulation corresponds to the exposition's layout as well. The aforementioned twist actually occurs in m. 296 with the arrival at V/B minor, causing the music to “slip off track”¹⁰ (Hepokoski & Darcy, 2006:239). With the help of this tonal deviation, the secondary theme now comes in the tonic major in m. 320, as of which the remainder of the recapitulation exactly corresponds to the exposition. An important notice, though, is in m. 384. Back in the exposition, the corresponding measure, i.e., m. 133, was devoid of a PAC to mark the EEC and closing zone, resulting in a failed exposition. This failure still corresponds to the recapitulation. In m. 384, a clear absence of PAC and the ESC is observed. Since the ESC is deemed by Hepokoski & Darcy (2006:245) to be a building block in the genesis of sonata-allegro paradigm, its absence causes a failed recapitulation, “a strong expressive gesture”. In this case, the tutti entry and the accompanimental arpeggiated figurations on the piano in m. 384 lead into the cadenza.

The tonic major as the key choice for the secondary theme in the recapitulation might raise the expectations that the *Phantasie* would end in that key. However, the tutti

¹⁰ This procedure is defined as “crux” by Hepokoski & Darcy (2006:239). Within the recapitulation, it naturally requires a tonal deviation on the way leading to the secondary theme, in order that the latter can be established in the desired key, which is the tonic.

and piano's oscillations between V-I through mm. 384-389 give way to the first appearance of $V^7/\flat II$ in m. 390, emphasizing the neapolitan harmony. The $V^7/\flat II$ is reinforced with an arpeggio spanning four octaves through mm. 398-401, but then immediately transformed into its enharmonic, which is the German augmented sixth chord in m. 402. The $\flat II$ therefore worked as a pivot chord before being irrevocably nullified as of m. 398. Most precisely in m. 402, this allows the V^7 or Ger.⁶ to fulfill its harmonic function in terms of establishing a relationship¹¹ between A minor and F Major, namely i and VI, throughout the cadenza.

The motivic material woven into the whole spectrum of the cadenza comes from a diminution of the latter half of the primary theme shown in figures 3.17. and 3.18. below.



Figure 3.17. *Piano Concerto Op. 54/I*: Primary theme, mm. 4-7.

¹¹ Hepokoski & Darcy (2006:317) draw attention to the minor tonic and major submediant relationships in the nineteenth-century sonata compositions as a means of avoiding minor-mode tonic in the exposition. Ironically enough, Schumann already tackled this issue by establishing the secondary theme on the major mediant in the exposition, in purely classical terms. His choice of reserving the i-VI connection for the cadenza is rather compelling, as if to revoke the effects of the secondary theme on the major tonic in the recapitulation, and to return to A minor. Together with the obvious absence of an ESC, his attempts to return to A minor, the home key, by means of the cadenza does indeed make sense, which is then verified in the coda.

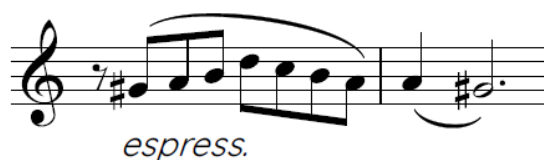


Figure 3.18. *Piano Concerto Op. 54/T*: Cadenza motif, mm. 402-403.

This motif is treated in real imitation spanning all four voices in mm. 402-405. As shown in figure 3.19. below, the cadenza is initiated with the particular use of the Ger.⁶, anticipating a return to A minor, with the bass E implying a cadential 4-6 in m. 403. The oscillations between C Major and A minor through mm. 406-413 arrive at a dominant prolongation on E as of m. 414, which then solidifies the expectation for A minor. However, in m. 418, this expectation is impeded with a deceptive cadence in F Major, namely the VI/A minor. The F Major setup in m. 420 is now home to the i-VI connection mentioned earlier. Through mm. 420-433, the chordal texture started in F major is subjected to sequential treatment, in a way to debilitate the effects of the F Major tonicization. Indeed, it is observed at the end of m. 433 that the pitch F was not permanent, but temporary. The m. 433 indicates a clear return to Ger.⁶ chord on F, which then resolves to an obvious cadential 4-6 in A minor to bring back the primary theme in m. 434. Following the primary theme fragmentations embellished in diminished harmonies as of m. 439, the F Major is alluded to for one last time in m. 452, and transformed back into Ger.⁶ chord in m. 455, resolving to V/i and leading into the coda. From this perspective, the end of the recapitulation and the beginning of the coda are marked with two instances of the Ger.⁶ chord displayed in figure 3.19. below, between which the cadenza is interspersed.



Figure 3.19. *Piano Concerto Op. 54/I*: Beginning and ending of the cadenza, mm. 402-403 and 455-456.

Because of the end-to-end openness achieved through the functional use of the Ger.⁶ chord, Gauldin (2004) argues that this cadenza continues the unifying and inclusive understanding demonstrated in Beethoven's cadenzas for his last piano concertos. The beginning and ending of these cadenzas are notable for blurring the distinction between the soloist and the orchestra. Schumann achieved the open-endedness in the cadenza of the *Phantasie* through the harmonic function mentioned above. However, Schumann's cadenza primarily achieves this characteristic through its motivic economy and textural diversity. This diversity imbues the cadenza with an independent character, yet its motifs and thematic references still emanate from the primary theme. In this regard, the cadenza almost works as a digressive interpolation¹², autonomous in its motivic development and textural variety. In contrast to the virtuosic and improvisatory cadenzas typical in classical concertos, Schumann's cadenza is conceived as a meticulously crafted and integrated continuation of the narrative. Gauldin (2004:7) supports this complementary

¹² A digression is a particular narrative technique that Schumann borrowed from Jean Paul Richter. It suddenly cuts the narrative flow to draw attention to a preferably more important aspect of the narration. The digressive elements in Schumann's music culminated in his *Fantasie Op. 17* in the 1830s.

and integrative notion by suggesting that the trill at the end of the cadenza in the *Phantasie* was inspired by the trill at the end of the cadenza in the first movement of Beethoven's *Piano Concerto Op. 58*. When considered within the context of content and organization as part of the whole form, the cadenza in the *Phantasie* can be said to have purposefully interrupted the secondary theme in the tonic major during the recapitulation, and then restored it to its original state in the coda, which is in A minor.

In figure 3.20. below, the coda does come in A minor with a derivative of Clara motif in mm. 458-459.



Figure 3.20. *Piano Concerto Op. 54/I*: Clara motif and its derivative in the coda, mm. 4-5 and 458-459.

Due to the cadential structure of its phrases, thus the overall thematic instability, the coda can be said to function more as a closing zone, as the latter was already absent at the end of the recapitulation. The cadential progressions throughout mm. 458-515 avoid the tonic at first, yet eventually resolves to PACs. The final closure is provided along mm. 516-544, based almost solely on tonic prolongation in A minor. It then arrives at a definitive ending in mm. 541-544 where the juxtaposition of Ger.⁶, cadential 4-6, V and i works as a cross-reference between the end of the introduction in mm. 3-4 and the closure here in the last four measures of the *Phantasie*. This is yet another instance of Schumann's habit of connecting the constituent parts of a work with subtle connections.

