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Editorial Postscript

We hope you have enjoyed *JMM*11!

Since its inception in 2003, we have always striven to make *JMM* a publication that is in tune with the times and technology. This has mandated – and continues to mandate – the implementation of changes that we believe will serve to maintain and improve the way in which the journal provides a forum for dissemination of cross-disciplinary research on music and meaning.

So, here are some of the new publication policies and procedures you can expect to see as we move ahead.

Editorial now an *Editorial Postscript*

As has been evident, as of *JMM*10 we initiated the publication policy of rolling submissions and publication, so that we can better utilize the freedom provided by internet-based publishing to make articles available as soon as they have been through our exacting process of double (two peer-reviewers) double-blind peer-review.

This new policy of rolling submissions results in some other modifications as well. For example, an editorial *introducing* the articles is now somewhat obsolete, since we are publishing the content of our journal on a running basis. The PDF file containing an entire completed issue will in the future end with the short biographies of the authors that we otherwise bring in the blog posts related to the published articles.

Recent Publications section replaced by forum notifications

We have also chosen – until further notice – to replace the list of Recent Publications with *reader-initiated notifications on http://forum.musicandmeaning.net*. This decision has been prompted by two chief considerations: Firstly, we have wondered for some time how best to offer incitements to our readership to participate more interactively with *JMM*. At the inception of *JMM* in 2003, such interactivity was perhaps still somewhat exotic to many of our readers, but given the explosive rise of social media during the intervening 10 year, this is certainly no longer the case. **We therefore heartily suggest that readers of *JMM* enlist in *JMM*'s forum at http://forum.musicandmeaning.net and use this platform to suggest or announce new publications related to the topic of music and meaning.** Secondly, we believe that – along with being a relevant adaptation consonant with the development of collective interactive internet behavior – this policy change is a more efficient use of editorial resources: it has been a time-consuming job for one person to carry out alone, and this has been done with bravura by our long time Recent Publications and Book Review Editor, Jens Hjortkjær. Jens will, at least for the time being, be withdrawing from *JMM*'s Editorial Staff due to time constraints imposed by his new main occupation as a postdoctoral researcher at the Oticon Centre of Excellence for Hearing and Speech Sciences in Copenhagen. We wish Jens the best of luck and thank him for the many, many hours he has put into the journal since its inception in 2003!

. . and changes in our procedures regarding Book Reviews

As of *JMM*12, we will, as a default, treat *all* submitted material we get as submissions for peer-review – including Book Reviews. Along with providing additional quality insurance, this decision has two distinct practical advantages. The work regarding book reviews can now be subsumed under that done by the rest of the Editorial Staff and subject to the same procedures, and – more importantly for our book reviewers – a book review published in *JMM* will be a double-blind peer reviewed publication. Since we will be subjecting book reviews through peer-review, we will from now on require that book reviews not simply provide 'reviews' in the sense of assessments of quality, *but that they also contribute substantive commentary on the subject matter covered by the book.*

We will, however, maintain the right to reject submissions already at the Editorial Staff level, if we think that they fall outside the scope of the journal, or if we can immediately see problems with a text that needs to be fixed before possible publication. It is, for example, crucial that all submissions utilize language at the level employed by native speakers writing cultivated academic prose.

Last, but not least, the issue of issue-labelling

Readers of JMM have witnessed our various attempts to figure out the optimal way to provide issue-labelling for the journal throughout the previous ten years. We believe that we now have found the stable solution: from *JMM*13 and onwards only have one issue per year, but allow the issue to grow larger than usual, such that one issue covers roughly the amount of pages that two issues have done up until and including the upcoming *JMM*12. We do this because it is

more consonant with our policy of rolling submission and rolling publication. In general, we observed during the years that we as a default produced two issues a year that it was difficult to predict the time intervals that were required for the peer-review process to complete; the ever-increasing workload experienced by academics world-wide is also a factor for our very competent and conscientious corps of peer-reviewers. The production of one labelled issue per year provides a better way to accommodate the clustering of ready-to-publish material at various times during a 12-month period.

Before concluding – and while we are on the subject of peer-review – we are proud to point out to our readers and potential contributors that JMM maintains a very high standard for accepting material. We have recently concluded – on the basis of the incoming submissions for *JMM*11 – that our acceptance rate has reached the exacting level of 16%.

Enjoy reading *JMM*11! As we go forward with continuing development, our

Best regards,

On behalf of the Editorial Staff,

Cynthia M. Grund, Editor-in-Chief
Søren R. Frimodt-Møller, Managing Editor

Somewhere a Place for Us:
How Intratextual Music-Association Conveys Characteral Identity in
***The Time of Our Singing* by Richard Powers.**

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Abstract

This study will focus on how literary music-character pairing can effectively and uniquely convey characteral identity in a manner unattainable through words alone. It will explore what it is about music's semantically abstract language that specifically allows for such revelation, through a focused study of the character of Jonah Strom and his association with John Dowland's song *Time Stands Still* in Richard Powers' novel *The Time of Our Singing*.

1. Introduction

It is not uncommon to find fictional characters with strong ties to music, often linked with a specific piece in particular. For example, in Forster's *A Room with a View*, the character of Lucy is clearly linked with Beethoven's piano sonata Op. 111. In regards to this musico-literary link, Michelle Fillion goes so far as to argue that, "Without her music Lucy is a 'flat' character, a conventional and rather 'commonplace' ingénue. It is no wonder that critics who discount the novel's musical content also tend to dismiss her as 'a two-dimensional heroine.'"(2001: 268) As Fillion highlights, the linking of a character with a particular piece of music does, no doubt, affect their process of characterization. In this study, we will be taking this idea one step further, examining the role of musical association in fiction as characterization and individualization. Our focus will be on Richard Powers' novel, *The Time of Our Singing*, in which John Dowland's song *Time Stands Still* provides the character of Jonah Strom with a bridge to, and a language for, his own otherwise abstruse self.

2. Words vs. Music, The Distinction and the Dialogue

From the Symbolist poets striving towards the idea of music as "a higher art form, floating free of worldly encumbrances and capable of expressing the ineffable" (Frolova-Walker 2002:507), to the Nineteenth-Century Program-Music rabble-rousers fervently debating Stravinsky's claim that "Music is powerless to represent anything at all" (Locke 1986: 681), the discussion surrounding the ineffability of music, that is to say its uniquely semantically abstract language, is hardly a new one. But what exactly is meant by "floating free of worldly encumbrances?" (Frolova-Walker 2002:507) I would define this further as instrumental music's freedom from the strict bounds of concrete meaning. This is not to say that instrumental music contains no semantic system whatsoever, (few would argue that, for example, that the distinction of major vs. minor holds no meaning) but that music's system of communication, its language, is a nonconcrete one, more intuition and abstraction than fixed meaning. Again, this is not to imply, that "Music is powerless to represent anything at all" (Locke 1986: 681), but that the *way* in which it represents is indirect and abstract. Consider, for example, the rousing chorale section of Beethoven's ninth symphony. It is, perhaps, allowable for me to refer to this music as "rousing," a fairly abstract, emotive, description; however, I could not objectively state what is 'meant' by the music (eg. it 'means' God is great. Or it is nine o'clock. Or the house is on fire) any more than I could any other piece of

instrumental music. On the other hand, when I write 'the house is on fire,' although I may use all kinds of literary artifice, at its core the message is clear: the house is on fire. This type of concrete meaning simply does not exist within instrumental music. The exception, of course, is program music; however, even in these instances, it is the program itself, the words on the paper picked up in the lobby, that direct listeners to concrete meaning in the music, not the music itself, alone.

This "floating free" is what allows music to function uniquely as a literary tool in the form of intratextual musical reference, encased within and called into being by a body of text. Text is very much at the opposite end of the semantic spectrum to music, for, although there is certainly scope for authors and poets to stretch and play within their media, words are much more strictly representational, a semantic system based on concrete definition and meaning. Intratextual music, therefore, is all the more striking and affective a literary tool in its semantic contrast to the text from which it springs[1]. There are myriad functions for such a tool, as explored by scholars across the musico-literary field; however, this study will focus on how such a thing, the ineffable encased in the concrete, can be specifically put to use in the defining of characeral identity; the music-within-text allowing us a more distinct idea of the character-within-storyworld.

2.1 And The Rest?: Considering Other Non-Fiction Artworks in Fiction

Further to the discussion above, the question arises: What of other non-fiction artworks within fictional settings? For example, what of mentions of 'real-world' architecture, paintings, or dance within fictional storyworlds? I believe there is certainly scope for each novelistic intermediality to function as a distinctive and effective character-building tool; however, music, lacking as it does the visual representational tools of architecture, dance, fine art or theatre, or, in its pure form (that is to say without lyrics[2]) the textual tools of literature, is unique in its methods of communication and, therefore, reception. In this way it is a uniquely functioning intermedial character-building tool. We will consequently leave the examination of intratextual occurrences of other art-forms to other studies and continue with our focus solely on music.[3]

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[1] For a more in-depth discussion of this phenomenon, see my earlier article, *Hear Me: How Intratextual Musical Association Develops Literary Characters*, (Hooper 2012).

[2] We will discuss the potential significance of lyrics in later sections.

[3] For a discussion of visual art and the novel, see Marianna Torgovnick's *The Visual Arts, Pictorialism, and the Novel: James, Lawrence and Woolf*, or Viola Hopkins Winner's *Henry James and the Visual Arts*, or Sophia

3. A Brief Review of Character-Music Pairings in Novels: 'Real' Music

I will here present a brief overview of some of the various forms this type of characterization,
that of novelistic character developed and defined by intratexual musical references, can take,
with examples from the music-novel canon, and brief discussions as to how these variations
can manifest in terms of musico-literary characterization. Firstly, we will consider the type of
musical content presented. In novels, a character-music association can be made with either
real music or fictional music. By "real" music I refer to pieces that exist in the real world, the
reader's universe, our own, non-fiction reality.[4] Take, for example, the earlier-cited E. M.
Forster's *A Room With a View*, in which Lucy Honeychurch is quite strongly linked with
Beethoven's piano sonata Opus 111:

> Among the promised items was "Miss Honeychurch. Piano. Beethoven," and Mr.
> Beebe was wondering whether it would be Adelaida, or the march of The Ruins of
> Athens, when his composure was disturbed by the opening bars of Opus III. (1908:
> 29)

> Mr. Beebe, indeed, noticing her startled eyes at dinner-time, had again passed to
> himself the remark of "Too much Beethoven." (1908: 43)

The Beethoven Forster refers to is, of course, a real world piece of which readers could have
experience outside the novel. Readers familiar with the piece could, therefore, aurally recall,
or, in fact, go and put on a recording of, an actual pre-existing and *complete* piece of music
while reading the novel and considering Lucy's association with it. This "immigration"
(Ronen) of a real world piece into a fictional character's world is far from an uncommon type
of intertextuality (or intermediality), and is often used to great effect in the interests of
characterization. Another, more recent example of this type of reference is the linking of
Nancy Huston's protagonist Liliane Kulainn with Bach's Goldberg Variations in Huston's

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Andres' *The Pre-Raphaelite Art of the Victorian Novel: Narrative Challenges to Visual Gendered Boundaries*,
for dance and the novel, see Sarah Davies Cordova's *Paris Dances: Textual Choreographies in the Nineteeth-
Century French Novel*, and for architecture and literature see: *Writing the Modern City, Literature, Architecture,
Modernity* edited by Sarah Edwards and Jonathan Charley, or "The Grandeur of the Abbey: Exploring Gothic
Architecture in Novels by Helen Maria Williams, Ann Radcliffe, and Jane Austen" by Natasha Duquette.
[4] This definition assumes an "ideal reader" who is able to recognize and identify the musical works being
referenced. We will explore some of the issues hereby raised at the end of this section. (For a more detailed look
at the 'immigration' of real-world items into fiction settings, see Ruth Ronen's *Completing the Incompleteness of
Fictional Entities* (1988))

novel of the same name,[5] or, the novel I shall be looking at more closely later in this study: *The Time of Our Singing* by Richard Powers (in which the character Jonah is linked with Dowland's "Time Stands Still").

