

NARRATIVE AND REPRESENTATION IN ROBERT SCHUMANN'S
WALDSZENEN OP. 82

by

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ABSTRACT

Robert Schumann's music is replete with literary references and extramusical indications. His devotion to literature and his adaptation of the narrative strategies of the early Romantics in his compositions have prompted many investigations of literary influences on Schumann's music. Many of his early piano cycles are inspired by the literature of the Romantics, and in particular by the novels of Jean Paul Richter. However, it has sometimes been suggested that Schumann discarded the narrative strategies of Jean Paul in his late compositions, some of which were written for musical education and music-making in the home. My goal, in this dissertation, is to demonstrate that Jean Paul's narrative devices remained relevant in Schumann's late works.

This study examines the aspects of narrative and representation that permeate the *Waldszenen* cycle. The first aspect is large-scale coherence, an effect that is achieved through innovative associational means -- including motivic and tonal cross-references -- and through more traditional hierarchical means, such as tonal departure and return and the use of programmatic titles that suggest a complete forest journey. The second aspect is the manipulation of formal conventions, which is accomplished through problematic closure, problematic recapitulation, and ambiguous formal function. The third aspect is the use of intertextual allusions to Schumann's earlier works. The last aspect of representation in *Waldszenen* is the use of three musical topics -- fantasy, pastoral, and hunt -- in association with their corresponding Romantic literary genres -- *Kunstmärchen*, idyll, and hunting tale and song.

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DEDICATION

To Tommy

Chapter.1 Introduction

Robert Schumann's music is often regarded as enigmatic and personal. Intense contrast between tender and passionate passages, abrupt changes of character, ambiguous harmonies and formal functions, and eccentric digressions pose obstacles to a conventional, synoptic understanding of the musical form and, accordingly, call for a diverse range of analytical strategies. *Waldszenen* (Forest Scenes), op.82, one of Schumann's late piano cycles, is not only saturated with these idiosyncratic, destabilizing elements, but also framed by literary references and extramusical indications in the form of programmatic titles and poetic mottos.

Schumann composed copiously in the late 1840s, despite two intense distractions: the turmoil of the revolution which swept over Germany and forced him to flee from Dresden; and the additional strain of Clara's new pregnancy with their sixth child, Ferdinand, born in July 1849 (Ostwald 1985, 217–19). From December 24, 1848, to January 6, 1849, Schumann completed a draft of the *Waldszenen*, and he continued to polish and revise the work until its publication in October 1850. He forwarded the work to the Leipzig publisher Bartholf Senff and described it as "... a piece I much cherish. May it bring you reward and, if not an entire forest, at least a small trunk for a new firm" (Jensen 1984, 69). He dedicated the work to his friend, Annette Preusser, in whose father's home he was lodging in Leipzig in 1850. Although Clara Schumann often performed her husband's piano pieces, she avoided *Waldszenen*, for she claimed that it was "haunted music" (Tunbridge 2007, 98–9).

Each piece in *Waldszenen* contains a descriptive or fanciful title that evokes a single event, action, setting, or character. In addition, all but three of the nine miniatures

were initially prefaced by poetic mottos which originated in the works of well known German Romantic poets, including Joseph Eichendorff, Friedrich Hebbel, Heinrich Laube, and Gustav Pfarrius. However, in the published version, Schumann discarded all the poetic mottos except the one adorning the fourth piece, “Verrufene Stelle” (Haunted Spot). The mottos (with translations) are given in Appendix 1. Schumann’s decision to abandon most of the mottos can be explained by his musical aesthetics. In his article “Life and Literature, Poetry and Philosophy: Robert Schumann’s Aesthetics of Music,” Ulrich Tadday states that Schumann loathed program music because, in his view, programs restrict the listener’s imagination (Tadday 2007, 43). In *Waldszenen*, Schumann might have been afraid that the mottos would describe the specific scenes too explicitly and thus take away the listener’s freedom to form his or her own image. On the other hand, Tadday states that Schumann had a predilection for titles that indicate the meaning and content of a composition.¹ The titles denote “a reflection process that begins in the composer’s thoughts and emotions and crosses over into the responding thoughts and feelings of the recipients” (Tadday 2007, 44). Accordingly, they reduce the distance between the composer and the listener.

Schumann’s *Waldszenen*, op.82, along with such earlier piano compositions as *Davidsbündlertänze*, op.6, *Carnaval*, op.9, and *Kreisleriana*, op.16, is placed under the piano cycle genre, but this late work is distinguished from the rest mainly by its innocent quality (unequivocal phrase structure and simple melody) and lack of extreme technical demands.

In the article “Schumann and the Marketplace: from Butterflies to *Hausmusik*,” Anthony Newcomb explains the different historical phases in Schumann’s production of

¹ Schumann himself often emphasized that he had set text to music, not the reverse (Jensen 1998, 139).

piano music and proposes that Schumann's aesthetic attitudes changed in relation to the musical culture around him (Newcomb 1990). (See Appendix 2 for Schumann's major piano compositions.) The first phase encompasses Schumann's earliest and most innovative works, including the long and complex piano cycles written before 1840. These early works fully demonstrate the influence of novelist Jean Paul Richter's narrative techniques, characterized by "incompleteness, interruption, digression, juxtaposition of opposites, and avoidance of unequivocal closure" (Newcomb 1990, 260). The second phase manifests itself in only three polyphonic studies, *Vier Klavierstücke* op. 32, *Studien*, op. 56, and *Skizzen*, op. 58, composed between 1838 and 1845, which reflect Schumann's participation in the mid-century Bach revival movement and his reverence for Bach's fugal compositions. The last stage contains his simpler piano music composed in the late 1840s and early 1850s, including *Waldszenen*, *Album für die Jugend* (Album for the Young), and *Drei Fantasiestücke* (Three Fantasy pieces). In 1848, with *Bilder aus dem Osten* (Pictures from the East), Schumann turned to the creation of works intended for performance at home by amateur musicians. It was the time when the *Biedermeier* spirit permeated central Europe, and music and musical instruments began to flourish among the middle class. The rise of musical education and music-making in the home led to the composition and performance of *Hausmusik* in the 1840s. Although *Hausmusik* might initially seem only to be a term for the place of performance, it also implies a certain style of music, one that is distinct both from concert music and from the music of the French Salon. According to Newcomb, the style of *Hausmusik* is modest and folk-like, whereas the style of French salon music, intended for the upper class, is more elegant, pretentious, and colouristic. The goal of *Hausmusik* at that time was to

promote social interaction and improve the level of musical education among the bourgeoisie. Therefore *Hausmusik* is rather simple in style, small in scale, and pedagogical in intent.

Anthony Newcomb claims that during the 1840s, Schumann discarded the narrative techniques of Jean Paul. “Quick changes of mood and violent surface discontinuities disappear from [Schumann’s] music and constant remarks on Jean Paul’s novels also evaporate from Schumann’s diaries” (Newcomb 1990, 271). In my view, however, Newcomb underestimates the depth of Jean Paul’s influence on Schumann, and his claim that it was utterly eliminated from Schumann’s compositional style is an exaggeration. Although *Waldszenen* clearly conforms to the aesthetics of *Hausmusik*, the piece nevertheless exploits narrative strategies borrowed from the literary Romantics, particularly Jean Paul.

In *Schumann’s Piano Cycles and the Novels of Jean Paul*, Erika Reiman (2004) shows that Schumann continued to read Jean Paul’s novels until the end of his life. Reiman provides a few examples from Schumann’s diaries and household books to support her claim: Schumann purchased a volume by Jean Paul in 1839, mentioned short narratives in 1846, ordered a complete edition of Jean Paul’s writings, and reread five of his major novels in 1853 (Reiman 2004, 11). Like Newcomb, however, Reiman emphasizes the influence of Jean Paul on Schumann’s earlier piano cycles; she provides no musical analysis to support her suggestion that Jean Paul’s influence remained

pertinent in Schumann's late works. Indeed, no scholar has offered an in-depth exploration of similar techniques found in Schumann's late compositions.²

A good synopsis of Jean Paul's influence on Schumann is presented in Newcomb's earlier article "Schumann and Late Eighteenth-Century Narrative Strategies" (Newcomb 1987). His suggestion that formal types in music are analogous to conventional narrative successions in literature sheds light on Schumann's often puzzling innovations in musical form. Influenced by the Russian formalists, Newcomb draws on Vladimir Propp's theory of narrative to articulate this analogy. Most Russian folktales possess a similar narrative structure, based on "a standard series of functional events in a prescribed order," also known as a paradigmatic plot. Likewise, formal types in music are also governed by "a limited number of formal-functional successions" (Newcomb 1987, 165). A reader of a particular story will compare its order of events with plot paradigms, and, Newcomb argues, a listener engages in the same process of comparison when enjoying a piece of music. Indeed, much Classical and Romantic music depends on the musical analogue to the paradigmatic plot (Newcomb 1987, 165).

Newcomb draws connections between specific techniques of literary and musical compositions in order to show how Jean Paul's influence on Schumann was manifested. Besides writing novels and poetry, the German Romantics, including Novalis (Friedrich von Hardenberg), Ludwig Tieck, and E.T.A. Hoffmann, commented frequently on the aesthetics of music. Still, Schumann mainly admired their literary works and was intrigued by their innovative narrative techniques. His interest in their writing techniques included "how they tell a story, how they connect incident to incident, and how they put

² Although Daverio (1997) elucidates literary influences (works by Shakespeare, Byron, and Heine [35]) on Schumann's late compositions, he does not mention the relevance of any of Jean Paul's narrative devices upon *Waldszenen* or other late works.

event together with event to form a larger whole” (Newcomb 1987, 168). Schumann marvelled at these aspects of the Romantics’ literary craft and adopted them in his own musical composition. He even went so far as to say that he learned more counterpoint from Jean Paul than from his music teacher (Reiman 2004, 2). Schumann also invoked Jean Paul when describing the compositional innovations of Schubert and Berlioz (Newcomb 1987, 168).

Newcomb goes on to describe a range of musical techniques indebted to the literary Romantics, focusing especially on the role of motivic cross-references and on the manipulation of formal conventions in Schumann’s early instrumental music. Like Reiman, I am convinced that these narrative devices were so deeply ingrained in Schumann’s psyche that they continued to manifest themselves in his works to the end of his life. Accordingly, my study of narrative devices in *Waldszenen* will emphasize the role of the same techniques that Newcomb discusses in reference to Schumann’s earlier works.

Neither Newcomb nor Reiman discusses *Waldszenen* at all, and other scholars who have addressed *Waldszenen* have neglected the role of Romantic literary strategies in the work. Most of the general overviews of Schumann’s piano music touch upon *Waldszenen*, but such writings focus on works from the 1830s and 1840s. For instance, in *The Romantic Generation*, Charles Rosen spends the majority of his chapter on Schumann discussing piano cycles composed prior to 1840 (Rosen 1995, 646–710). He simply ignores most of Schumann’s late piano pieces, and although he discusses *Waldszenen* briefly, his account is limited. He simply calls it a landscape cycle and a kind of song cycle without words, and touches on the irregular phrase structure of the

first piece, “Eintritt” (Rosen 1995, 31–33, 220–221). As illuminating as these brief remarks may be, they barely touch upon the question of narrative design in *Waldszenen*.

In *Schumann’s Piano Music*, Joan Chissell provides detailed historical and literary background information on all of Schumann piano works in chronological order; but for *Waldszenen*, Chissell’s account is limited to translations of the poetic mottos and a small amount of rather superficial musical description (Chissell 1972, 65–66).