The aforementioned oscillations between avoiding and establishing the tonic point out an essentially important function to be fulfilled by the ESC, which, because of its absence in m. 38, resulted in a failed recapitulation as well. With regards to the dynamics of a classical-style sonata-allegro, the cadential closure promised to be fulfilled by ESC is achieved instead by means of the coda. In this regard, the coda in the first movement of *Op. 54* maintains a semantic issue in that it contradicts with

Schoenberg's (1967:185) account on the relevant matter:

Since many movements have no codas, it is evident that the coda must be considered as an extrinsic addition. The assumption that it serves to establish the tonality is hardly justified; it could scarcely compensate for failure to establish the tonality in the previous sections. In fact, it would be difficult to give any other reason for the addition of a coda than that the composer wants to say something more.

In Schoenberg's terms, the coda in the *Phantasie* does not aspire to "say something more". Instead, it is purposefully crafted to succeed at what initially seemed to be a formal failure. Beyond any doubt, it would be naive to assume that a composer like Schumann was incapable of building a formal structure in accordance with the requirements of the classical-style sonata-allegro. When considered in line with the cadenza and the absence of closure at the end of the recapitulation, the coda provides a description of Schumann's attempts to reconcile the opposites with regards to the purpose and function of traditional forms. On an ontological level, the coda also plays a critical role due to two reasons: (1) By ending the recapitulation on the tonic major, Schumann takes over what Schubert paved the way for in his sonata compositions. In a contradictory manner, though, this endeavor is undone with the coda, in which the tonality goes back to its recapitulatory goal in classical terms, that is, the minor tonic as

the home key; (2) In accordance with Schumann's Davidsbündler¹³ years where he adamantly criticized the compositional trends in the hope of raising the musical standards of the time, the march-like characteristic of the coda takes on a critical role. It satirically fulfills a tonal function, and formally closes what pertained to the classical-style sonata-allegro paradigm.

The formal organization demonstrated in the *Phantasie* showcases Schumann's willingness to seek out a new stylistic direction beyond the confines of the concertos composed at the time. That being said, the *Phantasie* might first be thought to have been crafted on Mozartian principles of concerto-sonata adaptation. However, as much as the *Phantasie* is laid out in standard classical sonata-allegro scheme, it involves none of the elements from the older ritornello practice. In fact, the *Phantasie* was mostly inspired by Mendelssohn, whom Schumann greatly admired, in that it rejected the layout of type 5 sonata, and embodied instead the type 3 structure (Hepokoski & Darcy:434-435). As such, this became the most important feature in detecting the *Phantasie*'s symphonic dimension.

Taken as a whole, the *Phantasie* does resemble a free-flowing fantasy with its "andante espressivo" section, which behaves almost like an independent character piece, its digressive cadenza, and its numerous tonal deviations. On the other hand, the entire movement is built upon a very limited set of musical ideas. Combined with specific tonal organizations serving different internal and external components of the sonata-allegro (e.g., primary and secondary themes, transition, MC, coda), these ideas

¹³ See chapter six in Jensen (2012).

interchangeably complement each other. At times, they lead to new contexts beyond sonata-allegro paradigm by compensating for principles required by formal functions, but are intentionally distorted (e.g., EEC, ESC, closing zones). With these features, *Phantasie* is not a concerto, nor was it ever intended to be a concerto movement. Thanks to the impeccable balance between the piano and tutti, the classical-style hierarchy between the soloist and orchestra has been abolished. In this regard, the *Phantasie* is a humble rectification of the tendencies criticized by Schumann in the works of composers of his time, imbued with his own creative vision which yielded a symphonic concert allegro.

3.3. *Intermezzo: Andantino grazioso*

3.3.1. Formal Plan

The formal plan of the second movement of *Op. 54* comes in a three-form structure within a large ternary form, a formal procedure that Schumann also exploited in the second movement of his *Fantasie Op. 17*. Here, the outer sections are marked as *A* and *B* together with the subsections tagged as *a*, *b*, *c*, and *d* displayed in table 3.4. below:

MEASURE	1	9	17	29	45	53	68	77	85
SECTION	A			B			A'		
SUBSECTION	a	b	a'	c	d	c	a	b	a'
KEY → F:	I			V			I		

Table 3.4. Schumann, *Piano Concerto Op. 54/II*: Formal plan

As a motivic allusion, the *Intermezzo* opens with a derivative of the latter half of the Clara motif, namely the stepwise ascent of the relevant pitches as displayed in figure 3.21. and 3.22. below.



Figure 3.21. *Piano Concerto Op. 54/I*: Primary theme, mm. 4-7.

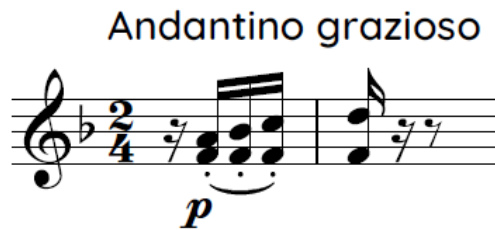


Figure 3.22. *Piano Concerto Op. 54/II*: Opening motif of the *Intermezzo*, mm. 4-7.

The opening theme of the outer section *A*, namely *a* in table 3.4. above, is an 8-measure hybrid sentence built up in 4+4 structure. Serving a tonic prolongation, the compound basic idea covers mm. 1-4. The continuation phrase works for cadential progressions, tending towards a PAC in m. 6. However, this expectation is thwarted in a non-classical cadential arrival in m. 5, where a possible V-I connection is superseded by a V/vi-vi pairing. This aural effect is then immediately dissipated with a cadential 4-6 on V/F, going back to F Major through mm. 7-8.

Despite being the central section of a three-part formal layout, *b* initiated in m. 9 is composed of open-ended phrases with no cadential closure. Contrary to classical-style ternary forms in which the goal of the middle part is to make a contrast to the outer

section, mostly by emphasizing the dominant, *b* does not fulfill this expectation and simply remains a post-cadential extension of *a*. Yet in the larger scope of the formal plan, *b* surely serves as the middle part of a ternary design right before the return of *a*' in m. 17.

Notwithstanding its obvious allusion to the opening statement of *a* in m. 1-2, it is hereby labeled as *a*' in m. 17 due its incompatibility with the former. That is, the motivic basis of the opening statement is hereby employed as a means of cadential progression arriving at a deceptive cadence in m. 24, which is then fixed to PAC in F Major in m. 28 in a way to close the outer section *A*.

The middle section *B* is initiated on V/F Major in m. 29. Underneath the piano's arpeggiated figurations in accompanimental role, the violoncello unveils the thematic component in cantabile style. The melody here is an augmentation of the melodic contour supporting the cadential 4-6 back in mm. 6-7.



