Functional Analysis at the fin-de-siècle: Genre, Compositional Process and the Demonic in the Rondo of Elgar's Second Symphony
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Demonic in the Rondo of Elgar's Second Symphony

The most interesting recent developments in formal function theory – an approach first
expounded in English by William E. Caplin as a meticulous but restricted account of the
Viennese Classical style – have tested its application on nineteenth-century repertory.
In the process functional analysis has become more dispersed and flexible,
establishing dialogue with Hegelian and post-Hegelian philosophy and with musical
hermeneutics.[1] A vast field of enquiry opens, inviting a re-examination of Romantic
musical style and syntax from first principles. Hitherto, however, functional analysis has
touched only lightly on the post-Wagnerian symphonic repertory of the decades around
1900. Despite its progressive stance, the symphonic music of this era remains in many
ways grounded in Classical thematic syntax, especially the 'sentence', along with the
traditional harmonic processes and grouping structures that define it. Much of the
repertory foregrounds its conflicted relationship to tradition with progressivist gestures,
mixtures of tonal systems and structures, 'deformation' techniques, inflation of temporal
duration and instrumental forces, programmatic themes of cultural degeneration and
regeneration, transcendence of established genres, and grandiose philosophies of art
and the artist. When music analysis addresses this repertory today, it is usually by
means of the approaches that have become 'Sonata Theory'. Indeed the concepts of
'rotation' and 'deformation' were first stated by James Hepokoski in the early 1990s to
address symphonic music of the *fin-de-siècle*, with an eye to their grounding in cultural
contexts of the time, before he gradually shifted the focus back as far as the late
eighteenth century and generalised the concepts within a theoretical system.[2] Analysis
of this kind is usually attuned to the hermeneutic questions that the music so
conspicuously poses, and builds the interpretation around large-scale formal structures
and processes, especially those concerning large-scale closure.[3]

Functional analysis brings different insights, switching the focus to syntax and
local formal process. It helps to measure continuity, instability, fluctuation and
incompleteness, which by the late nineteenth century was no longer confined to the
Romantic 'fragment' but was fundamental to the language of self-styled 'progressive'
artists in all genres. Moreover, the structures discerned by functional analysis are

closely connected with the responses of an averagely literate listener in a way that, by this time, remains questionable as regards the elaborate intertextual 'dialogues' posited by some Sonata-Theory approaches. Even if the glittering 'society' that attended orchestral subscription concerts in spacious urban venues could not name or describe a 'sentence', this was nevertheless the way a 'theme' would naturally 'go' within the tradition and repertory with which they were familiar.

The third-movement 'Rondo' from Elgar's Second Symphony (1911) is exemplary in its challenges to analysis. While functional analysis can illuminate the syntax and formal processes of this music, it must be applied with an ear to shifting and overlapping functional meanings. Elgar's writing is intensively chromatic and, as usual for him, highly sequential. This style undermines clear-cut distinctions between Caplin's 'intrathematic' functions: between presentation and continuation and even between continuation and cadential. These functional categories are clearly important for understanding how a listener literate in the Classical and Romantic tradition might make sense of the shifting motivic shapes, lengths of units, intervals of transposition, and degree of harmonic stability within the sequential flow, the latter suggesting touches of initiating or concluding functions that punctuate the continuity. But those categories are now relative terms. (The point applies more generally to the sequential styles of composers such as Liszt, Franck, Fauré and Bruckner.[4]) The Rondo manifests parallel ambiguities at the levels of paratext and genre, which, though especially conspicuous here, can be considered paradigmatic for progressive Romantic repertory. In the case of the Rondo, the syntactic continuity and instability foregrounded by functional analysis resonate directly with the movement's thematisation of the demonic and the uncanny through paratext, topic, cyclic reminiscence and generic ambiguity.

This article avoids anything like a systematic functional analysis of the movement or even sections of it. Instead it uses the concepts of functional theory to open and discuss questions of genre and compositional process and ultimately to reframe the Rondo's programmatic themes from an analytically informed perspective, thus blending analysis with criticism and hermeneutics in a way familiar from Sonata-Theory-type approaches to the post-Wagnerian symphonic repertory. The article also examines the composer's sketches and drafts for the movement, which reveal that he laboured over precisely the passages that are decisive for generic definition.

Paratext and reception

Elgar's orchestral music stands in a Romantic instrumental tradition stretching back through Brahms and Schumann that calls attention to the problem of musical meaning through verbal inscriptions, poetic epitaphs and literary and musical allusions. This aspect of his aesthetic, along with portentous musical recollections, formal deformations and frame-breaking devices, invites extra-musical interpretation as a condition of the listening experience, while at the same time forestalling any realistic prospect of consensus on a final meaning. Elgar's manifold enigmas have a Symbolist ring to them, for the heterogeneous literary fragments and associations with which he surrounds the music ultimately draw attention back to the mystery of its significance.[5] The Second Symphony takes this practice to the furthest extreme. Its intricate, if not overloaded, paratext includes an epigraph from Shelley ('Rarely, rarely comest thou / Spirit of Delight'), its dedication to the memory of King Edward VII, an inscription on the final page of the full score ('Venice–Tintagel'), and allusions to Tennyson in Elgar's correspondence with his friends and publishers.[6] The work has famously been heard as a valedictory portrait of the pre-war world of Victorian and Edwardian England, but has also attracted interpretations that encompass Elgar's love affairs and depression and even a Wagnerian initiation narrative.[7] The partial correspondence, partial disparity between the symphony's music, its epigraph, and the poem from which the lines are taken – a state of affairs that Elgar himself remarked upon[8] – has elicited divergent interpretations. The epigraph has been called the key to the work but also dismissed as a red herring in favour of Tennyson's *Maud*.[9] It is unlikely that music criticism will ever 'solve' Elgar's paratextual puzzles, despite a long history of confident claims to have done so in writings on the 'enigma' of the Variations Op. 36, the unidentified 'soul enshrined' in the Violin Concerto and other instances of the composer's mystification.[10] They do however provide essential points of orientation for the interpretation of his compositions.

The Rondo is usually identified as an exploration of the dark side of Elgar's personality, the clearest evidence being the shattering return of the so-called 'ghost music' from the first movement's development section. Elgar compared the first-movement passage to 'a love scene in a garden at night when the ghost of some memories comes through it; – it makes me shiver', and associated its return in the Rondo with a passage from Tennyson that describes a fantasy of burial, endless pain and perhaps suicide, and also with the time from his own youth when he worked at a lunatic asylum.[11] In David Pownall's stage play *Elgar's Rondo* (1993), the ghost of the

deceased A. J. Jaeger, 'Nimrod' from the 'Enigma' Variations, standing for the composer's artistic conscience, congratulates him on the symphony after its premiere, whereas Elgar himself recoils from the Rondo, saying that it will take him places where he should not go, and compares it to the tritone, the medieval *diabolus in musica*.[12]

Genre

Elgar's use of 'Rondo' as a movement title for a fast internal movement is very unusual in the symphonic repertory and even in the entire repertory of multi-movement instrumental compositions in the classical/romantic tradition. Normally the label as a movement title is reserved for finales. The only other instance in a repertory symphony of a fast internal movement entitled rondo is the 'Rondo burleske' from Mahler's Ninth Symphony, the qualifier confirming its exceptional status and in a sense proving the rule. Rondo form, like the title rondo, is most commonly found in finales, though also in internal slow movements, and, in late nineteenth-century symphonies, in modified guises, in scherzos. That said, rondo finales are less common in symphonies than in chamber music and – their natural home – concertos. Haydn's 'London' Symphonies have them, but in most of his other mature symphonies he preferred sonata-form finales, as did Mozart and Beethoven. Rondo finales are still less frequent in nineteenth-century symphonies, where the emphasis of the finale is on narrative and culmination, often resuming the mood and style and even the material of the opening fast movement. Sonata form is far more common.

