To whom it may concern

'*It's not the situation … It's your reaction to the situation.*'
—Robert Conklin

After reviewing issues related to historical evidence, collegial influence and how an instrument performs and constructs its sound, it is now time to relate them to the core of musical experience — humans. Psychology, naturally, is a very extensive, time-consuming subject and concept to treat. My focus will be dedicated to the concept of tone production as a means of self-expression, within a social-psychological framework. The reason for choosing these two disciplines, among all available psychological perspectives, is because they both contribute pragmatic and easily-grasped concepts on how we relate to each other. Both provide perspectives that, without having formal degrees in psychology, can put tone production into other contexts than the traditional, historical-to-present translation of musical sources. 'Self-expression' places tone production into a context emphasising the personality inherent in tone construction, i.e. how a tone is not only produced to sound 'good' (regardless of whom it is intended to sound 'good' for), but how it can also be part of producing an idiolectic sound quality, one that people recognise as a specific artist's sound. In a book treating how we can conceptually understand tone production, this is an important part of the argument. When channelling our knowledge of a historical and artistic practice to an audience, we are bound to put some of ourselves into it, as we become the medium in which the concept of tone production is mediated and realised. Social psychology, in my view, functions as a kind of meta-science, relating a vast majority of disciplines (e.g. neurology, behaviourism and applied psychology) to direct attention to human behaviour as a directly social

activity, which also makes it apt to apply to studies outside of Psychological Studies without much effort. The chapter is organised from a broad perspective working its way towards a more focused one.

Embodiment

Several studies treat musical texts by discussing and analysing ornamentation, interpretation and tablatures,[1] but what most of these studies fail to consider is the performer's physicality as a framework for how tone production is constituted and how it functions as a framework of the self. Speaking as an active musician myself, the way we play and the way our physiognomy is constructed affect our technical limitations when performing music; a strong tension in the body certainly provides technical restrictions that make us perform less well than our potential would suggest. The physical construct of the musician also becomes part of a relation between the aural and visual, where musician and music merges into one signifier that is perceived by an audience. As such, it becomes evident that when speaking of tone production, we must also consider the physical, as well as the sonic, aspects of technical performance as something being perceived. To do this, it is necessary to discuss how the body relates to the performer. Researchers who have studied embodied social cognition (or simply embodiment) present a well-founded body of knowledge that supports the idea that bodily states actually influence social perception, attitudes and emotion.[2] Dona R. Carney, Amy J.C. Cuddy and Andy J. Yap, for example, have studied the relationship between body posture and our bodies' neuroendocrine system. They draw attention to several studies proposing that facial expressions can affect emotional states. 'For example, unobtrusive contraction of the "smile muscle" (i.e., the zygo-

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1   Such as: Rave, W., *Some Manuscripts of French Lute Music 1630–1700: An Introductory Study*, PhD (USA: University of Illinois at Urbana-Champaign, 1972); Rave, W., 'Performance Instructions for Seventeenth-century French Lute Repertory,' in V.A. Coelho (Ed.), *Performance on Lute, Guitar and Vihuela* (USA: Cambridge University Press, 1997): 142–157; Torres, G., 'Some Manifestations of French Lyricism in Seventeenth-Century Pièces de Luth Repertoire,' *Journal of the Lute Society of America*, XXX (1997): 25–41; Torres, G., 'Performance Practice Technique for the Baroque Lute: An Examination of the Introductory Avertissements from Seventeenth-Century Sources,' *Journal of the Lute Society of America*, XXXVI (2003): 19–47.

2   Sutton, R., and Douglas, K., *Social Psychology* (China: Palgrave McMillian, 2013), 194.

maticus major) increases enjoyment […], the head tilting upward induces pride […], and hunched postures (as opposed to upright postures) elicit more depressed feelings […].'[3] In their paper, 'Power Posing: Brief Nonverbal Displays Affect Neuroendocrine Levels and Risk Tolerance' (2010), they ask if physical displays generate a feeling of power to the same extent as a feeling of power generates physical displays. Carney et. al. found that by standing or sitting in an authoritative, dominant posture, there were measurable differences in hormone levels compared to subjects sitting in submissive positions; in authoritative cases, testosterone levels (what Carney et al. call the 'dominance hormone') increased and cortisol levels ('the stress hormone') decreased, and in subjects who were instructed to take submissive postures, the testosterone and cortisol levels were inverted.[4] Other studies following this one propose that the positive effect of testosterone and cortisol levels in authoritative stances also has positive outcomes afterwards, when the subject is not in an authoritative posture any longer.[5] This is particularly interesting when considering the shift in bodily posture seen in visual representation of lute players presented in Chapter 2 (cf. Graphs 2.7 and 2.8). Moving from a closed-centred posture in the Renaissance to an open seventeenth-century posture, to a centred eighteenth-century posture, we can then add a psychological dimension to the works of art and how they are constructed to be perceived. Especially when taking Leppert's argument that visual arts are a source of *seeing* sound into account, we can draw the conclusion that the visual representation of body posture and the concept of tone production are indeed related. Drawing on the work of Cuddy and her colleagues, it is possible to say that a visual work of art represents something to be perceived by an audience, in which we can witness actions leading to hormone activity (put simply), that in turn says something about the action

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3   Carney, D.R., Cuddy, A.J.C., and Yap, A.J., 'Power Posing: Brief Nonverbal Displays Affect Neuroendocrine Levels and Risk Tolerance.' *Psychological Science, 21* (2010): 1363–1368, 1364.

4   Carney, *Power Posing*.

5   Cuddy, A.J.C., Wilmuth, C.A., and Carney, D.R., 'The Benefit of Power Posing Before a High-Stakes Social Evaluation,' *Harvard Business School Working Paper* (13–027, September, 2012); and Cuddy, A.J.C., Wilmuth, C.A., and Carney, D.R., 'Preparatory Power Posing Affects Performance and Outcomes in Social Evaluations.' *Harvard Business School Working Paper* (13–027, November, 2012).

being performed. If the performer is affected by the posture, that will in turn affect their performance and ultimately their tone production. In my experience as an active performer of lute instruments, I find this to be true. This is one of those precious moments in the intersection of traditional musicology and artistic research where practice and professional experience can contribute something that is difficult to put down in writing. Quantitative and qualitative studies are indeed possible to perform, but in this particular case I do not think it is necessary in order to present my argument. In fact, I do not find it necessary even to separate between the actual results of hormone production and possible placebo effects, because no matter what we experience, real or not, physical or mental, it is part of our perception of a given situation and our understanding of our self in a musical context. The posture affects our attitude towards our own (and other's) tone production. This is supported by research. Jens Förster and Fritz Strack, for instance, draw connections between arm movements and attitudes towards people who are not present. When flexing the arm upwards on a table (approach-like behaviour) while generating the names of famous people, they were more positive towards them than when they generated famous names during arm extension pushing down on a table (avoidance-like behaviour).[6]