3.1 Intratextual Character Association: Fictional Music

Now let us consider the alternate side of this particular musico-literary coin: novels that pair a character with a fictional or non-real world piece of music, that is to say, with a piece that is a fabricated inhabitant of its own story-world. One of the most well-known examples of this would be the Vinteuil violin sonata, linked with the character Swann (and also with the character of Marcel, though here we'll just consider the single, former, character pairing) in Proust's *A La Recherche du Temps Perdu*:[6]

> But now, at last, he could ask the name of his fair unknown (and was told that it was the andante movement of Vinteuil's sonata for the piano and violin), he held it safe, could have it again to himself, at home, as often as he would, could study its language and acquire its secret. (1922: 164)

This type of association functions differently to the real-world music association, in that the piece, like the fictional character it is associated with, can never be fully known, or *heard*. Like the character, it can have traits:

> The waving tremolo of the violin-part, which formed a bristling bodyguard of sound two octaves above it—and as in a mountainous country, against the seeming immobility of a vertically falling torrent, one may distinguish, two hundred feet below, the tiny form of a woman walking in the valley—the little phrase had just appeared, distant but graceful, protected by the long, gradual unfurling of its transparent, incessant and sonorous curtain. (1922: 310)

However, no matter how thorough the author's descriptions, in the absence of an original aural referent (or score), the piece can never be aurally complete for readers, can never be fully "heard".[7] It is tied to the words that describe it, and, as such, cannot function as

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[5] An examination of Huston and Bach can be found in Frédérique Arroyas' <u>Word and Music Studies</u> essay "Literary Mediations of Baroque Music: Biber, Bach, and Nancy Huston" (2008).

[6] Although some scholars have speculated on the idea that the Sonata may have been based on a piece by Fauré or Franck, there is nothing like an agreed consensus on the matter, and we will be considering it as a purely fictional piece.

[7] This raises the issue of musical novels wherein authors have included scores to new works in the body of their fiction, for example, in Samuel Richardson's *Clarissa* (for a discussion of the use of the musical score in this

effectively within the non-textual, non-representational language of music. Nevertheless, such a link can still be used to characteral effect; however, the lack of a real-world aural referent lends a less intermedial form of characterization, confined as it is within one language. One may argue that the piece of music can be imagined by readers, thanks to the textual descriptors, and therefore function within its own, musical, language; however, this is only possible to the same extent that readers may imagine the characters they're building in reading the text: despite imaginings, the core of each is still fully rooted in the same, textual, language. This is not to be considered as an out-and-out unconstructive thing, and this type of character-piece pairing is not to be held as unconditionally weaker than real-world music examples; it is simply another form or style altogether, with its own purpose and place. For example, in the case of Proust, the lack of concrete referent works very well towards the novel's shifting-nature-of-memory aesthetic.[8]

3.2 Intratextual Character Association: Individual Pieces of Music

Another way to categorize musico-literary characters in novels is to consider whether the character in question is paired with one piece of music specifically. All of the examples we have considered thus far sit within this category, as does another Forster specimen, Helen, from *Howard's End*. Like Lucy, Helen's musical association is Beethoven, specifically, his Fifth Symphony, the unnamed referent in the following quotations:

> Now, this very symphony that we've just been having – she won't let it alone. She labels it with meanings from start to finish; turns it into literature. (1910: 38)

> Helen pushed her way out during the applause. She desired to be alone. The music had summed up to her all that had happened or could happen in her career. She read it as a tangible statement, which could never be superseded. The notes meant this and that to her, and they could have no other meaning and life could have no other meaning. (1910: 28)

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work, see Janine Barchas' "The Engraved Score in Clarissa: An Intersection of Music, Narrative, and Graphic Design" (1996)). The question here is: does this count as real or non-real music? This is a question deserving of a more thorough handling than I'll have time to offer here; however, briefly, I would argue that this work, realized as it is within the *musical* language and therefore able to be completely played and heard, would be categorizable as a piece of *real* (or real world) music.

[8] Peter Dayan has done some remarkable work on this element of Proust's writing, including his Word and Music Studies essay, "On the Meaning of 'Musical' in Proust" (2002). For another, more contemporary, example of this type of pairing, a novelistic character paired with fictional music, see Ian McEwan's composer Linley, from his novel *Amsterdam*, (1999) a character linked with his own, fictional symphony (and the theme from which it grows).

The novel is careful to specify that it is this one piece, the Fifth Symphony, with which Helen is linked, as opposed to a wider pairing with all Beethoven symphonies, or symphonic music in general. This type of association is well suited to novelistic characterization, as one piece of music for one character is a good balance, and is a digestible amount of non-textual referent for readers to easily evoke and utilize.

3.3 Intratextual Character Association: More General Musical Categories

Nevertheless, effective musical associations aren't always specific individual pieces. Other forms include characters linked with specific composers, or styles, or, as with Jude from Thomas Hardy's *Jude the Obscure,* with a specific instrument. In Jude's case, it is church bells:

> Suddenly there came along the wind something towards him…Surely it was the sound of bells, the voice of the city, faint and musical, calling to him, 'We are happy here!' (1985: 63)

> Bells began to ring, and the notes came into the room through the open window, and traveled round Jude's head in a hum. (1985: 484)

Here, there is no one specific piece, or even composer from whom the musical link stems, just the instrument. This type of link is more open-ended and fluid than that which pairs a character with a specific piece, as, instead of evoking one encapsulated musical entity, it evokes in readers a more general intermedial idea or feel, in this case, that of the non-specific (and therefore, more subjective and wide-ranging) sound of church bells. Although more loose, in this way, than specific piece associations, the aural, intermedial connotations for this type of musico-literary character link can still function as an effective characterizing tool. I place into this same 'general feel' category characters linked with a composer (but no specific work), for example Schubert; or one genre, for example, Viennese waltzes. An example of this former type of association, dealing with a specific musical form, is Ameen Merchant's recent novel, *The Silent Raga* (2007), in which the protagonist, Janaki, is linked with the musical form of the Raga.

3.4 Intratextual Character Association: Musician-Characters

We have considered a (limited) variety of character-music pairing types with a focus on the differences between types of musical element. We can also, however, distinguish differences

between the types of character we are looking at, considering the relationship that character has with music. Very often a character linked with music in a novel is a musician themselves.[9] Many of the examples we've considered fall into this category, including *A Room with a View* and *The Silent Raga*. Another example would be Rosamond from George Eliot's *Middlemarch*, a pianist, as described here:

> Rosamond played admirably…It was almost startling, heard for the first time. A hidden soul seemed to be flowing forth from Rosamond's fingers. (1967: 152)

Characters, such as Rosamond, who are musicians can have some of the strongest and most effective musical links in terms of characterization, as the novel can use them themselves as the vessels through which music is delivered to the reader.[10] These characters frequently draw on their music as a privileged method of communicating with those around them (in the novel); similarly, this music can be interpreted as a privileged method of communicating character to the reader, coming, as it does, directly from them.

3.5 Intratextual Character Association: Composer-Characters

A related, but not identical, musico-literary character type is that of the composer. One of the more well-known examples of this type would be Thomas Mann's Leverkühn from *Doctor Faustus*, as described here by the work's unassuming narrator:

> I offer few words about myself and my circumstances in preface to this account of the life of the late Adrian Leverkühn, to this first and certainly very provisional biography of a musical genius. (1976:1)

Characterization of this type can function similarly to that of our musicians; however, although akin, it differs from the musician-character in that the latter is commonly regarded as interpreter, while the former, the composers, are more generally considered as creators, therefore inhabiting a different sort of relationship with the art form.[11] They are not the

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[9] This type could again be broken down into sorts of musician: professional, amateur, and so on. However, we will, for the sake of brevity and simplicity, not follow all the various minor potential forks in these typological roads, leaving them to other, more specific studies.

[10] For an interesting, if far from comprehensive, list of musician-characters in novels, see Michael Meckna's article "Musicians in Novels: Good Reading for Teachers and Students" (2009).

[11] I am speaking here in broad terms. There are, of course, instances when the reverse is true, or varying degrees of either.

translators or vessels, imparting the music, they are, within the context of the novel at least, its originator. This is both helpful and problematic to our character-building cause. Firstly, this can be constructive in that such a character's link with their music is rather undeniable, and readers need not ponder over whether or not the novel's music speaks of the character, as the novel's music comes so directly from them, one step less removed, even, than with the musician characters. However, as we are dealing with fictional characters, (with no real-world referents, as discussed in earlier sections) the music being composed in these novels, by these composers, will almost unavoidably be fictional as well, leaving us in the more inscrutable category of non-real-world (or fictional) musical associations, as described above. This can give rise to complicating circumstances, such as we find in James Hamilton-Paterson's *Gerontius* (1990), in which an actual composer (in this case Edward Elgar) is placed in a fictional context, and therefore has his character somewhat "fictionalized" as well. In this case the music *is* actual or real-world; however, I contend that this type of character does not apply to this study, as, despite the fictional context, there is still a real-world referent for him, and he is not, therefore, purely fictional.[12]

3.6 Intratextual Character Association: Layperson-Characters

Thirdly, within the sub-category of character-types, we have instances of musically linked characters who are neither performers nor composers, those who neither interpret nor create, but who are, instead, on the receiving end, the listeners. In this category we find (along with some others we have already considered) Alex from Anthony Burgess' *A Clockwork Orange* (2000), a character who, although not linked to music through profession or even idle performance, is still very much defined by his association with Beethoven, specifically his Ninth Symphony, as referred to in the two following excerpts:

> I thought here at least was time to itty off to the disc-bootick (and cutter too, my pockets being full of pretty polly) to see about this long-promised and long-ordered stereo Beethoven Number Nine (the Choral Symphony, that is), recorded on Masterstroke by the Esh Sham Sinfonia under L. Muhaiwir. So out I went, brothers. (2000: 42)

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[12] For other examples of novelistic character-composers, see Linley, from Ian McEwan's *Amsterdam* (1999) or, alternatively, Lewis Dod, from Margaret Kennedy's, *The Constant Nymph* (1925).
He had entertained in his early youth an ardent desire to compose music. He could imagine no keener joy. (13)

> When it came to the Scherzo I could viddy myself very clear running and running on like very light and mysterious nogas, carving the whole litso of the creeching world with my cut-throat britva. (179)

Although they are neither creator nor (formally at least) interpreter, the musical link with this sort of character should not be diminished or underestimated, as it can, depending on context, often be just as strong and effective a link as with the two previous categories. As their relationship with music is not as straightforward as with composers or musicians, these characters' musical links are often deeply rooted in significantly personal ways, often psychological, and frequently representative of some significant interior issue. Burgess' Alex is a prime example of this, as, for him, the Beethoven is the link to an intense, primal self. For this type of character, music's ineffable language is often a way for an otherwise silenced element of their personality to be able to "speak." [13]

3.7 Intratextual Character Association: Musical Structures

Finally, there is the musico-literary novel wherein the form or structure of the novel itself strives to be musical in one way or another, implicating the characters as an element of this structure.[14] One example of this, where the author has chosen to mimic the form of a specific piece, is *Napoleon Symphony*, again by Burgess, in which the form of Beethoven's Third, "Eroica," Symphony is mirrored.[15] Burgess outlines this ambition in a poetic epilogue:

> …[E]ver since I chose
> The novelist's métier one mad idea
> Has haunted me, and I fulfill it here
> Or try to – it is this: somehow to give
> Symphonic shape to verbal narrative,
> Impose on life, though nerves scream and resist
> The abstract patterns of the symphonist (348)

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[13] Another example is that of Philip Wakem from George Eliot's *The Mill on the Floss*, whose critique of Hadyn's *Creation* as, "a sort of sugared complacency and flattering make-believe" (474) demonstrates his role as what Rupert Christiansen describes as "The novel's first musical intellectual" (2).