Elgar's Rondo is doubly problematic in that the musical events that unfold within it resemble those of a scherzo as much as, or even more than, a rondo. In a pre-premiere article on the symphony, its text authorised by Elgar, the critic Ernest Newman observed 'It is in the usual four movements, though the third bears the title of "Rondo" instead of the customary "Scherzo"'; 'what most people would call the Scherzo is here styled a Rondo'.[13] The fact that it is placed third out of the four movements and follows a slow movement is enough to build strong expectations that the movement will be a scherzo even before it starts, and in many respects it confirms them. With its fast triple metre, urgent rhythmic drive, obsessive repetitions of short motives, extensive exploration of 3:2 metrical conflict, and pastoral central section with woodwind solos – the conventional 'trio' – Elgar's Rondo sends multiple signals of 'scherzo'.[14] At a higher structural level, the movement eschews the loose organisation and clear, sectional layout that we associate with the concept of rondo. In fact, widening the focus, the

Rondo of the Second Symphony is arguably the single most conventionally scherzo-like movement of Elgar's maturity. There are only two other fast internal movements in his multi-movement instrumental cycles – the second movements of the First Symphony and the Cello Concerto – and both are in duple rather than triple metre.

The most obvious explanation for Elgar's choice of title is the origin and structure of the movement's opening theme. As the composer told the Novello chairman Alfred Littleton, 'The Rondo was sketched on the Piazza of S.Mark. Venice: I took down the rhythm of the opening bars from some itinerant musicians who seemed to take a grave satisfaction in the broken accent of the first four bars'.[15] The opening theme comprises a 16-bar presentation phrase and a 14-bar continuation phrase, the pair of phrases repeated once and then followed by a 12 bars of standing-on-the-dominant, during which the presentation's compound basic idea re-enters but is soon fragmented. These last 12 bars, in which the mode changes to minor, are effectively a transition to the C minor theme that immediately follows; judged by Classical standards the opening theme thus lacks an adequate concluding function (cadential). On paper the theme's dimensions look unusually expansive, but the phrase structure arises from hypermetrical values relative to those notated. Thus the basic idea (Ex. 1), although eight notated bars in length, is perceived as a four-bar, or even a Classically conventional two-bar, idea, the 'real' metre being compound duple or quadruple and the 'real' beats dotted crotchets.[16] In effect the alternating presentation and continuation phrases function as two refrains and two couplets in a compressed rondo form leading to an aborted third refrain, perhaps reflecting the insistent playing of the itinerant musicians. Allusion to vernacular idioms, especially dance music, is characteristic of the Classical rondo. In this sense 'Rondo' could refer as much to the rhythmic gestures or 'topic' at the opening of the movement – cheerful, everyday dance music – as to the large-scale form or indeed the character of the music elsewhere. The Venetian rondo never reaches completion in the Rondo movement that Elgar composed, which provides only glimpses of its seemingly endless cycles. Later allusions to the opening theme are condensed, harmonically unstable and fragmentary in phrase structure, and are integrated within energy waves of much broader span.

The nineteenth-century symphonic scherzo was a flexible type of movement, which could 'host' other styles, genres and topics such as intermezzo (Brahms), furiant (Dvorak), Ländler (Mahler), waltz (Tchaikovsky) or even march (Tchaikovsky). In particular, connections between scherzo and rondo abound in nineteenth-century

theory and practice. A.B. Marx treated both as developed 'song forms', that is, forms with closed internal sections.[17] Rondo-like procedures appear quite often in symphonic scherzo movements, beginning with Beethoven's Fourth and Seventh Symphonies, in which trio and scherzo are repeated, giving the form ABABA (with B returning briefly at the end as well in the Seventh). The scherzos of Schumann's First and Second Symphonies have two different trios with fast scherzo sections each side of them (thus ABACA); in his Fourth Symphony a single trio appears twice, as in Beethoven's Fourth and Seventh, although the scherzo does not return for a third time. The second movement of Elgar's First Symphony recycles its trio in this way. The second movement of Schumann's Third Symphony, marked 'Scherzo: sehr mässig', is a rondo form without a clearly defined trio; like Elgar's Rondo, it is a C major inner movement within an E-flat-major symphony. Most of Mahler's scherzo movements (which Elgar probably did not know) are fast Ländler with rondo elements of one kind or another that reflect their obsessive character. Nevertheless, in a movement with multiple trios the scherzo's identity is in a sense confirmed, in that the formal function of 'trio' – a relatively relaxed, even static, harmonically stable and rhythmically regular section, perhaps with pastoral or at least vernacular references – is not threatened; it is merely expressed twice. The 'outer' parts still sound like 'scherzo proper' (to adapt a term of Caplin's)[18] and are much longer and more complex than the refrains in a typical rondo.

In any case, in Elgar's Rondo there is only one candidate for the trio, and it does not recur. This movement is closer to a separate strand of scherzo/rondo integration, in which the movement takes on a sonata-rondo form, sometimes with a trio interpolated in the middle. This practice reflects the tendencies of late nineteenth-century composers to avoid the literal repetition of sections and to increase continuity between sections. The rounded binary form with repeats typical of Classical minuets and scherzos starts to resemble ternary form, while the movement overall approximates a rondo or even a sonata-allegro movement rather than a da capo structure.[19] Examples include the fast inner movements of Brahms's Fourth Symphony (1885), Tchaikovsky's Sixth (1893), Glazunov's Fifth (1896), Seventh (1902) and Eighth (1904), and Mahler's Second (1895) and Fifth (1904), the latter a vast sonata-rondo form with two trios and a development section. As we shall see, Elgar transposes one of his themes up a fourth for the second (post-trio) iteration of his scherzo elements, placing it unmistakably within this tradition of scherzo / sonata-rondo hybrids.

In the rest of this article I use the language of genre to speak of this ambiguity or fusion of movement types, broadly in line with formalist usage in musicology, especially in Sonata Theory. Genre is usually specified by the title of a composition or movement, which thereby configures a set of expectations in an experienced listener that may be fulfilled more or less completely by any given piece. In current formalist approaches such as Sonata Theory, however, even a title is not always given. For Hepokoski and Darcy 'sonata' – a term for a movement that establishes an intertextual dialogue with a repertory of movements with similar formal conventions – is a genre, even though single movements are seldom in themselves entitled 'sonata' outside the oeuvre of Domenico Scarlatti. The genre 'sonata' thus encompasses several movement types in various positions in the cycle, not just 'Sonata Allegro' first movements. Strictly speaking, in the case of Elgar's Second Symphony the 'genre' is symphony, while the ambiguity concerns 'movement type' (scherzo/rondo) as well as 'topic', but the movement types in practice also function like genres in the formalist sense since an experienced listener will hypothesise future events on the evidence of musical 'initial conditions'. The Rondo's position in the multi-movement cycle sets up the expectation of a scherzo-type movement, whereas the genre title 'rondo' is given in the score. As it unfolds, the Rondo mixes elements of scherzo and rondo character (or 'topic') and both scherzo and rondo formal processes.