Figure 3.23. *Piano Concerto Op. 54/II*: Cadential 4-6 and the beginning of section B, mm. 6-7 and 29-31.

Of *B*'s three subparts, *c* is a 16-measure sentence, consisting of a presentation, followed by a continuation phrase. The presentation covers mm. 29-36, first finishing on

V/V in m. 32; and then going further on vii^o/vi in m. 36. On the other hand, the continuation phrase starts in m. 37 and finishes with a cadence of V/V-V in mm. 43-44.

The motivic material for the subpart *d* is modeled after that of *c*, now covering mm. 45-52, sequenced respectively in G minor and A minor. The latter prepares the return of *c* in m. 53, with a different harmonic procedure from the one heard in m. 29. That is, *c* began with the root position of V in m. 29, whereas it returns on V⁶/V in m. 53.



Figure 3.24. *Piano Concerto Op. 54/II*: Two instances of *c* beginnings, mm. 29 and 53.

This obligation is caused by the sequential progressions of *d*. This way, the return of *c* in m. 53 seems to have organically grown out of *d*. As a matter of fact, *d* can only be considered as a contrasting middle based on its harmonic procedures, which give an open-ended quality to the music in between the two instances of *c*.

Except for its beginning on V⁶/V in m. 53, the remainder of *c* is exactly the same as its first instance covering mm. 29-44. Its closure is noteworthy because of the octave endings on violins. In other words, what was initiated by the violoncello on V in m. 29 is now complemented on V/V by the violins in m. 67, and finalized on V in m. 68. This

way, the section *B* of the *Intermezzo* befits a truly classical tendency to emphasize the dominant harmony in the central part of a ternary form.



Figure 3.25. *Piano Concerto Op. 54/II*: Beginning and ending of section B, mm. 29-31 and 65-67.

The return of *A'* is mostly identical to the first appearance of *A*, yet with a distinct difference in *a'* this time. Whereas *a'* in m. 17 paved the way towards a deceptive cadence in m. 24, its recurrence in m. 85 leads to the Ger⁶. chord slurred to a half cadence in A minor on the strings in m. 89, immediately followed by the cadenza motif on the piano. The cadenza motif is sequenced down a whole tone for two times, eventually arriving again at V/A minor in m. 96. The dominant harmony is emphasized once more on the strings in m. 97. This emphasis is particularly important as it anticipates the transition into the *Rondo*.

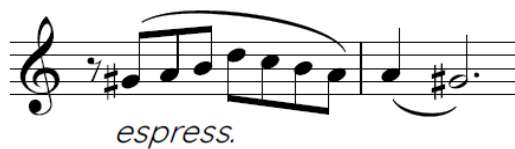


**Figure 3.26. *Piano Concerto Op. 54/I*:
Cadenza motif, mm. 402-403.**

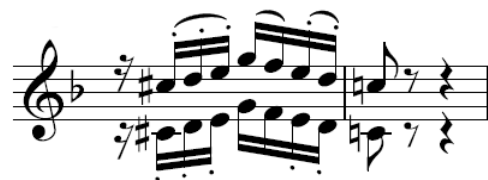


**Figure 3.27. *Piano Concerto Op. 54/II*:
Cadenza motif, mm. 90-91.**

With V/A minor in mind, m. 103 illustrated in figure 3.28 below brings back the Clara motif in A Major in the woodwinds. The major mode hereby anticipates the triumphant

character of the *Rondo*. In m. 105, however, this anticipation is reverted due to the minor-mode restatement of the Clara motif, reminiscing about the strivings of the *Phantasie*, which is permanently abandoned as the motif is restated once again in major mode in m. 107. Marked “a tempo”, the last appearance of the motif establishes the major-mode determinacy and accelerates the music into the *Rondo*. The oscillations between the major and minor modes of the Clara motif is congruent with the genre of this short quasi-movement, namely the *Intermezzo*, in establishing a dialectic between the precedent *Phantasie* and the subsequent *Rondo*.

The musical score for Piano Concerto Op. 54/II, mm. 103-108, is presented in two systems. The first system (mm. 103-105) features a Solo section with piano (p) and piano-piano (pp) dynamics, and an Orch. section with mezzo-forte (mf) and sforzando (espr.) dynamics. The second system (mm. 106-108) features a Solo section with mezzo-forte (mf) and sforzando (f) dynamics, and an Orch. section with mezzo-forte (mf) and sforzando (f) dynamics. The Solo section includes a 'poco a poco ritard.' marking and a 'string.' marking. The Orch. section includes a 'cresc.' marking and a 'Str.' marking. The score is in 3/4 time and ends with a key signature change to D major.

Figure 3.28. *Piano Concerto Op. 54/II*: Transition into the Rondo, mm. 103-108.

3.3.2. Genre

Schumann's use of an *Intermezzo* in between the two outer movements of *Op. 54* can be attributed more to its eighteenth-century disposition than to its autonomous entity as a nineteenth-century instrumental character piece. The *Intermezzo* in *Op. 54* can indeed be traced back to the functional use of intermezzi in line with the intervals between the acts of the eighteenth-century opera seria, where they were supposed to infuse the work with coherence and unity while dramatically contrasting it (Troy, C., & Weiss, P., 2001). In *Op. 54*, Schumann's use of an intermezzo maintains this historical lineage, yet adapted to the context of a symphonic composition. By incorporating this form, Schumann subtly enriches the structural and dramatic aspects of the piece, echoing the traditions of the past while also shaping its musical narrative for the nineteenth century.

In the case of *Op. 54*, the *Intermezzo* is motivically connected to the first movement as shown in the previous section. Its tender and delicate character contrasts with the gloom of the earlier *Phantasie* and the exuberance of the coming *Rondo*. The conversational manner between the piano and orchestra is always maintained with a balanced interplay, ensuring that neither preponderates over the other.

The *Intermezzo*'s connecting feature is observed at its end on the Clara motif's major and minor mode oscillations shown in the previous section, serving a crucial role in establishing cyclical coherence within the work. These reiterations not only evoke a sense of tension and resolution and create a sense of dialectical contrast between the *Phantasie* and *Rondo*, but also pave the way for a seamless transition into the latter. This

“attacca” technique, reminiscent of one of Beethoven’s symphonic compositions¹⁴, reinforces the symphonic nature of *Op. 54* and underscores Schumann’s innovative approach to form and structure. Through such meticulous attention to detail, Schumann elevates the *Intermezzo* from a mere interlude to a pivotal component of the overarching narrative, demonstrating his prowess as a composer and symphonist.