Eric Jensen in *Schumann* states that “the forest in *Waldszenen* represents one of mystery and imagination—a musical counterpart to the forests portrayed in *Märchen* [(fairy tales)] such as Tieck’s ‘The Runenberg’” (Jensen 2001, 341). He gives a general account of Schumann’s predilection for fairy tales and briefly introduces this piano cycle. In his article “A New Manuscript of Robert Schumann’s *Waldszenen*,” Jensen provides detailed historical information about the work. His examination of the three surviving manuscripts reveals Schumann’s compositional process, the different ordering of the pieces in each manuscript, and alternative titles (Jensen 1984). Besides suggesting an analogy between the contrasting moods and tonalities in *Waldszenen* and the concept of good and evil in *Märchen*, however, in neither of these writings does Jensen fully explain the association between the *Märchen* genre and *Waldszenen*, or go into much analytical detail.

Clemens Goldberg’s article “Going into the Woods: Space, Time, and Movement in Schumann’s *Waldszenen* op.82,” offers a more trenchant account of the piece and explores prominent themes of German Romanticism, such as the forest, hunting, and song, as they relate to *Waldszenen* in particular (Goldberg 1994). His article illustrates that the musical elements create vivid images and characters during the process of

listening. Goldberg also reflects deeply on the process of the listener's perception of the music in order to elucidate the spatio-temporal experience. Nevertheless, his analysis mainly focuses on hermeneutic interpretation attached to brief musical analysis of "Eintritt," the first piece of the cycle.

A study of *Waldszenen* can be found in Dong Xu's DMA dissertation, "Themes of Childhood: A Study of Robert Schumann's Piano Music for Children" (Xu 2006). He analyzes all Schumann's music that was written for children or engages the theme of childhood. To uncover the characteristics of the theme of childhood in *Waldszenen* (which he considers a children's piece), Xu gives an overview of form and an account of the general description of each movement, and mentions (like Jensen) that *Waldszenen* reminds him of German Romantic *Märchen*. Although Xu's document, like my own, concentrates mainly on form and literary connections, my analytical methodology (borrowed from Newcomb 1987) will allow me to explore the relationship between these two subjects in a more focused and penetrating way.

Two further dissertations approach *Waldszenen* in more comprehensive detail. The first of these is Michael Sheadel's "Schumann's *Waldszenen*: From Analysis to Performance" (Sheadel 1993). Unlike Xu's analysis, Sheadel's encompasses all nine pieces and gives a more thorough and accurate account of compositional parameters such as harmony, texture, and form. He proposes that the musical analysis, viewed alongside the overall character and expressive indications, including dynamics, articulations, and tempo markings, has significant implications for performance. His study is primarily intended for the use of performers interested in the connection between performance and analysis.

The most comprehensive account of *Waldszenen* is given in Peter Jost's published dissertation, *Robert Schumanns Waldszenen op.82: Zum Thema Wald in der romantischen Klaviermusik* (Jost 1989). This encyclopaedic source not only includes an account of the roots and development of the theme of the forest in Romantic piano music (especially *Waldszenen*), as its subtitle indicates, but also includes an analytical chapter that emphasizes motivic cross-references and monothematic principles. In the first portion of the book, Jost explores the forest in Romantic art like poetry and painting, the evolution of the concept of the forest in Germany through the eighteenth and nineteenth centuries, and the problem of musical interpretation regarding the relationship between music and nature, and he also provides biographical information on poets whose poetic mottos were used by Schumann in the first version of *Waldszenen*. The second portion of the book, consisting of detailed musical analysis of motives, is followed by an examination of the reception of *Waldszenen* from the time of its publication to the present day. Although both Jost and I explore the use of motivic cross-reference in *Waldszenen*, he emphasizes how the monothematic principle, derived from a four-note motive, constructs the cycle, while I focus on the web of motivic cross-references across the nine pieces.

The goal of my document is to discuss aspects of narrative and representation in *Waldszenen* that Schumann borrowed from the German Romantics, particularly Jean Paul. The first chapter of the three central chapters focuses on the cycle's unique unification techniques, involving the titles, tonalities, and motivic and tonal cross-references. The second chapter examines the manipulation of formal conventions based on Classical-era models, focusing on the problematic closure, problematic recapitulation,

and ambiguous formal function. The third chapter will clarify cross-references that are found in *Waldszenen* as they relate to Schumann's other compositions. The last of my four central chapters examines the relationship between three musical topics and their corresponding literary genres – that is, the relation between fantasy and *Kunstmärchen*, pastoral and idyll, hunt and hunting tale or song.

Chapter 2. Innovative Unification Procedures

Waldszenen exhibits many compositional traits that bind all nine pieces into one coherent cycle. Various unification techniques in Romantic literature tie fragmented and seemingly non-related plots and events into a coherent entity. Schumann composed many piano cycles prior to *Waldszenen*, each of which has its unique unifying techniques.³ For example, *Davidsbündlertänze* is unified in two innovative ways. First, on the surface level, Schumann's imaginary characters, Florestan and Eusebius, become the extramusical anchors of the cycle; excluding the last movements of part I and II, each movement bears the initial "F" or "E," or "F and E." Second, on a deeper musical level, underlying motivic and harmonic relationships among the dances further generate unity (Kaminsky 1989, 216). *Carnaval* is unified by three musical mottos (sphinxes) - Eb C B A, Ab C B, A Eb C B - which are derived from the letters ASCH, the birthplace of Ernestine von Fricken, to whom the composer was engaged for a time (Kaminsky 1989, 210). However, none of the other piano cycles has a level of unity equal to that which is achieved in *Waldszenen*. In this late piano cycle, unity is secured not only by the narrative design suggested by the programmatic titles, but also by symmetries in the key scheme and in the succession of formal types. Furthermore, the web of motivic and tonal cross-references embedded within the music serves to provide large-scale coherence across the nine pieces.

³ See Daverio (1990) and Kaminsky (1989) for a broader account of the concept of unity in Schumann's music.

Titles	Keys (secondary keys)
1. Eintritt (Entry)	Bb (F, c)
2. Jäger auf der Lauer (Hunter in Ambush)	d (Bb)
3. Einsame Blumen (Lonely Flower)	Bb (g)
4. Verrufene Stelle (Haunted Place)	d (Bb)
5. Freundliche Landschaft (Friendly Landscape)	Bb (Eb, F)
6. Herberge (The Lodge)	Eb (Bb)
7. Vogel als Prophet (Bird as Prophet)	g (d, Bb, c, G, Eb)
8. Jagdlied (Hunting Song)	Eb (Ab, g, f, c,)
9. Abschied (Farewell)	Bb (F, Eb)

The descriptive titles of the nine movements display a clear beginning-middle-end narrative structure; a series of seven movements with descriptive titles is framed by movements entitled “Eintritt” (Entry) and “Abschied” (Farewell). The series of seven inner movements is itself symmetrical, as it begins and ends with titles involving hunters’ activities. Two titles, “Verrufene Stelle” (Haunted Place) and “Vogel als Prophet” (Bird as Prophet) stand out from the others because they refer to supernatural agents, and they lend further symmetry to the cycle, as they are found approximately one third and two thirds of the way through.

The key scheme also complements the unity of the *Waldszenen* cycle. Schumann has arranged Bb major as the main key for “Eintritt,” “Einsame Blumen,” “Freundliche Landschaft,” and “Abschied,” and as the secondary key in other movements, for instance, the middle section (mm. 9–18) in “Jäger auf der Lauer,” the central portion (mm. 14–17) of “Verrufene Stelle,” and the second section (mm. 9–21) of “Herberge.”

The key structure of the work as a whole generates a cyclic pattern that gives further unity and coherence to the work. While Bb major begins and ends the cycle, the intermediate keys form a mirror-like pattern using the fifth piece “Freundliche

Landschaft,” also in Bb major, as the midpoint. Excluding the first, middle, and last movements, we are left with two symmetrical subsets. Each of these centres on a movement with two flats in its key signature, enclosed by D minor (one less accidental) in the first subset and by Eb major (one more accidental) in the second subset. The key sequence is:

Bb+ [D- Bb+ D-] **Bb+** [Eb+ G- Eb+] **Bb+**

The formal structure of each movement in *Waldszenen* also displays a symmetrical pattern. Most of the movements have two themes arranged in an ABA (ternary or rounded binary) form. However, “Einsame Blumen” (No. 3) has a simple rondo form (ABACA), “Herberge” (No. 6), a sonatina form (ABAB), and “Abschied” (No.9), a non-conventional rondo form. The symmetry is formed as they are found at every third piece of the cycle.

The cycle is unified not only by the programmatic titles, key scheme, and formal structure, but also by motivic cross references between movements. This technique is a musical adaptation of a well known narrative effect, *Witz* (wit), which Schumann developed in the early 1830s. According to both Anthony Newcomb (1987) and John Daverio (1990), the technical basis of *Witz* is cross-reference, one of the narrative devices that a few pre-eminent early Romantic novelists, including Jean Paul Richter and Friedrich Schlegel, often used in their works. Jean Paul regards *Witz* as “a power which resembles a flash of lightning, discovering remote similarities between apparently incommensurable terms” (Daverio 1990, 41). Schumann admired this device to such an extent that he adopted this particular narrative device in his compositions.

Witz involves making seemingly unrelated entities unite as a whole by creating endless subtle allusions. Newcomb has also referred to cross-reference as “*geheime Fäden*” (secret threads), a term originally suggested by Norbert Miller for connections “that bind Jean Paul’s distinctive landscapes and dream visions to the narrative context in which they are embedded as seemingly separate things” (Miller 1968, 323, qtd in Newcomb 1987, 170). Schumann himself described the essence of *Witz* in a review from 1835: “Composers should not necessarily restrict the appearance of an idea to a single movement, but should rather conceal it, make abstruse and varied allusions to it, in subsequent movements as well” (Schumann 1914 qtd. in Daverio 1990, 42). Newcomb and Daverio both provide abundant examples of cross-reference among Schumann’s earlier keyboard works, including *Davidsbündlertänze* and *Carnaval*. Other commentators have already pointed out a few such cross-references in *Waldszenen*. In what follows, I will summarize their work and show many further examples.

At the surface level, each movement of *Waldszenen* has its own seemingly independent motivic content, but behind this exterior individuality we can find instances of subtle motivic connections among several pieces of the cycle. A few of these motives are discontinuous with their local context, which makes them especially striking. The apparent incoherence and discontinuity becomes the core of *Witz* that Schumann intentionally contrives. To take this device further, Peter Kaminsky (1989) asserts that the disconnected structure in Schumann’s music parallels the notion of the *Arabesque* in literature. He also finds that cross-reference is only a construction of surface repetition and that Schumann also extends the technique into subsurface repetition involving tonal reference (Kaminsky 1989, 208).

Melodic Cross-references

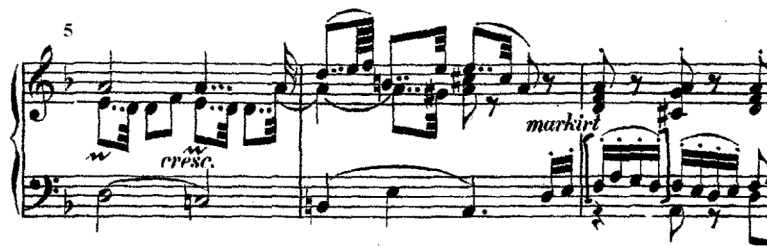
“Einsame Blumen” (No. 3) and “Verrufene Stelle” (No. 4)

The non-legato sixteenth-note fragmentary phrase in m. 7 of “Verrufene Stelle” alludes to the four-note motive at the beginning of “Einsame Blumen” (Xu 2006, 82 and Jost 1989, 174–5) (ex. 2.1). In “Verrufene Stelle,” the mysterious and rigid four-note motive (F-A-G-F) in the middle voice stands out in contrast to the dotted rhythms that surround it. On the other hand, the melancholy and relaxed initial four-note motive in “Einsame Blume” is the main module of the entire melody, which is constructed by an array of variations on the initial motive.⁴ Schumann’s use of cross-reference suggests a connection between the solitary flower, “Einsame Blumen,” of the third programmatic title and the blood-drinking flower in the poetic motto “Verrufene Stelle.” Such a connection allows for the subtle progression of psychological states, from the loneliness of the third piece to the parasitic wickedness of the fourth.