Form and process

From a functional perspective, the Rondo is most convincingly interpreted as an overall ternary form with a central trio (Fig. 1), for reasons to be explained below. (Alternative readings are possible and have been proposed.)[20] The outer sections – the scherzo proper – are cast in the conventional binary form with the second part longer than the first (much longer in this case) and, as usual, more loosely organised (more tonally unstable, more melodically varied, less symmetrical in phrase structure). Part I has the conventional notated repeat; Part II however does not. Neither effects a complete cadence on the terms of Classical syntax. Most of the scherzo proper is sequential in structure; the sections interpreted as 'themes' are relatively more concerned with the stable presentation of characteristic material than the one labelled 'development', which features more intensive fragmentation and chromaticism, and in places dense motivic imitation. The second iteration of the scherzo proper has a sonata-like tonal reorientation, material from Part II being transposed into keys in a subdominant relation

to those of the exposition. The outline in Fig. 1 does not record the large waves of energy that also shape the movement, each starting softly, building to a climax and then ebbing. These do not correspond with the formal segmentation that one could offer in defence of either a scherzo or a rondo scheme, and the third wave of the scherzo does not die down until well into the trio.

For the question of generic identity, the two most important sections of the scherzo proper are the development and the return of the basic idea of Theme 1 at fig. 102 near the end of the scherzo proper, for reasons of topic and formal function respectively. (The language of this article maintains Caplin's rigorous functional distinction between 'theme' and 'idea'; thus fig. 102 is not by default a 'thematic return', or even the start of a presentation phrase, just because the basic idea of Theme 1 is quoted.) In the development, the Rondo's rhythmic drive, metrical conflict and harmonic chromaticism are taken to an extreme and combined with dense imitative working of motives from the beginning of the movement, establishing a dialogue with the 'demonic' aspect of some symphonic scherzos, notably the second movement of Beethoven's Ninth Symphony, which foregrounds repetition, driving rhythms and contrapuntal imitation. (This development is discussed further in the next section.) The functional status of the movement's various allusions to the basic idea of Theme 1 is thus central to the question of generic identity, and the one at fig. 102 is problematic. The definitive characteristic of rondo as a genre from the late eighteenth century onwards is not the return of familiar material *per se*, for that occurs in one way or another in most pieces of the Classical and Romantic eras. In a rondo the thematic repetitions function specifically as refrains – recurring complete units within a structure of clearly differentiated sections – and alternate with contrasted sections. Internal refrains may receive portentous preparation through phases of motivic liquidation and harmonic standing-on-the-dominant, through which the predictability of their return is underlined.[21] Yet the basic idea of Theme 1 at fig. 102 – so it is claimed here – articulates concluding function ('cadential') within Theme 3 more strongly than a new initiating function, continuing the otherwise incomplete Theme 3 and thus from a functional perspective bringing Part II as a whole to an end rather than beginning a new thematic return in a rondo, and pointing to the rounded binary form typical of scherzos.

The argument necessitates some scrutiny of what happens at fig. 102 (Ex. 2). Theme 3 is the least stable of the scherzo proper's themes. It begins and ends with two-bar sequential units and unstable harmony. Its central phrase (fig. 101) hints at the

expansion of the units to four bars, suggesting 'tune', 'idea' and 'presentation' more strongly, but this impression dissolves with the more fragmentary third phrase, and just before fig. 102 its energy ebbs. At fig. 102 stability is finally reasserted and energy regained as the music settles on a long bass D pedal in G minor with a 6/4 chord above it. This sounds like a potential cadential 6/4 – at least the proposal of a cadence, even if it is not immediately accepted with a 5/3 – and certainly suggests that the music is 'back on track' with new coherence and direction, and is headed for the conclusion of a large section. At the same moment the first part of the basic idea of Theme 1 returns in full, reassembled, as it were, from the motivic fragments of the development and Theme 3, the latter based on the sequential repetition of short motives, including the motive that begins Theme 1. In a sense this is a 'fading in' of the Venetian rondo music that 'faded out' much earlier in the transition to Theme 2, picking up the dominant pedal (earlier G rather than D) and references to the basic idea of Theme 1, as though the music of the street band had somehow always been playing at some other level of consciousness. Nevertheless a build-up of dynamics and thickening of texture indicate that a new energy wave is underway and distinguish this section from the original Theme 1, even when the basic idea returns in the original key, C major, six bars after fig. 103.

This account of the new wave as a subsection expressing a sense of concluding function is indebted to Caplin's concept of 'expanded cadential progression', a phenomenon that occurs a good deal in subordinate themes in Classical sonata-form expositions, sometimes, in Beethoven, at enormous dimensions.[22] The expanded cadential progression is a lengthy section of its own, separate from the continuation phrase of its theme, and expresses only concluding function, albeit in an elaborate way. The typical position of such progressions at the end of an exposition and thus in a non-tonic key parallels the position in Elgar's Rondo of the new energy wave at fig. 102.

This sizeable concluding section does not remain in G minor, however: the tonal stability implied at fig. 102 is swiftly undermined again. The following statements of Theme 1's basic idea are in C and E flat, and there is no 'final tonic' that would provide harmonic completion for the cadential progression.[23] At the climax of the new energy wave the music is deflected into the continuation phrase of Theme 1 via a dominant seventh chord on A (fig. 105). The preservation of the order of presentation of materials from Theme 1 is the best argument for a rondo-like refrain at this point. However, the music continues to send signals of concluding function, now in more oblique ways,

illustrated by two telling rhetorical details. First there is an A flat in the C major statement of the basic idea – the only harmonic alteration relative to the opening of the movement – turning what was formely a diatonic half-diminished seventh chord into a fully diminished seventh (fig. 104+3). This chromatic 'upper leading-note' points to the dominant and is often found in Romantic music at the approach to cadential dominants.[24] The second detail is the pair of quaver-length rests in all parts in the climactic bars, which signal that a forceful conclusion may be at hand (fig. 104+4[1], fig. 104+8[1]). This sense of ending is finally confirmed by the extended Theme 1 continuation, which sweeps away the complexities of the preceding music with its motivic liquidation and fierce energy, before gradually dying away and making a transition to the trio. The start of the trio at fig. 106 is clearly audible, even though, as mentioned earlier, the energy spills over and does not fully die down until 31 bars into the trio (just before fig. 109). In short, the large energy wave starting at fig. 102 comprises the gradual piecing together of the materials of Theme 1, re-shaped as a climax and interspersed with elements of cadential rhetoric. This interpretation implies a hearing of the whole of the scherzo proper as a binary form with a degree of 'rounding' at the end.

A further, retrospective, reason for a scherzo interpretation is the character of the music after fig. 106, which presents the set of signifiers that conventionally denote 'pastoral' and thus 'trio' rather than just any contrasting episode in a rondo: soft dynamics, diatonicism, woodwind solos, rustling accompaniment in the strings, rising and falling scales on woodwind and harp suggesting breezes, and a repetitive structure. Elgar had used this formula already in the trio of the First Symphony's scherzo.[25] These signals—and of course the sharp contrast they make with the vigorous music that precedes them—again suggest that what has just ended is a scherzo proper.

There is ample precedent for Elgar's procedures after fig. 102. In building to a climax at the end of a section after a quiet phase, the Rondo echoes all of Elgar's fast symphony movements to that time, in which he made a habit of ending the exposition or first main section with a climax (Symphony No. 1/i, ii, iv; Symphony No. 2/i; he was to do so again in the finale of the Second). These earlier examples are not cadential progressions in themselves, but all unmistakably herald endings rather than beginnings of large sections. And in all four movements of the Second Symphony, Elgar introduces introspective music near the end of a section or movement, before sweeping it away

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with a formal, public, gesture of conclusion, just as the subdued end of Theme 3 is followed by the new wave of energy starting at fig. 102. (There are further parallels near the end of both his concertos, in *Falstaff*, and in other works.) Casting the net still wider, it is not uncommon in classical sonata movements for motivic material from the main theme to recur in fragmented form near the end of an exposition, sometimes even within an expanded cadential progression at the end of a subordinate theme, a direct formal parallel to Elgar's rondo.[26] A symphonic antecedent that Elgar would certainly have known is Schumann's Symphony No. 2/i (postcadential closing section). Finally, in scherzo movements from Beethoven onwards, the binary-form of the scherzo proper is often 'rounded' so the initial motives return near the end as a matter of course.

