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Formal structure in the Cello Concerto No. 1, Opus 107 by Dmitri Shostakovich.

Karen A. Bates-Crouch

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FORMAL STRUCTURE
IN THE
CELLO CONCERTO NO. 1, OPUS 107
BY DMITRI SHOSTAKOVICH

A Thesis Equivalent Project
Presented to the
Department of Music
and the
Faculty of the Graduate College
University of Nebraska

In Partial Fulfillment
of the Requirements for the Degree
Master of Music
University of Nebraska at Omaha

by
Dr. Karen A. Bates-Crouch
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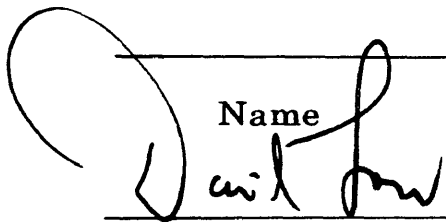




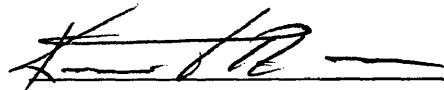
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Acceptance for the faculty of the Graduate College, University of Nebraska, in partial fulfillment of the requirements for the degree of Master of Music, University of Nebraska at Omaha

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	Music
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Chairman

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ABSTRACT

The purpose of this paper is to present a formal structural approach to the Cello Concerto, Op. 107, of Dmitri Shostakovich.

Each of the four movements of the work are examined structurally, with some attention given the theoretical crafting. The Shostakovich Cello Concerto is a unique blending of structures and theoretical techniques. His style of composition is inconsistent and difficult to analyze and label using just one theoretical approach. It is only through a combination of theoretical concepts that any understanding of the Concerto can be achieved.

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Introduction

The Cello Concerto No. 1 in Eb Major, Opus 107, by Dmitri Shostakovich, was composed in 1959 and premiered that same year by Mstislav Leopoldovich Rostropovich (October 4, 1959, Leningrad Philharmonic Hall; Leningrad Philharmonic Orchestra, Yevgeni Mravinsky, conductor).

Later that same year, on November 6th, an American premiere of the Concerto was made by Rostropovich, with the Philadelphia Orchestra under the baton of Eugene Ormandy (Hulme 137-8). A review, by Edwin H. Schloss, of this American premiere was published in *The Philadelphia Inquirer*:

The music is in a technical sense admirably written for the instrument, thanks no doubt to the fact that the score was written for and dedicated to Rostropovich. And on Friday the dedicatee gave it a magnificent performance on the Academy stage. Rostropovich is a gallant master of his instrument. His technical equipment is nothing less than astounding. In the cadenza he employed every trick of the trade with consummate facility. His cantabile tone was full and round--a sine qua non of fine cello playing--and his taste and musicianship were in evidence all the time. On the pyrotechnic side he threw in runs and double stops in the most difficult 'thumb' positions: stopped and natural harmonics in the dazzling and left hand pizzicato profusion, dashed off with an elan that was irresistible. (Roseberry 151)

Even though several other cellists have performed and recorded the Concerto since then, the work is still most closely identified with Rostropovich, the man to whom it was originally dedicated. The out-of-print recording of his live performance played with the Moscow State

Orchestra under Kiril Kondrashin (Everest 3342, no date) is still considered the definitive interpretation.

Overshadowed by the symphonic, filmscore, and operatic output of the Soviet composer, the Cello Concerto is not considered one of Shostakovich's major works. This mid-twentieth-century composition is of less appeal to the general audience than one of the more familiar cello concerti, such as the Dvorak or Boccherini. Because of the technical demands on soloist and accompaniment, brilliant performances are limited.

The Cello Concerto should not be relegated to a back shelf, however. Despite the fact that other writers consider it inconsequential in comparison with his other compositions, this author considers its theoretical crafting to be of significant interest.