Interestingly enough, we do not have to perform a bodily act ourselves in order to reach a certain cognitive state. In neuroscience, there is a specific body of research focusing on mirror neurons and mirror systems. Michael S. Gazzaniga, Richard B. Ivry and George R. Mangun (2009) write that '[t]he intimate link between perception and action is underscored by the fact that our comprehension of the actions of others appears to depend on the activation of the neural structures that would be engaged if we were to produce the action ourselves.'[7] The theory of mirror neurons proposes that there are neurons within our central nerve system (CNS), i.e. the brain, that are specialised in mimicking perceived

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6   Förster, J., and Strack, F., 'Motor Actions in Retrieval of Valenced Information: A Motor Congruence Effect,' *Perceptual and Motor Skills, 85* (1997): 1419–1427; Förster, J., and Strack, F., 'Motor Actions in Retrieval of Valenced Information: A Motor Congruence Effect,' *Perceptual and Motor Skills, 86* (1998): 1423–1426.

7   Gazzaniga, M.S., Ivry, R.B., and Mangun, G.R., *Cognitive Neuroscience: The Biology of the Mind*, International students' ed., 3rd ed. (USA: Norton, 2009), 283.

signals. If we see someone who is sad, for instance, or who is running, we can see through scientific studies how the brain regions involved in producing that very action or emotion are also activated in the perceiver, even if that person is not performing the act or emotion themselves. It is believed by neuroscientists interested in this field of study that the mirroring network can explain even complex cognitive processes, such as empathy.[8] This brings us back to the visual representation as a signifier of sound in Chapter 2. In those works of art, we cannot only see sound, in the Leppert sense, but we can also empathise with the depicted situation through our mirror neurons and our perception of the body postures. By extension, those empathic feelings and our particular understanding of the said situation affect our behaviours and attitudes.

Attitudes and behaviours

Katz presented a paper in 1960 suggesting four motivational functions during the formation of an attitude. Firstly, attitudes can have a *knowledge function* that provides us with a knowledge-based schema that effectively helps us to form an opinion about an object or subject. These knowledge-based schemata function parallel to those attitude schemata we have formed towards other objects or subjects we have encountered, and they often attempt to be consistent with one another. Stated more clearly, our attitudes towards one object or subject are often consistent with our attitudes towards other objects or subjects. This is clear in tone production, as we have a modern knowledge base to start with (this is how a modern Classical guitar sounds, for instance) which we consciously or unconsciously transfer to the situation where we are to form an attitude towards lute sound. Or a more specific perspective, where we know that the right hand was placed very close to the bridge in the 18th century (see Chapter 2) while many colleagues today play the same repertoire closer to the soundhole (see Chapter 3). In such cases, our knowledge-based schema is caught between past and present, and where we place the emphasis between the two decides our attitude towards the other.

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8   Gazzaniga, *Cognitive*, 610 and 633.

Secondly, attitudes can have a *utilitarian function*, which means that they help us to receive rewards and punishments that make others look favourably or negatively upon us. This acts parallel to self-monitoring functions of the self, as well as our impression management. We can also maintain group belonging by expressing negative and positive attitudes according to a specific group ideology. In the same specific case above, we can confirm our belonging to the 'close-to-soundhole' group by our attitude to the 'close-to-bridge'-group and *vice versa*. In this instance, our conformity towards the one rewards us within the group for opposing the other.

The *value expressive function* is a function where our attitudes let us express deeper levels of values. If we, for instance, consider a person for whom Christianity is an important value, that person will be more likely to express positive attitudes towards Christian organisations and more negative attitudes towards anti-Christian groups. Likewise, if one person finds historical evidence to be very important for their artistic practice, they are more likely to favour playing close to the bridge.

Finally, the *ego-defensive function* presents psychological defensive functions, where high self-esteem can protect us when we are confronted with attitudes opposing our persona, or from threats such as death.[9] If we are comfortable in our knowledge of something, that is, we have studied something well and we feel that we have authority in what we do, we are more likely to be better equipped at meeting negative attitudes. From another perspective, if one has bad experiences in sports, one may adopt a negative attitude towards sports in general to distance oneself from those negative experiences, as an act of cognitive self-defence. In the same fashion, when we form our conception of what tone production should be, we are likely to meet negative attitudes from those opposing our concept, in which case the ego-defensive function comes into play to support us in meeting those attitudes.

Other theories create a bridge from attitude formation to attitude application. Zajonc's *mere exposure effect*, for instance, suggests that the

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9   Sutton and Douglas, *Social*, 162–163.

more we are exposed to a stimulus, the more we tend to like it.[10] This is particularly interesting in the process in which the lute performer shapes their perception of 'good' tone production. What we are repeatedly exposed to over time creates a framework for what we like, and repeated exposure to a certain type of tone production may very well make us like that approach more than others. This can be linked to Martin Shepherd's historical account of the early lute revival, when many Classical guitarists obtained lutes strung with nylon strings in unisons (see Chapter 4). The sound was closer to the Classical guitar than the gut-strung lute, but it was an acceptable starting point because they had previously been exposed to Classical guitars and not lutes. Similarly, as more musicians started to play with gut strings, or similar synthetic versions, the increasing, repeated exposure to this 'new' kind of sound gained more acceptance among performers and instrumentalists. The notion of acceptable tone production altered according to the mere exposure effect (among other things, of course). Similarly, David Huron (2006) provides a full-length monograph argument that what we are exposed to, statistically, forms our anticipation of what is to come. If that anticipation is true, we are psychologically rewarded by our bodily system for making a correct prediction. On the other hand, if we make incorrect predictions of what is to come, we do not feel satisfaction as we did not receive any psychological reward for being correct.[11] So, put simply, if we expect one sort of sound right before the lutenist starts to play, we receive a bodily reaction according to the accuracy of the prediction. This is not simplified by the fact that we, by expecting something to be bad or good for instance, adopt an attitude that increases the probability of it being bad or good. We run the risk of making up our minds before the event has even happened.

Furthermore, exposure does not only shape our preferences and anticipation. By being exposed to stimuli that we are either consciously or unconsciously aware of, and that we are either punished or rewarded for doing, we are engaging in *social learning*. This also means that we learn to associate positive or negative emotions and attitudes towards different

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10   Sutton and Douglas, *Social*, 164.
11   Huron, D., *Sweet Anticipation: Music and the Psychology of Expectation* (USA: MIT Press, 2006).

stimuli based on the circumstances in which we perceive them (e.g. *classical conditioning*). For instance, if a dog hears a bell ring every time he is served food, he will eventually associate food with that sound. He will then think of food every time he hears it even if there is no food present;[12] similarly, if we hear the word 'Viking,' it is easy to think of helmets with horns, even if it is generally accepted that there is no real historical evidence supporting their use. This refers back to the visual representations, the surviving literature and primary sources, modern handbooks and instrument construction; we form our attitude and perception of something not only based on what actually happens in the moment, but also based on what we have learned to expect through experience and through the causal confrontations of the past.