Similar arguments apply to the two later candidates for rondo refrains. At the start of the second iteration of the scherzo proper (fig. 116), the return of Theme 1 is covered first by a high violin melody similar to that added at fig. 102. It follows but also transforms the contours of the basic idea, and gradually transforms itself further into the 'ghost' theme from the first movement in the famous violent passage starting at fig. 119. After fig. 116 the scoring quickly becomes ominous and the continuation of Theme 1 never appears. In terms of texture and melodic additions this second return of the basic idea of Theme 1 has more in common with the first return at fig. 102 than with the original Theme 1 itself. Near the end of the second iteration of the scherzo, the moment corresponding to fig. 102 (fig. 132), despite some re-writing, again expresses concluding function more strongly than refrain.

Compositional process

The Second Symphony has a complex compositional history.[27] Elgar used sketches dating back at least to the autumn of 1903. The earliest were for the finale and were intended for a symphony in E flat that Elgar planned to dedicate to Hans Richter. In the event, the E flat symphony (No. 2) was leapfrogged, as it were, by the A flat (No. 1), which became Elgar's first symphony and was dedicated to Richter. Material for the second movement was originally intended for *The Kingdom* (1906) and then for a projected partsong; another segment first appears in sketches for a second 'Cockaigne' Overture, probably from 1903. The E flat symphony that we know began to take shape two years before its premiere during Elgar's stay at Careggi near Florence in spring 1909, where he began two new sketchbooks. He developed some further ideas during a week-long visit to Venice in May 1909. The next stage of gestation came during a

holiday in Cornwall a year later in spring 1910. The final folio of the short score has the inscription 'Careggi–Tintagel', while the final page of the full score has 'Venice–Tintagel'. At this time the premiere of the symphony was agreed for the London Musical Festival of May 1911, one year away. Elgar returned to the symphony after the premiere of the Violin Concerto in November 1910. Around this time he started date-stamping some of his sketches; for the symphony the stamps begin at the end of November. Refined composition and scoring took place in a dense period of work in January and February 1911, and the full score was completed on 28 February.

Relatively few sketches for the Rondo survive, but three stages of composition are at least discernible (see Fig. 2). The first was the visit to Venice in May 1909, when Elgar noted down Theme 1 in the Piazza San Marco. There was rondo/scherzo ambiguity even at this first stage. A page in one of the Careggi sketchbooks has incipits for the first and third movements that presumably date from some time after this. What became the Rondo (notated in E flat major rather than its later C major) is entitled 'Scherzo' (Ex. 3). But in a different Careggi sketch, Elgar worked out a passage that captures one of the defining features of a rondo in the classical and post-classical sense: Theme 1 returns in its original guise in the tonic after a phase of preparation (Ex. 4). The chromatic, sequential passage that precedes it seems eminently suitable for a retransition at the end of a rondo episode. This sketch was however rejected.

The second stage of work was around New Year 1911, when Elgar made some sketches, most of them eventually rejected, copied out a theme originally intended for the Violin Concerto (Theme 3 in Fig. 1) and then copied it again, now transposed up a fourth. He also wrote out a single-page 'plan' for the movement as a whole with incipits for the various sections (Ex. 5), not itself dated, but located between two sheets dated 29 and 30 December 1910 respectively and clearly belonging to this stage of work.[28] Finally, the third stage of composition was a week or so of intense work in February 1911, during which Elgar wrote out a short score of the movement. These two important stages are documented in two of the sketchbooks held by the Elgar Birthplace Museum (EBM MS 102 and EBM MS 101; see Fig. 3). The short score is preserved almost complete, giving a snapshot of the final phase of composition. The score is a mixture of ink and pencil and, as Christopher Kent points out, is not really a 'fair copy', giving the impression of haste and lending credence to Alice Elgar's remark that the movement was scored 'after 7 or 8 days unremitting exertion'.[29] Elgar no longer bothered with date stamps at this point.

The New Year phase of work is represented by the final pages in the run from MS102, where Elgar appears to have worked backwards, and the pages from MS101, which are likewise stamped with dates from this time. The Violin-Concerto-derived Theme 3, is the only page in these sources to have the big blue pencilled 'K' with which Elgar indicated that a sketch had been copied on to a later stage of draft.[30] The first version of Theme 3 and its transposed version are in a different kind of ink from most of the rest of the pages in MS102, supporting their allocation to the New Year phase of work.[31] It seems that by New Year 1911 Elgar had done little detailed work on the movement, as in the plan (see Ex. 5) he struggled even to remember that he had changed the key from E flat to C. However the plan shows that Theme 3 was fixed at this point as something to aim for (Ex. 5: 'End I with...'). The fact that he transposed it up a fourth, shifting the tonal orientation from G minor to C minor, suggests a degree of sonata-like thinking at this stage, paralleling the transposition of the second-group material in a Classical sonata movement. But what is most striking about the plan is that Elgar clearly conceived the movement during the New Year phase as a rondo structure, illustrated by the Roman numerals I, II and III, each of which corresponds to a 'theme/episode' or 'refrain/couplet' pair in a rondo form, or, on Sonata-Theory terms, a single thematic 'rotation'.[32] The phrase '3rd entry of subject' shows Elgar thinking in terms of a refrain function for this material. The music on the second set of staves that corresponds with fig. 102 in the final composition is labelled 'IInd. tim[e]' and 'repris[e]', again consistent with a rondo conception.

It would seem, then, that the scherzo elements overtook the movement only when Elgar returned to it in February 1911. Although he maintained the order of materials presented in his plan, he overrode the reprise structure in the ways already examined. Elgar now started at a much earlier point in the sketchbook (f69), and worked forwards, eventually arriving at the point to which he had worked backwards six weeks earlier, producing the near-complete short score. Some of this work was straightforward. Elgar knew how Theme 1 would go, although he re-wrote the continuation unit at this stage. He had already worked out Theme 2, as it had once been intended for the first movement, and Theme 3 had been copied out on 30 December and pinpointed in the plan. Within the scherzo proper, two passages caused Elgar difficulties at this final stage, and both are significant for the scherzo interpretation of the movement.

The first is the development. Sketches for the chromatic, imitative music after fig. 98 in the finished score are scattered among various pages, and a good deal of it is missing from the first scherzo iteration in the short score (see Fig. 3).[33] The very start of the development is also missing (fig. 95 to fig. 96) as is a section of this music in the second scherzo iteration (fig. 125–fig. 126). Elgar's hand-written pagination suggests there may have been some shuffling of pages between the two iterations. The imitative passage in the second iteration (fig. 106; f91) is very messy, with blue and red ink and crossings through. For present purposes the most interesting page is f72 (Ex. 6). Here for the first time the short score becomes much less assured than in the early stages and there are multiple revisions, bars crossed through, a mixture of ink and pencil, and two sheets pasted on top of each other on the bottom half of the page, indicating two stages of revision. The following f73 is an odd mixture that stands apart from the short score: it contains some ideas that are not recognisable from the finished piece, some that are placed at a different pitch level from those Elgar finally chose, and some ideas for the trio. So the continuity of the short score breaks down at this point, and this is also the moment in the movement when relative harmonic and metrical regularity and tonal stability give way, leading to the disturbing section with imitative entries for chattering woodwind that darken the character of the movement.