[14] Very much a current "hot-topic," this type of musical-structuring within novel-length prose is explored by Alan Shockley in his 2009 book, *Music in the Words: Musical Form and Counterpoint in the Twentieth-Century Novel.*

[15] It's interesting to note the undeniable prevalence of Beethoven in the musico-literary canon. For an introductory investigation of this phenomenon, see William S. Newman's "The Beethoven Mystique in Romantic Art, Literature, and Music."

A less specifically focused example is Aldous Huxley's novel *Point Counter Point*, which does not strive to replicate or represent the structure of any one particular musical work but instead, as suggested by the title, to replicate through text the musical concept of counterpoint, in which his characters play the part of the voices in what is referred to as "the human fugue," (32) as described here:[16]

> The parts live their separate lives; they touch, their paths cross, they combine for a moment to create a seemingly final and perfected harmony, only to break apart again. Each is always alone and separate and individual. (32)

This type of musical referencing is distinct from the others discussed thus far, as it does not function by linking a specific character with music in one way or another, but, instead, implicates all characters musically, as they themselves make up a part of the overall structure of the novel which is, itself, musical. In this sort of scenario, the music operates less as a specific encapsulated expression for the character than in the other examples we've discussed, instead, alternatively, the characters operate as instruments or instrumental parts to a larger whole. In this way, this kind of literary musicality mirrors the function of the novel itself, as, within a novel each character is a working part of a larger whole. Here, then, the musical structure, superimposed upon the novelistic structure, is like another dimension functioning alongside each element of the novel, including, of course, character and characterization. What's more, this idea of characters as instrumental parts raises the idea of 'voice', as identified in the Huxley example, above, and the questions implicit to this idea such as: to what extent does each character's voice blend into the one "symphonic" (or otherwise harmonic) fusion, and to what extent does each stand apart as a distinct instrument or instrumental part on their own, and what does this represent in terms of characterization?

3.8 Intratextual Character Association: Summary

Although far from comprehensive, I have, in the last few paragraphs, endeavored to relate an idea of the musico-literary novel's field, both in terms of some available forms and in canonical examples, as it can be related to character-music pairings, and what this can mean

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[16] Nevertheless, there are two pieces which feature somewhat prominently in the text: J. S. Bach's B Minor Suite and Beethoven's Fifteenth String Quartet.

in terms of musico-literary characterization as we are identifying it.[17] The remainder of this study will now focus on the exploration of characterization within one particular type of musical association, the music-character pairing dealing with a specific real-world piece, where the character in question is a musician themselves, as presented in the character of Jonah as paired with Dowland's *Time Stands Still* in Richard Powers' novel *The Time of our Singing*.

4. *The Time of Our Singing*: Specifications

Our study will focus on Powers' relatively contemporary work (2003), as it thusly represents the cleanest bridge to readers in terms of contemporary cultural understanding (setting aside, for the time being, the more narrow potential complications of geographics and demographics). The piece of music (Dowland's *Time Stands Still*) featured within it, however, is anything but contemporary, dating back to 1603. This occurrence of a modern novel featuring ancient music is by no means rare, and this seeming disconnect between the intermedial-pairing in fact serves an important musico-literary purpose.

While there are certainly a number of examples of music novels whose focus is on less canonical, more recent works (G. Smyth's *Music in Contemporary British Fiction, Listening to the Novel* neatly outlines several of these, with small chapters devoted to a number of such forms, for example Pop or Dance music), there is a definite literary tendency towards the use of established, canonical pieces.[18] One potential explanation for the tendency towards older, more established musical works within newer novels is the idea of the "ideal" reader. In short, the more established a piece is, the more likely readers are to be familiar with it, and therefore to be able to "read" these intermedial references within the texts. This concept of "ideal reader" calls to mind Chatman's exploration of the "implied reader," which he describes as: the "implied readership necessary to the elementary comprehension of the narrative." (150) [19] However, unlike Chatman, our definition here (of *ideal* as opposed to *implied*) does not go so far as to concern itself with the reader's *Weltanschauung*, instead, only concerning itself with the extent to which a reader is familiar with a particular musical piece. For the purposes of

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[17] For a more comprehensive list of musico-literary novels, see Kellie Brown's *An Annotated Bibliography and Reference List of Musical Fiction,* or the more-than 900 entries listed in John R. Gibb's *A Bibliography of Musical Fiction*.

[18] For a discussion of this phenomenon, one can refer to the "Performing the Canon: *An Equal Music*" chapter of Benson's *Literary Music*.

[19] See Chatman's diagram and explanation p. 147-151, and Rimmon-Kenan's discussion of it, p. 86-89.

this study we will assume this ideal reader. As previously stated, in order for textual musical references to function fully, we require a reader who is familiar with the musical works in question and is therefore able to "read" the intermedial references.[20] To further clarify, by this I mean a reader who, upon reading a reference to a piece, for example, *The Lark Ascending* by Vaughan Williams, is able, aurally (internally), to recall the musical work in question. To quote the founding mother of intertextuality, Julia Kristeva, what we are looking at is the reader's ability to allow "the passage from one sign system to another." (1984, 59)[21]

It would be easy to now become ensnared within a web of details: to what extent should they be able to recall the work? Note by note? Or just an overall idea? And what, exactly, should they be recalling, a specific recorded edition or some live performance or a sight-read score? What if the reader is familiar with Dowland in general but not this piece specifically? One could easily become entangled in the minutiae of the "ideal reader" issue, and while it wouldn't be without interest or merit to explore each of these avenues, for the current study we will go only as far as to specify that the reader has at least *some degree* of knowledge of the piece, enough to aurally recall at least an overall idea of some version of the said piece itself (that is to say, not just an idea of Dowland's style, for example). This is, basically, so as to ensure that we are truly dealing with the idea of a character linked with a real-world piece. If the reader has no real-world knowledge of the piece outside of the novel, then we are essentially dealing with the piece as though it were fictional, not real-world at all, resulting in a different category of characteral association and the distinct connotations that implies, as I hoped to have begun to make clear in the previous section. So, we will here, as stated above, assume a reader who is familiar with the musical works in question to the point, at least, where they are able to "read" the intermedial references, and from there continue on in our examination of how such references can navigate and relate the tricky terrain of cultural identity in literature.

4.1 *The Time of Our Singing*: Neither Here nor There

The Time of Our Singing is a novel very much built around binary tensions: black-white, father-mother, science-art, now-then, high culture-low culture; and a society's need to define

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[20] For a more thorough discussion of intertextual (or intermedial) reading and readership, see "Eight Readers Reading: The Intertextual Links of Proficient Readers Reading Multiple Passages" by Douglas K. Hartman.
[21] We shall return to a somewhat more thorough investigation of intertextuality, and how it is applicable to this study, within the upcoming discussion of Richard Powers' text.

and rank according to them. Suspended precariously between these poles is the character we will be looking at here, Jonah Strom. Jonah is the son of a black American musician mother and a white European scientist father, and, thusly, cultural binary tensions churn within him from birth (and beyond, through family history). The Strom family slogan, repeated at weddings and funerals, and whispered back and forth during the every-day as a sort of outsiders' comfort, is: "Bird and fish can fall in love…but where will they build their nest?" (2003: 610-11) This saying reflects the seeming impossibility of their ever finding a niche in which to "fit in." Members of the Strom family are therefore perpetual outsiders, as their society (America from the late 1930s to the novel's present day) cannot fit them into any of its categories of binary classification. They fit the definition of no one faction; they are not this *or* that, but instead, both and, within the rules of this society, therefore, nothing, as reflected in this passage:

> "Mama," [Jonah] asked. "You are a Negro, right? And Da's…some kind of Jewish guy. What exactly does that make me, Joey and Root?"
>   My mother stopped singing. I wanted to slug my brother and didn't know why. Mama looked off into whatever place lay beyond sound. Da, too, shifted. They'd been waiting for the question, and every other one that would follow, down the years to come. "You must run your own race," our father pronounced. I felt he was casting us out into coldest space. (2003: 29)

Cast into "coldest space," the idea of this lack of societal definition is a lonely and confusing thing for a character, and leads to a lack of definition not just societally, but individually as well. Here we have a character who does not lack for words, (*The Time of our Singing*, clocking in at a hefty 640 pages, is hardly a book consciously holding back on text) but for whom words, with their strict definitions, are inapplicable. There are no words for who Jonah Strom is, neither from society, or, necessarily trapped as he is within it, himself. However, the Strom family are fluent in another language, that of music. It is arguable, even, that their almost freakish ability and affinity for the art-form grows out of, and is perpetuated by, this need for an alternate method of expression. From their societal and textual place of swirling contradictions, the Stroms seek to find resolute peace, unity and, ultimately, definition through music.

Within the context of the plot, it is music that brings the unlikely pair, Delia Daley (Jonah's mother) and David Strom (his father), together in the first place, meeting as they do

at a free public concert in Washington, a place where barriers are temporarily suspended. And it is music that keeps them together, through which they knit their relationship and family:

> This is how they play, night after night, more regular than sex, and just as warming. One begins; the other harmonizes. Finds some accompaniment, even when she has never heard the tune, when it comes down out of the attic from some musty culture no one would claim to own. The secret's in the intervals, finding a line half free of the melody, yet already inside it. Music from a single note, set loose to run in unfolding meter…Humming in bed: softer than love. (2003: 414)

4.2 *The Time of Our Singing:* Jonah and Dowland: The Specifics of this Song in Relation to this Character

Jonah is therefore born of a unity made in music. W. M. Hagen describes the family unit thusly, in his *World Literature Today* review of the novel: "they sang themselves – and their children – into existence" (2005: 92). Consequently, it is quite evident that Jonah is a character with deep musical connections; however, in *The Time of Our Singing*, Jonah Strom is not just associated with music in general, but specifically linked with one piece, Dowland's song, "Time Stands Still." This connection is made clear from the very opening of the novel:

> In some empty hall, my brother is singing… teasing out Dowland of all things, a bit of ravishing sass for this stunned lieder crowd, who can't grasp the web that slips over them:
> Time stands still with gazing on her face,
> Stand still and gaze for minutes, hours, and years to her give place.
> All other things shall change, but she remains the same,
> Till heavens changed have their course and time hath lost his name. (2005: 3)

The piece goes on to become the character's secret weapon, the song he pulls out as a surprise encore to stupefy audiences, throughout his career. Jonah keeps his relationship with this piece as close and as preciously guarded, (at times even more so) as his other great connection in the novel, that with his brother and accompanist, Joey. In this song, Jonah seems to find, finally, a method of speaking, communicating, that his society will not only listen to, but will also, in music's ineffable, indirect way, understand him by. As Jonah struggles through the novel to find definition, it is revealed that, in fact, this sought-after point of belonging is only achievable for him through the suspension of time and place, of visual and societal identity, through music; specifically through the performance of music, and even more specifically, through the performance of this one song:

> Jonah whispered, "Dowland?" I nodded without registering. Thank God he also chose to announce the choice to the house, so I could hear. And time stood still again, as it did each time my brother said so. (2003: 310)

> With that simple song, he planned to bring stones to life and change lives into mute stones. (2003: 209)

That Jonah is linked with this piece, in particular, is important. "Time Stands Still" is pre-baroque, meaning it would have been written to be performed in a completely unaffected style, without the ornamentation or decorative devices, or even vibrato, of later vocal works (and western art-music in general). This, in combination with the opening of a simple descending scale of three notes, to be sung slowly and deliberately, results in a serene sort of purity of voice; the voice here seems to be laid bare. This is especially effective in contrast to the melismatic and ornamented lieder, arias, and art-songs that surround Jonah in his world of vocal performance; the Dowland comes across as cuttingly pure, and therefore somehow more true: a more true, pure, and authentic language for Jonah's self, both for his story-world audience, as they hear him sing, and for us, the readers, as our real-world knowledge of the piece is triggered and we 'hear' it too.