From his earliest works, for example, the First and Fifth Symphonies, Shostakovich acquired and maintained an audience for his music. A major component of his continued appeal is summarized by Blokker:

Categorizing Twentieth-century composers in his book "What to Listen for in Music," Aaron Copland listed Shostakovich as "easily accessible." In a short phrase one composer accurately labelled another and pointed to Shostakovich's main significance as a composer. For, among composers who wrote in this century, Shostakovich *is* accessible. That is not to say that his ideas and contexts are simple: his canvases are complex and many of his ideas are strange at first. But it is for his accessibility that Shostakovich will remain important. (160-1)

Although many authors discuss the music and musical style of Shostakovich in detailed, descriptive prose, the literature lacks any serious consideration of his compositional style in relation to harmonic language and formal structure. Blokker, in his Shostakovich The Symphonies, is

perceptive in classifying the elements which distinguish Shostakovich as a composer:

His conservative voice was not overly innovative in style, though he was highly creative within and around the symphonic form. Despite his conservatism, in terms of orchestration and musical ideas he was among the most original of his time: though he encouraged experimentation in others his own experimentation was limited; he solidified rather than revolutionized. Like a second-generation revolutionary he often sorted the seeming good from the seeming bad and tried every road to prove that the Revolution itself was not merely destructive but creative and continuative. He was never comfortable if his ideas led him to extreme measures: he would examine them and quickly return to a more conventional path. His music was not abstract though it contained many abstract ideas and was driven by modern energy and nervousness. (Blokker 161)

Boris Schwarz, in The New Grove Dictionary of Music and Musicians says:

Shostakovich the composer can be described as an eclectic progressive, rooted in tradition and tonality, yet using dissonance and occasional atonality as expressive means without adhering to any particular school. He spoke out sharply against dodecaphony and serialism, but considered their occasional use 'entirely justified if it is dictated by the idea of the composition'. (272)

An avowed Socialist and loyal to the state despite its restrictive nature, Shostakovich was silent throughout most of his life, especially in regard to his creativity and art. His music spoke for him. In rare words of self-definition, Shostakovich, in his essay, "Dodecaphony Shatters Creativity," speaks out quite strongly against serial/atonal music:

The "atonalists" are shaking the foundation on which music is built--its tonal system. They reject the rules of harmony and the system of keys and sounds evolved by classic music. *The exponents of dodecaphony go even further to shatter the classical traditions and the creative element in music...This dogma of dodecaphony does nothing but kill the composer's imagination*

and the living soul of music.

...At the world festival of modern music held in Venice in 1960, various critics said that modernistic music had acquired such finished international features that it was often utterly impossible to tell the work of one composer from another. Almost all the modernistic music performed at the festival *was* amazingly alike. And, indeed, present-day modernism and national color *are incompatible!* (Essays 51,53)

It is significant to consider the close relationship Shostakovich felt between music and nationalism. His personal and political feelings were expressed not only through overt musical means, but also, perhaps, through the very harmonic language he used.

Perhaps one reason so few writers approach the question or solution of Shostakovich's harmonic language is the difficulty in finding a single quantitative or qualitative theoretical "key". The Cello Concerto is an excellent example of this problem. Each movement of this Concerto must be analyzed differently. What unlocks the first movement has little or no bearing on any of the other three movements, yet, harmonically, the entire work is consistent in style. Aurally, it is impossible to distinguish the variety of compositional methods Shostakovich employs.

On a larger scale, the framework of the concerto is highly integrated. Material from the first movement reappears quite prominently in both the third and fourth movements. Pervasive in its appearance and use, the recall of motivic material is overwhelming in its final appearance throughout the entire last portion of the fourth movement.

It is the intent of this paper to discuss some of the structures of the Cello Concerto. Each movement of the four movement form will be

examined for formal structure. Other considerations, such as harmonic language or motivic development and/or derivations will also be addressed as needed.

Formal Structure

First Movement

Each movement of this Concerto is a unique manipulation of the standard sonata structural technique. The only movement which functions as a "normal" sonata "form" is the first. Shostakovich does, however, use this basic formal structure as his starting point in the first, third and fourth movements.

Figure One is a chart of the structure for the first movement.