This musical disruption does not happen all at once, and its gradual introduction cost Elgar a good deal of trouble. Theme 2, which precedes this section, because of its origins in sketches for the 12/8 first movement (essentially 4/4 metre with beats divided into quaver triplets) has a regular four-bar hypermetre, and this metrical regularity continues at the start of the development (fig. 95). The crucial f72 (Ex. 6) begins at fig. 96 with what became an oboe solo when the movement was scored. In Elgar's first version, this phrase would have continued the hypermetrical pattern still further by unfolding as a regular 16-bar unit; it is essentially a standard eight-bar sentence structure if the passage were renotated in 6/8, the metre in which it is really heard. Eight-bar sentences are the norm for classical themes, and here we would have the standard two-bar basic idea (four notated bars of 3/8), repeated with variation in the next two bars, and then a continuation beginning in the fifth bar with some harmonic acceleration and fragmentation in the melody (two-bar rather than four-bar notated units). All of this is familiar from Classical and Romantic practices, even if the accompanying parts are chromatic throughout and shaped as a long sequence of two-bar units. But Elgar crossed out the last three bars and added an alternative melodic

continuation of one bar on the stave above. Then, on the second pasted layer below (which covers the remainder of the page) he wrote out the alternative bar in full on two staves plus the preceding bar, and continued the passage on the bottom staves; these continuations together give the version we know from the completed movement. The woodwind now break in with their chatter in imitation at a distance of three quavers. The result is rhythmic and harmonic dissolution mid-way through the regular sentence structure.

Elgar later added an extra repetition of the final bar on this folio, a stuttering effect before the even denser woodwind section, where the imitation is tightened, overlapping entries now only two quavers apart (fig. 98; see Ex. 7(i)). This section is highly chromatic, saturated with semitone motion in all parts, and constructed around rising and falling 'real' or 'extra-tonal' sequences with exact transposition by whole-tone steps.[34] At fig. 96 it may still be feasible for a listener to interpret the movement as a rondo – the music is sufficiently well behaved to be an episode – but by fig. 98 the signals for scherzo (the density of the imitative texture, metrical conflict, both in the displacement of overlapping entries and the grouping of 'threes' against 'twos', and intensified rhythmic drive) are strong. Once the development is over, the short score is assured once again, because we have now reached the point for which Elgar was aiming all along, as noted in his rondo-based 'plan', and for which he already had the music: Theme 3, which he copied on from f101 to f74, adding the blue 'K' for 'copied' on f101.

At the crucial fig. 102 and the un-refrain-like return of the materials of Theme 1, the assurance of the short score again falters. Ff75 and 76 are messy, with sheets pasted over, crossings through, a mixture of pencil and ink, and an extra bar just before fig. 103 that was later removed. F76 entirely lacks the four climactic bars, marked *fff*, just before fig. 105 in the final score. It is not possible to track the process of revision as precisely as between fig. 96 and fig. 98, but it is at least clear that this passage, which is critical for the generic identity of the movement, was in flux during February 1911.

In summary, although Elgar labelled an incipit for the movement 'Scherzo' at an early stage, when he planned the movement as a whole in December 1910 he did so as a rondo, and probably a sonata-rondo, given his early attention to the transposition of Theme 3 up a fourth in the second iteration of the scherzo proper, which overrides any sense of a da capo principle and resembles a sonata recapitulation. When serious work on the short score began in February 1911, however, and Elgar grappled with the

composition of the complex sections that fitted between the themes, the movement turned out rather less like a rondo.

Interpretation

Nevertheless, Elgar chose not to revert to his original title (Scherzo) or to leave the movement untitled, a fact that brings us back to the Symphony's paratext. How do these conclusions about formal function and process, generic ambiguity and compositional process align with the Rondo's extra-musical layers? Its critical reception has centred on the idea of the demonic, broadly on two levels: musical topic and cyclic thematic reminiscence. As several critics have observed, the disturbing chromatic, contrapuntal passage from the development of Elgar's Rondo recalls Elgar's own 'demon's chorus' from *The Dream of Gerontius*, especially the falling semitone motive (Ex. 7(i) and (ii)), but also the contrapuntal textures, which parallel the demons' fugue. Elgar had already pursued this connection in his *Introduction and Allegro*, where he replaced the development section with what he called 'a devil of a fugue'. As Stephen Banfield and Julian Rushton have pointed out, the association stands in a tradition of fugal demonic music by Haydn (*The Creation*) and Liszt (the Mephestopheles movement from the *Faust Symphony*, which parodies Faust's motive), and, more generally, fugues for the enemies of faith in oratorios.[35] The subjects of these fugues tend to be in a fast tempo, staccato, with angular intervals and rhythms. The tail of the fugue subject from the *Faust Symphony* has sequential motivic anticipations of the Rondo's development, again with the falling semitone prominent (compare the bracketed motives in Ex. 7(i) and (iii)).

Derek Scott has examined the theme of the demonic in Liszt, which, he argues, is defined by negation and parody, and features extreme dissonance, chromaticism, whole-tone collections and the augmented triad.[36] The demonic fugal topic could be regarded as a component in the musical 'gothic' described by Scott, which in addition draws on – and negates – idioms of ancient sacred music such as chant, chorale and open fifths for parody and gruesome effect, as in Liszt's *Totentanz*. The Rondo can easily be heard as parodic too. Its tempo and pulse are similar to those of the first movement, the Allegro vivace being in 12/8, dotted crotchet=92, the Rondo in 3/8 with a strong four-bar hypermetre, dotted crotchet=108. Similar motivic shapes are found prominently in both. While the first movement is framed by the joy and energy of the Spirit of Delight, the Rondo can be heard as a negative trope on it, bringing out its

darker undercurrents. Study of Elgar's sketches and drafts shows that several materials that finally found their way into the Rondo were originally slated for the first movement.[37] Elgar's decision to retain the title 'Rondo' in spite of the direction that his movement had taken in composition helps to place it in this demonic mode, its final realisation working against its title in the manner of demonic negation. The round dance (*Ronde du Sabbat*) from the finale ('Songe d'une nuit de Sabbat') of Berlioz's *Symphonie fantastique* (1830), a piece that Elgar knew well, may have set a precedent with its title. This double fugue, which quotes the *Dies irae*, is a compendium of negated sacred idioms, and contains parody too (of the *idée fixe*), appropriately for the witches' inversion of the Christian ceremony.

The demonic mode is heightened by the ominous and then violent return of the 'ghost' music from the first movement, an interpolation just after the start of the second scherzo iteration, and the culmination of all the unsettling aspects of the movement. This event is (almost trivially) 'deformational'.[38] There are few precedents in the symphonic repertory that Elgar and his audience knew. The storm section in Beethoven's 'Pastoral' Symphony intrudes on the peasant celebrations of the scherzo in a way broadly comparable to Elgar's ghost music, but the curtailment of the second scherzo iteration in the 'Pastoral' and the transition to the finale have no parallel in the Rondo, and there is no cyclic reminiscence here. The clearest precursor to the forceful return of the 'ghost' music is not in a symphony at all: the descent to Nibelheim from Wagner's *Das Rheingold*. Both passages are obsessive, repetitive, harmonically static crescendos in which hammering percussion instruments emerge from the orchestral texture to dominate before the cacophony gradually dies down again. Elgar once told an orchestra that the 'hammering' should 'gradually overwhelm everything'; the percussion should 'gradually drown out the rest of the orchestra'.[39] The Tennyson quotation to which he linked the passage shares a subterranean theme with the plot of *Das Rheingold* at this point. This is an eruption from the depths, largely unprecedented in the symphonic repertory.