These musically defining characteristics, the sparse unornamented style, the descending motif, the slow but steady pace, and a restrained range of only a perfect fifth, all amount to the song's overall sense of restraint. Restraint, which Chris Whent describes in his "Here of a Sunday Morning" discussion of the piece as, "far from inhibiting [its] force of expression, is able to sublimate it, raising it to a higher level where it can outlast the heat of the moment." (Whent, 1) Whent goes on to state that, for all this, "Time Stands Still" "is as affecting as anything Dowland wrote." (Whent, 1) This statement is easy enough to read and comprehend; however, in reading it, along with the various descriptions of style and sound preceding, the fact remains that we are, still, reading. Experiencing words about music (functioning, as they do, within the semantic system of text, as previous discussed) is not at all the same as experiencing the sound of that music itself. It is the aural experience of "Time Stands Still" that is "as affecting as anything Dowland wrote," not the phrase itself that tells us it is. Likewise, it is the aural occurrence of the song experienced by readers of *The Time of Our Singing*, not the

textual descriptions of it, that give it its affecting potency in terms of character-development for Jonah.

The semantically tangled world around Jonah stops at the singing of this piece, his Dowland, and grants respite as it shifts the world around him from visually to aurally receptive, so that both the story-world audience and we readers are no longer trying to classify and appraise him by what we see, but instead by what we hear:

The eyes are only mediocre. But the ears are extraordinary. (Powers, 615)

It is within the aural sphere that Powers gives us a character at peace with himself and his surroundings, a character that is at the same time culturally identified and individuated; it is through music, through this music, that Jonah can just be.

4.3 *The Time of Our Singing:* **Considering the Lyrics**

There is one particular element to the Dowland song that must be considered: its lyrics. This is an interesting sort of intersection of intertextualities, a point where three sources, or referents, meet for the reader: the novel itself (text), the lyrics to Dowland's song (text), and the song's aural, musical component (music). Perhaps the best way to grasp this idea is by considering what John Fiske proposes in *Television Culture* as: "horizontal intertextuality," (1989: 110) to be distinguished from "vertical intertextuality," (1989: 118) the former referring to references within one media type (so, text referring to text, what I will call intertextuality) while the latter demarks references that span media (such as a reference to music within a novel, what I have generally been calling intermediality). If we consider *The Time of our Singing*'s Dowland reference as divided into three sources (novel, lyrics, music) as opposed to two, it is clear that the song is functioning intertextually in two "directions" (vertical *and* horizontal), and, as such, in two different fashions, both of which offer important and distinct characterizing tools. The lyrics themselves function within the musico-literary character association in two respects. Firstly, they provide a useful framing tool. Because they are text themselves, they provide a smooth transition between media, they are a simple and effective trigger for the sound of the song, blending easily with the surrounding text. They are a sort of textual camouflage that the music dons in order to creep unobtrusively into the reader's awareness, without having to resort to prosaic descriptions of sound, which are often

clumsy and ineffective. Another attribute of these lyrics is that their actual content can function as a sort of helpful signposting, guiding readers towards the music's characterizing role. In the case of Jonah, these lyrics, describing as they do the freezing of time, are a definite indication of what this piece of music can do for him:

> Time stands still with gazing on her face,
> Stand still and gaze for minutes, hours, and years to her give place.
> All other things shall change, but she remains the same,
> Till heavens changed have their course and time hath lost his name. (2003: 3)

The 'she,' in this case, serves as a personification of the music itself. Time stands still as Jonah releases this aural element of himself, and all the identity confusion of place (his societal and cultural confusion) and time are dissolved:

> This is how I see my brother, forever…he touches his tongue to his hard palate,
> presses on the cylinder of air behind it until his tongue tips over his front teeth with a
> dwarf explosion, that fine-point puff of *tuh* that expands, pulling the vowel behind it,
> spreading like a slowed-film cloud, to *ta* to *tahee* to *time* to transcend the ear's entire
> horizon, until the line becomes all it describes:
> > Time stand still with gazing on her face…
> He sings that gaze, the one the heart tried to hand on to but couldn't. His eyes shine
> with the light of those who've freed themselves to do what they need. Those who see
> shine back, fixed at this moment, arrested, innocent. As he sings, Elizabeth's ships
> sail out to sudden new continents. As he sings, Freedom Riders one state away are
> rounded up and jailed. But in this hall, time stands still, afraid to do so much as
> breathe. (2003: 215)

5. Conclusion

Dowland's lyrics, then, this "vertical" component to our three-way intertextual axis, function symbiotically with the aural, "horizontal" component; however, they themselves do not accomplish the same task of enhanced intermedial characterization as the music itself does. They are intertextual enablers, helping readers, in the manners just discussed, to be open and receptive to the aural effect, the *sound* of Dowland's music (as internally triggered by the textual reference). But it is the music itself, the intermedial, aural effect that, through its flexible and indirect language, is able to define Jonah's non-binary, textually and societally un-definable character. So that while we are unable to say what he is, we are able to hear it, through Dowland's song, ineffable, and, at the same time, candid in aural effect. Jonah escapes his cultural invisibility and becomes present, indeed *becomes*, to his fictional

audiences, to his world, to himself, and, to us, the readers, through this song. If this seems idealized, perhaps it is because so is the aesthetic of the novel. Music here is utilized as a kind of better, truer, more authentic language for the self. "Time Stands Still" could just as well read, *text* stands still, as words melt away into sound, into the sound of Jonah.

I give them what's theirs. Their music. Their identity. (2003: 600)

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Covers and Communicative Intentions

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Abstract

Within the domain of recorded popular music, some recordings are identified as "covers." I argue that covers differ from mere remakes in requiring a particular communicative intention, thus locating cover recordings in the category of extended allusion. I identify aspects of musical culture that encourage and discourage covers, providing an explanation of why covers are rare in the jazz and classical music traditions.

I

In the 2007 Todd Haynes film *I'm Not There*, actress Cate Blanchett plays a character named Jude Quinn. As with the other primary characters in the film, Quinn is clearly modeled on Bob Dylan. In the Blanchett sequences, it is Dylan during his 1966 visit to England. In one scene, Quinn/Dylan introduces his manager to Brian Jones, guitarist in the Rolling Stones. The band's name is never mentioned. Quinn/Dylan merely says, "Norman, this is Brian Jones, from that groovy cover band." On the soundtrack we hear The Monkees singing "(I'm Not Your) Steppin' Stone" (1966), a song they did not write and which was regularly performed to great effect by the Sex Pistols in the 1970s. In the context of 1966, calling the Rolling Stones a "cover band" is obviously meant to be an insult. Thanks largely to the combined influence of Dylan, the Beatles, and the Rolling Stones, performance of original material was emerging as a criterion for being taken seriously as a rock musician. Yet saying the same thing about The Monkees at the same time — "Norman, this is Davy Jones, from that groovy cover band." — would not have been an insult. Although a great deal of criticism erupted when it became known that The Monkees relied on studio musicians for their hit records, no such criticism was directed at them for relying on others for their material.

Taken literally, the phrase "cover band" did not apply to either the Stones or The Monkees in 1966. In the case of the Stones, it is, by way of metaphor, a charge of theft. In the case of The Monkees, it is, by way of metaphor, an acknowledgement that their commercial motives negated any expectation that they were to be taken seriously as musicians. Either way, the use of metaphor presupposes a core literal meaning acknowledging lack of authorship. I grant that "cover" can be used in this minimal sense, as indicating nothing beyond the fact that a performer did not write the material that is performed. "Cover" appears to be meant in this way in this observation, from an oral history of the band R.E.M.: "I remember [their first public performance] and I assumed their songs were covers. I knew they were 50 percent covers" (Sullivan 1998: 9). In this narrow sense of "cover," it would be the case that in April, 1980, R.E.M. was a groovy cover band.

Moving beyond this very minimal sense of "cover," why weren't the Rolling Stones or The Monkees cover bands? I propose that it is because they did not intend, by their performances, to invite the audience to hear their work as referencing, reflecting, or deriving from earlier recorded performances of the same music. Since the 1960s, the concept of the cover in such phrases as "cover version" and "cover band" normally refers to a

communicative act of "covering." The cover record or performance is a version of an existing musical work. However, it is more than a version. It is a version that refers back to a particular performer's arrangement and interpretation of a particular song.[1] Normally, this aspect of the cover involves referencing a particular *recording* of the song. My analysis rejects George Plaskete's view that covering is "the musical practice of one artist recording or performing another composer's song" (Plaskete 2010: 1), which treats everyone who is not a singer-songwriter as a cover artist. Endorsing Plaskete's minimal, more permissive definition collapses the distinction between a cover and a remake. It does so by ignoring Kurt Mosser's insight that a cover establishes a relationship to its "base" song (Mosser 2008). The challenge is to explain what that relationship is.

Crudely put, I am operating with the assumption that individuals do something with words and music and images: they communicate with and by means of them. Directing someone to an earlier performance by means of one's own performance is a complex communicative action that invites the audience to "read" the later performance in light of the earlier performance. To be more precise, I am proposing that paradigm cases of "covering" involve an illocutionary act of constructing an interpretation that requires the audience to refer to, and to make a comparison with, an earlier interpretation of the same music.[2]

The conditions for achieving this communicative act are less likely to arise outside of a musical culture rooted in recorded sound and mass distribution of performances. In theory, it can take place in any musical community where specific compositions are closely associated with specific performers, and thus a parallel practice could arise in pre-industrial musical communities. But, for reasons that will become clear, it would be uncommon. Consequently, "covering" in the sense that interests me became a common practice only after the twentieth-century recording industry developed a culture in which recordings became a standard means of access to music, creating the conditions in which large numbers of people associate particular musical works with particular arrangements as interpreted by particular performers. In short, the success conditions for the communicative act only become *widely* available in

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[1] Throughout this analysis, "interpretation" refers exclusively to a performer's interpretation of the music and never to the audience's understanding of what the performer is attempting to communicate.
[2] Covering often invites a *comparative evaluation* of two recordings. However, that topic is beyond the present scope of discussion.

mass culture when specific recorded performances can serve as reference points for later performances.[3]

The analysis offered here does not pretend to capture all uses of "cover" in recent popular music. Concepts evolve, and therefore the early uses of a term are not an infallible guide to its present meaning. Within music practice, the idea of a "cover" song appears to have arisen within the popular music recording industry, originally only to refer to an attempt by one record label to cannibalize some of the sales of another label's hit recording. This initial usage would suggest that "cover," as noun, is simply an abbreviation of the phrase "cover recording," indicating nothing more than a remake or re-recording. In this context, the category does not extend to live performances. However, my analysis assumes that the concept of a cover has evolved. It is now a species of remake. Furthermore, I believe that the term can be extended to live performances. Finally, I think that the category of the cover does not apply to some cases that are frequently treated as covers. Those cases are merely remakes.