Example 2.1a “Einsame Blumen” mm. 1–2



Example 2.1b “Verrufene Stelle” mm. 5–7

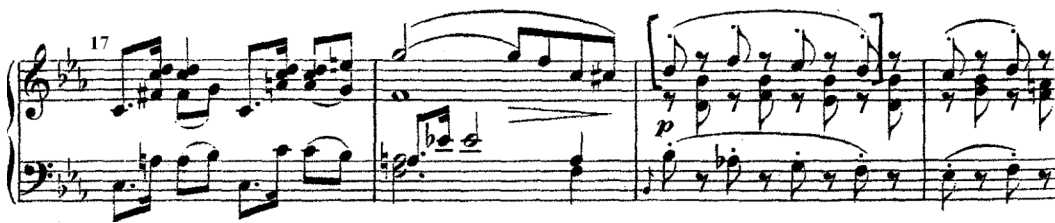


⁴ Jost (1989) elaborates on the monothematic structure in this piece (178–79).

**“Einsame Blumen” (No. 3), “Freundliche Landschaft” (No. 5), and “Herberge”
(No.6)**

Another cross-reference is found between “Herberge” and the initial motive of “Einsame Blumen” (ex. 2.2) (Jost 1989, 178). The melody clearly pronounced in the top voice at m. 19 is derived from the head motive of “Einsame Blumen.” Without the punctuated rests and the staccatos in “Herberge,” the two melodies are identical, even a closer relation than the one in “Verrufene Stelle,” in which the motive is transposed.

Example 2.2 “Herberge” mm. 17–20



In “Herberge,” the musical structure and texture at m. 19 do not cohere with the preceding materials. The flow of music is interrupted by new elements, including a very static rhythmic pattern and detached melody and accompaniment. These two measures, therefore, create an effect of digression, and an allusion found in digressed materials exemplifies the narrative technique of *Witz*.

The second cross-reference is more subtle. In “Herberge,” mm. 35–36 comprise a sudden playful character with the change of register and the perpetual left-hand leaps (ex. 2.3):

Example 2.3 “Herberge” mm. 34–36



The character and the nuance of these two measures totally disrupt the flow of music, and thus they constitute a fragment. The countermelody presented in the top voice of the left hand is yet another transposed version of the head motive of “Einsame Blumen.” By connecting “Herberge” and “Einsame Blumen” through cross-references, Schumann subtly alludes to the solitude of the individual flower of “Einsame Blumen” in the figure of the lonesome traveller arriving at the lodge. The motivic connection helps to forge the larger unity of the piece, despite the affective contrast of the melancholy “Einsame Blumen” and the joyful, warm, and welcoming character of “Herberge.” The metaphor can be further explained through Schumann’s original decision to title the piece “Einsamkeit” (Loneliness) (Jensen 1984, 84).

In “Herberge,” the right hand melody at m. 35 (ex. 2.3) is a restatement and a transposition of the main theme at m.1 (ex. 2.4). Under further examination, the same melody within mm. 35–36 has an extremely subtle allusion to the introduction of “Freundliche Landschaft.”

Example 2.4 “Herberge” m. 1



As the melodic reprise comes to an end at m. 35 of “Herberge,” (ex 2.3) a sequence begins (C D Eb F, Bb C D Eb). It turns out to be a partial transposition of the opening triplet runs in “Freundliche Landschaft” (D Eb F G, B C D Eb), with slight differences in intervals and without the overlapping motives that create the sixths (ex. 2.5).

Example 2.5 “Freundliche Landschaft” mm. 1–2



One of the clearest examples of *Witz* in *Waldszenen* occurs in m. 39 of “Herberge” (ex. 2.6). At the local level, this measure seems disconnected from what comes before and after, as a result of a few abrupt changes, including a reduction of dynamic level and textual density, faster rhythmic values, and the absence of a singable melody.

Example 2.6 “Herberge” mm. 39–40



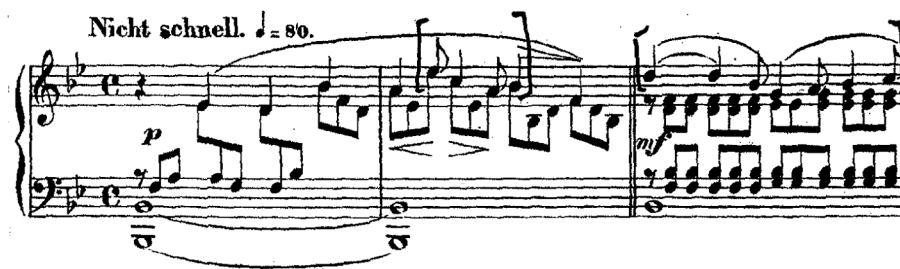
From a slightly broader perspective, however, this measure echoes the sequence in mm. 35–37 at a faster pace; more broadly still, it clearly alludes to the beginning of the previous piece, “Freundliche Landschaft” (compared to ex. 2.5). The allusion, therefore, becomes one of the “geheime Fäden” (secret threads) in this musical web. Although both Xu and Sheadel mention this cross-reference (Xu 2006, 82 and Sheadel 1993, 101), they overlook its narrative effect: the beginning pattern of the fifth piece, “Freundliche Landschaft,” establishes a swirling sensation evocative of the psychological state of the travellers who are intoxicated by the beauty of the landscape. This swirling pattern is repeated later in m. 39 of “Herberge,” with a slight difference, which perhaps conveys the traveller’s inebriation.

“Herberge” (No. 6) and “Abschied” (No. 9)

“Abschied” contains two further references to the opening of “Herberge” (see ex. 2.4). The first one is at m. 3 (ex. 2.7, discussed in Sheadel 1993, 129, and in Xu 2006, 83). Although the “Herberge” motive is transposed up a third, rhythmically altered, and supported by a denser and more incessant accompaniment, the melodic contour makes the allusion unmistakable. Another transformation of the “Herberge” motive, mentioned in none of the existing analyses of *Waldszenen*, occurs in m. 38 of “Abschied” (ex. 2.8).

Though very similar to the melody in ex. 2.7, this version of the “Herberge” motive is concealed in the tenor voice of a more complex texture and appears in the middle of a phrase. The transposed motive suggests the traveller’s reminiscence of his journey; at the moment of farewell, he nostalgically recalls the pleasure of resting and drinking at the lodge. For this reason, the initial motive of “Herberge” is embedded in “Abschied.”

Example 2.7 “Abschied” mm. 1–3



Example 2.8 “Abschied” mm. 37–38



“Eintritt” No. 1 and “Abschied” No. 9

Two more cross-references occur in “Abschied” and “Eintritt.” As “Eintritt” and “Abschied” frame the entire cycle, it is inevitable to compare the two. The second measure of “Abschied” (ex. 2.7), in particular the second to fifth notes of the melody (Eb C A Bb), recalls that of “Eintritt” (ex. 2.9).

Example 2.9 “Eintritt” mm. 1–2



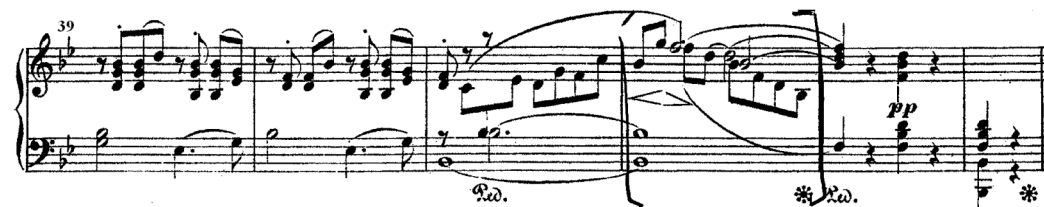
Instead of recalling the outset of the melody, as in the other cross-references I have cited, Schumann shifts the reference to the middle of the phrase with quite different head motives, thereby making the allusion less conspicuous.

“Eintritt” and “Abschied” also have an almost identical antepenultimate measure (ex. 2.10, also discussed in Jost 1989, 176). Both of these measures feature a descending arpeggiation of the tonic triad, embellished by a neighbour tone (G) and supported by a sustained bass.

Example 2.10a “Abschied” mm. 49–53



Example 2.10b “Eintritt” mm. 39–44



“Verrufene Stelle” (No. 4) and “Vogel als Prophet” (No. 7)

Two of the most bizarre and fantastic pieces in this cycle, “Verrufene Stelle” and “Vogel als Prophet,” also have an underlying relation. The penultimate measure of “Verrufene Stelle” becomes the foundation of the “Vogel als Prophet” (ex. 2.11).

Example 2.11a “Verrufene Stelle” mm. 32–35



Example 2.11b “Vogel als Prophet” mm. 4–6



Measure 34 of “Verrufene Stelle” is the turning point from D major to the long awaited D minor, the initial key. The arpeggio finally brings back the original mode and also delivers an interesting melodic twist, as the ascending tonic triad is embellished by a chromatic lower neighbour (G#). This technique is derived from the figuration at the conclusion of “Eintritt” (see ex. 2.10), but now the arpeggio ascends rather than descends, and its fifth is embellished by a chromatic lower neighbour rather than a diatonic upper neighbour. Schumann uses this characteristic figure again in “Vogel als Prophet” (Xu 2006, 84). In this case, it is transposed to G minor, and an idiosyncratic

rhythm enhances the representation of the bird. However, the darkness and wickedness of the “Verrufene Stelle” is not wholly forgotten, as Schumann harks back to its original tonality by modulating to D minor after four measures; the initial arpeggio is transposed to that key in mm. 5–6.

Thus far, we have seen how the unity of *Waldszenen* is forged through motivic cross-references between its individual movements. Such coherence is further achieved on a profound level, as an examination of the work’s tonal cross-references will demonstrate. However, in order to understand the wider significance of tonal cross-references, we will need to consider an idea proposed by Peter Kaminsky in his article “Principles of Formal Structure in Schumann’s Early Piano Cycles.”

Tonal Cross-references

Peter Kaminsky (1989) focuses on the sub-surface cross-references in *Davidsbündlertänze*. He examines the recurrence of local harmonic progressions as well as broader tonal motions from G major to B major/B minor or from B major/ B minor to G major throughout the cycle. The harmonic and tonal progression from G major to B minor is first established in the first movement’s five-measure introduction, and this procedure returns untransposed at various points in the subsequent dances. Tonal cross-references of this sort can also be discerned in *Waldszenen*. All the keys in *Waldszenen* are closely related, and all nine movements visit Bb major at some point. Furthermore, the three minor-mode movements all share a tonal progression from D minor to Bb major. Beyond this, as we shall see, *Waldszenen* also offers a range of more subtle, varied, and sophisticated tonal allusions.

Recurrence of the tonal progression from D minor to Bb major in “Jäger auf der Lauer” (No. 2), “Verrufene Stelle” (No.4), and “Vogel als Prophet” (No. 7)

In addition to the motivic cross-references, tonal cross-reference plays a significant role in “Verrufene Stelle” and “Vogel als Prophet.” The main tonality in “Verrufene stelle” and the secondary key in “Vogel als Prophet” recall the D minor tonality of the second piece, “Jäger auf der Lauer.” They are the only minor modes in the *Waldszenen* cycle: “Jäger auf der Lauer” begins with D minor and modulates to Bb major in the contrasting section; “Verrufene Stelle” opens with D minor and proceeds to Bb major in the middle section; and “Vogel als Prophet” starts with G minor and modulates to D minor in the second phrase before moving to Bb major in the third phrase. The importance of the two keys, Bb major and D minor, is revealed through their prominence in the work, while the tonal allusion between these two keys is vividly displayed in three minor-mode movements. Not only do they share tonalities, either for the modulation or the overall tonality, but they are also the only pieces in the cycle that include modal mixture on tonic at salient points.