This ghost-theme reminiscence, given its character and position in the movement, is related to the 'breakthrough' type of deformation, which, in Hepokoski's usage, is a powerful, unexpected event found usually during or at the end of a development section in *fin-de-siècle* symphonic works by Strauss, Mahler and Sibelius.[40] In these composers' practice, the breakthrough transforms the movement or work, overriding the recapitulation or changing the very nature of the movement and its

generic status. In Elgar's Rondo, the after-effects of the 'ghost' crescendo for the scherzo's second iteration are subtler. Even before the 'ghost' music, Theme 1 is curtailed and fragmented and, through harmonic, textural and phrase-structural changes, loses all connotations of a street band. After the ghost music dies down, Theme 1 does not reappear until the allusions to its basic idea near the end of Theme 3. The scherzo resumes with Theme 2 scored initially in more sombre colours than before (compare fig. 122+2 with fig. 93), while the drooping inner phrases of Theme 3 – the more 'tune-like' material that is slightly less fragmentary than the theme's other phrases – are first presented at *pp* rather than *ff* as in the first scherzo iteration, and are then given a soft and elegiac extra repetition featuring cellos and trombones (fig. 130–fig. 132). The transposition of Theme 3 means that the second scherzo iteration, in contrast to the first, is based largely around C minor before the final turn to the tonic major).

These eruptions of the demonic at the levels of topic, formal breakthrough and paratext can be understood as projections or realisations of the implications of the Rondo's fluid syntax at the local level. The movement's tendencies to repetitiveness – rondo-like refrains and couplets, which could repeat for ever if not abruptly curtailed, extensive sequential writing – and to continuity – the blurring of initiation and medial functions, the avoidance of complete cadences, large energy waves that override formal boundaries – invite interpretation of the music as an automatic stream of mental energy without a strong 'container'. The realisation of these syntactic implications in terms of topic, genre and formal structure is especially recorded at the sensitive moments on which Elgar dwelled in the compositional process.

On this evidence functional analysis can open new perspectives on fin-de-siècle repertory by enabling the linking of local formal processes and syntax with established discourse on paratext, formal structures and deformations. A consideration of genre and compositional gestation on the terms of form-functional analysis clarifies the overall processes at work in the Rondo. Although on the surface quite schematic in its scherzo / trio form as presented in Fig. 1, the movement undergoes a progressive transformation of genre, character and meaning consistent with the Lisztian principle of demonic negation. The title 'Rondo', while a feasible label at the outset for Theme 1, is undermined through the darkening and obsessive character of later themes; the chattering, contrapuntal sequences of the development; formal processes in the development and at the end of Theme 3; the ghost-music reminiscence and its

breakthrough-style deformation; and the darker second version of the scherzo proper. This overarching transformation is effected subtly through sequential adjustments, re-scoring, transposition, curtailment, interpolation, and additional repetitions, which lightly but tellingly articulate the otherwise continuous flow.

[1] William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart and Beethoven* (New York: Oxford University Press, 1998). Janet Schmalfeldt, 'Form as the Process of Becoming: the Beethoven-Hegelian Tradition and the "Tempest" Sonata', Beethoven Forum 4 (1995), 37–71, later incorporated into Schmalfeldt, *In the Process of Becoming: Analytical and Philosophical Perspectives on Form in Early Nineteenth-Century Music* (New York: Oxford University Press, 2011); a number of responses to the 'Tempest' Sonata essay in a special issue of *Music Theory Online* on 'Form as Process' (2010) and in Pieter Bergé, William E. Caplin and Jeroen D'Hoe (eds.), *Beethoven's* Tempest *Sonata: Perspectives of Analysis and Performance* (Leuven: Peeters, 2009); Steven Vande Moortele, 'Sentences, Sentence Chains, and Sentence Replication: Intra-and Interthematic Formal Functions in Liszt's Weimar Symphonic Poems', *Intégral* 25 (2011), 121–58; Nathan John Martin and Steven Vande Moortele, 'Formal Functions and Retrospective Reinterpretation in the First Movement of Schubert's String Quintet', *Music Analysis* 33/2 (2014), 130–55; and the essays in Steven Vande Moortele, Julie Pedneault-Deslauriers and Nathan John Martin (eds.), *Formal Functions in Perspective: Essays on Musical Form from Haydn to Adorno* (Rocheter, NY: University of Rochester Press, 2015).

[2] The process can be tracked via the following publications (listed in chronological order from 1992 to 2006): James Hepokoski, 'Fiery-Pulsed Libertine or Domestic Hero? Strauss's *Don Juan* Reinvestigated, in Bryan Gilliam (ed.), *Richard Strauss: New Perspectives on the Composer and his Work* (Durham and London: Duke University Press, 1992), 135–75; Hepokoski, 'Introduction: Sibelius and the Problem of "Modernism"', in *Sibelius: Symphony No. 5* (Cambridge: Cambridge University Press, 1993), 1–9; Warren Darcy, 'Rotational Form, Teleological Genesis, and Fantasy Projection in the Slow Movement of Mahler's Sixth Symphony', *19th-Century Music* 25 (2001), 49–74; Hepokoski, 'Back and Forth from *Egmont*: Beethoven, Mozart and the Nonresolving Recapitulation', *19th-Century Music* 25 (2002), 127–53; Hepokoski, 'Beethoven Reception: The Symphonic Tradition', in Jim Samson (ed.), *The Cambridge Companion to Nineteenth-Century Music* (Cambridge: Cambridge University Press, 2002), 424–59; Joel Haney, 'Navigating Sonata Space in Mendelssohn's *Meeresstille und glückliche Fahrt*', *19th*-Century Music 28/2 (2004), 108–32; Darcy, '*Die Zeit ist da*: Rotational Form and Hexatonic Magic in Act II, Scene 1 of *Parsifal*', in William Kindermann and Katherine Syer (eds.), *A Companion to Wagner's* 'Parsifal'

(Rochester: Camden House, 2005); James Hepokoski and Warren Darcy, *Elements of Sonata Theory : Norms, Types and Deformations in the Late-Eighteenth-Century Sonata* (New York and Oxford: Oxford University Press, 2006)

[3] In particular there is an emphasis, in line with Sonata Theory's definition of the sonata genre, on the attainment or otherwise of structural cadences at the end of expositions and recapitulations, which are decisive in this line of thinking for the wider interpretation of the work or movement's significance. See, for instance, James A. Hepokoski, 'Gaudery, Romance and the "Welsh Tune": *Introduction and Allegro*, Op. 47', in J. P. E. Harper-Scott and Julian Rushton (eds.), *Elgar Studies* (Cambridge: Cambridge University Press, 2007), pp. 135–71; Seth Monahan, '"Inescapable" Coherence and the Failure of the Novel-Symphony in the Finale of Mahler's Sixth', *19th-Century Music* 31/1 (2007), pp. 53–95; and Seth Monahan, 'Success and Failure in Mahler's Sonata Recapitulations', *Music Theory Spectrum* 33/1 (2011), pp. 37–58. For other analytical writings that foreground closure see Daniel M. Grimley, 'Modernism and Closure: Nielsen's Fifth Symphony', *Musical Quarterly* 86/1 (2002), pp. 149–73; Daniel M. Grimley, *Carl Nielsen and the Idea of Modernism* (Woodbridge: Boydell & Brewer, 2010), esp. Chapter 2; J. P. E. Harper-Scott, *Edward Elgar: Modernist* (Cambridge: Cambridge University Press, 2006).

[4] For a rare analytical foray into this territory, see Richard Bass, 'From Gretchen to Tristan: The Changing Role of Harmonic Sequences in the Nineteenth Century', *19th-Century Music* 19/iii (1996), pp. 263–85.

[5] In the programme note to the premiere of the 'Enigma' Variations Op. 36, Elgar mentioned Maeterlinck's dramas *L'Intruse* and *Les sept princess*, in which the main character never appears on stage. See Julian Rushton, *Elgar, 'Enigma' Variations* (Cambridge: Cambridge University Press, 1999), 65.