Whatever the function, attitudes towards tone production, whether modern or historically perceived, are formed in tension between inner and outer perspectives, or between opposing practices or groups, or between good and bad experiences. They are also formed through exposure, anticipation and experience. When constructing a conceptual understanding of what tone production is within a historically-distant practice, performed today, it is vitally important to acknowledge this point. Attitudes and ideologies, formed by social interaction and stimuli exposure, set a framework in which our self-expressive acts are perceived, interpreted and understood. This places a major emphasis on how a performer presents their tone production within a certain context and how they acknowledge the link between self-expressive acts, attitudes and embodiment. Our attitudes set the framework in which our self-expressive acts are perceived and perhaps also understood. This is where the quality of tone production is judged and it is highly individual; embodiment represents the effect caused by self-expressive acts and other bodily performances that become more or less internalised, both within the musician and the audience. Returning to mirror neurons, as pointed out by Gazzaniga et al. (2009), we see how attitudes and embodiment can present themselves differently, according to the level of expertise and motor repertoire: 'Interestingly, the extent and intensity of the activation

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12   Sutton and Douglas, *Social*, 165–172.

pattern [as related to mirror neurons] reflect the individual's motor repertoire. Skilled dancers show stronger activation in the mirror network when watching videos of familiar dance routines compared to unfamiliar dances.'[13] Tone production as a self-expressive act is not something that is directly related to historical practices alone, but historical practices can be used to situate oneself within the social context the performer wishes to be judged. For instance, if the performer seeks to gain acknowledgement within a dedicated scholarly context, their tone production may be vastly different to what a performer seeking to gain acceptance with the general public would produce. In the first instance, emphasis may be put on historical evidence and research literature, while in the second, it may be more important to accommodate a modern audience's expectations. Clearly, there is no right or wrong tone production *per se*, but tone production can be a social tool enabling the musician to position themselves and their self-expressive acts. If we look at this issue historically, we see how music in general was used to position oneself within a socio-political construct. For instance, the bourgeoisie could use music and other cultural activities to affirm their position towards the aristocracy within the salon culture while still maintaining their group identity; the aristocracy could show their power through their employment of a large number of musicians; and visual representations could document a certain view of the hierarchy and social differentiation.[14] Tone production is an important part of the musical construct, and it is in many ways a cornerstone in how we perceive a musician. This is clearly evident when many electric guitarists, used to having amplification and stomp boxes to shape their tone production, are given a nylon-string guitar. Compared to a trained Classical guitarist, the differences in how tone production is approached, and what sort of emphasis it has been given during education, is vastly different, even to the untrained ear. Furthermore, we often see great differences in which instruments are judged to be of sufficient quality for public performance.

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13   Gazzaniga, *Cognitive*, 283.

14   Rolfhamre, R., *The Popular Lute: An investigation of the Function and Performance of Music in France Between 1650 and 1700*, PhD (Norway: Faculty of Fine Arts, University of Agder).

Self-expression versus communication

As a self-expressive act, tone production is an important part of how we perceive a performance; it is part of a communicative process in which the audience, as well as the performer, understands the performance from a certain context, and in which the performer's competence and aesthetic values are judged. In 2007, Mitchell S. Green presented a full monograph focusing on self-expression where he discusses in detail the problems surrounding the subject. Green formulates twenty *dicta* to sum up the main points of his argument (the numbering of each *dictum* has been altered from the original source, in order to avoid confusion):

1. A self-expression shows a thought, feeling, or experience.
2. A self-expression shows one's thought, feeling, or experience.
3. A self-expression is not a type of statement.
4. A self-expression is a signal.
5. A self-expression may be involuntary, voluntary, or both voluntary and willed.
6. A self-expression can be seen at once [as] spontaneous and voluntary.
7. Although one can express only those states of ourselves that can be shown, it is an open question just what this class includes.
8. A self-expression is characteristically, but not exclusively, directed toward an audience.
9. A self-expression may be directed towards an audience that is distinct from the object of the state expressed.
10. Self-expression falls into overt and non-overt varieties.
11. We can express ourselves by means of 'sayings in our heart'.
12. Self-expression is as sensitive to how an action is carried out as it is to which action is carried out.
13. One can express oneself in a voluntary act without intending to do so.
14. Like other acts, attempts at self-expression may or may not be successful.
15. What is expressed, in self-expression, can be known by introspection.
16. Self-expression need not take routinized paths.

17. Self-expression is distinct from expressiveness.
18. Corporate expression is, when successful, expressive.
19. Dramatic performances, when expressive, need not involve self-expression.
20. It is an empirical question where self-expression is found in the animal kingdom, and of its ontogenesis in any given species.[15]

According to Green, a self-expressive act can both show one's feeling or just a feeling in general. It does not need to be a statement but is rather a signal, independent of whether it is in fact conscious or unconscious, willed or unwilled. In the context of tone production, then, it is not necessarily the case that when speaking of tone production as a self-expressive act we are also speaking of mediating a statement. It is merely a signal that may or may not be perceived. What is particularly interesting is that Green suggests that self-expression is distinct from expressiveness and that dramatic performances, when expressive, need not involve self-expression. The self-expressing perspective on tone production is therefore theoretically useful as it does not presume that communication of a certain message arises and that the delivery from performer to audience is clear, but it assumes more directly that tone production functions as a signifier of something regardless of it being understood by others, or even by the performer themself. According to Green, this is one of the main features of self-expression, that is, that self-expression is distinct from communication. Self-expression is about showing someone an inner state, for instance, that does not rely on anyone perceiving it (a state Green calls *perception-enabling showing*).[16] Communication, on the other hand, needs to be perceived by someone else in order for it to be established; otherwise it is just an attempt at communication that has failed. Yet, a self-expression that is perceived by another party in the way that it was designed to express *establishes* a communication, even if it is not communication by its own means. After exploring several perspectives

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15   Green, M.S., *Self-Expression* (UK: Oxford University Press, 2007), 44–45.
16   Green, *Self-Expression*, 85.

and theories, Green draws increasingly stronger connections between the words 'self-expression' and 'showing':

> Where A is an agent and B a cognitive, affective, or experiential state of a sort to which A can have introspective access, A expresses her B if and only if A is in state B, and some action or behaviour of A's both shows and signals her B. […] According to this characterization, all self-expression involves showing one's emotional, cognitive, or experiential state.[17]