Replication of the cycle’s modulation scheme in “Jagdlied” (No. 8)

The succession of modulations in “Jagdlied” exhibits an affinity to the tonality of the complete cycle, which centres on the key of Bb major. In the overall tonality of the cycle, the sequence of the keys is displayed as followed: Bb+, D-, Bb+, D-, Bb+, Eb+, G-, Eb+, Bb+. The underlined keys are equivalent in transposition to the succession of keys in section A of “Jagdlied.” The transposition and the relevance can be easily explained by the scale degree: I, iii, IV, vi, I. In “Jagdlied” of Eb major, the keys proceed as Eb+,

G-, Ab+, C-, Eb+. The modulation in the first section seems to change rapidly and almost randomly, evoking the thrilling unpredictability of the hunt.

Bilateral cross-reference of secondary keys in “Einsame Blumen” (No. 3) and “Vogel als Prophet” (No. 7)

Tonal cross-reference is also manifest in “Einsame Blumen” (Bb major) and “Vogel als Prophet” (G minor). I have explained the symmetry of the tonal pattern in the cycle at the beginning of this chapter and have introduced the succession of the tonal subsets. Coincidentally, “Einsame Blumen” lies in the middle of the first subset and “Vogel als Prophet” in the second subset. Both the secondary key (G minor, m. 19) and the tonicization (Eb major, m. 46) in “Einsame Blumen” happen to be found in the second subset [Eb g Eb]. Likewise, the secondary keys (D minor, mm. 5–8; Bb major, mm. 9–11) in “Vogel als Prophet” turn out to be in the first subset [d Bb d]. The tonal web that these two pieces create generates an even more intricate symmetry than the overall tonality of the cycle and reveals an innovative tonal association. This tonal design is shown below:

Bb [d Bb d] Bb [Eb g Eb] Bb

Large-scale coherence is achieved through a meticulous and innovative planning of compositional aspects including motives, forms, and tonalities. Most of these associations are embedded in distinctive musical contexts, and, at the same time, they reflect Schumann’s adaptation of narrative technique of the Romantics. The symmetry of the movements’ titles, keys and forms, together with motivic and tonal cross-references between movements, unite the nine individual pieces in a tight-knit cycle.

Chapter 3. Manipulations of Formal Conventions

Schumann produced his most striking works not by developing and extending Classical procedures and forms but by subverting them, sometimes undermining their functions and even making them momentarily unintelligible (Rosen 1995, 655).⁵

Schumann used conventions of form established during the Classical period as the foundation of his compositional technique, but he manipulated them in subtle and innovative ways. This technique is mentioned by Schumann himself in his *Neue Zeitschrift für Musik*. One of this journal's primary goals was to promote higher standards in piano music. Schumann suggested three principles for achieving this goal, one of which was "the composer's responsibility to create new forms based on a solid knowledge of older, 'classical' models" (see Fowler 1990, 20). In his article "Schumann and Late Eighteenth-Century Narrative Strategies," Anthony Newcomb explains that form in Schumann's music "depends almost exclusively on transformation of the functions of events in a paradigmatic plot," which is a standard set of formal conventions (Newcomb 1987, 171). This compositional technique is one of the most important narrative devices Schumann borrowed from the literary Romantics.

Newcomb demonstrates how Schumann adapted the technique through an analysis of Schumann's String Quartet in A major, op. 41 no. 3. In the principal theme of the fourth movement, the opening has the straightforward homophony and vigorous rhythm of a standard rondo tune, yet the tonal process does not establish the initial key of the piece, and the phrase structure is articulated strangely, in a total of seven 2-measure groups as opposed to the normal periodic structure (Newcomb 1987, 171–173). Although the rondo form is clearly announced at the outset of the movement, the normal

⁵ Rosen (1995) focuses on form in Schumann's music, and he notices the altered forms in many of Schumann's lieder, which use a semi-strophic form derived from Schubert.

functions and successions of the form are distorted. When the listeners compare the paradigmatic rondo form to this movement, their predictions are often thwarted by Schumann's manipulation of formal conventions.

I will discuss here three kinds of formal manipulation in *Waldszenen*: problematic closure, problematic recapitulation, and ambiguous formal function. The discussion that follows builds on Newcomb's analysis of Schumann's quartet to show that even in his late works, Schumann's forms bear traces of the influence of Romantic narrative strategies.

Problematic closure

“Eintritt” (No. 1)

“Eintritt” is a rounded binary form with an unusually long coda: A (mm. 1–8); B (mm. 9–16) + A' (mm. 17–28); coda (mm. 29–44). The movement is in B flat major, but C minor plays an important role in section B (mm. 10–14) and reasserts itself in section A' (in mm. 22–24). The harmony then oscillates between supertonic and dominant harmonies in Bb major (mm. 24–28), thereby placing more emphasis on the dominant, which is typical at the end of a recapitulation. Unexpectedly, at m. 28, a new type of material is introduced in the coda: a chromatic ascending line in the left hand supported by a sustained chord in the right hand (Ex. 3.1).

Example 3.1 “Eintritt” mm. 24–33



This material further accentuates and prolongs the dominant of Bb major. This phrase concludes at m. 31 with a dominant harmony. The anticipation of the tonic and the perfect cadence grows as each dominant harmony appears subsequently through mm. 28–36. Finally at m. 37, the long-awaited Bb tonic chord arrives at the first beat, but even here the dominant continues to sound in the bass, and this weakens the sense of cadential closure considerably. The main theme immediately follows in the same measure, and the expected perfect cadence never does materialize. Near the end, two plagal cadences (mm. 39–41) with elaborated tonic harmony replace the expected perfect cadence and conclude the movement.⁶ The long coda with new musical elements, the tension of the dominant harmony, and the absence of the perfect cadence in “Eintritt” reveal the influence of Romantic narrative on Schumann, as they signal a long, winding path and the anticipation of the traveller, roaming into the heart of the forest. However, the effect of these elements on the listener is ambiguous because the piece thwarts the satisfaction of the conventional closure of the rounded binary form after the reprise.

⁶ Like the chorale texture in the middle section of “Vogel als Prophet,” the plagal cadences imply religious or spiritual sentiment.

Problematic Recapitulation

Recapitulation functions to reconfirm the principal key and to restate the initial melodic material of the first section. It also provides the reassurance of returning home and announces the imminent end of the journey. A clear and distinct reprise functions as a signpost to listeners, orienting them the piece's inevitable conclusion.

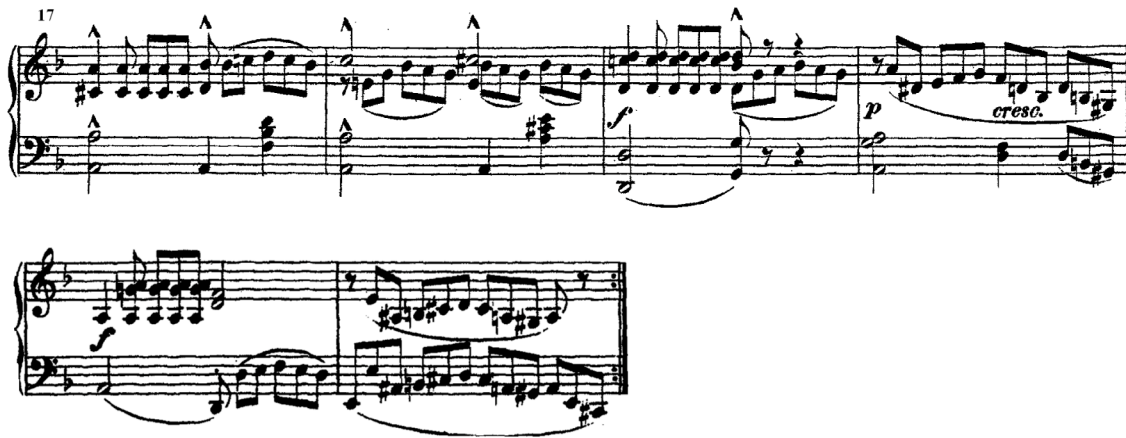
“Jäger auf der Lauer” (No. 2)

“Jäger auf der Lauer” has a rounded binary form: A (mm. 1–8), B (mm. 9–18) + A' (mm. 19–22), coda (mm. 23–39). It provides the best example of problematic recapitulation. The return of section A defies our expectations, because this reprise emerges in disguise. Guided by the double barline, we might assume section B ends at m. 22. However, at m. 19, we can detect section A elements hidden in the left hand, beneath the façade of section B materials in the right hand (ex. 3.2).

In the following measure (m. 20), the right hand has the contrasting element (the running triplets) from section A, while the left hand provides some harmonic support. The familiar long-short slur appears again in the bass at m. 21, as the top voice continues with elements from section B. Although the two hands take turns to present the initial motives from section A, the continuity and prominence of the B materials may prevent the listener from recognizing the reprise, especially on first hearing. This mixture also renders a harmonic difference between the opening section and the return. Where the first beat of m. 19 is a dominant seventh of G minor, the first beat of m. 1 is a tonic in D minor. Therefore, the G minor tonality at m. 19 also directs our attention away from the reprise, even though m. 21 states the original D minor key. Rather than recapitulating

initial material, the reprise paradoxically resembles a conventional development section of a sonata form, which often features exploitation of initial and contrasting themes. The integration of the materials in section A' alters and undermines the function of the recapitulation. Schumann's reprise challenges the listener by failing to offer the reassurance of the familiar theme, nor does it provide relief from the climactic middle section.

Example 3.2 "Jäger auf der Lauer" mm. 17–22



"Herberge" (No. 6)

"Herberge" as in "Jäger auf der Lauer" manifests a similar problem in the recapitulation. The recapitulation begins at m.25 but, in its first measure, it has a completely different texture from m.1, with the melody now being stated an octave lower in left hand (Ex. 3.3). If the pianist does not bring out the initial theme in the left hand, the listener will probably fail to recognize the first measure of the reprise. Once again, the formal boundary here is obscured by the manipulation of musical elements. Section A definitely returns at m. 25. However, there are several obstacles to the recognition of the reprise: the non-legato motive in the right hand, which is a prominent element in

section B (see m. 9); the harmonization of the theme at m. 25, which is different from that of the outset; the continuation of the *Etwas zurückhaltend* (somewhat held back) tempo marking, which lasts from the end of section B to the first measure of the reprise and makes m. 25 sound more like an ending than a beginning; and the simple fact that the main theme is now embedded in an inner voice. In a conventional reprise, the outset of the theme would be clear and stable, but Schumann resists this pattern by developing an unpredictable procedure at m. 25 to delay the listener's recognition of the recapitulation.

Example 3.3 “Herberge” mm. 25–26



Ambiguous formal function

“Abschied” (No. 9)

Waldszenen contains many moments of ambiguous formal function, created by the subversion of conventional formal expectations. Perhaps the most prominent of these ambiguous moments occurs in “Abschied.” Up to m. 29, the form is quite standard: introduction (mm. 1–2), section A (mm. 3–10), reprise of introduction (mm. 11–12), section B (mm. 13–20), and reprise of A (mm. 21–28). However, the new section at m. 29 presents two possibilities: a reprise of B, or a new section, C. The previous sections, excluding the two introductions, contain an antecedent-consequent phrase structure with

four-bar phrases throughout. Unlike the preceding sections, the phrases in mm. 29–40 are now six bars long: 6 (mm. 29–34) + 6 (mm. 35–40) (Ex. 3.4).