3.4. *Rondo: Allegro vivace*

3.4.1. Motivic Basis

The *Rondo*’s main motivic component, which is referred to as *A* material throughout the next section, is derived from a portion of the primary theme in the *Phantasie*, namely the Clara motif. The figures 3.29. and 3.30. below illustrate the correspondence between these two motifs. The *A* material in the *Rondo* comes from a diminution of the head of the Clara motif, where the descending pitches C–B–A are simply reduced to their essentials in a way to form an interval of a third apart, C# to A. The focal point of the *A* material therefore goes down to A, from which a stepwise ascent occurs towards E, compatible with the latter half of the primary theme in the first movement of the work. When contextualized with the first and second movements, the motivic coherence of the entire concerto is solidified in prospect of the opening measures of the third movement. Concisely, Schumann followed in Beethoven’s footsteps in generating a full-blown formal structure out of a tiny motivic cell, which is representative of dear Clara.

¹⁴ In Beethoven’s *Symphony in C minor, Op. 67*, the major and minor mode oscillation observed at the end of the *Scherzo* precipitates it into the *Allegro*.



Figure 3.29. *Piano Concerto Op. 54/I*: Primary theme, mm. 4-7.



Figure 3.30. *Piano Concerto Op. 54/III*: A material, mm. 109-112.

3.4.2. Formal Ambivalence

Although the *Rondo* of Schumann's *Piano Concerto Op. 54* might appear to have been constructed on a conventionally classical architecture, a closer examination unveils precluding, if not paradoxical formal procedures. On one hand, the *Rondo* is a clear return to older ritornello practice as it followed in Mozart's footsteps in incorporating concerto elements into the sonata-allegro paradigm. On the other, it also involves the rondo paradigm as implied in the title. In essence, the third movement of *Op. 54* is an amalgamation of type 4 sonata-rondo and type 5 concerto-sonata adaptation in ritornello form. The table 3.5. below displays the inner dynamics of both paradigms mentioned above, falling under the larger scheme of the three principal events of a sonata-allegro. An additional table 3.6. is provided as a reference back to table 3.2. in section 3.1. To facilitate the complications in terminological and theoretical issues, the main components of the sonata-allegro paradigm, i.e., the primary and secondary themes, are

hereupon repealed and referred to as *A* and *B* materials in order that they seamlessly match the refrains and episodes in the rondo layout of the third movement of *Op. 54*.

MEASURE	109	117	149	189	327	330	335	359
SECTION	EXPOSITION							DEVELOPMENT
SUBSECTION	Intro.	A	TR	B	A ⇒ Closure			A ⇒
FUNCTION	R1 ⇔ S1				R2 → abandoned			R2 →
KEY → A:	I		→ V → V ⁷		I → vi →		V/V	V

MEASURE	363	391	485
SECTION	→ DEVELOPMENT		
SUBSECTION	⇒ Fugato	C	RT
FUNCTION	→ R2 ⇒	R2 ⇔ S2	
KEY → A:	V →	V/bVI →	V/IV

MEASURE	497 → 513	529	569	707	710	715	739	771	943
SECTION	RECAPITULATION								
SUBSECTION	A	TR	B	A ⇒ Closure			A	Coda	Codetta
FUNCTION	R3 ⇒ S3			R4 → abandoned			R4		
KEY → A:	IV	→	I → V ⁷ /IV	IV →	ii →	V	I →	→	I

Table 3.5. Schumann, *Piano Concerto Op. 54/III*: Formal outline

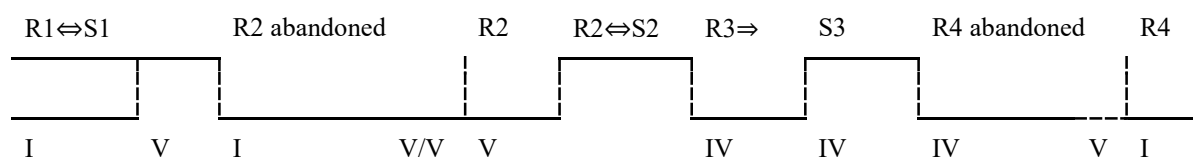


Table 3.6.¹⁵ Schumann, *Piano Concerto Op. 54/III*: Schumann's deformations in type

5 concerto-sonata adaptation in ritornello form

¹⁵ Compare with table 3.2 in section 3.1.

Three tonal areas, hence the corresponding formal procedures, render the *Rondo* formally and stylistically paradoxical. These are observed in the dashed boxes in tables 3.5. and 3.7., respectively at the end of the exposition, and the beginning and ending of the recapitulation.

Contrary to R1 in classical concertos, the *A* is unfolded on the piano in the *Rondo*, following an 8-measure introduction. Although the orchestra is given an accompanimental role through much of the exposition, its simultaneous employment with the piano provides a collaborative dynamic in the opening of the *Rondo*. This is displayed as $R1 \Leftrightarrow S1$ in table 3.5.

The unusually long *B* starts on the dominant in m. 189. However, the tonicized dominant harmony takes a twist in m. 325 and resolves back to A Major in m. 327. The orchestra takes over with the *A* material, representing R2 unusually on the tonic. This way, the harmonical twist in m. 325 caused the rondo refrain to come back on the tonic, a truly unorthodox implementation in a sonata-rondo. In a span of three measures, however, m. 330 repeals the aforementioned procedure. Thus, the so-called rondo refrain is abandoned by being sequenced down a minor third, equally resulting in the annihilation of R2. This procedure is illustrated in figure 3.31. below.

Figure 3.31. *Piano Concerto Op. 54/III*: R2 abandoned, mm. 324-335.

As of m. 335, the orchestra yields to a dominant prolongation on V/V, now signaling a closure for the entirety of the exposition. This idea is then verified with the cadential trills on the piano, which duly resolve to V on *A* material in m. 359. In this manner, what promised to be a formal deformation as of m. 327 was later restored to its initial state as of m. 359. This is, in a way, as if to make a synthesis of the formal paradigms pertaining to sonata-allegro, rondo and concerto, yet then to imply the impossibility of lumping them together. Indeed, the reappearance of *A* material not only brings back the rondo

refrain, but also reestablishes R2 on V, a purposeful procedure aligned with the classical principles of type 5 sonata.



Figure 3.32. *Piano Concerto Op. 54/III*: R2 on V: A material transforms into fugato, mm. 359-372.

The development section begins in m. 359. Not long after R2 partially restates *A* material, the latter is transformed into an orchestral fugato based entirely on fragmentation and imitation. This transformation is illustrated as $A \Rightarrow \text{Fugato}$ through tables 3.5. and 3.6. R2's fugal treatment is significant in that it constitutes a hierarchically neutral yet formally cohesive unit compared to the components of the other ritornellos. In other words, R2 partially revisits the rondo refrain and transforms it into a fugato as part of the development. Concurrently, the fugato is formally integrated into the larger scope of the entire movement, as the contrapuntal texture is entirely made up of the refrain material. This ingenious technique is frequently encountered in Schumann's chamber works of the 1840s, especially in the focused aspect of the finales in the *Piano Quintet Op. 44* and *Piano Quartet Op. 47*.