Exposition

First Theme (FT)

1-81

Second Theme (ST)

82-133

Development

First Theme

133-202

Second Theme

203-243

Recapitulation

First Theme

243-259

Second Theme

260-296

Coda

First Theme

296-334

Fig. 1. Formal Structure of First Movement

Formal structure is straightforward. Shostakovich presents first and second theme materials, but avoids the complexities of closing themes and codettas in the traditional sense. Since his structure has motivic/thematic basis rather than tonal, he limits his use of the sonata form.

Figure Two (m. 1-7) shows the three basic motives, X, Y, and Z. The "X" motive is the most important. Using Forte (Forte 1-224) labelling, it is a 4-18 set. The X and Y motives, which eventually tie the entire concerto together, are the significant elements of this movement, rather than the actual formal structure.

Allegretto $\text{♩} = 116$

Piccolo (poi Flauto II)

Flauto

2 Oboi

2 Clarinetti (B)

Fagotto

Contrafagotto (poi Fagotto II)

Corno (F)

Timpani

Celesta

Violoncello solo

Allegretto $\text{♩} = 116$

Violini I

Violini II

Viole

Violoncelli

Contrabassi

Fig. 2. Measures 1-7 showing motives X,Y, and Z.

Shostakovich makes extensive use of first theme material (especially motive X) in the development, with some made of second theme materials. Throughout the movement, second theme material functions as resting points to give relief from the driving X motive which permeates the entire movement. The Y motive, being rhythmic in nature also helps relentlessly push the movement forward. Release is achieved only at the abrupt ending.

Z is an intervallic motive (m2), generating the wonderful dissonance found both melodically and harmonically throughout the entire concerto. Shostakovich confuses the ear by making intriguing use of half-step dissonance in his chord structure. Figure Three gives examples from measures 16-19:

The image shows a musical score for measures 16-19. The staves are labeled: Ob., Cl., Fag., C. fag., and Vc. solo. Motive Z is indicated by a circled 'm2' in the Clarinet and Bassoon parts. Below the Vc. solo staff, there are handwritten annotations: 'b FM, F#m7/b9, EbM, F#7b9, Gm7', 'E: = I IV I I', and 'I I'.

Fig. 3. Motive Z from measures 16-19.

One of the few personal trademarks of Shostakovich was his musical "signature" (Blokker 158, Norris 158-9, 179, Roseberry 144). DSCH or d-e flat-c-b, (a 4-3 set) figures strongly in this movement. It appears as part of the first theme, then as a major component of the second. The initial appearance is in the cello line, m. 13-14, in transposition. It recurs in the second theme area in both the original formation and several new ones. Next to 4-18, the 4-3 set is the most important in this movement. Figure Four illustrates the 4-3 set:

The image shows a musical score excerpt for five instruments: Oboe (Ob.), Clarinet (Cl.), Bassoon (Fag.), Cello (C. solo), and Violoncello (Vc. solo). The score is in a key with one flat and a 3/4 time signature. A box labeled '1' is placed above the first measure of the Oboe part. Above measures 13 and 14, the numbers '13' and '14' are written. In the Cello part, measures 13 and 14 contain a rhythmic pattern of four eighth notes followed by three eighth notes, which is the 4-3 set. A bracket labeled '4-3' is placed under this pattern in measure 14.

Fig. 4. The 4-3 set.

More than any of the other movements, the first reflects the compositional attachment Shostakovich had to his model, the music of Beethoven (Blokker 161). Everything is motivically oriented, nothing is "melodically" derived. Measures 8-29 are given in Figure Five with the appropriate motives indicated.

Segments of the first movement can be analyzed using tertian/extended chromatic techniques and most of this passage can have sonority labels applied. Tertian functions have been notated where feasible; however, most of the Concerto cannot be analyzed in this fashion. The harmonic language of Shostakovich is too unique and inconsistent.

8

1 Y Y Y Y

Ob.

Cl.

Fag.

C-fag.

Vi. solo

4-12 4-18 4-18 4-3 4-10 4-3

X b° X E M FM FM FM E M

16

2 Y Y Y Y

Ob.

Cl.

Fag.

C-fag.