In contrast to a cover, a mere remake is a new recording of a song that is already known by means of one or more recordings, but where there is either no expectation of, or indifference about, the intended audience's knowledge of the earlier recording. Tiffany's 1987 remake of "I Think We're Alone Now" is a remake but not a cover of the 1967 top-five hit by Tommy James & the Shondells. Tiffany's audience was adolescent girls, so there was no expectation of prior knowledge of a twenty-year-old hit song. In contrast, The Rubinoos' 1977 recording almost certainly qualifies as a cover version. There are therefore two distinct intentions that enter into the complex communicative strategy of a cover version. A musician must intend to communicate with a particular audience – many of whom can be expected to recognize its status as a remake – and must intend to have the remake interpreted as referencing and replying to the earlier interpretation.

In summary, I propose that covers are important because they contrast with the related categories of remakes, versions, and interpretations. The interesting difference arises from artistic intention and proper audience grasp of aesthetic communication.[4] In short, I

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[3] On the general topic of mass art, see Carroll 1998 and Gracyk 2001.

[4] There is long-standing resistance to linking artistic intention and meaning. Any attempt to do so provokes charges of committing the "intentional fallacy," as explained in Wimsatt and Beardsley 1946. However, there is a strong counter-movement, which I support. See Irvin 2006. For the idea of aesthetic communication, see Iseminger 2004.

understand the concept of the cover to be a concept about communicative possibilities, and thus fundamentally concerned with an agent's communicative acts.[5]

II

One way to see that covers differ from remakes is to examine songs that have been recorded multiple times. Carl Perkins wrote and recorded "Blue Suede Shoes" in 1955, and had a rhythm and blues hit with it early in 1956. Elvis Presley recorded it and had a minor hit with it in late 1956. Thanks to general trajectory of their careers, Presley's remake has sold more copies than Perkin's original. In 1991, an Elvis Presley tribute album was released in the United Kingdom, with all proceeds going to a charity devoted to music therapy. The album has a version of "Blue Suede Shoes" by the band Lemmy and the Upsetters with Mick Green – basically, a group assembled by "Lemmy" Kilmister of the band Motörhead. Given the Elvis Presley theme (the album is called *The Last Temptation of Elvis*), this remake is offered as a remake of the Presley recording. However, it is simultaneously a remake of the 1955 Perkins recording even if, by chance, Kilmister and Green did not know the Perkins recording. In contrast to remaking, covering is not transitive. The Kilmister and Green version of "Blue Suede Shoes" is not a cover version of the Perkins hit. Similarly, when the Linda Ronstadt "tribute bands" Blue Bayou and Different Drum perform the songs "Blue Bayou" and "Different Drum," they cover Rondstadt but they do not cover Roy Orbison and The Greenbriar Boys, whose recordings Ronstadt remade when she recorded the two songs. Ironically, a Linda Rondstadt tribute album that features a new Michael Nesmith recording of "Different Drum" would qualify as a remake of The Stone Poneys version (Ronstadt's band at the time) and so also of The Greenbriar Boys recording. Despite the fact that Nesmith wrote the song, in this context it would cover The Stone Poneys hit version.

In light of this difference, consider these two cases of covering in live performance.

- A singer in a band introduces a live performance of "I'm Not Your Stepping Stone" by saying "This one's for Johnny Rotten" (thus referencing the Sex Pistols' lead singer) and then plays a slow, blues-inflected version.

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[5] As with movies, recorded music tracks are frequently group creations. However, this point does not pose a problem for my analysis. Groups can have intentions as a group, through a shared intention. See Livingston 1997, and Bacharach and Tollefsen 2010.

- On another occasion, a singer in a punk band announces, "This one's for Micky Dolenz" (referencing the vocalist who sang it for The Monkees), then the group plays a punk version of the song.[6]

By virtue of their introductions, the first performance references the Sex Pistols but *not* The Monkees, while the second performance references The Monkees but *not* the Sex Pistols. Yet the first case is clearly that of a remake of a remake. Since it does not automatically reference The Monkees, covering differs from remaking. Remaking is transitive relation but covering is not.

III

One test of an analysis is the plausibility of its application to borderline and highly similar cases. Consider the following examples.

- On two occasions, Bob Dylan has performed the song "The Times We've Known" during a public concert. The first time, performing at New York's Madison Square Garden in 1998, he introduced the song by saying, "A guy playing up the street that I've always liked – Charles Aznavour's his name. … I'm going to play one of his songs. I usually play these things all to myself, but I feel like I'm all by myself now."[7] Dylan then performed an English-language of "Les Bon Moments," a song written by and closely associated with Aznavour.

- In the United States, Eric Clapton's only number one pop hit is "I Shot the Sheriff," recorded in 1973 and released the next year. Clapton's version is not a radical departure from the one that Bob Marley recorded with The Wailers earlier that year. Arguably, the Clapton recording did more for Bob Marley than it did for Eric Clapton, promoting reggae in a radio market where it was seldom heard. Ironically, Clapton was not comfortable with reggae and did not want to record the song or release it, but was urged to do so by his band mates and producer.

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[6] Something more complex would be taking place if someone in the audience had just yelled, "Play some Sex Pistols!" In that case, referencing Dolenz would be very much like referring to the Sex Pistols as a groovy cover band.

[7] My transcription from audio recording.

- Piece of My Heart" was written by Jerry Ragovoy and Bert Berns. Its first known recording was by rhythm and blues singer Erma Franklin, who scored a major hit with it by the standards of R&B sales in 1967. The following year, singer Janis Joplin made it over with Big Brother and the Holding Company's version on the album *Cheap Thrills* (1968). Big Brother drops the horns and piano and ramps up the guitars, but Joplin's vocal closely follows Franklin's modeling of the melody. In contrast, country-pop singer Faith Hill had never heard either of those recordings when she recorded "Piece of My Heart" in 1993.[8] As a result, her arrangement and interpretation—in the sense explained below—owed no debt to the familiar precedent recordings. Hill's interpretation became a number one country hit in 1994. Not surprisingly, Hill's melody line follows the contours of the well-known melody, but the pauses and inflections are strikingly different from the 1960s hits.

- In a nightclub, a pianist says "Here's Monk's 'Ruby, My Dear,'" then performs a version of it that very closely follows the solo piano version featured on Thelonoius Monk's 1965 album, *Solo Monk*.[9]

- Over the course of 1961 and 1962, Herbert von Karajan recorded Beethoven's nine symphonies with the Berlin Philharmonic Orchestra. Their interpretation of Symphony No. 6 is considered the one weak link in the set. In 1977, they recorded the Beethoven symphonies again. The 1977 recording of the sixth symphony is regarded as a great improvement over its predecessor.

- Released in 1965, "The Last Time" was the first Rolling Stones single that was credited to Mick Jagger and Keith Richards as songwriters. It surfaced in a major way again in 1997 when the underlying music of The Verve's hit, "Bitter Sweet Symphony," was based on a sample of the Rolling Stones song, appropriated not from a Stones recording but from an instrumental arrangement by The Andrew Oldham Orchestra. Although a license for the sample was initially in place, a lawsuit ensued over the issue of whether the sample exceeded the negotiated length; The Verve lost,

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[8] See Dickerson 2001: 56.

[9] Kurt Mosser calls this sort of case a "reduplication cover" (Mosser 2008). However, I see no reason to call it a "cover" at all. I believe it is more common to call such performances either "tribute" performances (as in calling a group a "tribute band") or "impersonation" performances (as in, "The hotel was hosting a convention of Elvis impersonators"). The audience is expected to evaluate performance style, by reference to recordings that are imitated. However, when the derivative performances are celebratory without positioning themselves as commentary, they lack the intentional complexity of a cover's employment of allusion.

and their own songwriting credit is now replaced by "Jagger/Richards." This event highlights the irony that the chorus of "The Last Time" is itself the Rolling Stones' arrangement of a segment of "This May Be the Last Time," a 1950s gospel recording by the Staple Singers.

My position is that the Dylan and Joplin performances are live and recorded covers, respectively.[10] None of the others are covers. The Clapton, Hill, and Rolling Stones examples are remakes. The Verve's "Bitter Sweet Symphony" is neither a cover nor a remake, nor are any of Herbert von Karajan's recordings of Beethoven's sixth symphony.

Hill's remake of "Piece of My Heart" is much like Tiffany's remake of "I Think We're Alone Now" in that the intended audience would not be expected to know the earlier recording. Yet they differ in that Hill went to lengths to avoid Joplin's influence, whereas Tiffany Darwish appears to have learned the song by listening to the 1967 hit before recording of it. Similarly, Clapton learned "I Shot the Sheriff" from The Wailers' recording and The Rolling Stones learned "The Last Time" from the Staple Singers recording. These recordings are remakes. Nonetheless, Clapton and the Stones were both appropriating music from foreign traditions and their source recordings would not have been familiar to their intended audiences. Similarly, Tiffany's intended audience was of young pop music fans could not have been expected to know a 1967 pop hit. Joplin, in contrast, was American singer remaking a song that had been a minor American radio hit *in the previous year*. American radio was not as stylistically segregated as it is today, and Joplin would have expected many of her listeners to compare her version with Franklin's. Consequently, it was a cover. Lacking this expectation, the Clapton, Hill, and Tiffany remakes cannot be construed as the illocutionary acts of inviting comparison to earlier interpretations of the same music. Hence, they are not covers.

IV

My analysis draws support from the differences in conventions in the broad musical genres of classical music, jazz, and popular music. While the pianist in my jazz example could reasonably expect that some members of the audience might know Monk's solo piano

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[10] For sake of simplicity, I am treating a recorded performance as a performance. The Joplin recording might well be spliced together from multiple vocal "takes." However, that detail is not important to the subsequent analysis, in which a virtual performance will be treated as if it were a performance *simpliciter*.

recording, it is not a cover in the way that Joplin's "Piece of My Heart" is a cover. There are virtually no covers in the classical and jazz worlds, in part because they continue to operate with different views of the role of recordings in their respective musical cultures. Because jazz and classical recordings continue to be treated as transparent devices for listening to performer's interpretations of works,[11] performers cannot assume that audiences know particular recordings as reference points for hearing their interpretations as referencing and thus "covering" an earlier performer's interpretation of that same work. To see why this essential requirement is difficult to achieve, we must distinguish between a musical work, a performer's interpretation of it, and other variations and supplementations that arise in its performance.

In classical music, for the most part, performers perform composed works, the essential features of which are conveyed to the performer though a score, employing a visual notation. Suppose that a pianist is planning to perform Schubert's Piano Sonata No. 21 in B flat major. The performer interprets the notation and determines what performances of it should sound like. The performer then works out her approach to the piece, and practices that approach.[12] Although one pianist's general way of playing the sonata may be roughly the same as another's (e.g., taking the movements at roughly the same tempo), each will be slightly different if they have developed their approach from personal study of the score. For each pianist, each particular performance will be slightly different from every other; at the same time, two performances by a single pianist will be highly similar if they arise from the same practice regime (e.g., Glenn Gould performing J. S. Bach's Goldberg Variations on different nights during his summer 1959 appearances in Europe). In addition, the performer's interpretation will often be influenced by ideas about the conventions for performance that prevailed when the composer wrote the work, by the performer's own training as a performer (e.g., how much vibrato should be allowed in a singer's voice?), and by having heard performances of the work.

From the perspective of the audience, classical music performance generally displays two sets of skills. First, there is a display of skill as an interpreter of the notated work. Second, there are performance skills in realizing the work for an audience (or, in the case of conductors, the performance skill of leading a group of musicians through a coherent

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[11] See Gracyk 1996: 37-67, and Kania and Gracyk 2011.