The remainder of the development is named as *C* material, initiated in m. 391. Its beginning is given to the violoncello and oboe, which is then taken over with piano in m. 395. The motivic exchange between the piano and orchestra persists until the end of the development, reinstating the collaboration between ritornello and solo. This cooperation is displayed as $R2 \Leftrightarrow S2$ in the table 3.5.

The musical score for Figure 3.33 is divided into two systems. The first system covers measures 391 to 395. The second system covers measures 396 to 399. The score includes staves for Solo (piano), Ob. (oboe), Vc. (violin), and Orch. (orchestra). The Solo part begins in measure 395 with a melody marked 'mf'. The Orch. part features a complex rhythmic pattern in the right hand and a more melodic line in the left hand. The Solo part continues with a similar rhythmic pattern in the right hand and a more melodic line in the left hand. The Orch. part continues with a complex rhythmic pattern in the right hand and a more melodic line in the left hand.

Figure 3.33. *Piano Concerto Op. 54/III: C material, mm. 391-399.*

Just as is the case with *B* episodes, the self-sufficiency usually associated with *C* episodes in classical rondos is not observed here. Instead, the *C* in the *Rondo* of *Op. 54* consists of a series of fragmentations based on harmonic sequences. This imbues the *C*

with the character of a developmental core in a sonata-allegro. On the other hand, the new motivic materials on which the *C* is built maintains its rondo character.

The long chains of sequences initiated on V/bVI in m. 391 eventually arrive at an enharmonic procedure as of m. 474, where the D Major chord is reinterpreted as $\flat$ II of the preceding D-flat Major harmony, as the latter is in turn reinterpreted as C-sharp Major in m. 477. These reiterations between C-sharp Major and D Major harmonies decisively stay on the arpeggiated C-sharp Major chord as of m. 481, which immediately yields to A Major prolongation through mm. 485-496. The ultimate purpose of this enharmonically modulatory procedure is understood as retransition on A Major pedal point, which does not function as tonic anymore, but as V/D Major.



Figure 3.34. *Piano Concerto Op. 54/III*: Retransition on V/D Major, mm. 485-496.

Therefore, the recapitulation on IV in m. 497 comes as no surprise. Although the recapitulations on the subdominant are not excessively encountered in the classical repertoire, they are considered by Hepokoski and Darcy (2006:264) to be “an eighteenth-century Viennese procedure seen in chamber and symphonic works, thus constituting a lower-level default, and not a deformation”. In fact, it was Schubert, Schumann’s lifelong source of inspiration, who generously exploited the subdominant recapitulations as a means of rotational variety, which is expected to be properly resolved to the tonic later.

The R3 initiating the subdominant recapitulation in m. 497 abides by the problematic situation¹⁶ observed in classical concertos. Contrary to the functional purpose and stability of R2, or R4 to come, what seems at first to be R3 on the refrain material in m. 497 is soon taken over and complemented by the piano as of m. 513. This integrative procedure is displayed as $R3 \Rightarrow S3$ ¹⁷ in table 3.5. From this point onwards, the recapitulatory rotation symmetrically transposes the entire exposition until as far as the closing ritornello in m. 739. Before the actual R4, the failed attempt in the wrong key

¹⁶ “There has been some debate in recent decades about whether the R3 is a genuine ritornello or only a tutti interjection marking the juncture between two juxtaposed solo sections, both because of its occasional brevity and because it does not reinforce a cadential close led by the soloist. The frequently encountered tutti-impulse at the onset of the recapitulation, to the extent that it is a ritornello at all, is substantially different in function and effect from R2 and R4, both of which solidify strong perfect authentic cadences at the end of an extended solo passage. What is needed is a sense of the variability of the recapitulatory R3, acknowledging its functional difference from the other ritornellos and its uncertainty with regard to genuine ritornello status” (Hepokoski & Darcy, 2006:472).

¹⁷ “In this procedure the solo recapitulation begins with a decisive tutti pillar replicating the beginning of opening ritornello theme, R1:P, but usually within a few bars the soloist re-enters to assist with or to take over its continuation. This strategy avoids the redundancy of the double-start recapitulation, with which it is conceptually related. Here, instead of a backup and restart, an initial R3 texture soon merges into an S3 one. This is the most common option for the middle and later Mozart concertos” (Hepokoski & Darcy, 2006:585).

recurs in accordance with the one observed back in m. 327, namely at the end of the exposition.

The R4, or the closing ritornello, is presented in a truly Mozartian fashion as of m. 739. Not only does it come on the tonic, but it also reintroduces the rondo refrain in full. This way, the R4 points out an overarching procedure, binding itself together with $R1 \Leftrightarrow S1$ and symmetrically compensating for R2's transformation into a fugato. In other words, the *Rondo's* classical formal parameters are ensured and finalized by way of R4. As a divergence from R4's primary function in classical style, however, Schumann's closing ritornello does not host a cadenza inserted in between its two parts. Instead, what tends to be a PAC to finish off the R4 in m. 769 is immediately dissipated with V/IV in m. 770, leading directly into an extended coda in m. 771.

The unusually lengthy coda in the third movement of *Op. 54* is home to reiterations of parts of *A* and *C* materials, and octave figurations from the closure to exposition. The reason for the length of this coda is the music's continuous passage through secondary dominants delaying cadential closure in, for example, mm. 771-811. In m. 811, a reminder of *A* material is played by the orchestra, and gives way to arpeggiated figurations on the piano as a means of referring back to those heard in the development. The *C* material that initiated the development back in m. 391 is reused by the strings in m. 835. The scalar figurations that started the coda are brought back in m. 859, still in the same way as to delay cadential closure. Eventually, the PAC is achieved in m. 943. This spot is labeled as codetta in table. 3.7, in which the oscillations between V-I in A Major finally come to a majestic end as a closure to the entire concerto.

By all means, the *Rondo* reveres tradition whereas the *Phantasie* seeks after innovation. The chronological disparity in the composition of the movements of *Op. 54* introduced certain challenges regarding its form. Schumann's analytical approach to resolving these problems is even more noteworthy. During the period when Schumann composed the *Phantasie*, his focus was on the symphonic genre. This is evident in his departure from Mozart's usage of the type 5 paradigm in the first movement of a concerto, opting instead for type 3 in the *Phantasie*. As recalled from earlier sections, the absence of ritornello elements and the integration of concerto components into the sonata-allegro form imbued the *Phantasie* with a symphonic dimension. The *Rondo*, on the other hand, is a prime example of a complete return to the past, occurring during the mid-nineteenth century when ritornello practice fell out of favor and concertos increasingly assumed a symphonic character (Hepokoski & Darcy, 2006:434). Therefore, Schumann's synthesis of type 4 sonata-rondo with type 5 ritornello form in the third movement of *Op. 54* is a clear example of his respect for the last movements of Mozart's late-period concertos. In this manner, when *Phantasie* and *Rondo* are considered together, *Op. 54* emerges as a unique work that serves as a bridge between the past and the future.