In the above statement, there is a clear correlation between feeling something and performing an act which transfers the feeling from the internal to the external. Green presents three categories of showing: *showing that*, *showing* α and *showing how. Showing that* enables propositional knowledge ('Making knowledge available doesn't guarantee its transmission'); in *showing* α, α is 'a singular term referring to a perceptible object or affair'; *showing how* attempts transmission of how something feels, looks or sounds, etc.[18] He also states that '[s]howing-that makes knowledge-that available; showing-α makes perceptual knowledge available, and showing-how makes available knowledge of how an emotion or experience feels.'[19] So, no matter what category of showing a self-expression falls into, we are ultimately speaking of a phenomenon that makes certain knowledge about a specific state, object or how a particular state feels, perceptible. For someone in the right circumstances to perceive it, truthful knowledge can be transferred from one person to the next (although it is not a criterion that this transference is at all successful). Green further differentiates between 'showing' and 'indication'; the former states how or what something is, or how it is, while the latter has the possibility to pretend to be something it is not. Green writes:

> One thread that unites the above three forms of showing is knowledge: Evidence enables those who are shown the things mentioned above, and who are in the right circumstances (being empathetic, being in the right perceptual location, possessed of the right conceptual resources or background knowledge, etc.) to

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17   Green, *Self-Expression*, 43.
18   Green, *Self-Expression*, 47–48.
19   Green, *Self-Expression*, 186.

know some fact, some object of perception, or how some emotion, mood, or experience feels. Showing is thus a stronger relation than indication, in two ways. First, showing, unlike indication, is a 'success' notion: One can only show facts (showing-that), or real things (showing α), or how something appears or feels (showing how), whereas one can indicate that something is so when it is not, or indicate an object that is not, or indicate how something feels that does not appear or feel that way.[20]

What is being brought to the agenda here is important; that is, that self-expressive acts do not need to be true in the sense of showing, but they can also be manipulated to indicate something that is not true. By indication, we can create signals meant to give the perceiver the possibility of understanding a signal without the necessity of it being a true emotion, thought or knowledge. In fact, this is what professional actors deal with on a daily basis: '[S]elf-expressions are often produced with a strategic aim over and above that of manifesting the cognitive or affective state of their producer,'[21] Furthermore, '[e]xpressive conventions go a step further by enabling their users to show the presence within them of certain states with a mere gesture, speech act, or other conventional device rather than with a material sacrifice.'[22] So, if self-expressive acts can be used to consciously convey a signal, as well as unconsciously, they can also be part of a social context where a musician can use self-expressive acts to position themself within a certain social construct by their very actions (the blinking of an eye, heavy sigh, an arm movement, etc.). Now, what has started to unveil here is a synergetic relation between conventions of self-expressive acts, attitude formation and embodiment (see Fig. 5.1 below): Attitude formation initiates self-expressive acts and embodiment; embodiment affects our feelings and attitudes as well as the self-expressive acts they launch; and self-expressive acts can consciously or unconsciously contribute, willingly or unwillingly, to our level of embodiment and our attitude formation. It is through this complex network of being, feeling, reacting and understanding that we form our concept of

20   Green, *Self-Expression*, 49.
21   Green, *Self-Expression*, 139.
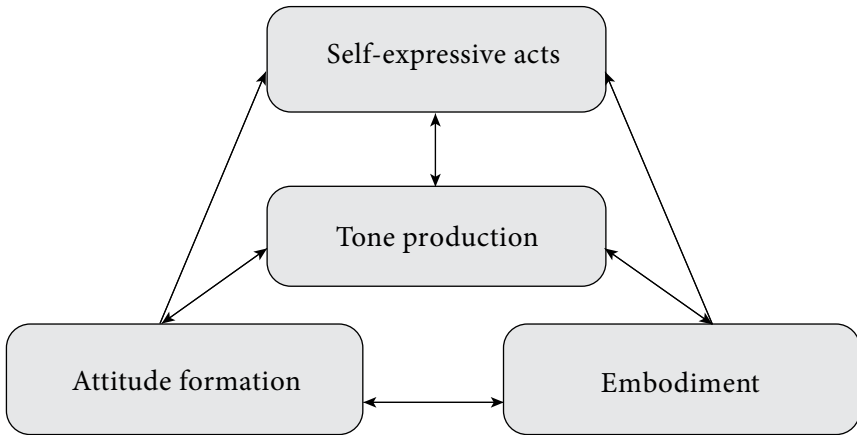22   Green, *Self-Expression*, 146.

Figure 5.1. The relation between self-expressive acts, attitude formation, embodiment and tone production.

tone production, both consciously and unconsciously. This apparatus can then enable us to address a certain social, historical or academic practice by the mere action of producing a tone on an instrument. From the very simple act of producing a tone, we can provide the audience with signals for them to perceive (or not) where we unveil our aesthetic concept, our relation to historical data, what performance tradition we are trained in, how experienced we are, what musicians we look up to, etc. It is not only an act of producing something aesthetically valid and valuable within a certain context, but it also reveals something about the performer.

From this perspective, it is also noticeable that self-expression can be conventionalized in several ways, either through a *regularity* in behaviour; *arbitrariness* (the regularity in behaviour might have been otherwise); and when the regularity is supported by *normativity* ('[g]iven that all or most members of the relevant community conform to this pattern of behaviour, for most members of that community, conforming to that convention is proper and appropriate.').[23] According to these three propositions, self-expression is standardised by a set of acts that are regularly performed and understood as others perform and can relate to similar acts. I like to see this argument backwards: people jointly perform repetitious acts that articulate certain norms of signals that are meant to

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23   Green, *Self-Expression*, 144.

produce some sort of meaning (whether perceived by the target or not), and it is within that context that self-expression can function in relation to the other people's ability to understand how a specific signal was designed to signal.

The social psychology of Self

If tone production is a self-expressive act, and part of an attitude and embodiment apparatus enabling us to situate ourselves socially, it is easy to argue that a book treating Early Modern tone production on lute instruments cannot only look at physicality and physics (Chapter 4), modern performance practice (Chapter 3) or historical evidence (Chapter 2). It is equally important to consider how our sociability and interaction within a certain context forms a concept of what we think proper tone production can and should be. Whatever historically-informed performance we present to an audience, that particular performance takes place today — it is designed, rehearsed, presented, improvised, perceived and understood today. As such, any performance of Early Modern music, and any attempt to understand that music's social function and location (tone production then being part of that practice) partakes in a dialogue between present and perceived past in which the 'social' functions as a filter in which all previous material is compartmentalised into meaning and understanding. Social psychology is therefore an effective perspective to address such issues, in which the more complex self-expressive acts, embodiment and attitude formations discussed above can join forces with earlier chapters, to create a functional model in which tone production can be understood.