Vi. solo

4-10 4-18 4-13 5-7-12 5-10

F M FM G FM X f B° 4 gm 4 G M E mm 2 gm 2 b° C M m s

23

3 Y Y Y Y

Ob.

Cl.

Fag.

C-fag.

Vi. solo

4-18 4-1 4-10 4-10 4-1

am CM X B M m b° b m m 2 D M m 4 A b M D M m 4 FM E M FM

Fig. 5. Measures 8-29.

Second Movement

In a sudden break from the driving pace of the first movement, the second begins in a linear-derived string texture. Set in the tonal region of A minor, it is a tritone away from the first movement, a half-step above the traditional second movement sub-dominant. Figure six charts the formal structure of the second movement.

Exposition

FT [A] 1-54

Intro 1-15 (a) 16-23 (b) 33-35 Tr 33-35 (a) 36-43
 ((Parallel Double Period))

TR 43-54

ST [B] 54-152

[1] 70-95

(a) 70-75 (b) 75-79 (b) 79-88

((Parallel Period))

Tr 89-91 (a) 92-95

[2] 96-107

(a) 96-99 Tr 100-102 (b) 103-107

Tr 108-114

Development 115-152

(1) 115-127 (2) 127-148 (3) 148-152 (False Recapitulation)

Recapitulation

[A] 152-175

Intro 152-157 (a) 158-165 (b) 166-175 Tr 176-194

((Parallel Double Period))

Fig. 6. Formal Structure of Second Movement

This movement is curious for its structural design which leads into the third movement, Cadenza, an independently conceived movement. The first theme in the exposition comprises one-fourth of the movement, the second theme a full half. A section which could be labelled as developmental is brief, shorter than the initial first theme area.

After a climactic point of consecutive perfect fourths in the solo cello, the recapitulation begins in the distant key of F# minor, but quickly moves to the structurally correct key of A minor. The recapitulation's first theme is unique for its extensive passage for the solo cello using only artificial harmonics.

Another remarkable structural feature of this movement is the recurrent introductory music, played by the accompaniment, which appears three separate times: the beginning, before the second theme in the exposition and at the start of the recapitulation.

An argument could be made for a large structure rounded binary form, based on the recurring theme, but this seems unsatisfactory in view of the internal arrangement of the movement and the immediate segue into a full cadenza.

The harmony of the second movement has qualities reminiscent of Eastern European folk music. Because of the isolationism imposed on the Soviet Union during much of Shostakovich's lifetime, he was probably not extensively exposed to the music of Bartok. The similarities are present, however, and could possibly stem from a common folk bond from the past.

Portions of this movement can be superficially analyzed using the

theoretical techniques of Erno Lendvai, based originally on the music of Bela Bartok (Bates 6-95).

Using the pentatony/axis system Lendvai derived, the second movement is tonally closely related to the first. Figure 7 is the tonal axis for for a piece based on Eb. According to the axis, Eb and A are both tonic in function. Two keys which are considered distantly related and functionally disparate using tertian harmonic techniques are functionally equal in this theoretical system.

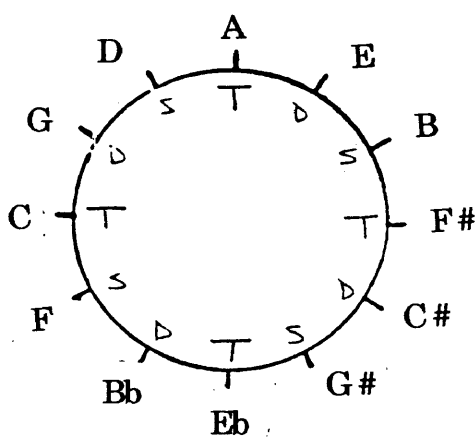


Fig. 7. E-flat Tonal Axis

Figure 8 shows the interlocking pentatonies (a foundational principle of the theory) which demonstrate the close relationship between the tonal areas within the movement. It is from these pentatonies that all Lendvai chordal structures are derived. Unlike the music of Bartok, however, for which this system was created, Shostakovich does not follow a consistent compositional technique.