Example 3.4 “Abschied” mm. 29–40

This section also features a series of tonicizations: in the first phrase, IV, iii, and V are all tonicized. On the other hand, some of the melodic elements here are derived from section B. For example, the melody in the right hand at m. 29 (Bb Ab G F# G), intertwined between two upper voices, is the same as the melody in the left hand at m. 15, and they are both in the subdominant key. Likewise, the triplets with the prominent Bb at m. 34 share a similar construction to those at mm. 13 and 15, and the eighth-note melody with repetitive triplet accompaniment is present in both mm. 17–18 and 32–33. As a result, this new section has a plausible formal function as a reprise of section B in the tonic. It ends at the first beat of m. 40 with a perfect authentic cadence and an elision connecting it to the coda.

This new section presents a problem if we seek to interpret it in light of conventional Classical models. If we interpret mm. 29–40 as a new section, then the movement must be regarded as a rondo form in which the final refrain is replaced by a coda (this possibility is discussed in Caplin 1998, 234). If we instead interpret mm. 29–40 as a modified reprise of section B, then the movement must be regarded as a sonata form without development (see Caplin 1998, 216). In a standard rondo form, the refrain would have at least some initial theme materials, even if it is replaced by a coda. However, the coda of “Abschied” is devoid of any traces of initial theme. A sonata-form reading, therefore, would seem to be more suitable here, even though the sonority, new phrase structure, and tonicization in mm. 29–40 lean towards rondo form. Whatever interpretation we prefer, the section does not conform to formal expectations; its formal function within the section is ambiguous.

“Jäger auf der Lauer” (No. 2)

Like the closure of “Eintritt,” the prolonged coda in “Jäger auf der Lauer” generates uncertainty regarding the piece’s overall formal structure. At first glance, it appears that this piece is in rounded binary form: A (mm. 1–8); B (mm. 9–18) + A’ (mm. 19–22); and coda (mm. 23–39). After the reprise of section A, the following section has many individual elements derived from section B (Ex. 3.5). These familiar musical elements include short triplet patterns, large leaps in quarter notes (left hand), and staccato chords in m. 25.

Example 3.5 “Jäger auf der Lauer” mm. 21–25



Despite these similarities to the contrasting section, the overall effect does not recall the middle section. The combination of all these undeniably familiar elements in different ways transforms the surface of the work into a new entity. Thus, the formal function of this section is difficult to define. As noted above, my preferred reading is to call it a coda, because the tonic key (D minor) dominates this region without further modulations and because the section contains many dominant-tonic resolutions. Another possibility is to call this area section C (mm. 23–34) with a five-measure coda (mm. 35–39), creating a five-part rondo form in which the final refrain is replaced by a coda. However we choose to interpret the section, the seemingly clear formal structure in “Jäger auf der Lauer” betrays an underlying complexity. The sonority in the last section makes the formal function ambiguous. Schumann avoids the traditional functions of either a rounded binary or a simple rondo form by mixing musical motives and gestures taken from all sections.

The problematic closure, problematic recapitulations, and ambiguous formal functions in *Waldszenen* create moments of surprise and confusion as we perceive the succession of events in the cycle. Likewise, Jean Paul would often add his own contribution to the narratives by commenting constantly on events, characters, and circumstances (Reiman 2004, 28). The unexpected interpolation disorients the reader and disrupts the comparing process of the narrative and the paradigmatic plot. The influence

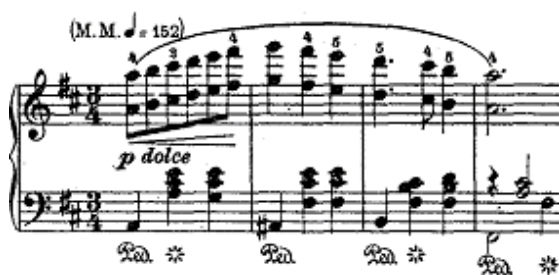
of Classical formal conventions is in evident in all movements of *Waldszenen*.

Schumann, however, incorporates elements from these traditional sources, only to manipulate their function at chosen places to generate striking effects.

Chapter 4. Intertextual Allusions

Chapter 2 explains how motivic and tonal cross-references between the movements of a cycle can act as a unifying device. Now I would like to explore some ways in which Schumann introduces cross-references to other compositions, thereby exceeding the boundaries of the work as a whole. These cross-references forge a unity on a higher level—that of the composers’ entire *oeuvre*. The aspect of narrative technique, known as intertextuality, is discussed by Erika Reiman, who asserts that many Romantic writers, including Jean Paul, employ this device to destroy the boundaries between novels themselves (Reiman 2004, 30; see also Allen 2000, Klein 2005).⁷ For example, Jean Paul would often borrow characters and plots from another of his novels (Newcomb 1987, 170). Indebted to Jean Paul, Schumann likewise adopted a similar technique. To cite one famous example, in mm. 19–22 of “Florestan” (from *Carnaval*), Schumann borrowed a short passage from the first piece (mm. 1–4) of *Papillons* (Reiman 2004, 92):

Example 4.1a *Papillons* No. 1 mm. 1–4



⁷ Reynolds (2003) gives the most comprehensive account of the nature, function, and cultural context of intertextual allusions in Romantic music. Many of Reynolds’s examples come from the works of Robert Schumann, but he also discusses music by Beethoven, Felix and Fanny Mendelssohn, Clara Schumann, Liszt, and Brahms, among others. Through these examples, he explores the themes of play, criticism, creativity, symbolism, “levels of audience,” tradition, and secrecy (162).

Example 4.1b “Florestan” from *Carnaval* mm. 19–22

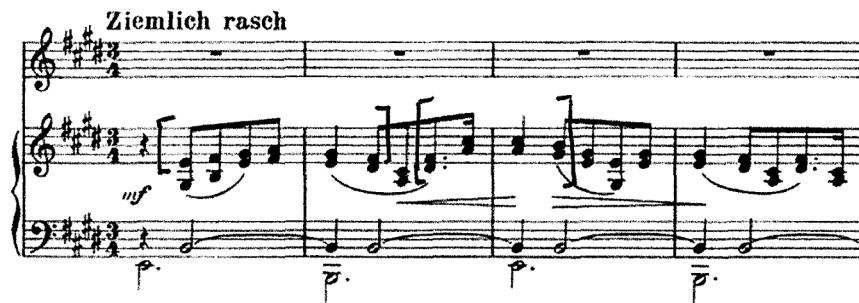


In *Waldszenen*, a short direct quotation is recognized by Dong Xu (Xu 2006, 89). The initial melody in “Herberge” echoes to the piano introduction of “Waldesgespräch,” the third song of Schumann’s Eichendorff *Liederkreis*, op. 39, written in 1840. More than that, they both contain the distinct dotted rhythmic pattern, found in m. 3 of “Herberge” (Ex. 4.2a) and in mm. 2–3 of “Waldesgespräch” (Ex. 4.2b):

Example 4.2a “Herberge” mm. 1–3



Example 4.2b “Waldesgespräch” mm. 1–4



Although the two pieces share a similar woodland setting, their central narrative events are different, even opposite: a treacherous encounter with a witch in “Waldesgespräch” and a festive gathering in “Herberge.” In my view, Schumann wants to evoke a deeper connection between these two pieces at the level of emotion. At the beginning of “Waldesgespräch,” Schumann portrays the excitement of the male protagonist when he sees a beautiful woman in the middle of the forest. Operating on a similar emotional register at the beginning of “Herberge,” Schumann suggests an affective consonance between the sight of the beautiful woman and the weary traveller’s gratitude and relief on reaching the comfortable inn.

Schumann imparts not only direct quotation but also subtle allusion in *Waldszenen*. Unusual and idiosyncratic elements pervade the cycle, such as distinctive rhythmic figures, peculiar pauses, and abrupt changes of affect. In many cases, these are not completely new inventions; in fact, they are derived from earlier works. The allusions that link *Waldszenen* to Schumann’s earlier pieces demonstrate the underlying subconscious connection between his compositions. Such allusions are often more intricate than simple direct quotations.

In “Vogel als Prophet,” the distinctive rhythmic figure not only imitates bird’s flight, but its leaps and chromatic inflections also convey a sense of freedom and melancholy (Ex. 4.3a). This type of rhythm recalls that of the eighth variation of the *Symphonic Etudes*, in which the extravagant sweeps, formed by the same rhythmic pattern, express a very different emotion (Ex. 4.3b).

Example 4.3a “Vogel als Prophet” m. 1



Example 4.3b *Symphonic Etudes* Var. 8 mm. 1–2



Although “Vogel als Prophet” and the eighth Etude share the same opening tone (C#) and similar rhythmic design, the stepwise motion in the Etude and the fast broken chords in “Vogel als Prophet” have opposite effects: the former is bold and assertive, and the latter is tentative. The allusion probably also reflects the fact that “Vogel als Prophet,” like much *Hausmusik*, is also a sort of an etude. It becomes an exercise in focusing on delicate and subtle tone quality while executing the rhythm precisely. This rhythm, the three-note rushing to the down beat, gives the two pieces a sense of stasis. It prevents the beat moving forward and creates a static quality with no singing line.

We need not look hard to find other intertextual allusions in *Waldszenen*. The fifth piece in the cycle, “Freundliche Landschaft,” has an unexpected pause at mm. 3–4 (Ex. 4.4a), which recalls the stop-and-go rhythms of “Coquette” in *Carnaval*.

Example 4.4a “Freundliche Landschaft” mm. 1–5



The pause, formed by an abrupt change to longer note values in mm. 3–4, separates the opening material from the theme that begins after the double bar-line. This theme, although derived from the introductory materials, dominates the rest of the piece. The opening segment reappears only at mm. 28–32 and mm. 40–42. The premature pause and unexpected shift of material have a disorienting effect. A similar technique is also used in “Coquette” from *Carnaval* (Ex. 4.4b):

Example 4.4b “Coquette” from *Carnaval* mm.1–5



Schumann, however, gives an actual pause in “Coquette” through a quarter-note rest and a fermata followed by a double bar-line. Schumann provides a short pause after every two measures of continual dotted rhythm. The flow and halt of the music vividly illustrate flirtation as the core idea of “Coquette.” Likewise, “the run and stop” motion,

created by the swirling triplets and the sustained chord, captures the sensation of the light-headed traveller who is intoxicated by the beauty of the landscape in *Waldszenen*.

Another subtle allusion is found in “Vogel als Prophet.” The hymn-like tune of its middle section arrives suddenly and stands as a distinct entity. It presents a completely new idea and an unexpected character, almost giving the impression of a new piece.⁸ The chorale-like texture, extreme serenity, and major tonality in this section stand out in clear contrast to the first and the last sections of “Vogel als Prophet.” The transposition up a sixth (mm. 23–24) suggests a sort of spiritual elevation and gives the passage a feeling of intensified religious sentiment (Ex. 4.5a).

Example 4.5a “Vogel als Prophet” mm. 22–24

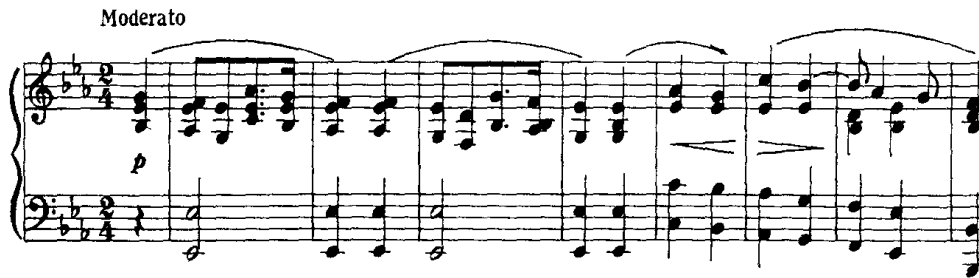


According to Alan Walker (1972, 112–113), Schumann experienced a dramatic visual hallucination—a visit from angels—while suffering his illness on the night of 17 February 1854. He got out of bed and took down a tune in Eb major which, he said, the angels had sung to him (Ex. 4.5b). Walker shows that the tune bears a striking

⁸ The effect is similar to one of Jean Paul’s narrative strategies, the digression. In Jean Paul’s novels, digression is cultivated as a catalyst for a life-changing experience; his protagonists often are transported to the second world, where they are no longer aware of reality. The digressive passages contain never-ending sentences and a quasi-religious vocabulary (Reiman 2004, 18–31). “At this moment, a vast, boundless breath, cool, stirring, whispering, overflowed the whole enkindled Paradise, and the little flowers bowed themselves down silently and the green ears soughing undulated together, and the stately tress trembled and murmured, –but only the great breast of man drank in streams the infinite breath, and Emanuel’s heart dissolbed, ere it could say, ‘this is Thyself, All-loving One!’” (Richter [1798] 1865, 330)

resemblance to the slow movement of Schumann's *Violin Concerto*, composed the previous year, on whose theme he later wrote a set of variations (as did Brahms).