In 1986, Doise proposed to divide social psychology research into four main approaches to analysis: 1) The *intraindividual* level of analysis focuses on what happens within an individual, bringing forth cognitive, perceptual and biological processes, for instance; 2) the *interindividual/ situational* level gives attention to what happens between individuals in a given situation; 3) the *socio-positional* level centres its argument around the same premises as the interindividual/situational, but in larger institutional contexts, such as school and community; and finally, 4) the

ideological level brings forth matters concerning belief systems. The first two categories were, at the time of Doise's writing, more common among researchers in European countries and can be put under the label 'psychological-social psychology'; the latter two received more attention in the US and were more closely related to sociological-social psychology.[24] Raymond Macdonald, David Hargreaves and Dorothy Miell (2002) further divided psychology into three main categories: *cognitive*, *emotional* and *social*. Previous research, they argued at the time, had been disproportionately concerned with cognitive and emotional aspects of psychology, but socially-focused works are less well represented. Together, they posit three social functions of music for the individual, these being *interpersonal*, *mood*, and *self-identity*:

> First, people use music as a means of developing and negotiating interpersonal relationships. One's musical preference can define which social groups one does and does not belong to, and this is particularly clear in the case of teenage music preferences […]. Secondly, an increasing body of evidence shows that people use music as a means of regulating their mood, and that this is mediated by the immediate social environment in which listening takes place. This can explain patterns of musical taste and preference which are linked with specific listening situations and social circumstances […]. We suggest that one of the primary social functions of music lies in establishing and developing an individual's sense of identity, and that the concept of *musical identity* enables us to look at the wide-spread and varied interactions between music and the individual.[25]

Following this argument, music making, or more specifically, tone production, can be used to develop and negotiate interpersonal relationships when a practice is used by more than one person to define a social group (those playing close to the bridge versus those who do not, for instance). It can also be used to illustrate a mood, by actively changing position to alter the tone quality, or affecting or contradicting the mood by a certain *modus operandi*. This is particularly interesting in later Baroque music,

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24   North, A., and Hargreaves, D., *The Social and Applied Psychology of Music* (UK: Oxford University Press, 2008), 3–4.

25   Macdonald, R., Hargreaves, D., and Miell, D. (Eds.), *Musical Identities* (USA: Oxford University Press, 2002), 5.

where modern musicians prefer a warmer sound than the more wooden, transient-rich tone suggested by original sources (Chapter 2). In addition to preferences stemming from the Classical guitar and other more modern musical practices, it may also have to do with a modern alignment between, for instance, 'melancholy' and warm, soft sounds to create a more intimate, introverted soundscape than a metallic, harsh tone would. In this sense, historical evidence is ignored to avoid cognitive dissonance in the modern perceiver. By promoting such a perspective, we also emphasise tone production as part of a social practice in which the performer takes measures to consciously align their self-expressive act with the perceiver's attitudes and expectations, not to mention conforming to their expected anticipation in a way that reflects positively on the performer. Tone production becomes one of many mediums in which the performer is enabled to self-express.

Various disciplines within psychology theorize the self differently. In social psychology, the *self-concept* is a collective term that embraces all the different sets of beliefs that people have about themselves. A self-concept can further be broken down into different *self-schemas* that represent individual sets of beliefs about oneself that help people process self-relevant information in certain contexts.[26] All self-schemas relate to each other, since they are functioning within the same human being. The degree to which these self-schemas are clearly and confidently defined, consistent with each other, and temporarily stable, can be labelled *self-concept clarity*. *Self-awareness*, on the other hand, provides a dialogue

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26 There seem to be different terminological practices concerning the points that Douglas and Sutton wish to address by their use of self-concept and self-schemas. For instance, North and Hargreaves employ self-systems and self-concept respectively, where their self-concept seems to be equivalent to Douglas and Sutton's self-schemas; see North and Hargreaves, *Social and Applied*, 45. The self-systems and self-concepts terminology is also employed in Macdonald, Hargreaves and Miell's *Musical Identities*, only they mention *self-images* as an alternative word for self-concept; see Macdonald, *Identities*. On the other hand, Robert H. Woody, Sr. uses a self-concept and self-schemata that is in line with Douglas and Sutton's writing; see Woody, R.H., *Social Psychology and Musicianship* (USA: Meredith Music Publications, 2012), 35 and 42. A choice must be made, then, on what terminology to employ. I have chosen to go with the set of terms set up by Sutton and Douglas for two reasons: first, their book is of a later publication date and, as such, more up to date with recent progressions within the field of social psychology; secondly, I find the use of self-concept, rather than self-system, to be more descriptive and in line with the arguments I wish to make in this book.

between the self-concept and reality and it encompasses the psychological state of being aware of one's self-concept; one can be self-aware about private, personal aspects of one's self (*private self-awareness*) as well as public aspects of the self (*public self-awareness*), i.e. how these aspects may be seen by others in the exterior world. One can be self-aware to the degree that it becomes a chronic concern (*private self-consciousness* and *public self-consciousness*).[27] The self is. then, a construct, something that is dynamic and develops, adapts and preserves what someone is in various contexts. Our views on ourselves, our confidence and attitudes (to name a few perspectives) are not fixed in the sense that we can speak of a conceptual understanding of something, such as tone production, as something going from A to B as a simple aesthetic act, but are formed and evolving within the performer. I have experienced myself that when I play, sometimes, I can feel pretty confident and pleased with my tone production, while on other occasions I can find my tone production to be rather appalling, unfocused and annoying, even if I seem to be doing the same thing when reviewing my technique in a mirror. What happens at such times, in my case, is that I fall victim to my mental and emotional state in such a way that my attitude at each given moment affects my private self-awareness and self-consciousness, which in turn has repercussions for how I choose to perform in each situation. In such cases, my tone production is not necessarily a product of any sort of historical enquiry, or deliberate relation to my colleagues' practices, but rather a self-centred, inner dialogue in which I create my tone out of sheer problem solving and negotiation with my self-perceived shortcomings. It is, therefore, a matter between me and the external public self-consciousness and public self-awareness.