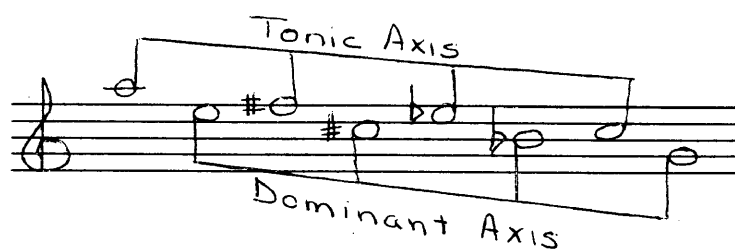


Fig. 8. Interlocking Pentatonies

The opening nine measures are interesting in their vertical and horizontal structures. Linearly, there are 1:2 (alternating m2/M2 intervals) and 1:3 models present (alternating m2/m3 intervals). Figure 9 maps these models:

Z = tritone

II

Archi

Musical score for strings (Archi) showing measures 1-9. The score includes handwritten annotations for interval models: $1:2$ and $1:3$. The score is marked *Moderato* with a tempo of $\text{♩} = 66$. Dynamics include *p*, *pp cresc.*, and *mf*. A tritone symbol Z is marked above the first measure. The word "Archi" is written vertically on the left side of the score.

Fig. 9. 1:2 and 1:3 Models from measures 1-9.

The first 13 measures also contain two examples of gamma chords, the trademark of Bartok. Most authors refer to these chords as combinations of major and minor triads. Figure 10 shows the structure of a gamma chord and two examples of it from measures 3 and 13.

Hand-drawn diagram illustrating the structure of a gamma chord. The diagram shows three examples of the chord structure on a five-line staff, with notes and accidentals indicated. The first example is labeled "m 3" and "C Y". The second example is labeled "m 3" and "C# Y m. 3". The third example is labeled "m 3" and "G Y m. 13". The diagram also shows a key signature change from one flat to one sharp.

Musical score for measures 38-40. Measure 38 is marked "Moderato J=66" and "p espressivo". Measure 39 is marked "tenuto" and "mp espressivo". Measure 40 is marked "p" and "dim.". The score includes parts for Archi (Violins, Violas, Cellos, Double Basses), Cor. (Cor Anglais), and Vo. solo (Solo Voice). A Roman numeral "II" is placed above measure 38. A handwritten "GY" is visible at the bottom of measure 40.

Fig. 10. Gamma Chord and Examples from Measures 3 and 13.

It is not the intent of this author to present a full harmonic analysis of the concerto or an in-depth study of Lendvai techniques. The similarities between Bartok and Shostakovich are presented untapped in the available literature. It is the hope of this paper to suggest a new approach to the music of Shostakovich based on traditional Eastern European folk music.

Third Movement

Labelled by the composer as "Cadenza," it is an independent movement of 148 measures, which immediately follows the second movement and drives forward into the fourth. Figure 12 is a chart of the formal structure of the third movement.

[A] 1-76

ST 1 1-36 ST 2 37-52 FT (a) 52-67 Tr 68-75

[B] 76-94

Tr 94-99

[C] 100-114

Tr 114-121

((First Mvt. FT))

Coda/Tr 121-148

Fig. 12. Formal Structure of Third Movement

The opening A section is material derived from the second movement. This first section is the second theme material originally heard in m. 70 of the second movement. Since there is no break between the second and third movements, the opening 67 measures of the Cadenza become an extension of movement two--the second theme of the second movement's recapitulation. The first 67 measures of the cadenza round out the previous movement structurally. Figure 13 demonstrates this:

[Second Movement]

Exposition 1-152

FT 1-54

ST 54-152

Development 115-152

Recapitulation 152-194

FT 152-176

Tr 176-194

[Cadenza]

ST 1-67

(Coda) 76-148

Fig. 13. Combining Second and Third Movements into one structure

In measure 68, following a fermata, the character of the cadenza changes. A transition from 68-75 leads into the B section. New material, reminiscent of the first movement is heard from 76-93. Another transition occurs from 95-99, setting up a return to definite first theme material in measure 100.