Example 4.5b *Theme in E Flat WoO 10* mm. 1–8 (Walker 1972, 113)



This tune has a conspicuous likeness to the last measure in the middle section of “Vogel als Prophet,” specifically in its hymn-like quality, tonality, melodic contour, and rhythmic outline.⁹ Unlike the previous allusions, this tune communicates a sentiment that is unique in Schumann’s piano works. This is a striking example (the only one in *Waldszenen*) of the effect of Schumann’s mental illness upon his compositions.

All of the intertextual allusions found in *Waldszenen* are extremely subtle. As intra-opus cross-references within the cycle provide strong cohesion, extra-opus cross-references suggest unity at the level of Schumann’s entire *oeuvre*. My exploration of intertextual allusions in *Waldszenen* manifests that Schumann borrowed this narrative device from Jean Paul, who employed intertextuality to destroy the boundaries between novels themselves. In this cycle, the intertextual allusions function in multiple and various ways, ranging from the direct quotation to the more intangible registers of affective similarity. As with his incorporation and subversion of formal structure of

⁹ Reynolds (2003) discusses two further allusions in “Vogel als Prophet,” namely allusions to Schumann’s *Scenen aus Goethes Faust* and Mendelssohn’s “Im Walde” (77–81).

Classical-era models, Schumann likewise incorporates and revises elements of his own *oeuvre*.

Chapter 5. Musical Topics

Along with the movement titles and poetic mottos, the use of musical topics, including fantasy, pastoral, and hunt, is an important aspect of representation in *Waldszenen*.¹⁰ In this chapter, I will focus on the three literary genres and their associated musical topics that are most relevant to *Waldszenen*: the *Kunstmärchen* (literary fairy tale) and the topic of fantasy; the idyll and the pastoral topic; and the hunting tale or song and the hunt topic.

Schumann's *Waldszenen* has sometimes been compared to the *Kunstmärchen*, a genre of Romantic literature. Eric Jensen regards the forest depicted through music in *Waldszenen* as a counterpart to the forest in Ludwig Tieck's *Kunstmärchen*, but he offers very limited evidence to support his assertion (Jensen 1984, 85).¹¹ In what follows, I will build on Jensen's idea by proposing an analogy regarding the fantastic images found both in "Verrufene Stelle" and "Vogel als Prophet" of *Waldszenen* and in Tieck's *Kunstmärchen*. On the other hand, five of the pieces in *Waldszenen* ("Einsame Blumen," "Freundliche Landschaft," "Herberge," "Eintritt," and "Abschied") reflect yet another literary genre: the idyll, one of Jean Paul's favourite genres. The character of these pieces conforms to the idyllic vision that Erika Reiman describes in the fifth chapter in her book (Reiman 2004, 156–190). The remaining two pieces in *Waldszenen*, "Jäger auf der Lauer" and "Jagdlied," correspond to the genre of hunting story or hunting song, a popular genre among the Romantic poets, such as Heinrich Laube.

¹⁰ See Ratner 1980 and Monelle 2006 for a full discussion of musical topics.

¹¹ Jensen (1984) claims that the forest of *Waldszenen* becomes a visionary wood, a place in which marvels both of good and evil were found (85). The struggle between good and evil was often an integral part of the *Märchen*.

Literary Fairy tales

The fairy tale was a popular literary genre in nineteenth-century Germany. Schumann composed two actual *Märchen* pieces, *Märchenbilder* Op. 113 (for piano and viola) and *Märchenerzählungen* Op. 132 (for clarinet, viola, and piano) after the completion of *Waldszenen*. Even though these pieces are not children's pieces, their composition reflects the influence of fairy tales, which Schumann read nightly to his children (Jensen 2001, 341). The simple folk fairy tales written by Hans Christian Andersen and the Brothers Grimm were his frequent choice. They were written for children and frequently recited and overheard by adults; the stories themselves are characterized by a simple plot and language, both innocent and evil characters, fascinating magic, and (most important of all) a happy ending (Thalman 1964, vi). Although Schumann was familiar with these comparatively innocent fairy tales, the ones he drew on for *Waldszenen*, according to Eric Jensen, are of a different sort. In the *Kunstmärchen*, every detail is stained with symbol and darkness, so these tales are not suitable for immature listeners and readers. Schumann, presumably, kept these for his own delight.

The *Kunstmärchen* lacks the simplicity and light-heartedness of a traditional fairy tale and contains a complexity of problems with many meanings and moods (Thalman 1964, v–vii). Yet this particular genre is an essential part of the Romantic legacy. It has never fallen out of favour with the reading public and even today captures our imagination (Scheck 2004, 101). Ludwig Tieck (1773-1853), Wilhelm Heinrich Wackenroder (1773-1798), Novalis (1772-1801), Clemens Bretano (1778-1842), and E.T.A. Hoffmann (1776-1822) were the main contributors to the genre. In particular,

fairy tales written by Ludwig Tieck display the hallmarks of the traditional fairy tale: simple language; magical creatures, such as magicians, witches, and elves; adventurous plots; and dangers. Yet, the traditional happy ending of the folk fairy tale – where virtue is rewarded and evil punished – is missing (Thalmann 1964, v–vii). Moreover, Tieck’s fairy tales combine fantastic elements with more quotidian struggles to generate a creative fusion of the irrational and the rational (Scheck 2004, 101). It is also noteworthy that *Der Runenberg* (The Rune Mountain) and *Der Elfen* (The Elves), his two most celebrated *Kunstmärchen*, are replete with important forest scenes.

Significantly, Tieck’s forest scenes are the locus of life-changing events for the protagonists of his fairy tales. In *Der Runenberg*, Christian pulls a mandrake root from the ground, launching the course of events that comprises his adventure. Likewise, in *Der Elfen*, the heroine witnesses the arrival of the Pheonix in a forest setting, bringing her into contact with many fantastic creatures. These extraordinary scenes challenge the characters’ sense of reality, suggesting realms beyond the known world. These associations reverberate strongly in “Verrufene Stelle” and “Vogel als Prophet” of *Waldszenen* respectively, suggesting the influence of these Romantic narratives on Schumann’s later work.

In the fourth piece, “Verrufene Stelle,” Schumann provides an ominous and foreboding motto taken from Friedrich Hebbel’s *Waldbilder*. The motto depicts a blood-sucking single flower surrounded by many pale, deathly flowers. Moreover, the double-dotted rhythm in the piece recalls that in the French Overture and in the funeral march. Together with the music’s minor mode, slow tempo, pervasive dotted rhythms, grave

atmosphere, and polyphonic texture, the motto of “Verrufene Stelle” (Hebbel 1848)

makes the listeners tremble with fear:

Die Blumen, so hoch sie wachsen,
Sind blass hier, wie der Tod;
Nur eine in der Mitte
Steht da im dunkeln Roth.

The flowers, even though they grow tall,
Are here as pale as death;
Only one in the middle
Is of deep red.

Die hat es nicht von der Sonne
Nie traf sie deren Gluth;
Sie hat es von der Erde,
Und die trank Menschenblut.

It did not get it from the sun
For the sun’s rays never touched it;
It got it from the earth,
For it drank human blood.

The blood-sucking red flower in the middle of the field calls to mind the mandrake root in *Der Runenberg* (The Rune Mountain). Both plants share the qualities of wickedness and supernatural power. The protagonist in the tale accidentally pulls the mandrake root and hears a strange moan; he later falls victim to the witch and becomes insane. In traditional folklore, according to Maria Tatar, if the mandrake root (resembling the human frame), is torn from the ground, it releases a sound so heartrending that it can drive men mad (Tatar 1978, 286). In their *Deutsche Sagen*, Jakob and Wilhelm Grimm also note that mandrakes were believed to sprout from the spot where a criminal, hanged from the gallows, had fertilized the earth with his bodily fluids. Fed by the blood of the sinner, the mandrake itself turns into a wicked plant. Accordingly, the mandrake takes its revenge on those who seek to uproot it by releasing a bloodcurdling scream that either kills its violator or drives him to insanity (Tatar 1978, 286–287).

To enhance further the ominous and distressing atmosphere, Schumann creates an adventurous embellishment with the unconventional neighbouring procedure. After the dominant arrival at m. 21, iv of D minor is supported by the dominant pedal (A) at the bass, followed by the repetition of the same harmonic procedure at m. 22. The sonority is

strikingly discordant as the dominant pedal is sustained throughout the two measures. The alternation of dominant and subdominant harmonies generates a certain amount of conflict. With the presence of the dominant pedal, we expect a familiar neighbouring procedure, V5/3 to neighboring 6/4, but Schumann gives us a unique progression instead.

Example 5.1a “Verrufene Stelle” mm. 21–22



Example 5.1b Reduction of “Verrufene Stelle” mm. 21–22



8	—	9	—	8
8	—	7	—	8
#	—	4	—	#

d-: V —————

The influence of *Kunstmärchen* on the seventh piece, “Vogel als Prophet,” is also evident. In this mysterious and melancholic piece, the bird is portrayed by a melody with an unusual rhythmic pattern and contour; the musical elements reflect the image of the bird’s wings and its flitting motion. From this first section, the piece shifts unexpectedly into a hymn-like meditation in a choral style, which brings together the animality and spirituality suggested in the figure of the Bird as Prophet.

The paradoxical fusion of the natural and the divine in the prophet bird is perplexing, even though Schumann had given us a signal of divinity formed by two plagal cadences in the first piece, “Eintritt.” Moreover, it is difficult at first glance to determine the relationship between the discarded poetic motto and the bird. The motto is taken from the last line of the poem *Zwielicht* (Twilight), written by Joseph von Eichendorff and found in his story *Ahnung und Gegenwart* (Future and Present):¹²

Hüte dich! Sei wach und munter!

Take care! Be alert and on thy guard!

Schumann had already set this poem as the tenth piece of his *Liederkreis* op. 39. The verses are a warning against infidelity. Eichendorff emphasizes the darkness and menace of twilight in the forest, but he does not mention a bird. In this song, the slow-moving eighth notes of the piano prelude depict grey twilight blackening into a deep night; and the first interval in the melody outlines an augmented fourth, G C#, while Eichendorff’s poem uses the metaphor of spreading wings to describe twilight. Likewise, the augmented fourth is displayed at the outset of “Vogel als Prophet,” where the two hands first converge followed by the wing-shaped notation. However, other than the interval and the poem, these two pieces barely have anything in common. This may be the reason Schumann discarded the poetic motto in the published edition.