[12] For an analysis distinguishing five types of interpretation in performing a composed musical work, see Davies, 2002.

realization for an audience). The performer's combined efforts, merging score interpretation with a practiced realization of it in performance, is the performer's interpretation of the work. A performer may have different interpretations over a lifetime, as when Glenn Gould's 1955 interpretation of Bach's Goldberg Variations (realized in both studio and live recordings) gave way to Gould's 1981 interpretation (realized in a studio recording but never performed for an audience).

The point of this overview is to call attention to the way that several distinct sets of artistic properties are in play when a classical work is performed for audience. For example, a listener can evaluate different objects of attention. A listener can concentrate on the work — as a composition, is Schubert's Piano Sonata No. 21 better or worse than Haydn's Piano Sonata No. 52 in E flat major? The listener can evaluate the interpretation — is Hélène Boschi's reading of the Haydn a sound one, or is she more astute about the Schubert? Finally, the listener can concentrate on the actual playing — despite his obvious intelligence, doesn't Gould's audible humming to himself spoil his playing of the Goldberg Variations? Hopefully, the listener evaluates all three objects of attention. However, a positive evaluation of one of the three is never a prerequisite to a positive evaluation of either of the other two. There is the weak work, intelligently interpreted and flawlessly played. There is the great work, given a questionable interpretation, but played with gusto. Finally, Gould is dead and his humming is present via recordings. Humming aside, the 1955 and 1982 studio recordings of the Bach variations can be compared and evaluated *as* recordings, giving us a fourth object of attention. And so it goes with the other permutations.

The general point here is that a performer never simply performs the musical work. Most music requires realization by performers in performances. As such, a musical work for performance underdetermines how it is to be performed. Therefore a third object for evaluation, an interpretation, interposes between work and performance. Different listeners approach music with different levels of awareness of the work/performance distinction, but informed listeners routinely take notice of the difference. The classical world is not uniform, of course. Some composers have attempted to minimize the possibility of performance interpretation, most notably by composing electronic music without the intervention of notation. However, looking at the long tradition of composed music that stretches from, say, Claudio Monteverdi to Henryk Górecki, it is fair to say that it is a tradition of composed works, performer's interpretations, and performances for audiences.

The important point, before we think again about Bob Dylan and The Verve and Faith Hill, is that there are no covers in the classical tradition. Each performance presents the work. However, in performing and thus directing the audience's attention to the work, each performer also displays artistic decisions about that work. Except in the special case of some electronic music, the audience cannot experience an otherwise uninterpreted work.

Another complication arises when a second layer of interpretation mediate between work and audience. Many composed works have both versions and arrangements, which are intermediate between the work and its interpretation. Sophisticated listeners attend to the way that a performer or ensemble is interpreting or navigating a particular *version* or *arrangement* of a work. Most often, versions are revisions or alterations made by a work's composer, while arrangements are due to someone else. Versions and arrangements provide competing and/or derivative performance choices for a single work. For example, Anton Bruckner revised his works and thus created multiple versions of them. Reflecting these differences, his symphonies are available in several published editions, including the Haas (1944) and Nowak (1954) editions. These editions give different performing versions. Works also have multiple arrangements. Beethoven prepared an arrangement of his seventh symphony for a wind ensemble. During his lifetime, it was probably performed more frequently in this manner than with a full orchestra. Most often, arrangements are the work of someone other than the composer. Hanns Eisler was one of several composers who undertook preparation of a chamber orchestra arrangement of Bruckner's seventh symphony. In either case, arrangements can plausibly be regarded as interpretations of works that in turn require interpretation by performers.[13] Thus, there are cases where four distinct objects of evaluation are in play when a classical work is heard, as when one says, "I don't much care for Bruckner's seventh, but I like what Eisler did with the first movement. Unfortunately, the conductor did not understand Eisler's work and rushed the tempo, which led to a lack of control in the orchestra's playing."[14]

The concept of the work arrangement is important to my analysis about covers. Bob Dylan has performed several distinct lyrics for his song "Tangled Up in Blue," generating

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[13] There is an interesting issue of how an arrangement differs from a derivative work, but that topic cannot be pursued in this context.

[14] This example points to a complication that is not important to my argument. Hans Eisler worked from a particular published edition of Bruckner's symphonies, and thus we have five objects of audience interest and evaluation: the work, the version, the arrangement, the conductor's interpretation, and the orchestra's performance.

versions. In addition to the introduction of many impressive electric guitar breaks, Jimi Hendrix's version of "All Along the Watchtower" features a tricky time change that is not present in Dylan's original recording. It is a distinctive arrangement. In a mass culture setting, many songs are associated with a particular recording, which is understood to be the "original," and it serves as the standard in terms of which others count as remakes. (Although the Hendrix version of "All Along the Watchtower" is normally regarded as the standard version, it is a remake and a cover.) When a particular recording functions in this manner, audiences also know a particular arrangement and interpretation as if essential to the song. Aural memory treats the song as if "thick" with properties that the song itself does not have. The communicative act of covering exploits this association.

The relevance of this point turns on the idea of "thicker" and "thinner" musical works. In observing that musical works for performance always underdetermine how they are to be performed, it is important to notice that different musical traditions—and different works within the same tradition—treat relatively fewer or more musical features as defining properties that determine which performances counts as accurate or complete performances of a particular work. Where Haydn specifies that the second movement of his Symphony No. 92 is an adagio, conductors understand that it should be performed at a slower tempo than the fourth movement's presto. If it is too slow to recognize as Haydn's music, a performance can be dismissed as not really a performance of Haydn's work. But how slow is too slow? Given that no conductor has ever stretched the Adagio to last more than ten minutes, there seems to be consensus that twenty minutes is *too* slow. At the same time, this symphony is not in the tradition of musical works for which the precise time length of each movement is a composer-determined feature. Still, in comparison with jazz and popular music, classical works in the mainstream repertoire are relatively "thick" in their constitutive properties, which is to say that the composer's work of specifying what belongs to that work in performance generates a detailed normative standard concerning the instrumentation, note sequences, tempos, and other properties that should be present in all performances of that work.[15] Musical works that delineate more performance properties are ontologically thicker than works that delineate fewer performance properties.[16]As evidenced by Monk's "Ruby, My Dear," jazz standards are much thinner than classical symphonies. Popular songs are also relatively thin in their

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[15] See Davies, 2001: 20.

[16] See Davies 1991.

constitutive properties; Big Brother and the Holding Company did not perform "Piece of My Heart" inaccurately by dropping the piano out of the instrumental arrangement. Notice that every *work* for performance is ontologically thinner than its *performances*: given the total set of properties that ought to be present in its performances, that set will be the common subset of the two sets of properties that distinguish any two of its performances.

As a final point about "thick" and "thin," we may observe that *arrangements* are thicker in constitutive properties than the works they arrange (e.g., compare the three distinct arrangements of "Piece of My Heart," which can be differentiated from one another by noting the presence of distinguishing properties that are not normative for performing the *song*.). However, a mass culture of recorded music associates a recorded song with a particular arrangement and performance interpretation. When the same song is subsequently performed for an audience that can be expected to know these associations, the new interpretation can generate meanings that arise from its degree of similarity to, and degree of departure from, the reference recording. So a cover does more than interpret a song. It also positions and directs the new interpretation through contrast with an existing arrangement and interpretation of it.

As with other music, most jazz performances offer multiple objects of evaluation. Unless it is pure improvisation, musicians perform a particular musical work. Monk's "Ruby, My Dear'" is an established "standard" in the canon of jazz tunes. Monk devised several arrangements of it, based on performance circumstances; there is the classic 1957 quartet arrangement, in which Monk lets John Coltrane's saxophone carry the melody, and there is the solo piano arrangement, referenced in my earlier example in which the pianist sticks to the arrangement on *Solo Monk*. However, a pianist can copy more than the arrangement. If a pianist mimics the precise timing of the *Solo Monk* recording, then a knowledgeable jazz fan can admire the tune, arrangement, and performer's "chops" or piano technique (e.g., by evaluating the pianist's ability to mimic Monk's idiosyncratic timing). In admiring the tune and arrangement, the knowledgeable listener appraises Monk's contribution. Admiring the piano playing, the listener appraises the performer. However, the mimic minimizes the fourth variable, interpretation.[17] Notice that interpretation can carry over from performance to performance, as can arrangements. But since two pianists can develop different yet

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[17] Minimized, rather than eradicated, since the decision to stick to Monk's version is itself an interpretive decision of some (minimal) interest. This tactic is not common with covers, but an interesting case is Todd Rundgren's *Faithful* (1976), which includes sonic recreations of six well-known tracks from the 1960s, minimizing the differences.

recognizable interpretations of Monk's solo piano arrangement, interpretations are thicker in their identifying properties than are the arrangements.

I think that it is standard practice in jazz circles to treat the performance of standards in roughly the way that classical audiences treat the warhorses of the classical tradition. Yet there is an important difference. Jazz performances are evaluated for their exploitation of the performance forces available in the particular performance. When the Bill Evans Trio performed the Gershwin song "My Man's Gone Now" in 1961, knowledgeable jazz fans did not regard the absence of sung lyrics as a significant interpretive decision. The trio had neither vocalist nor horns, so there was nothing to be gained by comparing the Trio's version to the song's treatment by vocalist Nina Simone or horn player Miles Davis. As a result, jazz performances are almost never covers.

Granted, someone might say, "I liked the jazz trio last night. They covered Monk and Gershwin." However, I propose that this use of "covered" is synonymous with "performed." Nothing is conveyed by it that would not be present in "They performed Monk and Gershwin." Furthermore, jazz audiences find little value in performances that simply replicate the interpretation of an earlier performer. It might be interesting to hear someone copy Monk's playing for one tune, but a jazz set that consisted of someone other than Monk playing *Solo Monk* in order, just like the record, will not interest most jazz fans. The jazz audience focuses on real-time interpretation as developed in the particularity of the performance. Because the interpretation is shaped by the performance means available (e.g., which instruments are on the bandstand tonight?), there is limited evaluation of a particular performance *as of* a particular arrangement. The jazz audience expects, and rewards, performer interpretation of the work beyond the decision to imitate. (Within certain schools of jazz, characterized by the Duke Ellington Orchestra in the 1930s and 1940s, audiences are also expected to be aware of the distinct contributions of the arranger and the performers. The orchestrations that Gil Evans provided for Miles Davis carried this tradition into the next generation of jazz.)

Consequently, there is an important general contrast between jazz and popular music. As a general rule, the jazz audience attends to and evaluates each individual performance as a manifestation of the particular players on that occasion. Differences in interpretations of the same work are generally tied to their particular skills. Although recording technology did a great deal to generate the popularity and internal development of jazz, and while certain

recordings are regarded as particularly significant by the jazz audience, particular recordings are not regarded as the primary objects of critical attention except as vehicles for providing access to particular exemplary performances. A jazz fan who does not know Miles Davis' *Kind of Blue* hardly counts as a jazz fan, but *Kind of Blue* is nonetheless treated as a transparent vehicle for hearing stellar performances by a particular group of players. Davis's multiple performance of "So What" can be compared via different recordings, and so a fan can evaluate changes in his interpretation and in his "chops" over the course of different tours with different ensembles. The *Kind of Blue* arrangement and "original" performance also serves as a reference point for its interpretation by subsequent groups. On *Kind of Blue*, "So What" is arranged for trumpet and two saxophones, making it very different from the hornless arrangement by the Qhuit Gran Band. That quartet may expect listeners to hear "So What" as their arrangement of a Miles Davis piece, but there is no sense in which they are remaking part of *Kind of Blue*. Since they are not remaking it when they record it, they are not covering it.