3.4.3. Rhythm and Meter

The *Rondo* demonstrates some of Schumann's most ambitious and celebrated experimentations with rhythm and metrical dissonances¹⁸. The constant change and

¹⁸ See Krebs (1999). The term "metrical dissonance" is adopted from Krebs' account on the matter, where he addressed the metrical manipulations in Schumann's works in two major categories of "grouping dissonances" and "displacement dissonances". The former is about incongruent metrical layers caused by concordant groups of beats; whereas the latter treats congruent layers positioned in a discordant, or often conflicting manner.

displacement in meter surely reinforces a multilayered texture in emotional tension and resolution, which is typical of Schumann's ideal of poetic music as evidenced in his output before 1845, especially in his *Lieder* and piano music. In the case of the *Rondo*, the indeterminacy of the exact location of the downbeats and upbeats in the given time signature, which is 3/4, adds a boisterously exuberant character to the music. An immediate example of this procedure is observed as early as the first appearance of *A* material in the *Rondo*, demonstrated in figure 3.35. below.

Allegro vivace

The musical score is for the first appearance of *A* material in the *Rondo* of Schumann's Piano Concerto Op. 54/III, measures 117-133. The tempo is marked 'Allegro vivace'. The score is in 3/4 time and key of D major. It consists of two staves. The first staff contains measures 1-9, and the second staff contains measures 10-16. Above the first staff, measures are numbered 1 through 9. Above the second staff, measures are numbered 10 through 16. The music features a series of chords and melodic lines. Dynamic markings include 'sf' (sforzando) at measures 1, 4, 8, 15, and 16. The tempo is marked 'Allegro vivace'.

Figure 3.35. *Piano Concerto Op. 54/III*: Displacement dissonance on *A* material, mm. 117-133.

With regards to phrase structure, the refrain of the *Rondo* essentially consists of sixteen downbeats, which can be symmetrically regrouped as two units of eight or four units of four. For calculative purposes, the scheme of the larger sentence is displayed above the staff through the number of measures, or more precisely the downbeats, from 1-16. For a phrase-level analysis, it is tempting to think in equal units of four. However,

the location of the sforzandos on the sentence above interferes with the positioning of the downbeat, and therefore with the regularity of the units of the sentence.

The first sentence covers mm. 1-8. What promises to be a presentation phrase is deflected with a *sf* on m. 4, the weakest point of the phrase. The 4+4 symmetrical layout is abandoned, now tempting the listener to reinterpret it in groups of three downbeats. Displaced backwards by one measure, m. 4 becomes the downbeat of the continuation phrase, thus one expects a new unit of three downbeats. However, it is understood that this array is also abandoned once m. 8, now the weakest point of the entire sentence, is punctuated with another *sf*. Although the *sf* on m. 8 marks the beginning of a new unit, it appears to be redundant when considered in relation to the previous units of the sentence, if on a 4+4 basis. This results in a metrically irregular sentence forced to be perceived in a group of 3+4+1 due to the positioning of the sforzandos on the final beats of both units of four.

The second sentence spans, in reality, mm. 9-16. However, by force of the *sf* on the final beat of the preceding one, the second sentence is reinterpreted to have begun in m. 8, displaced backwards by one measure. Units of four are hereupon reestablished, in which case m. 16 seems to be redundant if conceived on a 4+4 premise. If the second sentence had begun in m. 9 as written, m. 16 would not have been a surplus. Still, the *sf* there would emphasize the upbeat, which is indeed the final beat of the entire sentence.

The aural effect achieved through this metrically conflicting procedure is not as perplexing to the ear as it is to the eye. In fact, the displacement dissonance mentioned above is almost indiscernible on listening, as the rondo refrain sounds quite rounded and

function as a series of reference points in relation to which the antimetrical layer are perceived as being displaced.

Perhaps the most substantial of the metrical dissonances is observed at the beginning of *B* material in m. 188. Still in 3/4 meter, the orchestral takes over with the last four eighth notes of the piano, equivalent to a half note.

Perhaps the most substantial of the metrical dissonances is observed at the

Orch.

1 2 3 1 2 3 1 2 3 1 2 3 1 2 3 1 2 3

segue

Obviously, the numerals above the staff refer to the $3/4$ metrical notation, trisecting one measure into three quarter notes. However, the inception of *B* falls exactly on the second beat of m. 188, inescapably necessitating another layer of metrical function, which hereon becomes $3/2$ in accordance with the articulation and phrasing of the motivic

units. This aurally illusional metrical phenomena is termed by Krebs (1999:47) as “subliminal dissonance that arises when all musical features - accents, groupings, etc. - establish only one interpretive layer, while the context and the metrical notation imply at least one conflicting layer”. The curious aspect of this particular dissonance displayed in figure 3.36. is that it also contains a displacement dissonance within, as the *B* material begins on the second beat of the bar.

The orchestral takeover then yields to piano’s entry in m. 205, still maintaining the illusory $3/2$ pulse. The material that initiated the *B* in m. 188 is re-executed as of m. 213, this time together with the piano. The $3/2$ meter persists until the piano’s brisk interjection in m. 231, where $3/4$ meter is re-established for a very brief moment as if to highlight the sense of conflict between $3/4$ and $3/2$. In other words, piano’s short intervention in mm. 231-236 functions as the juxtaposition of two discordant metrical layers, creating more textural tension.

Despite still being in $3/4$ metrical notation, the $3/2$ time signature is then restored with piano in m. 244, which then leads into the second portion of *B* as of m. 252 as shown in figure 3.37. below.

Figure 3.37. *Piano Concerto Op. 54/III*: Subliminal dissonance restored on the second portion of B, mm. 252-256.

Krebs (1999:47) mentions that “a subliminal dissonance may endure for long periods; and because they involve only one obvious interpretive layer, subliminally dissonant passages can easily take on the semblance of consonances”. Indeed, the subliminal 3/2 meter in figure 3.37. remains for long enough that the sense of metrical tension that it created within the 3/4 notation becomes a new mode of alignment. That being said, it is not until m. 286 where this sense of so-called consonance is dispelled by the piano’s return to 3/4 meter. However, this metrical return to 3/4 is displaced forwards by a quarter note, thus further complicating the subliminally dissonant 3/2 (rather than resolving it), because the orchestra introduces yet another layer of non-displacement as shown in figure 3.38. below.

3/2: 1 2 3

3/4 DISPLACED: 1 2 3 1 2 3 1 2

3/2: 1 2 3

3/4 NON-DISPLACED: 1 2 3 1 2 3

Figure 3.38. *Piano Concerto Op. 54/III*: Subliminal dissonance in 3/2 followed by displacement dissonance in 3/4, mm. 284-293.