Perhaps the most significant literary inspiration for Schumann’s “Vogel als Prophet,” however, is the wise and glorious bird in *Der Elfen* (The Elves). In the story, the bird not only delivers a message, but also is immortal. The name of the bird, “Phoenix,” already suggests that it is a mythical bird of the Arabian desert, said to live for five hundred years before burning itself and then rising again from its ashes. Tieck explains his bird in the story:

¹² Eichendorff [1815] 1984

When Phoenix grows old, he builds a pile of balm and incense, kindles it, and dies singing; and then from the fragrant ashes, soars up the renewed Phoenix with un- lessened beauty. It is seldom he so wings his course that men behold him; and when once in centuries this does occur, they note it in their annals and expect remarkable events. (Tieck [1812] 1991, 132–133)

Phoenix's eternal cycle of lives is evoked obliquely in "Vogel als Prophet." At the end of both A sections, the opening statement is reiterated, and its ending is left hanging with an incomplete version of the initial motive, suggesting the continuation of the cycle.¹³

Near the end of the *Der Elfen*, Phoenix delivers an unearthly and divine message. With iridescent plumage, he floats down from the sky and announces the imminent arrival of the Elven King. The sight of the bird and the message make all the young elves cry for joy (Tieck [1812] 1991, 132). The performance of the elves in front of the bird, the appearance of the bird, and the bird's announcement all have religious connotations in the story. These religious overtones are likewise suggested in the allegory of the elves' ejection from their prosperous and enchanted place of origin after breaking a promise, which recalls the story of the biblical Garden of Eden. The religious indications in "Vogel als Prophet," including the hymn-like texture in the middle section and the unexpected modulation to Eb major at m. 23, beat 4, echo the spiritual scenes from Tieck's tale (ex. 5.2).

¹³ Schumann initially had a different ending, but he rounded off the final statement with the opening theme in the published version. The original ending is reproduced in Jensen 1984, 80. Jensen discusses the significance of revisions such as this, both in purely musical terms and in programmatic terms.

Example 5.2 “Vogel als Prophet” mm. 22–24



The kaleidoscopic plumage described in the fairy tales also resembles the frequent tonal modulation and the disorienting effect from the appoggiaturas on the down beats. As the weak beats (2 and 4) are accentuated by the full sonority supported by the left hand, the strong beats are emphasized by the long note-value and appoggiaturas. The emphasis on both strong and weak beats generates metric displacement, a category of the phenomenon which Harald Krebs calls metrical dissonance (Krebs 1999, 22–45).¹⁴ The unexpected emphasis on the upbeat, rather than the downbeat, can be disorienting to listeners.

Example 5.3 “Vogel als Prophet” mm. 1–3



¹⁴ Krebs (1999) discusses metrical dissonance in “Vogel als Prophet” (95) and “Eintritt” (55).

Example 5.4 Listener's perception of "Vogel als Prophet" mm. 1–3



Jensen and others have suggested an analogy between Tieck's forest setting and Schumann's *Waldszenen*. I have elaborated on this analogy by explicating the influence of some extraordinary plots and images of *Kunstmärchen* on the two pieces from *Waldszenen* that have fantastic titles and mottos.

Idyll Genre

At the level of fantastic images, the *Kunstmärchen* clearly influenced the composition of the *Waldszenen*. However, some of the pieces in *Waldszenen* are simpler and more melancholy in character. These pieces are evocative of the pastoral sentiment seen in idyllic literary works. The literary genre *Kunstmärchen*, therefore, is inadequate to fully elucidate the influence of literary forms on Schumann's compositions. To trace these influences further, we must turn our attention to another popular Romantic literary genre: the idyll. The idyll, featured in Jean Paul's works, becomes an important literary counterpart to *Waldszenen*. In *The Musical Topics*, Raymond Monelle treats the idyll as identical to the pastoral genre (Monelle 2006). The pastoral genre in music began in the sixteenth century. It thrived in the music of Vivaldi (chamber concerti) and J. S. Bach (cantatas), and later in the secular vocal music of Haydn and the Pastoral Symphony of Beethoven (Monelle 2006, 229–44). In the nineteenth century, both Schubert and

Brahms produced many pastoral folksongs, for example, Schubert's *Der Lindenbaum* and Brahms's *Deutsche Volkslieder* and *Volks-Kinderlieder* (Monelle 2006, 251–53).

According to Erika Reiman, Schumann's *Arabeske*, *Blumenstück*, and *Humoreske* are composed in an idyllic style derived from Jean Paul. Schumann composed these pieces in the late 1830s in response to Clara's advice: "Compose something brilliant and easy to understand at once, one whole coherent piece, not too long and not too short, written for the audience" (Reiman 2004, 157). Schumann's desire to convince Wieck of his ability to provide for Clara may also have prompted this move towards a more popular (and hence more lucrative) style of composition (Reiman 2004, 156).

A clear influence on Schumann, Jean Paul adopted the idyll in his writing. His idylls are long enough to be identified as novels, but they are far shorter than his main works. The general characteristics of this genre include "pleasant pastoral setting, straightforward plot, emphasizing scenery and uncomplicated character interaction rather than dramatic dialogue; [and] an extended poetic framework" (Reiman 2004, 158).

In the Enlightenment, there had been a negative response to the idyll, and many critics referred to it as nostalgic and artificial. Johann Christoph Gottsched attacked the idyll as "a dangerous trend which featured unreality" (Reiman 2004, 160). In the Romantic period, on the other hand, Jean Paul affirmed the value of the idyll by defining it as "an epic portrayal of complete happiness within limits" (Reiman 2004, 160). Jean Paul's two most notable idylls are *Maria Wuz* and *Quintus Fixlein*. The protagonist's life in *Maria Wuz* is "like a long and tranquil poetic scene, describing his ambition to have higher education in his poor living situation; no matter what happens during the day, Wuz is always able to curl up in bed at night and forget his troubles" (Reiman 2004, 161).

Like Wuz, Fixlein “struggles to obtain the position of pastor in his tiny hometown; by mistake, he is awarded a far more important position in the court centre, but he yearns to return home” (Reiman 2004, 162). As we have seen, Jean Paul’s idylls are generally light in tone and feature the struggles of impoverished people as they seek to improve themselves.

The style and musical elements in “Einsame Blume,” “Freundliche Landschaft,” “Herberge,” “Eintritt,” and “Abschied” in *Waldszenen* resonate with those of the *Arabeske*, *Blumenstück*, and *Humoreske*, and accordingly with the idyll genre. Although the idyllic content does not permeate the entire cycle, the light atmosphere, simple homophonic texture, lucid melodic line, regular rhythmic pattern, and clear phrase structure in these pieces offer traces of a Jean Paulian idyllic vision in *Waldszenen*.

The third and the fifth pieces of the *Waldszenen* cycle epitomize the sense of the idyll as their titles suggest. “Einsame Blumen” (Lonely Flowers) has a languid and wandering atmosphere, lucidly portrayed by a simple circular four-note melodic motive with steady left-hand accompaniment. The appoggiaturas at m. 2 and m. 4 further convey a tinge of poignancy. To heighten the nostalgic sentiment and sense of longing, Schumann contrives a parenthetical insertion in mm. 7–8 within an otherwise balanced, foursquare phrase structure, (mm. 1–10) (ex. 5.5). The languorous character saturates the entire piece.

Example 5.5 “Einsame Blumen” mm. 1–16



The fifth piece, “Freundliche Landschaft,” likewise bears the mark of the influence of idyllic fiction. Whereas “Einsame Blumen” is languid and nostalgic, “Freundliche Landschaft” conveys the pleasures of warm and playful afternoons. The swirling triplets and the “run and stop” motion render a head-spinning sensation of an intoxicatingly beautiful and fragrant natural landscape. After the introduction, triplets continue to be the predominant figure in the main theme. The piece’s scherzo-like character and a carefree spirit are created chiefly by the rapid runs and the simultaneity of rhythm between the hands. The simple harmonic progression and consistent rhythm and texture fully conform to the reassuring simplicity of the genre of the idyll.

The sixth piece, “Herberge” (The Lodge), evokes a simple and rustic setting. The leaping dotted rhythmic patterns are suggestive of the atmosphere of beer halls: the sound and sway of clinking beer mugs and snippets of drinking songs. Meanwhile, the fast tempo illustrates the liveliness of the travelling lodge. The benign but unpredictable behaviour of the inebriated customers in the lodge is suggested through various musical elements: the unpredictable tempo indications, from “Etwas zurückhaltend” (held back)

to “Im tempo” (back to original tempo); the abrupt changes of note-value (from quarter notes and eighth notes to sixteenth notes); and articulations (from legato to staccato). The emotional tone of the piece as a whole is comforting, innocent, uncomplicated – indeed, pastoral.

The contrast between such idyllic pieces and the more menacing forest scenes is stark. Wandering in the woods became one of the ideal activities of urban life in the Romantic period. In the opening piece, “Eintritt” (Entry), Schumann describes the traveller’s relaxed sentiment and walking pace through the music’s steady pulse, simple and uplifting melody, and sustained harmony. In the middle section, the unstable chromatic harmonic progression and the complexity of the texture suggest a spellbinding landscape and a convoluted path, foreshadowing the fantastic conflict and threat of the later forest pieces. Still, the threat presented in this idyllic piece is largely contained. These extramusical images are reinforced by the discarded motto, taken from Gustav Pfarrius’s *Waldlieder* (Pfarrius 1850):

Wir geh’n auf thauumperlten Pfad,	We walk upon a pearly dew-dropped path
Durch schlankes Gras, durch duft’ges	Through slender grass and fragrant
Moos	Moss
Dem grünen Dickicht in den Schoos.	Into the lap of the green thicket.

Schumann concludes the cycle with “Abschied” (Farewell), bidding farewell to the forest with an abundance of rich and tender musical material. The nostalgic sentiment suggested by an expressive melodic line over slow-moving triplets, and supported by simple harmonic progression with clear phrase structure, permeates the entire piece. Schumann initially prefaced “Abschied” with a motto, again from Pfarrius’s *Waldlieder* (Pfarrius 1850):

Leise dringt der Schatten weiter,	The shade is softly spreading,
Abendhauch schon weht durch’s Thal,	Evening breeze is already blowing through

Ferne Höhn nur grüssen heiter
Noch den letzten Sonnenstrahl.

the valley,
Only distant peaks extend a cheerful greeting
Even the last ray of sunlight.

Hunting Story and Hunting Song

The influence of literary forms on *Waldszenen* is further evident in the hunting pieces of the cycle, which draw on the folk tradition of hunting stories and songs. The topic of the hunt is expressed in *Waldszenen*, particularly in “Jäger auf der Lauer” and “Jagdlied.” These two hunting pieces have discarded poetic mottos taken from *Jagdbrevier* (1841), a collection of poems written by Heinrich Laube after a shooting expedition at Muskau. Schumann also chose this set of poems in his *Jagdlieder*, op.137 (5 songs for men’s voices with 4 horns). Another example of hunt literature is *Jägerlied* (1837), a short poem in two four-line stanzas written by Eduard Mörike (1804-1875), a German lyric poet. In it, the natural beauty of his surroundings reminds the hunter of his beloved. Hugo Wolf (1860-1903) set this poem for his *Jägerlied*, op. 19 (song for voice and piano). Schumann was definitely familiar with Mörike’s works, since he set a few of Mörike’s poems to his songs, including *Das verlassene Mägdlein*, op. 64 no. 2 and *Der Gärtner*, op. 107 no. 3.

According to Raymond Monelle, hunting music evokes nobility, the outdoors, the forest, adventure, and action (Monelle 2006, 35). Horn calls are perhaps the most striking and essential element of the topic of the hunt. Monelle emphasizes the importance of horn calls in evoking the woodland by quoting E.T.A. Hoffmann, “certain horn tunes transport us instantly into the forest” (Hoffmann 1800, 48, qtd. in Monelle 2006, 100).

The second piece, “Jäger auf der Lauer” (Hunter in Ambush) seems to tell the story of a huntsman – his conquest and eventual triumph in capturing his prey. The piece is vibrant and exciting; its contrasting musical elements, such as the long-short patterns, the impetuous triplets, and the brilliant repeated chords, depict the thrilling hunting sequence — the ambush, the chase, and the triumph. Trumpet and horn calls at also enliven this musical hunting story. The discarded motto, taken from Heinrich Laube’s *Jagdbrevier* (Laube [1841] 1909) anticipates the adventure to come in its apt description of the preparations for the hunt:

Früh steht der Jäger auf	The huntsman rises early
Und beginnt den Tageslauf.	And starts his day.
Das erste Licht auf’s Büchsenkorn	The first light on buck-shot
Bringt mehr als ein ganzer Tagesborn.	Brings more winnings of an entire day.
Dämer ist Wildes Braut,	Twilight is the stag’s bride,
Dämer macht Wild vertraut,-	Twilight makes the stag unsuspecting
Was man früh angeseh’n,	The things one has seen in the early hours,
Wird uns nicht leicht entgeh’n.	Will not easily escape us.