Although jazz depends on recordings, jazz is not sufficiently phono-centric to generate a culture of cover recordings. Popular music operates differently. In popular music, particular recordings become important focal objects for evaluation.[18] A jazz fan who knows the six tunes from *Kind of Blue* only from Miles Davis live recordings would not be regarded as strange in the same way that a rock music fan would be for knowing all ten songs from Bob Dylan's *Blood on the Tracks* without ever having heard that album.

V

To summarize the argument to this point, a distinctive musical culture is a pre-condition for the complex communicative activity that I am attributing to covers. Covers require a musical culture that is conducted to a large extent by way of recorded tracks, and in which musicians are expected to write their own material. The first of these conditions is required to establish the audience's facility in comparing later arrangements and interpretations with earlier ones. The second condition establishes that remakes of familiar material are the exception and not the norm. In an earlier era, when singers were not expected to be songwriters, Dylan's performance of Charles Aznavour would not be very noteworthy. However, Dylan is the paradigm singer-songwriter in recent popular music, so his decision to announce that he is

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[18] See Gracyk 2001: 13-50.

performing the work of another singer-songwriter is significant. (Similarly, his decision to assign the title *Self Portrait* to an album of covers is noteworthy in interpreting and evaluating that album.)

Together, the importance of recordings and the general expectation of authorship make it plausible to regard some remakes as intended to refer to particular earlier interpretations. Although a remake may derive from an earlier recording, by copying it, not every remake references what it remakes. As I will explain below, these conditions allow some remakes to function as extended allusions that reference the earlier recording, and not merely as different interpretations of the same work. In a musical context where audiences cannot be expected to know particular interpretations and arrangements, small differences cannot matter as differences, and in a context where musicians are not expected to write what they perform, the decision to adopt or deviate from an established arrangement and/or interpretation cannot carry much interpretive weight. When they are both present, these two cultural conditions make it possible to have a groovy cover band.

VI

Another contributing factor in the culture of covers is the pop music tradition of one-hit wonders: singers and bands who are known for one and only one recording. The performer is not valued as an exceptional performer. The performer's other work is irrelevant to the evaluation of the recording; indeed, it may be valued all the more *because* the performer is otherwise uninteresting. Instead, the attraction will be the way that a particular song, arrangement, interpretation, and performance comes together in a particular recording. The song may be of negligible interest. A case in point is Norman Greenbaum's "Spirit in the Sky," which created a pop hit in 1970 by appropriating the boogie style of John Lee Hooker (yet without being a cover of any particular song). Ten years later, The Vapors' "Turning Japanese" was a one-hit wonder of the new wave movement. To even know that the song was written by David Fenton is to qualify oneself as a true aficionado of new wave music. At the same time, these songs are not compelling *as songs* in the way that particular musical works are standards in the classical and jazz canons. A jazz musician or classical performer who made only one successful record during an extended career would be considered an inferior musician, or else someone with very bad luck. In popular music, so many recordings are released each year that having even one successful recording is considered a great success.

Having a single hit is an accomplishment, not an embarrassment. *Writing* one hit song is not regarded as equally noteworthy.

VII

The important element of my position on covers can now be fully articulated. A cover is a remake, part of the intended appeal of which is its *being* a remake. A remake is a new *recording* of previously recorded material. In contrast, a cover is a remake that presupposes audience familiarity with another recording of it, which it thereby "covers." As such, a cover always contrasts with a particular arrangement as interpreted by a particular performer. Where a performer cannot expect the intended audience to have access to or knowledge of an "original" recording as a standard for comparison, there may be a remake but there is no cover.[19] Since most of the classical repertoire predates recording, classical works are not associated with "original" recordings. Hence, there are no remakes, and thus no covers. Although jazz has a tradition of important recordings, there is little interest in the exceptional, one-of-a-kind recording by a musician who is otherwise unremarkable. Lacking a focus on particular recordings as central objects of evaluation, there is, again, limited evaluative concern with remakes. These points begin to explain why covers are not important to these traditions. However, there is an additional dimension, as there must be in order to provide a positive explanation of why they do matter in popular music.

In the interesting sense of "cover" and "covering" that goes beyond the mere idea of a remake, the cover song or cover performance communicates the performer's awareness of, and attitude toward, a particular recorded fusion of musicianship and musical work. General influence is insufficient. Some original songs by popular musicians are derivative without being covers. They adopt the style of an earlier genre, as when Savoy Brown's 1969 single, "Train to Nowhere," is a relatively pedestrian original blues song that appropriates several styles without referencing any particular song or musician. It involves appropriation of style without being a cover. The Plimsouls' original song "A Million Miles Away" was a minor hit in 1983, thanks to its prominent presence in a movie soundtrack. The song's arrangement sounds remarkably like The Byrds at the height of their psychedelic-pop glory, yet it does not imitate or otherwise reference any particular Byrds track. Hence, it is not a cover. The

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[19] Some "tribute" albums are intended to call attention to neglected songwriters, as with *Sweet Relief: A Benefit for Victoria Williams* and *The Inner Flame: A Rainer Ptacek Tribute*, and so are not sets of covers as is *The Last Temptation of Elvis.*

requisite level of particularity is at the level of being able to name the particular recording that is being "covered."

Live performance covers are a special case and cannot be expected to satisfy all of the conditions I have detailed. At the New York concert in 1998, Dylan covered Aznavour by performing "The Times We've Known." Paradigmatically, remakes and covers are recordings. Dylan never released a recording of the Aznavour song, and so there is no remake and thus no cover in the strict sense. Nonetheless, I propose that there is courtesy sense of the term "cover" that applies here. Dylan is using the occasion of the live performance to call attention to the career of a French recording artist whose own 1967 recording of "Les Bon Moments" was an international hit. If Aznavour had merely written the song but had not himself popularized it, there would be no question of a cover. For example, Kris Kristofferson wrote "Me and Bobby McGee" and "Sunday Morning Coming Down," among many other songs, and these are closely associated with the recorded versions by Janis Joplin and Johnny Cash, respectively. Suppose that a country-influenced rock band records its debut album, and the album features these two songs alongside twelve original songs. I suspect that the knowledgeable audience would regard them as covers of Joplin and Cash – but, absent further specification, not of Kristofferson, even though he has recorded them himself. Thus, Dylan covers Aznavour because Aznavour is himself a recording artist; Dylan would not be covering Aznavour in concert if Aznavour were merely a songwriter. This point confirms that The Monkees were not a cover band. Although they did not write "I'm Not Your Stepping Stone" and most of their other hits, their recordings are the original hits.[20]

Because a cover recording or performance must intentionally reference a prior recording, cover status may hinge on relatively subtle points. Had Dylan said nothing about Aznavour, it would not be a cover. Dylan often performs obscure songs. In this respect, he draws on this background in the folk music tradition. The folk music tradition revolves around the performance of traditional songs, frequently of obscure origin, that circulate in multiple versions, reworked by performers over time. Although certain recorded performances of folk songs are regarded as exemplary, folk music is like jazz in being a performance-centered tradition rather than a recording-centered tradition. For evidence that Dylan's background in folk makes his verbal comment about Aznavour relevant to the performance's status as a cover, consider this fictional response to Dylan's performance of

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[20] Although I'm Not Your Stepping Stone" had already appeared as an album track on *Midnight Ride* (1966) by Paul Revere and the Raiders, the Monkees' version was the major radio hit.

October 8, 1994, in Boston: "The surprise of the evening was that Dylan covered 'Two Soldiers.'" The surprise arises from the fact that Dylan rarely performs that song. "Two Soldiers" is a traditional song from the nineteenth century, and it appears that Dylan performed it that night because its first line references the city of Boston. Here, clearly, nothing is changed if we substitute "performed" for "covered," as in, "The surprise of the evening was that Dylan performed 'Two Soldiers.'" In contrast, something changes if we say, "The surprise of the evening was that Dylan performed Charles Aznavour," where this phrasing calls attention to the song's authorship. In the actual case of the New York concert, Dylan's spoken introduction to the Aznavour song shows that he intended to do something more. Dylan plays the song because he wants to make his audience aware of Aznavour as a performing musician. Aznavour's authorship seems beside the point. In contrast, in "covering" the song "Two Soldiers" in Boston, Dylan does not communicate his respect for any other musicians. (Even if someone in the audience knows from the liner notes of a Dylan album that Dylan learned the song from Jerry Garcia, it does not follow that Dylan's performance involves Dylan's act of communicating something about Garcia.)

VIII

In distinguishing covers from remakes, I have suggested that we must look at precedence, cultural context, performance context, and other variables. But what is the point? Why should we want to say that Dylan *covered* Simon and Garfunkel when he put "The Boxer" on *Self Portrait* (1970), but that he was not covering Joan Baez when "Copper Kettle" appears on the same album? The point of distinguishing between remakes and covers is that the latter alludes to a particular musician's treatment of the same material. On my analysis, covers are extended allusions to previous works. An allusion is an intended reference that is established by textual similarity to a source text, creating an association that goes beyond mere substitution of a referent.[21] Although remakes will always satisfy the requirement of textual similarity, mere remakes do not require allusion, because the similarity between tokens produced by different performers is insufficient to establish reference to specific antecedent tokens.

The presence of the act of alluding invites comparison as an element of the audience's interpretation and evaluation. Consequently, to say that songs such as "The Last Time" make

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[21] See Irwin 2001, and Gracyk 2007. Although less common, literature also creates the conditions for extended allusion that is much like covering (e.g., Tom Stoppard's *Rosencrantz and Guildenstern Are Dead* as a cover of Shakespeare's *Hamlet*).

the Rolling Stones a cover band, rather than a band that remade American songs they liked, is to say that our response to "The Last Time" should reference the source material. The joke of calling them a "groovy cover band" in *I'm Not There* is that Quinn/Dylan is saying that he knows the sources of their material, and he knows what they're doing to it in interpreting it. I take it that they're "groovy" in that he admires their range of sources, but the remark is also meant to indicate that he has a level of musical awareness of their appropriations that is lost on the pop audience.

Normally, allusion is a local, small-scale aesthetic effect brought about when one text intentionally parallels and thus references and another text, and where it is intended to be understood in that way by at least some of its audience. One of my favorite allusions in popular culture is visual: the photograph on the front the Rolling Stones album *Get Yer Ya-Ya's Out!* (1970) shows drummer Charlie Watts and a mule. If you look closely at the mule, it has been arranged to illustrate Bob Dylan's lyric "jewels and binoculars hang from the head of the mule" from "Visions of Johanna" on the *Blonde on Blonde* album (1966). While that allusion is relatively trivial, beyond answering the question of why they procured a mule for the photo, many allusions enrich the alluding material. It is a means by which accessible works remain accessible while generating interpretative problems and a consequent aesthetic richness. Normally, an allusion is a brief or relatively small aspect of a text. Covers are somewhat different. They are saturated allusions. Every aspect of the performance is to be treated as referencing all aspects of the earlier recording at parallel points in the performance. (Notice that if the reference were merely to the song, and not the recording, then no such comparison could be expected. As relatively "thin" types, popular songs do not have features such as synthesizer squeals, handclaps, and girlish breathlessness. These are features of arrangements, not songs.)