In reviewing these social psychological perspectives of the self, one soon thinks of the Freudian concept of *id*, *ego* and *superego* that one can find in psychoanalytically-flavoured musicological works.[28] But E. Tory Higgins (1987) has argued that Freud's model, along with other models, lacks 'a systematic framework for revealing the interrelations among the

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27   Sutton and Douglas, *Social*, 53–54, 56, 58–60 and 62.
28   See for instance: Middleton, R., *Voicing the Popular: On the Subjects of Popular Music* (London and New York: Routledge, 2006).

different self-states;[29] 'A disadvantage of a principle that is intuitively appealing and simple and that promises a wide range of applicability is that it tends to be used to understand phenomena with little questioning of its hidden assumptions.'[30] Higgins rather speaks of a threefold self-concept that consists of the 1) *actual self*, based on a person's knowledge about the self at the present time, 2) the *ideal self*, which constitutes a person's desired self (i.e. how that person would like to see their Self) and 3) the *ought self*. These instances of the self can, in turn, be perceived by oneself or by others. Based on this, we can divide the self into smaller, more concentrated fractions: actual/own, ideal/own, ought/own, actual/other, ideal/other and ought/other.[31] When some of these do not correspond to one another we reach a state of cognitive dissonance that, depending on the gravity of that dissonance, can cause more or less discomfort. Therefore, we constantly try to balance all these parts of ourselves through the processes of *self-regulation* where one tries to morph one's behaviour to fit an ideal or 'ought standard' of the self.[32] According to one of Higgins' later papers, (1997), people have two distinct self-regulatory systems: promotion and prevention. The *regulatory focus theory* that he promotes suggests that people can seek to construct their self either by an active, approaching effort to reach that state (promotion) or by a more cautious and avoidant mentality towards the path leading to the self.[33] Higgins uses the following example to explain this:

> To reduce the spread of AIDS, for instance, campaigns for condom use have naturally framed the persuasive messages in terms of safe-sex and the dangers to be avoided, which involve a prevention focus and anticipating undesired end-state [i.e. we are asked to think of what we should avoid by using a condom]. But at the critical moment when condoms will or will not be used, the partners are more likely to be in a promotion focus and anticipating desired end-states [i.e. what we want to achieve by the act]. Thus messages with a promotion focus

29 Higgins, E.T., 'Self-Discrepancy: A Theory Relating Self and Affect,' *Psychological Review, 94* (3; 1987): 319–340, 320.

30 Higgins, E.T., 'Beyond Pleasure and Pain,' *American Psychologist*, 52 (12; 1997): 1280–1300, 1290.

31 Higgins, *Self-Discrepancy*, 321; Sutton and Douglas, *Social*, 64.

32 Sutton and Douglas, *Social*, 64–65.

33 Higgins, *Beyond*; Sutton and Douglas, *Social*, 65–66.

CHAPTER 5

on anticipated desired end-states might be more effective (e.g. condom use pro-
motes a caring relationship).[34]

This remark is interesting because it draws attention to how approaching
consistency at both ends of a communication can establish a better rap-
port. If we were to present our tone production through a performance
to an artist we admire, that interaction would probably have an immense
effect on our perception of our own practice, according to how we are
met. If the admired artist meets us in a preventive manner ('don't do this;
avoid this way of producing a tone') or a promotive ('try this; this will
help you convey what you tell me you wish to convey') we will gain quite
different understandings of the situation, which again affect our attitude
towards the artist and ourselves. What's more, they also affect how we
embody that situation. Rhetorically, do we get a feeling of having failed in
our mission, or are we given the sense of learning how to master it even
better, and how does this affect our hormone production? Robbie Sutton
and Karen Douglas write:

> People behave towards others in ways that help them validate their perceptions
> of self. This may be reflected in who we choose as friends. For example, if you
> think of yourself as outgoing and sociable, it helps to have friends who think
> the same of you.[35]

In this quote, we clearly sense the importance of considering social inter-
action and group construction when discussing tone production as a
self-expressive act. In fact, it also draws attention to how we often seek
to be part of social groups where our self-perception corresponds to what
other group members think of us; that is, we seek conformity between the
interior and exterior. In developing a tone production, then, it is not only
a matter of establishing one's position within a certain context, but also of
feeling acceptance of that said context by conforming the actual self to sit-
uations where one feels a positive response from others. An important part
of this process has to do with *self-presentation*. We mould and shape the
manner in which we present ourselves to others so that we are perceived in

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34   Higgins, *Beyond*, 1297.
35   Sutton and Douglas, *Social*, 83.

the way we want to be perceived. By *self-monitoring* we are being sensitive to how we are perceived, so that we can appropriate our self-expression to constitute the impression we wish to give (*impression management*).[36] The way we express ourselves and construct our *self-presentation*, that is, how we deliberately present ourselves to others, has a great effect on how we partake in a social group; how, for instance, musical meaning can be mediated, understood and appropriated, and how musical identities are valued and perceived. The *social comparison theory* of Festinger (1954), for instance, suggests that we get to know and crystalize our self by comparing ourselves to others. We compare ourselves with those who are better or worse than us at certain things (*upward* and *downward social comparison*), and we engage in *temporal comparisons* where we juxtapose our past and anticipated future self. For instance, by comparing ourselves to a past version of our self, we might perceive that our present self is better, which perhaps would make us feel better about ourselves:[37]

> The drive for self evaluation concerning one's opinions and abilities has implications not only for the behaviour of persons in groups but also for the processes of formation of groups and changing memberships of groups. To the extent that self evaluation can only be accomplished by means of comparison with other persons, the drive for self evaluation is a force acting on persons to belong to groups, to associate with others.[38]

This is a very important apparatus when developing a concept of tone production. We compare our tone concept to others to know what we want, or do not want, to achieve and what we do or do not like; we look back on past documentation (recordings, videos and other means of documenting) to

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36 Festinger, L., 'A Theory of Social Comparison Processes,' *Human Relations*, 7 (1954): 117–140; Sutton and Douglas, *Social*, 70–72 and 83.

37 Music's role as a social phenomenon and as a marker (both as a unifier and divider) has been widely addressed by musicologists, especially since the end of the twentieth century (to name only a very few: Clarke, E.F., *Ways of Listening: An Ecological Approach to the Perception of Musical Meaning* (USA: Oxford University Press, 2005); DeNora, T., *Music in Everyday Life* (UK: Cambridge University Press, 2000); Gracyk, T., *I Wanna be Me: Rock Music and the Politics of Identity* (USA: Temple University Press, 2001); Middleton, R., *Studying Popular Music* (USA: Open University Press, 1990); Middleton, *Voicing*; Moore, A.F., *Song Means: Analysing and Interpreting Recorded Popular Song* (England: Ashgate, 2012); Walser, R., *Running with the Devil: Power, Gender, and Madness in Heavy Metal Music* (USA: Wesleyan University Press, 1993)).

38 Festinger, *Social Comparison*, 135.

feel proud of where we have come; and we use comparisons to feel more secure, or insecure, about the choices we make as performers.