The eighth piece, “Jagdlied” (Hunting Song), delivers a different hunting message than “Jäger auf der Lauer.” Instead of evoking the action of the predator and the prey, “Jagdlied” is a song of the pleasures of companionship – presumably it is sung by a group of hunters – that displays affinities with the idyllic genre. Although the hunt is generally adventurous and dangerous, “Jagdlied” expresses the huntsmen’s simple enthusiasm and their kinship with nature. The motto, from Heinrich Laube’s *Zur hohen Jagd* (Laube [1841] 1909), is a perfect complement to the character of the movement:

Frisch auf zum fröhlichen Jagen	On to the merry chase,
Ihr Jäger auf zur Pirsch!	Ye huntsmen to the hunt!
Wir wollen den Hirsch erjagen,	We want to fell the stag,
Den edlen rothen Hirsch.	The noble red deer.
Der Tag steigt auf in Frische.	Day is dawning afresh
Der Hirsch kehrt heim vom Feld;	The stag is returning from the field;
Frisch auf denn in’s Gebüsch,	On then to the bushes
Wo er den Wechsel hält.	Where he keeps his haunt.

Its homophonic texture, galloping rhythm, and straightforward regular eight-measure phrases present a sense of the inexorable strength and energy of the hunters. The essential elements of the hunt are fully manifested in “Jagdlied”: the 6/8 time illustrates the valiant and noble characters, while the specific melodic arrangement, featuring tonic and dominant tones with fourth and fifth intervals and the motives in repeated notes, illustrates the significance of the horn call.

The three musical topics -- fantasy, pastoral, and hunt -- correspond to the Romantic literary genres of *Kunstmärchen*, idyll, and hunting tale or song. Taken together, these three topics form a cycle, with the idyllic pasture and the supernatural forest at polar ends. The idylls represent an innocent and unthreatening relationship to the natural world; nature is there to be appreciated and to provide pleasure. In contrast, the fantastic pieces present a much more malevolent and dangerous version of nature. Whereas the wanderer is able to control his experience of nature in the idyllic pieces, he is liable to be overcome by nature – and the threat of mental dissolution – in the more fantastic segments. The hunt pieces form a bridge between the idyll and the *Kunstmärchen*. Here, the pleasures of nature and companionship, typical of idyllic pieces, are present, but there is added the dynamic of adventure and conquest in the sequence of the hunt. Viewed together, these topics help to comprise the forest journey in *Waldszenen*.

Chapter 6. Conclusion

Despite the view of some earlier critics that literary Romantic narrative ceased to be an influence on Schumann's later works, my analysis demonstrates that Jean Paul's narrative techniques are indeed found in abundance in *Waldszenen*. His devotion to Jean Paul's literary works and narrative style reflects his reverence for the writer. Schumann hung a portrait of Jean Paul in a gilded frame on his wall alongside portraits of his father and Napoleon. The picture was given to Schumann by Jean Paul's widow when Schumann travelled to Bayreuth, a small town in Bavaria where Jean Paul had spent much of his life (Jensen 1998, 128–29). Schumann was a sensitive reader who would often write down his impressions of reading Jean Paul's novels. In 1829, after reading *Siebenkäs*, Schumann was overcome, as he emotionally expressed in his diaries:

“I sat completely enraptured among the trees and I heard a nightingale. But I didn't cry—and I struck out with my hands and feet, because I felt so happy. But on the way home I felt as if I had taken leave of my senses. I was in my right mind, but I still thought I was not. I was actually [insane]” (Jensen 1998, 132).

Schumann's passion for music and his enthusiasm for literature were equally intense. He claimed that playing music by Schubert reminded him of reading a novel by Jean Paul (Jensen, 2001, 40). His love of both arts prompted him to attempt to become a writer and a pianist. Without much success on in either career, he abandoned his initial plans and pursued a new path as a composer.

The use of literary works is conspicuous in Schumann's songs and dramatic works. However, Schumann, who had a love for mystery and concealed meaning, decided to incorporate literature in his instrumental music. He borrowed many narrative techniques from the German Romantics, particularly Jean Paul, and further exploited them in his compositions.

Extramusical paratexts, including programmatic titles and poetic mottos, are found in *Waldszenen*. I have also discovered that Schumann integrates narrative strategies into his own idiosyncratic compositional technique. Schumann was interested in breaking with the conventional by pursuing non-linear narrative. To this end, *Waldszenen* makes use of various narrative strategies, including covert unifying musical elements, the manipulation of formal convention, intertextual allusion, and musical topics.

In the first instance, motivic and tonal cross-references unify *Waldszenen*. Most of these connections are not immediately obvious, since each piece has its own individual principal motivic content. As I have shown, however, numerous motivic cross-references between movements can be found upon closer examination, and tonal references lend a novel, symmetrical design to the cycle as a whole. The connection between motives also reflects upon the narrative that is driven by the titles and poetic mottos.

Next, I examined the ways in which manipulation of formal conventions demonstrates Schumann's ideal formal structure. Problematic closure, recapitulation, and ambiguous formal structure challenge the straightforward assumptions established by the conventional succession of functional events, and thus give rise to the abundant surprises and confusions that many listeners and critics have noted in Schumann's works.

When the intertextual allusions emerge over the course of the cycle, the sense of cyclic unity in *Waldszenen* is heightened. The use of intertextual allusion extends the larger unity to include the coherence of Schumann's *oeuvre* as a whole.

In the fifth chapter, I analyzed the influence of Romantic literature on Schumann's composition. It is not unusual to associate musical compositions with

literary topics and genres, especially when the pieces in question have explicit narrative or referential implication conveyed through programmatic titles and poetic mottos. All the titles in *Waldszenen* suggest a musical narrative, but a single topic or genre does not adequately represent the cycle as a whole. *Waldszenen* introduces three topics, namely fantasy, pastoral, and hunt, and their associated literary genres, *Kunstmärchen*, idyll, and hunting tale and song. An awareness of the interplay of these diverse topics is essential to the performer, whose interpretation must range over a large variety of sentiments and characters.

My analytical approach here is intended to encourage pianists to savour Schumann's neglected late piano cycles, which are as mesmerizing as the early ones. I hope that this document might also inspire scholars to explore the influence of Jean Paul's and other literary Romantics' narrative strategies on Schumann's late compositions.

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Appendix 1. Poetic mottos in *Waldszenen* (Schumann, Henle edition 2001, 30–31)

No.1 “Eintritt” (Entry) The motto is taken from Gustav Pfarrer’s *Waldlieder*:

Wir geh’n auf thauumperlten Pfad,
Durch schlankes Gras, durch duftges
Moos
Dem grünen Dickicht in den Schoos.

We walk upon a pearly dew-dropped path
Through slender grass and fragrant moss
Into the lap of the green thicket.

No.2 “Jäger auf der Lauer” (Hunter in Ambush) The motto is taken from Heinrich Laube’s *Jagdbrevier*:

Früh steht der Jäger auf
Und beginnt den Tageslauf.
Das erste Licht auf’s Büchsenkorn
Bringt mehr als ein ganzer Tagesborn.

The huntsman rises early
And starts his day.
The first light on buck-shot
Brings more than the winnings of an entire
day.

Dämer ist Wildes Braut,
Dämer macht Wild vertraut,-
Was man früh angeseh’n,
Wird uns nicht leicht entgeh’n.

Twilight is the stag’s bride,
Twilight makes the stag unsuspecting
The things one has seen in the early hours,
Will not easily escape us.

No.4 “Verrufene Stelle” (Haunted Place) The motto is taken from Friedrich Hebbel’s *Waldbilder*:

Die Blumen, so hoch sie wachsen,
Sind blass hier, wie der Tod;
Nur eine in der Mitte
Steht da im dunkeln Roth.

The flowers, even though they grow tall,
Are here as pale as death;
Only one in the middle
Is of deep red.

Die hat es nicht von der Sonne
Nie traf sie deren Gluth;
Sie hat es von der Erde,
Und die trank Menschenblut.

It did not get it from the sun
For the sun’s rays never touched it;
It got it from the earth,
For it drank human blood.

No.7 “Vogel als Prophet” (Bird of Prophet) The motto is taken from the last line of Eichendorff’s *Zwielicht*:

Hüte dich! Sei wach und munter!

Take care! Be alert and on thy guard!

No.8 “Jagdlied” (Hunting Song) The motto is taken from Heinrich Laube’s *Zur hohen Jagd*:

Frisch auf zum fröhlichen Jagen
Ihr Jäger auf zur Pirsch!
Wir wollen den Hirsch erjagen,
Den edlen rothen Hirsch.
Der Tag steigt auf in Frische.
Der Hirsch kehrt heim vom Feld;
Frisch auf denn in’s Gebüsch,
Wo er den Wechsel hält.

On to the merry chase,
Ye huntsmen to the hunt!
We want to fell the stag,
The noble red deer.
Day is dawning afresh
The hart is returning from the field;
On then to the bushes
Where he keeps his haunt.

No.9 “Abschied” (Farewell) The motto is taken from Gustav Pfarrer’s *Waldlieder*:

Leise dringt der Schatten weiter,
Abendhauch schon weht durch’s Thal,

Ferne Höhen nur grüssen heiter
Noch den letzten Sonnenstrahl.

The shade is softly spreading,
Evening breeze is already blowing through
the valley,
Only distant peaks extend a cheerful greeting
Even the last ray of sunlight.

Appendix 2. List of Schumann's major piano works (Jensen 2001, 351–52)

Phase I: Concert music (Newcomb 1990, 258–315)

Opus number	Keyboard compositions	Date of composition	Date of publication
1	Abegg Variation	1829	1831
2	Papillons	1828-31	1831
3	6 Etudes d'après des Caprices de Paganini	1832	1832
4	Intemezzi	1832	1833
5	Impromptus	1833	1833
6	Davidsbündlertänze	1837	1837
7	Toccata	1829-33	1834
8	Allegro	1832	1835
9	Carnaval	1834-35	1837
10	6 Etudes de concert d'après des Caprices de Paganini	1833	1835
11	Grande Sonata	1833-35	1836
12	Fantasiestücke	1837	1838
13	Symphonic Etudes	1834-35	1837
14	Piano Sonata No.3	1836	1853
15	Kinderszenen	1838	1839
16	Kreisleriana	1838	1838
17	Fantasy	1836	1839
18	Arabesque	1838/39	1839
19	Blumenstück	1838/39	1839
20	Humoreske	1839	1839
21	Novelletten	1838	1839
22	Sonata in G minor	1833-38	1839
23	Nachtstücke	1839	1840
26	Faschingsschwank aus Wien	1839	1841

Phase II: Polyphonic studies

32	Vier Klavierstücke: Scherzo, Gigue, Romanza, und Fughette	1838/39	1841
56	Studien (pedal piano)	1845	1845
58	Skizzen (pedal piano)	1845	1846

Phase III: *Hausmusik*

66	Bilder aus dem Osten (piano duet)	1848	1849
68	Album für die Jugend	1848	1848
72	Vier Fugen	1845	1850

82	Waldszenen	1848-49	1850
85	Zwölf vierhändige Klavierstücke für kleine und grosse Kinder (piano duet)	1849	1850
111	Drei Fantasiestücke	1851	1852
124	Albumblätter	1832-45	1854
126	Sieben Klavierstücke in Fughettenform	1853	1854
133	Gesänge der Frühe	1853	1855