The third and final section of this movement is a combination Coda/Transition. It is a transition into the fourth, but also a fiery tail to the third.

Structurally, the cadenza is an interesting mixture of elements. It can be viewed as a continuation of the second movement recapitulation by directly following the first theme with that of the second. Unfortunately, it quickly dissolves into something other than a true continuation of the second movement. Also, unlike a normal cadenza, it makes a transition into an entirely new movement, rather than leading directly into a coda. Shostakovich defies tradition in another way--by placing a cadenza at the end of the second movement instead of the first or third.

Fourth Movement

The last movement opens with an overlapping of the third movement transition material. Thematic material begins in the accompaniment in measure 9, establishing a new theme. The fourth movement is the most complex, structurally, of the concerto. Figure 14 is a chart of the formal structure of the movement.

Tr 1-9

Exposition

[A] 9-63	[B] 65-111	[A] 111-132
FT	ST	FT

Development

[C]131-199

(1) 131-179 (2) 179-199

[B & C] 199-270

1st Mvt/RT 271-304

1st	1st/RT	1st	1st/RT	1st	1st/ RT
271-2	274-77	278-9	280-3	284-5	286-304

Recapitulation

FT	[A] FT & 1st Mvt	1st Mvt
305-316	317-328	329-336

Coda

[A] & 1st Mvt
337-371

Fig. 14. Formal Structure of Fourth Movement

The remarkable feature of this movement is the intricate formal structure. In this author's opinion the structure is more than simply a rondo, rather it is a sonata rondo structure--the overlaying of a rondo onto the familiar sonata technique. A basic five-part rondo would be the simplest solution, structurally, but the elements of a sonata form are too permeating to ignore. It is also doubtful that a rondo, a normally clean-cut form, would combine themes as this movement does.

There is an exposition containing first and second themes, but it is also a rondo because the first theme (A) material returns before the development in the tonic key.

The development is extensive and contains new material (C), a common happening in a sonata form. The new material is presented alone for sixty measures, then combined with the second theme for another seventy measures.

The retransition, from 271-304, however, carefully establishes a strong dominant Bb pedal for the return of previous material. What is notable, though, is that material is from the first movement, not the fourth. Since the key center of the fourth movement is quite nebulous, creating the appropriate pedal for a retransition would have been difficult, perhaps meaningless. Shostakovich goes to great lengths to orient the listener's ear to the Bb pedal, taking a full twenty-five measures to do so. Significantly, he also uses these same measures to bring back motive X from the first movement.

When the recapitulation does occur in measure 305, it is with first

movement, first theme material. For the remainder of the movement, Shostakovich continues iterating motive X either alone or against fourth movement, first theme material.

The coda is also a combination of first themes from the first and fourth movements.

Conclusion

The Shostakovich Cello Concerto is a unique blending of formal structures that overlap and interweave. Figure 15 charts the four movements as they join to form a larger sonata structure.

Exposition

[FT]	[ST]
1st Mvt	2nd Mvt
((aba form))	((aba))
Eb:	a:A:

Development

(1) Cadenza	(2) Opening of 4th Mvt
((old and new material))	((new material))
Key?:	Key?:

Recapitulation/Coda

FT
4th Mvt (271-end)
((original FT material from 1st Mvt))
Eb:

Fig. 15. Entire Concerto as a single Formal Structure

The concerto is not just cyclical in nature. Shostakovich does more than simply recall a previous theme just to draw attention to it. He uses the opening motive as the single unifying element of the work.

The tonic key of Eb is established the last one hundred measures of the fourth movement. Movement one is in Eb major, movement two in A minor, movement three has no well-defined tonal center and movement four begins in a vague tonal area, but ends strongly in Eb major. Shostakovich moves from solid tonal ground to no tonality, then back to a firm foundation of Eb.

The Shostakovich Cello Concerto is a very unique combination of structural elements for which there is no definitive analysis. Perhaps if Shostakovich had employed a consistent method of harmony, a formal structure could be applied with more certainty.

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