Self-expression and identity

There is no denying that self-expressive acts and tone production are highly related to identity, which can be seen as the perceived result that arises from the performance of people's self-concepts. Stan Hawkins writes in *Settling the Pop Score* (2002) that:

> identities are performatively constituted by the artist's expression, and […] there are important links between music reception and identity […]. In my research into identity formation in pop music, it has become more and more evident that pop culture forms a site where identity roles are constantly evolving to fit social needs.[39]

Hawkins touches on a critical point. By our self-awareness, self-consciousness, regulatory activities, comparisons and impression management, we construct identities that are constantly evolving to fit certain social needs. We performatively constitute our identities through our actions and self-expression, which again reveal something about us, regardless of whether it is perceived or not. Identity is about what a person is or is not, and how a person's identity relates to other identities through sameness or difference, i.e. we can assert that we belong to a certain group identity, but that very group identity can be quite different from another. '[T]he dominant group must set itself apart from that it is not, in order to seek that which it wishes to be.' Hawkins points out that identity and binarism, however, do not automatically go hand in hand: 'identity might be considered as flexible and free-floating and not divided into clear cut groups: women and men.[40] Whatever the classification, it is clear that we relate to others through our constantly-evolving identities. Tone production as a self-expressive act has little to do with historical practice *per se*, it has to do with us, that is, how we wish to be perceived. Rhetorically, am I

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39   Hawkins, S., *Settling the Pop Score: Pop Texts and Identity Politics* (UK: Ashgate, 2002), 12.
40   Hawkins, *Pop Score*, 13.

a historically-aware artist? Am I a scholar first and foremost? Am I a free spirit? Am I a provoker? Am I afraid of criticism?

Self-expression and identity are two separate things. The first takes the position of the object's acts while the latter takes the position of how those acts, in sum, are perceived. We can then speak of identity as an effect of self-expression rather than a genuine substance; this effect is constituted upon an interplay between symbols and fantasy: 'a most effective way of comprehending identity is by disconnecting it from an "essence" and perceiving it as a dramatic effect rather than an authentic core. [...] Music can profile identities through us mapping the symbolic with the imaginative.[41] If tone production then is a dramatic effect, we further realise that the implication of this statement goes far beyond the simple change of tone quality when playing for aesthetic variety, to include perspectives where we also elaborate our identities through our tone production. So, by identifying with the identity of a person or group, one can reach intensified aesthetic experiences of music. The compound of that aesthetic experience can create rapport on different levels — 'gender', 'race', 'sexuality', or 'community', for instance — that can function as communication, establishing a connection between individuals; one can say that this phenomenon establishes a pathway for performative self-expression. The persons' joint understanding of an identity construct within a certain socio-cultural setting makes self-expression performative in that both sides of an aesthetic, interpersonal connection can understand it.

Self-expressive acts and interpreted material

So far, I have separated self-expressive acts and identity from the historical discourse, focusing more on the present than the past. In dealing with the past, however, we are constantly met with the dilemma of interpretation. If we are to build our identity, our concept of tone production, social positioning and understanding of our self-expressive acts properly in *relation to historical evidence*, we are always in the position of guessing. The results unveiled in Chapter 2 give us hints on what tone production

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41   Hawkins, *Pop Score*, 14

could be, but we cannot know for sure how that actually sounded, or even if what was written corresponds to actual practice. We cannot know definitively that we, today, understand the sources properly; we can only rely on our interpretations of the sources. It is through these interpretations that we position ourselves in today's 'Early Modern' musical practice. Charles Taylor writes:

> [i]nterpretation, in the sense relevant to hermeneutics, is an attempt to make clear, to make sense of an object of study. This object must, therefore, be a text, or a text-analogue, which in some way is confused, incomplete, cloudy, seemingly contradictory — in one way or another, unclear. The interpretation aims to bring to light an underlying coherence or sense.[42]

Taylor's statement can at first seem somewhat straightforward, but there are numerous problems to be found, making the relation between text and interpreter far more complex. Taylor writes that:

> [a] successful interpretation is one which makes clear the meaning originally present in a confused, fragmentary, cloudy form. But how does one know that this interpretation is correct? Presumably because it makes sense of the original text: what is strange, mystifying, puzzling, contradictory is no longer so, is accounted for.[43]

The question is, then, to whom does it make sense? My standpoint is that we cannot *prove* anything of the past, but we can discover and unveil material, and from that material we can theorise, formulate and suggest. But the question is perhaps not only what the signifiers signify, but rather what the signifiers afford — what do I extract from them as a scholar? Take, for instance, the classic case of Wittgenstein's rabbit-duck illustration; if we only see it as a rabbit, our discourse would go into quite another direction than it would if we saw it as a duck. So, the greatest importance is perhaps not what a signifier can signify, but what it affords and how we articulate that affordance. The world opened up by the text —

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42   Taylor, C., 'Interpretation and the Sciences of Man,' in G. Delanty and P. Strydom (Eds.), *Philosophies of Social Science: The Classic and Contemporary Readings*. (UK: McGraw-Hill, 2003): 182–186, 182.

43   Taylor, *Interpretations*, 183–184.

what Gadamer calls the 'matter of the text'[44] — presents us with more, deeper-level problems than what Taylor's above-mentioned hermeneutics addresses. While testing Gadamer's hermeneutics, Ricoeur writes: 'Would it not be appropriate to shift the initial locus of the hermeneutical question, to reformulate the question in such a way that a certain dialectic between the experience of belonging and alienating distanciation becomes the mainspring, the key to the inner life, of hermeneutics.[45] In this quote, Ricoeur places the interpreter within a dialectic relationship between text and self, between inside and outside, rather than being overly occupied with epistemological foundations. The interpreted text then presents itself as the nexus of its syntactic construction, its intended signification and how it is perceived and articulated by the interpreter. Clearly, we cannot detach ourselves from the interpretation, and the matter of proper understanding of Early Modern tone production on lute instruments becomes somewhat obsolete. What we should ask, then, is rather *whose* understanding of tone production we are approaching, in what context that tone production came to be, the function of that said approach to tone production, and what that tone production says about the person performing it.

Notice how Taylor touches upon an important aspect of hermeneutics: 'Even if there is an important sense in which a meaning re-expressed in a new medium cannot be declared identical, this by no means entails that we can give no sense to the project of expressing a meaning in a new way.[46] Re-expressed meaning is, then, according to Taylor's statement, something other than the meaning inherent in the original text. Thus, there is a gap between the meaning expressed in the original text and the new expression presented by the person interpreting the original. Ricoeur touches upon the issue:

> For if the primary concern of hermeneutics is not to discover an intention hidden behind the text but to unfold a world in front of it, then authentic self-understanding is something which, as Heidegger and Gadamer wish to say, can be

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44 Ricoeur, P., 'Towards a Critical Hermeneutic: Hermeneutics and the Critique of Ideology,' in G. Delanty and P. Strydom (Eds.), *Philosophies of Social Science: The Classical and Contemporary Readings* (UK: McGraw-Hill, 2003): 172–181, 175.