Until the *f* mark in m. 286, the piano and orchestra were already aligned in the 3/2 meter that the player and the listener alike were adapted to this subliminal dissonance. When the piano abruptly introduces arpeggios in a displaced 3/4 meter as of m. 286, the

previously established conflict between $3/4$ and $3/2$ meters is brought to surface once again. As the aural perception attempts to maintain the subliminal $3/2$ while also trying to adapt to the displaced $3/4$, the orchestral entry in a strictly non-displaced $3/4$ in m. 287 creates more confusion in metrical discernment. In other words, the shift in meter now becomes home to three clashing parameters: The subliminal $3/2$ abandoned by the displaced $3/4$, which in turn clashes with the non-displaced $3/4$.

In m. 294, the aforementioned clash is repealed and marked with a clear return to subliminal $3/2$ both on the piano and orchestra. The procedure displayed in figure 3.38 above is re-executed as of m. 306, sequenced up a minor second this time. However, in m. 314, the piano goes back again to subliminal $3/2$, yet the orchestra now stays in the non-displaced $3/4$ meter. This persistence in non-displacement surely foreshadows a metrical alignment sometime soon, without which the previously mentioned clash would repeat itself forever. Yet, the orchestra's non-displaced $3/4$ now sounds unnatural to the ear, because the subliminal $3/2$ has already been solidified since the beginning of *B*. Even though $3/4$ is the written metrical notation of the entire *Rondo* - that is our metrical layer - one mistakes it for an antimetrical (clashing) layer. In other words, the antimetrical layer is mistaken for the metrical layer, because of $3/2$'s and $3/4$'s constant juxtaposition and superposition. The overall result is therefore an incessant conflict between them throughout *B*. This sense of metrical disorder only becomes exactly aligned in the strictly metrical and non-displaced $3/4$ at the beginning of m. 327, namely the end of the exposition.

The fact that the resolution of this metrical dissonance coincides with the end of a major formal section seems to be a rather deliberate action by Schumann, as observed

by Krebs (1997:50) in his metrical analyses of Schumann's various works. In the case of the *Rondo* of *Op. 54*, the sense of resolution signaling the end of the exposition is achieved through metrical alignment between the piano and orchestra, rather than through the classical principle of establishing the EEC by means of a PAC. It is true that *B* eventually proceeds towards a cadential point in mm. 325-327. However, it arrives in IAC instead of PAC. The tonic return of *A* material in the non-displaced 3/4 meter first seems to be an orchestral triumph over the piano, but is then abandoned as explained in the previous section. When examined alongside the metrically dissonant elements discussed above, this situation suggests divergences in musical ideas between the soloist and orchestra, rather than outright conflict. In addition, the exact spot of the metrical alignment and the orchestra's reminder of *A* material followed by its prompt abandonment indicate that there is no hierarchical superiority between the piano and the orchestra.

3.5. A Tribute to the Sociocultural Legacy of the *Piano Concerto Op. 54*

Before delving into how Schumann's *Piano Concerto Op. 54* represented a sociocultural ideal within its contemporary milieu, it is imperative to shed light on Schumann's understanding of the concepts of nation and identity. In this regard, Applegate (1992) discusses that music shapes identity, and thus, it is directly linked to nationalism. Since music, national identity, and other encompassing concepts are highly variable depending on situations, environments, times and individuals, Applegate (1992:27) argues that when it comes to German nationalism, the relevant answers can be obtained through examining fields such as music criticism, music history, performance practice, and aesthetics. In the nineteenth century, music began to be seen as a highly

inclusive activity that could unite people sharing similar ideals beyond political ideologies, thus becoming socially embracing by its very nature and purpose. Schumann's Germany coincided precisely with the time when these ideas were developing. The progress in music education led to the emergence of numerous musical societies, increasing the demand for performances and the publication of works (Applegate, 1992:29). Schumann's establishment of the *Neue Zeitschrift für Musik* was indicative of his desire to elevate the standards in the fields mentioned above by Applegate.

As evident from his work in the *NZfM*, Schumann's most significant ideal concerning the arts, society, and culture was progress and elevation. Although he did not involve himself in political events, Schumann exhibited a nationalist attitude by aiming to develop German artistic sensibility and, particularly, its music (Kok & Tunbridge, 2011:5). Schumann's criticism directed towards societal artistic and aesthetic preferences have never been empty condemnations; rather, they have demonstrated his efforts to raise public awareness. His discontent with mediocrity, superficiality, and commercialism in music and the arts signifies both the liberal and nationalist aspects of his ideas. By aspiring to foster a musical, intellectual, and cultural sensitivity and awareness on an individual basis, Schumann aligns with liberalism. Simultaneously, by advocating for the transmission of these acquisitions to the masses in order that they serve societal development and originality, he aligns with nationalism as well (Kok & Tunbridge, 2011:8-9). In this mindset, it is evident that the concepts of national consciousness and national identity in Schumann go well beyond German culture, and

represent a broader ideal. This notion was articulated as follows by Giuseppe Mazzini in his 1844 work *Essay on the Duties of Man* (Kok & Tunbridge, 2011:10):

The means of working for the moral improvement and progress of Humanity was provided for you by God when he gave you a country; when, even as a wise overseer of labor distributes the various branches of employment according to the different capacities of the workmen, he divided Humanity into distinct groups or nuclei upon the face of the earth, thus creating the germ of nationalities.

This opinion is then supported by Kok & Tunbridge (2011:10), stating that “progress in cultural, political, and economic realms was achievable only within nations, where individuals shared language, tendencies, and historical traditions in a way to cultivate harmony and fraternity”.

In light of this information, Schumann’s *Piano Concerto Op. 54* exhibits a nationalist approach. A clear example of this is the initial departure from the ritornello practice found in Mozart’s concertos, as seen in *Phantasie*, which symbolizes the dismantling of societal and individual hierarchy. In Mozart, this occurred through the interplay between the orchestra representing the society and the soloist representing the individual. The orchestra having the first and final say demonstrated society’s superiority over the individual. Similarly, in the concertos composed by Schumann’s contemporaries, we see that the soloist representing the individual takes center stage while the orchestra remains in the background, thus perpetuating the same hierarchical division in its other aspect. In this context, Schumann’s *Piano Concerto Op. 54* has become a critically important cultural heritage that eliminates the discord between the individual and society, demonstrating how these two entities can be harmonized and balanced. The elements of harmony and balance lie in the absence of ritornello practice in the *Phantasie*; and in the establishment of primary and secondary themes on the same

musical idea. These and other musical ideas are also developed by different components of the orchestra, serving various formal functions of the sonata-allegro paradigm. In the *Intermezzo*, as in the *Phantasie*, maintaining an absolute balance between the soloist and the orchestra supports this notion. As for the *Rondo*, the return to ritornello practice in terms of form does not preclude the aforementioned concepts of balance and harmony. On the contrary, the fact that the rondo refrain entirely originated from the primary theme of the *Phantasie*, and its consistency with the materials processed in the ritornellos demonstrates how the soloist and the orchestra balance and complement each other. Similarly, the metrical dissonances in the *Rondo* have not remained mere elements of conflict; rather, due to their modes of resolution and where they are resolved, they have further emphasized the aforementioned elements of balance and harmony. Thus, within a formal structure representative of past values, the *Rondo* represents a new vision that integrates and balances the individual with the society.