[6] The term paratext is used by James Hepokoski in connection with Strauss, but derives from literary theory and the work of Gérard Genette. James Hepokoski, 'Fiery-Pulsed Libertine or Domestic Hero? Strauss's Don Juan Reinvestigated', in Bryan Gilliam (ed.), *Richard Strauss: New Perspectives on the Composer and his Work* (Durham and London: Duke University Press, 1992), pp. 135–75.

[7] See, for instance, W. G. McNaught, 'A Note on Elgar's Second Symphony', *Musical Times* 92, No. 1296 (February 1951), pp. 57–61; Peter J. Pirie, 'World's End: A Study of Edward Elgar', *Music Review* 18 (1957), pp. 89–100; Allen Gimbel, 'Elgar's Prize Song: Quotation and Allusion in the Second Symphony', *19th-Century Music* 12/iii

(1989), pp. 231-40; Brian Trowell, 'Elgar's Use of Literature', in Raymond Monk (ed.), *Edward Elgar: Music and Literature* (Aldershot: Scolar Press, 1993), pp. 182–283 (256–67). Some of these and other interpretations are reviewed by J. P. E. Harper-Scott. 'Elgar's Deconstruction of the belle époque: Interlace Structures and the Second Symphony', in J. P. E. Harper-Scott and Julian Rushton (eds.), *Elgar Studies* (Cambridge: Cambridge University Press, 2007), pp. 172–219 (17–24).

[8] 'To get near the mood of the Symphony the whole of Shelley's poem may be read, but the music does not illustrate the whole of the poem, neither does the poem entirely elucidate the music.' Letter to Alfred Littleton, 13 April 1911. Jerrold Northrop Moore (ed.), *Elgar and his Publishers: Letters of A Creative Life*, vol. 2 1904–1934 (Oxford: Clarendon, 1987), p. 741.

[9] Trowell, 'Elgar's Use of Literature', pp. 256–67.

[10] The vast literature taking a 'crime-novel' approach cannot even be summarised here. A recent contribution, unusually by an academic writer, is Clive McClelland, 'Shadows of the Evening: New Light on Elgar's "Dark Saying"', *Musical Times* 149 (2008), pp. 43–48. James Hepokoski warns against this type of approach with regard to Elgar and more generally concerning symphonic compositions of the whole turn-of-the-century era. 'Elgar', in D. Kern Holoman (ed.), *The Nineteenth-Century Symphony* (New York and London: Schirmer, 1997), pp. 327–44 (327); 'Fiery-Pulsed Libertine or Domestic Hero?', p. 135.

[11] Letter to Ernest Newman 29 January 1911; cited in Jerrold Northrop Moore (ed.), *Edward Elgar: Letters of a Lifetime* (Oxford: Clarendon Press, 1990), p. 229; communication to W. H. T. Gairdner, recorded in Geoffrey Hodgkins, '"The Passionate Pilgrimage of a Soul": Elgar and Canon Temple Gairdner', *Elgar Society Journal* 11/vi (2000), pp. 306–22 (314–15). Brian Trowell points out that both these passages are allusions to Tennyson's *Maud*; 'Elgar's Use of Literature', pp. 258–64.

[12] David Pownall, *The Composer Plays* (London: Oberon Books, 1993), p. 117.

[13] Ernest Newman, 'Elgar's Second Symphony', *Musical Times* 52, No. 819 (May 1, 1911), 295–300 (295, 299).

[14] The ambiguity has also been noted by Robert Meikle, '"The True Foundation": the Symphonies,' in Raymond Monk (ed.), *Edward Elgar: Music and Literature* (Aldershot, 1993), pp. 45–71 (53–5). Hepokoski calls the movement a 'rondo-scherzo' and then just 'scherzo'. 'Elgar', pp. 337, 338.

[15] Letter to Alfred Littleton, 13 April 1911; Moore, *Elgar and his Publishers*, pp. 741–42.

[16] On the difference between 'real' and 'notated' bars in sentence themes and on 'compound' basic ideas, see Caplin, *Classical Form*, pp. 35, 61.

[17] Adolph Bernhard Marx, *Musical Form in the Age of Beethoven: Selected Writings on Theory and Method*, ed. and trans. Scott Burnham (Cambridge: Cambridge University Press, 1997), pp. 76–82. From 'Die Form in der Musik' (1856).

[18] 'Minuet proper'. Caplin, *Classical Form*, p. 219.

[19] Bruckner is the exception, as he writes clear binary structures (without repeats) and indicates da capo at the end of the trio.

[20] Meikle, "The True Foundation"', p. 55; J. P. E. Harper-Scott, 'Interlace Structure and the Second Symphony', in J.P.E. Harper-Scott and Julian Rushton (eds.), *Elgar Studies* (Cambridge: Cambridge University Press, 2007), pp. 172–219 (204).

[21] Ibid., p. 257.

[22] William E. Caplin, 'The "Expanded Cadential Progression": A Category for the Analysis of Classical Form', *Journal of Musicological Research* 7 (1987), pp. 215–57; *Classical Form*, pp. 109–11.

[23] Caplin, *Classical Form*, p. 27.

[24] In major keys one finds the introduction of chords such the subdominant minor, the half dim inished seventh on the supertonic, the augmented sixth chords, all used as pre-dominant chords.

[25] On the pastoral aspects of this passage and the imitation of natural sounds in Elgar's music in general, see Matthew Riley, 'Rustling Reeds and Lofty Pines: Elgar and the Music of Nature', *19th-Century Music* 26/2 (2002), pp. 155–77.

[26] See, for instance, Haydn String Quartet Op. 50 No. 2/i; Beethoven, Sonata in C minor Op. 10 No. 1/i.

[27] For details see Christopher Kent, 'A View of Elgar's Methods of Composition through the Sketches of the Symphony No. 2 in E♭ (Op. 63)', *Proceedings of the Royal Musical Association*, 103 (1976–1977), pp. 41–60; Robert Anderson, *Elgar in Manuscript* (London: British Library, 1990), pp. 103–12.

[28] Kent, 'A View of Elgar's Methods of Composition', p. 53. Elgar had produced plans of this kind for the end of Part I of *The Dream of Gerontius* and the slow movement of the First Symphony.

[29] Alice Elgar's diary, quoted in ibid., p. 52.

[30] MS 102 f101; the later stage is f74.

[31] MS 102 ff101 and 94.

[32] Hepokoski and Darcy, *Elements of Sonata* Theory, pp. 611–14.

[33] This would be Elgar's numbered p. 5, which has been removed from the binding and is not counted in the folio enumeration.

[34] On this phenomenon of Romantic harmony see Robert Bailey, 'The Structure of the "Ring" and its Evolution', *19th-Century Music* 1/1 (1987), pp. 48–61 (51); Lee A. Rothfarb (ed.), *Ernst Kurth: Selected Writings* (Cambridge: Cambridge University Press, 1991), pp. 136–37; on Elgar specifically, Patrick McCreless. 'Elgar and Theories of Chromaticism', in Harper-Scott and Rushton, *Elgar Studies*, pp. 1–49 (22–27).

[35] Stephen Banfield, 'Elgar's Counterpoint: Three of a Kind', *Musical Times* 140 (1999), pp. 29–37 (33); Julian Rushton, 'A Devil of a Fugue: Berlioz, Elgar and *Introduction and Allegro*', *Elgar Society Journal* 11/5 (2000), pp. 279–81.

[36] Derek Scott, Chapter 2, 'Diabolus in Musica: Liszt and the Demonic', in *From the Erotic to the Demonic: On Critical Musicology* (New York: Oxford University Press, 2003), pp. 128–51 (129). See Elgar Symphony No. 2/iii, fig. 99+3–fig. 99+9 for whole-tone collections (in the bass). Patrick McCreless has found octatonicism in the Rondo too, at fig. 105+5^2–fig. 105+8^2 and fig. 105+13^2–fig. 105+17^2 (in the bass). 'Elgar and Theories of Chromaticism', p. 25.