45 Ricoeur, *Hermeneutic*, 173.

46 Taylor, *Interpretations*, 183.

instructed by the 'matter of the text'. […] To understand is not to project oneself into the text but to expose oneself to it; it is to receive a self enlarged by the appropriation of the proposed worlds which interpretation unfolds.[47]

If we either expose or project ourselves onto the text, we are also presented with an intricate hermeneutical problem within the written text itself. Take, for instance, a seventeenth-century description of a performance practice. First of all, it is the subjective account of another; we cannot know if this account would be representable if we ourselves were there to see the same event being described. The writer becomes the interpreter of that event. Second, we interpret that interpretation. Third, meaning can be lost between languages. From the seventeenth-century French language to modern French and from there to English, for instance. In my case, I am neither a native English speaker, nor French, German, Spanish nor Italian. Fourth, as I previously mentioned affordance, we quickly see how a single signifier affords differently among people living in the same period, but also across the centuries. Furthermore, this present book will again be read and interpreted by someone else. What we see here presents a huge problem (see Fig. 5.2 below).
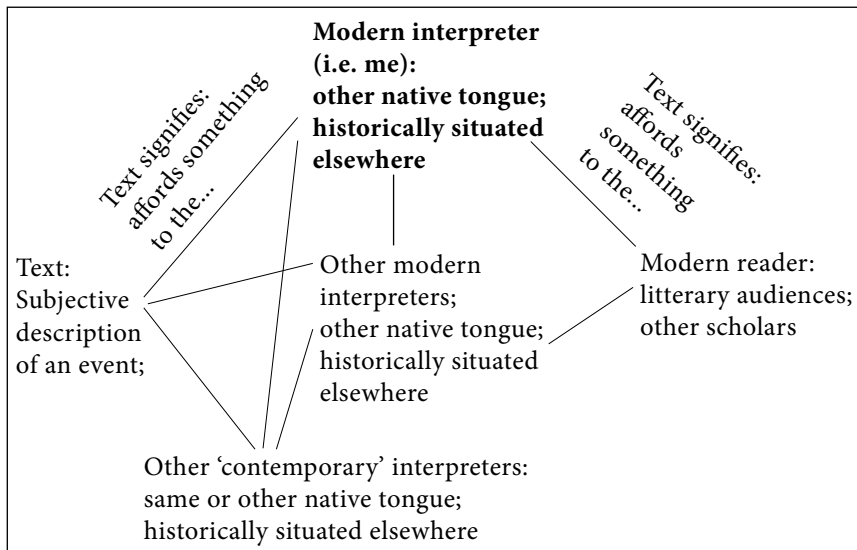

Figure 5.2. Illustration placing myself in the chain of interpretation and mediation.

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47   Ricoeur, *Hermeneutics*, 176.

Ricoeur argues that writing is more than a fixation of discourse; it presents a threefold autonomy 'with respect to the intention of the author; with respect to the cultural situation and all the sociological conditions of the original text; and finally, with respect to the original addressee.' The text as a signifier is something else, has another destiny, than the original intention of the author.[48] Ricoeur's text autonomy, in my case, must by extension be considered in multiple layers: the original text being interpreted, the text written by the interpreter or interpreters, and finally, the 'matter of text' as perceived by the reader.[49] Although it would be easy to paint a melancholic picture of the hermeneutical scholar and their seemingly impossible task,[50] I would rather look at hermeneutics from a positive angle. When several scholars present well-founded interpretations, i.e. present a thoroughly-constructed argument, we can revisit their constructions of interpretation to reassess their findings and, over time, strengthen the probability of the hermeneutic body of scholarship. Following such a line of argument, it is clear that a successful interpretation of a cultural phenomenon such as tone production must be interdisciplinary.

To draw this chapter to a close, self-expressing places tone production into a context emphasising the personality inherent in tone construction where we can produce an idiolectic sound quality, one that people recognise as 'our sound'. Our bodies function in a way that what we do also receives a physical reaction, not only within ourselves through embodiment, but also in others through empathic cognitive systems (among others). Tone production as a self-expressive act is not something that is directly related to historical practices alone, but historical practices can be used to situate oneself within the social context the performer wishes to be judged; they can be used to position oneself within a socio-political

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48   Ricoeur, *Hermeneutics*, 174.

49   'In short, the work decontextualises itself, from the sociological as well as the psychological point of view, and is able to recontextualise itself differently in the act of reading. It follows that the mediation of the text cannot be treated as an extension of the dialogical situation'; see Ricoeur, *Hermeneutics*, 174.

50   See, for instance, Wegman, R.C., 'Historical Musicology: Is it Still Possible?' in M. Clayton, T. Herbert and R. Middleton (Eds.), *The Cultural Study of Music: A Critical Introduction*, 2nd ed. (USA: Routledge, 2012): 40–48.

construct. They function within a synergetic relation between conventions of self-expressive acts, attitude formation and embodiment.

Tone production as a self-expressive act can then enable us to address a certain social, historical or academic practice by the mere action of producing a tone on an instrument, providing the audience with signals for them to perceive (or not) where we unveil our aesthetics, identity and training. Tone production is not necessarily a product of any sort of historical enquiry, or deliberate relation to other colleagues' practices, but rather a matter between me and the external public self-consciousness and public self-awareness. We compare our tone concept to others to know what we want, or do not want, to achieve and what we do or do not like; we look back on past documentation to feel proud of where we have come; and we use comparisons to feel more secure, or insecure, about the choices we make as performers. Tone production can also function as a dramatic effect to consciously or unconsciously elaborate our identities. As a self-expressive act, it is performative in that both sides of an aesthetic, interpersonal connection can understand it. When judging someone's tone production, we must ask: whose understanding of tone production it is; in what context that tone production has come to be; the function of that said approach to tone production; and what that tone production says about the one performing it. Traditionally, it would be possible to say that this book could very well have begun and ended with Chapter 2, possibly also Chapter 3. But we have also seen the importance of getting our feet properly grounded by asking how things function physically as a chain of reactions. Lastly, what this chapter has shown is that a concept of Early Modern tone production for lutenists is not only about historical practice and evidence, or who has the strongest authority within music performance. It has rather to do with who we are; who we want to be; who we wish to be acknowledged by; what social formations we wish to be accepted in; and so on. Tone production is as much about historically-informed practices and respect for the past as it is about self-expressive acts, attitudes, social relations and embodiment. This latter understanding of the topic becomes even more intriguing when we look at tone production on a technological level, where bodily, physical and social interaction are superseded by recording mediums.