In essence, Schumann's achievement in this concerto is the creation of an overarching structure based on a very small motivic unit, demonstrating how a large community gathers around a single musical idea. Through this unity of thought, individuals are able to form a community with other like-minded individuals while also preserving their authenticity. In such a society, no individual is superior to another, just as neither the individual is superior to the community nor the community to the individual. In this regard, Schumann's *Piano Concerto Op. 54* underscores the notion that communities cannot exist without individuals, and likewise, individuals lose their significance in isolation without communities. In such a milieu, everyone contributes to similar ideals, emphasizing sharing over competing. Therefore, the *Piano Concerto Op.*

54 alludes to a universal nationalism that transcends mere racial bonds, emerging from the sharing of intellectual and spiritual ideas and values.



CHAPTER IV

CONCLUSION

Including a detailed analysis of Schumann's *Piano Concerto Op. 54*, this thesis consists of two main chapters.

In the first chapter, the emphasis is on Schumann's activities and ideas in the context of the musical and aesthetic trends prevalent during the period in which he composed this work. Schumann, as the founder of and prominent music critic in the *Neue Zeitschrift für Musik*, opposed those trends, defending intellectually stimulating and emotionally expressive works over shallow and merely virtuosic music. His criticism highlighted his dissatisfaction with the contemporary piano concertos as well, pointing out the need for a balanced relationship between piano and orchestra. This perspective influenced his approach in composing his own *Piano Concerto Op. 54*. After incomplete attempts at composing a concerto, Schumann completed the work in 1845, drawing on his experiences both as a composer and critic. The *Concerto*'s creative process involved

expanding a single-movement *Phantasie* into a three-movement concerto, displaying Schumann's mastery of thematic unity and symphonic genre.

The second chapter comprises a series of analytical procedures for each movement of the work, aiming to demonstrate the generic and stylistic properties that support the ideas mentioned above. These procedures are grounded in the theoretical framework of Hepokoski and Darcy's *Elements of Sonata Theory* to understand the aforementioned properties of the concerto's movements. Specifically, the *Phantasie* embodies a type 3 sonata-allegro form; the *Intermezzo* follows a large ternary form; and the *Rondo* synthesizes elements of sonata-allegro, rondo, and concerto in ritornello form. The analyses explore the structural complexities of each movement, referencing the theoretical principles of type 3, type 4 and type 5 sonatas as outlined by Hepokoski and Darcy. This framework provides insights into Schumann's adherence to and divergence from late eighteenth-century norms in sonata forms, shedding light on his compositional intentions in doing so.

The analysis of the *Phantasie* delves into its motivic foundation and formal structure. The primary theme, speculated to have derived from Clara Schumann's name, serves as the core motif, guiding the entire movement. Departing from the traditional concerto framework, the *Phantasie* follows a type 3 sonata design as in a symphonic composition. With its digressive elements and tonal deviations, it resembles a fantasy as well. Built on a limited set of musical ideas that interchangeably substitute and/or complement each other, it leads to new contexts beyond the sonata-allegro paradigm and abolishes the classical-style hierarchy between the soloist and orchestra. Thus, the

Phantasie represents Schumann's creative vision as a rectification of tendencies that he criticized in the works of his time.

The *Intermezzo* echoes the eighteenth-century opera tradition, connecting structural elements while enhancing dramatic contrast in a symphonic context. Motivically linked to the first movement, the *Intermezzo*'s tender character contrasts with surrounding movements, maintaining a balanced interplay between piano and orchestra and contributing to the cyclical coherence of the entire work. Accelerating the music into the following movement as if in a symphonic composition, its ending is critically important as it makes the entire work be perceived as reduced down to two essentially contrasting movements. It is by means of the *Intermezzo* that the *Phantasie* and the *Rondo* are ideologically contrasted, making the entire work act as a bridge between innovation and tradition.

With the *Rondo*, the motivic unity of the concerto is solidified, thus turning the work into an overarching structure. Through a synthesis of sonata-rondo and ritornello forms, it represents a deliberate return to past norms with structural innovations. Together with the element of metrical dissonance substantially explored in the *Rondo*, Schumann's return to past norms does not revert the concerto to its older state, but rather reflects his exploration of divergent ideas without hierarchical conflict. This approach underscores a balanced interplay between soloist and orchestra, symbolizing a departure from conventional societal hierarchies, and a move towards collective unity.

Last but not least, the *Piano Concerto Op. 54* serves as a cultural heritage that synthesizes Schumann's lifelong quest to bridge his innovative mindset with his respect

for tradition. In a sociocultural context, this thesis argues that *Op. 54* reconciles the discord between the individual and society in support of a collective unity where individuals contribute to shared ideals. As a new mode of nationalism, this concerto not only reflects Schumann's artistic aspirations but also underscores universal values such as community feeling and authenticity, transcending mere racial bonds and emphasizing the importance of intellectual and spiritual sharing.



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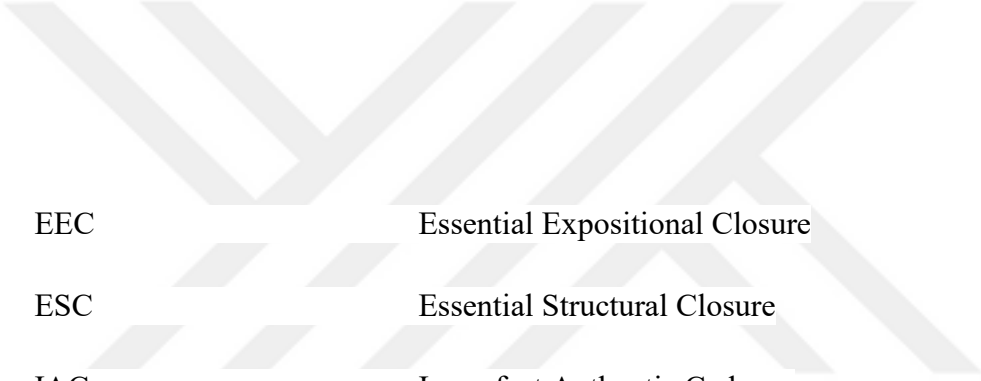
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APPENDIX

LIST OF ABBREVIATIONS



EEC	Essential Expositional Closure
ESC	Essential Structural Closure
IAC	Imperfect Authentic Cadence
MC	Medial Caesura
NZfM	Neue Zeitschrift für Musik
P	Primary Theme
PAC	Perfect Authentic Cadence
RT	Retransition
R1	Ritornello 1
R2	Ritornello 2
R3	Ritornello 3

R4	Ritornello 4
S	Secondary Theme
S1	Solo 1
S2	Solo 2
S3	Solo 3
TR	Transition