[37] In particular the Rondo's Theme 2 and the hammering return of the 'ghost' music, which may have been intended for the first movement's coda. Kent, 'A View of Elgar's Methods of Composition', p. 57.

[38] Hepokoski and Darcy, *Elements of Sonata Theory*, 11 (deformation as 'a surprising or innovative departure from the constellation of habitual practices…in order to generate an enhanced or astonishing poetic effect'); see also pp. 614–18.

[39] Bernard Shore, *The Orchestra Speaks* (London: Longmans, Green, 1938), p. 135; cited in Jerrold Northrop Moore, *Edward Elgar: a Creative Life* (Oxford,: Oxford University Press,1984), p. 608.

[40] Hepokoski, 'Fiery-Pulsed Libertine or Domestic Hero?', p. 149, and *Sibelius: Symphony No. 5*, p. 6. The term comes largely from Adorno's book on Mahler, and lost some of the precision of its original meaning as Hepokoski adapted it to formal analysis and the practices of contemporaneous composers. Theodor W. Adorno, *Mahler: a Musical Physiognomy*, trans. Edmund Jephcott (Chicago and London: University of Chicago Press, 1992). For applications to Nielsen's music, see Grimley, *Carl Nielsen and the Idea of Modernism*.

Abstract

The most interesting recent developments in formal function theory have tested its application on nineteenth-century repertory. Hitherto, however, functional analysis has touched only lightly on the post-Wagnerian symphonic repertory of the decades around 1900. When music analysis addresses this repertory today, it is usually by means of the approaches that have become 'Sonata Theory'. Functional analysis brings different insights, switching the focus to syntax and local formal process. The third-movement 'Rondo' from Elgar's Second Symphony (1911) exemplifies the progressive Romantic repertory in its challenges to analysis. While functional analysis can illuminate the syntax and formal processes of this music, it must be applied with an ear to shifting and overlapping functional meanings. The Rondo manifests parallel ambiguities at the levels of paratext and genre. The syntactic continuity and instability foregrounded by functional analysis resonate directly with the movement's thematisation of the demonic and the uncanny through paratext, topic, cyclic reminiscence and generic ambiguity. This article uses the concepts of functional theory to open and discuss questions of genre and compositional process and to reframe the Rondo's programmatic themes from an analytically informed perspective.

List of captions

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Ex. 2 Rondo, fig. 101+7^3–fig. 105+4 (reduction)

Ex. 3 Early sketches for the Second Symphony. BL Add MS 63162, f10v

Ex. 4 Early sketch for the Rondo with implication of refrain function for return of

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Ex. 5 Elgar's 'plan' for the Rondo. EBM MS 102 f103. Reproduction of the

transcription presented in Kent, 'A View of Elgar's Methods of Composition', 53.

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EBM MS102 f72

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    (ii)   *The Dream of Gerontius*, demons' chorus, fig. 46+4–fig. 46+7 (chorus

         parts only)

    (iii)   Liszt, Faust Symphony, 'Mephestopheles', fig. S, 1–7 (fugue subject)

Fig. 1 Elgar, Symphony No. 2, Rondo: formal outline

Scherzo / trio form

Scherzo 'proper' (binary)

	Tonality	Reh. no.
<u>Section I</u>		
Theme 1	I (C); ending with standing on V	
<u>Section II</u>		
Theme 2	i (c)	93
Development	unstable; distant from I	95
Theme 3	unstable v (g); cadential passage uses material from Theme I	100 (cadential 102)
Trio	II (D)	106

Scherzo reprise (binary)

<u>Section I</u>		
Theme 1	I (C)	116
interrupted by 'ghost'	♭III (E♭)	119
<u>Section II</u>		
Theme 2	I (c)	122^{+2}
Development	unstable; distant from I	124
Theme 3	unstable I (C); cadential passage uses material from Theme I	129 (cadential 132)

Fig. 2 Sources for the Rondo and chronology of composition

Elgar Birthplace Museum
MS 99 Autograph full score
MS 101 ff33–36 Sketches: 'extra' and 'rejected' sheets
MS 102 ff69–103 Short score and some sketches

British Library
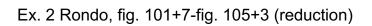Elgar sketchbooks
Add MS 63161 ff19v–20
Add MS 63162 f10v

May 1909	Visit to Venice. Elgar hears street musicians
New Year 1910/11	'Plan' and other sketches
Week to 16 February 1911	Short score and orchestration

Fig. 3 Rondo: layout of manuscript short score and other Birthplace sketches

Rondo reh. nos.	EBM MS 102 Manuscript short score	EBM MS 101	Date/stamp
		f33 version of bar 9 ff	
Scherzo 'proper'			
start–92	f69		
92–94	f70		
94–95	f71		
95–96			
96–98	f72		
	f73=mix of sketches		
98–98^{+7}		f34	
98^{+8}–98^{+9}		f35 (early version)	02/01/1911
98^{+10}–100^{+1}			
100^{+1}–102	f74, f101		
102–103^{+8}	f75		
103^{+9}–104^{+6}	f76		
104^{+7}–104^{+10}			
105–106	f76		
Trio			
106–115	ff77–80		
115–116	f81		
Scherzo reprise			
116–118	f82		
	f83=sketches		
118–119^{+5}	f84		
$119+6$–121^{+5}	ff85–6		
121^{+6}–122^{+1}	f87		
	f88=trio sketches		
122^{+2}–123^{+7}	f89, including bars not used		
123^{+8}–125	f90		
125–126			
126–127^{+4}	f91		
127^{+5}–128^{+1}	f92		
128^{+2}–129	f93		
129–131^{+1}	f94 (to 131 only), f95		30/12/1910 (f94)
131^{+2}–132	f96		
132–end	ff97, 98, 99		
	f99v–100=early sketches		
	f101: see above		30/12/1910
	f102=early sketches for trio etc.		29/12/1910
	f103=plan		
		f36 rejected sketches	30/12/1910

Ex. 1 Rondo, basic idea of Theme I (bars 1-8)

Ex. 2 Rondo, fig. 101+7-fig. 105+3 (reduction)

Ex. 3 Early sketches for the Second Symphony. BL Add MS 63162, f10v

Ex. 4 Early sketch for the Rondo with implication of refrain function for return of Theme I
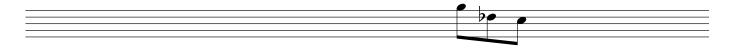BL Add MS 63161, f20

[illegible]

Ex. 5 Elgar's 'plan' for the Rondo. EBM MS 102 f103. Reproduction of the transcription presented in Kent, 'A View of Elgar's Methods of Composition', 53.

Ex. 6 Rondo, sketch for what would become the passage beginning at score fig. 96.
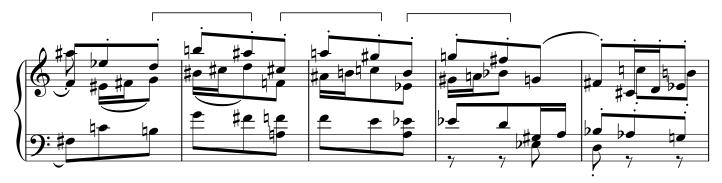EBM MS102 f72

change key

Ex. 7(i) Rondo, upbeat to fig. 98-fig. 99

Ex. 7(ii) *The Dream of Gerontius*, demons' chorus, fig. 46+4-fig. 46+7 (chorus parts only)

Ex. 7(iii) Liszt, *Faust Symphony*, 'Mephestopheles', fig. S, 1-7 (fugue subject)