Consider, in this light, two remakes of "I Think We're Alone Now." There is nothing in the music or lyric that genders the song. Rather obviously, the original hit was sung by a man, and the presumption is that the second party of the "we" is a girl. However, this is an artifact of the performance. Due to her voice, the Tiffany remake of "I Think We're Alone Now" shifts to the perspective of an adolescent girl, and the second party in the "we" is, presumably, male. In the original version, the chorus is followed by three seconds of percussion that mimics a heartbeat, which ties back to the lyric of the chorus. In Tiffany's remake, the breaks after the choruses do not follow this pattern; the few seconds that lead to the next verse are

filled with frenetic electronic percussion and, later, synthesized sound. Because songs are musically "thin," there is no "correct" musical decision here. Yet differences in arrangements drive interpretive differences. Feeling your lover's heartbeat conveys a discovery of intimacy. To drive the point home, Tiffany's remake is actually a different version, because it opens and closes with an additional bit of lyric that asserts, with evident pride, "I can change your heartbeat." Despite its lingering veneer of innocence, Tiffany's version is about the manipulation of sexuality. The original hit was about the discovery of it. By contrast, the remake thus makes an assertion about teenage maturity. Female agency is highlighted.

However, I have asserted that Tiffany's version is a remake and not a cover, where that distinction is grounded in my understanding of the intended audience and the time lag between versions. My understanding of the recording would change if I thought that Tiffany's version of "I Think We're Alone Now" is a cover, not just a remake. As a cover, it would allude to the 1960s version and the audience would be invited to hear it as a response. However, I have shown that remaking a song does not necessarily set itself up as a response to earlier interpretations. A cover version differs from a mere remake by responding to, and being about, the song as performed in a certain way by a previous band. As such, if it were a cover, Tiffany's version of "I Think We're Alone Now" would make a comment about differences in attitudes toward teen sexuality in the different decades. As a cover, it would also call attention to the way that 1980s instruments and dance beats dominate the material. Beyond the gender change of the main vocal, there would be significance in the alteration of a signature moment of the original hit when the heartbeat percussion is replaced by updated electronic instrumentation. This shift would signal a certain ironic distancing from the relative innocence of the song's overt sentiments. However, this only works if the later combination of arrangement (e.g., the use of synthesizers) and performance interpretation (e.g., Tiffany's oddly slurred vocal at certain points) can be laid against the earlier arrangement (e.g., the use of a "thump thump" heartbeat pattern in the percussion break) and performance (e.g., a vocal that conveys concern and agitation, with occasional interludes of intimacy, but never sexuality). But, I stress that I do not think it is a cover, because Tiffany's audience was not positioned to make the comparison. In contrast, the Rubinoos' 1977 recording is without question a cover, and a fairly close one in its retention of the arrangement of the earlier hit. It thus invites interpretation as a commentary on teen sexuality; released in the heyday of punk

rock, I take it that it endorses a certain degree of innocence. In the context of their self-titled debut album, that interpretation seems beyond question.

Because they are not covers, Clapton's "I Shot the Sherriff" and Dylan's "Copper Kettle" do not ask the audience to understand Clapton's and Dylan's performance by reference to The Wailers and Joan Baez, respectively. In their performances, Clapton adopts the persona of someone who is charged with a killing and Dylan adopts the persona of an Appalachian bootlegger. But Clapton and Dylan do not comment on someone else who adopts such a persona. With a cover, the singer can both adopt a persona (by arranging it in a particular way) and comment on earlier adoptions of that persona (by inviting comparison to a previous arrangement and thus adoption of a persona). Through interpretive choices, a cover can either endorse the earlier interpretation (by closely following it) or repudiate it (by reworking it stylistically). With mere remakes, an arrangement's differences cannot be taken as commentary on earlier musicians' interpretation and performance choices.

In permitting some remakes to function in the additional category of a cover of previously recorded music, popular music can introduce a level of allusion that is not typically permitted in the classical and jazz traditions. The supposed simplicity of popular culture is greatly complicated by the existence of covers.

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The Use and Application of Proverbs in Basotho Accordion Music

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Abstract

This paper examines Basotho accordion music as a dynamic form of entertainment that promotes oral tradition among the Basotho. It briefly discusses the history of Lesotho and Basotho, offers an overview of Basotho music in general, some background regarding local accordion music tradition, and some notes on theoretical framework and methodology before moving to analysis of proverbs in Basotho songs. The paper argues that the use of proverbs among Basotho is still common at present to such an extent that they are even employed in the Basotho accordion music. The analysis deals with songs by different artists who have liberally spiced their songs with proverbs. Careful listening to this music reveals that there is much to be learned from sung proverbs regarding oral literature: customs, beliefs, language and other aspects. Through the proverbial flavoring in this music, Basotho traditional wisdom, spiritual heritage, culture, morality, collective experience and general well-being of the nation are easily transmitted. The employment of proverbs in this music can be an indication that oral literature like in other African societies is so central to contemporary Basotho culture.

1. Introduction: Lesotho as a Country and Its Nationals

Lesotho is a Southern African country enclosed by the Republic of South Africa (see Fig. 1). Its population is estimated at 1.9 million (Population census: 2006). According to Ellenberger (1912) and Gill (1993), Lesotho was established around the years 1820s-1830s by the founder of the Basotho nation, Moshoeshoe I.

Figure 1. Map of Lesotho.

Many commentators have tried to explain the origins of the word Basotho but Ellenberger's account is widely accepted. Relating the history of the first Basotho, he refers to the Bapeli in the eighteenth century who lived next to the Amaswazi, observing that the first tribes to bear the name Basotho were the Bapeli, Makholokoe, Maphuthing, Batlokoa and Basia:

> These used to laugh at the breech-cloth of the Bapeli, and the trouble they took to make one of the three ends pass between the legs and join the other two in a knot behind, thinking their own fashion a *mocha* or sporran, made of jackals' tails or the dressed skins of rock-rabbit, more dignified. So they called the Bapeli, *Abashuntu,* a derivative of the verb *uku shunta*, to make a knot. This designation, bestowed in derision, was adopted with pride by the Bapeli, and later by the other tribes similarly clothed, and was the origin of the present term Basuto. (Ellenberger 1912: 34)

Gill further states that although various groups, called the 'Southern Sotho', today have much in common linguistically and culturally, they were different in other respects and not united politically. Their traditions were frequently innovative, localized and contested. The word Basotho only came into being between 1820s-1830s. Prior to this period each ethnic group was called by its clan name:

> "Basotho" was later adopted by Moshoeshoe as a unifying political term for his emerging kingdom, which contained peoples from a large number of clans, both Sotho and Nguni. It is important that we look upon the pre-19th century "Sotho" with an eye for diversity and be prepared to break out of the stifling uniformity which has sometimes been wrongly imposed upon the "Sotho" peoples. (Gill 1993: 27)

The Sesotho language is difficult to define. It is a mixture of different related dialects spoken by different clans under the leadership of Moshoeshoe I. Ellenberger (1912:34) notes that the dialect of Bapeli was Sesotho, though it was harsh and crude compared to the soft and graceful Sesotho of Bakuena and Bafokeng. This feeling is shared by Wells, who writes:

> This Sesotho language was a mixture of the Sekoena of the ruling clan, the Sefokeng of the original Sotho occupiers of the land and Setlhaping (Setswana) usages added by the missionaries. The standardization of written Sesotho under the missionaries had a powerful unifying effect on the succeeding generations of the diverse clans that constituted his nation and helped confirm a Basotho identity. (Wells 1994: 29)

During the time of King Moshoeshoe I, Sesotho language, played an important role in unifying his people. It enabled him to rule a united nation with one medium of communication, even though individual groups spoke and retained their languages.

2. Overview of Basotho Music

Basotho, like other nations, have their own music that can be divided into two main types: traditional forms of music of many varieties practiced by Basotho before they came into contact with Europeans and adopted forms of music borne from contact with western culture. Traditional music originated among the Basotho and was passed on from generation to generation among different ethnic groups that constitute the Basotho nation. It bears the

cultures of Basotho people. Wells (1994:1-2) refers to this music as established canon rather than traditional music. He argues that tradition relates to something static, while canon implies a created concept that provides people in the present with a constructed access to the past. He further notes that the music styles of the established canon tend to be associated with performance contexts that are thought to contain values relating to past experiences.

2.1 Traditional Music

Basotho music can be divided into a variety of songs that relate to different occasions, institutions and groups of people from different levels of society. These occasions include work songs and dance songs. Work songs specifically relate to the type of work done by the Basotho that identifies them as Basotho: communal actions such as hoeing, tanning ox hide or threshing corn for example (Guma 1967:103). Basotho have their own style of doing things. Where they work together as a team, for example, they sing songs that are specific to the work done, helping to make their work easier.

The initiation of Basotho males and females is an important institution that takes into consideration the types of songs rendered, how they are sung, when they are sung and why they are sung (Moitse 1994: 45-79). Institutions vary according to their status and functions; hence, each has its special songs and certain roles it plays in the society. Moitse (1994) divides Basotho music into three main institutions: divination, initiation and birth. She further divides the institution of divination into two sub-topics: ancestral worship that deals with Basotho religious beliefs in ancestors, and traditional healing that refers to the practice of traditional medicine. The institution of initiation subdivides into male and female initiation, under which distinction she discusses the music and other relevant activities. Moitse also relates the musical performances and other activities performed during the celebrations surrounding the institution of birth.

With regard to age and gender aspects, (Wells 1994: 2) makes three main divisions between men's, women's and children's songs. His grouping takes into account both age and gender aspects. For instance, certain songs among the Basotho are sung by young males and females who are ripe for marriage. Examples in this case are drawn from the *selia-lia* and *sephumula* games. The participants who sing in these games are young males and females. In these games, accompanied by singing, they are given a chance to choose their future husbands and wives. Another example is that of *mokorotlo*-war song, usually sung by male adults and

not females. The other example is that of *lesiba,* which is also played by males, especially herd boys. This is played on a mouth resonated instrument with a hole cut at one end of a stick, with a quill tightly folded and firmly held in place by two small sticks. The quill has another hole from which a string is attached and runs along to the other end of the long stick. The lips are put against the quill, as the performer inhales and exhales to provide the vibration that produces melodious sounds. A variety of songs known as *linong* are played by the *lesiba* in this manner.

One may argue that there are few static examples of traditional Basotho music as most of the traditional music, including dances, displays much influence from western culture. The attire that is worn for *Mohobelo*, for example, is of foreign origin. The *Se-Leribe* or *Se-Molapo* performers normally wear white large shirts, large black trousers, black and white shoes and one shiny handy iron bar with a handkerchief or a yellow cloth fastened to it. The *Se-Matsieng* performers put on white shirts, large tan trousers, black and white shoes and the shiny handy iron bar. The type of attire, though of western origin, distinguishes one group from another. The *mohobelo* they perform is nonetheless still regarded as Basotho traditional dance. It is also the case even with *mokhibo* performed by females. They put on a variety of blouses, *seshoeshoe* and other decorations not necessarily indigenous to Lesotho. Basotho even seem to have adopted foreign materials and behavior to portray their cultural identity; western technology is employed to reflect traditional cultural practices. Thus, it is not surprising that accordion music is regarded as Basotho traditional music. The process of acculturation seems to have affected the entire lives of the Basotho in a network of evolutionary changes that affects each subsequent generation.

2.2 A Brief History of Basotho Accordion Music

This section deals with works that cover the history of Southern African Township music and Basotho accordion music. *In Township Tonight*, Coplan (1985) discusses the brief history of Basotho accordion music. Coplan highlights the origins of *lifela* from as far back as 1867 with the opening of the South African gold mines. *Lifela* are migrant workers' songs that express their working and living conditions, and their nostalgia for home in exile. Coplan describes the mining compound conditions, which prompted the migrant workers to compose *lifela* and observes that that migrant workers used to sing *lifela* in their solitary journeys to and from the

mines. The composition covered various topics, referring to the social problems of family life and the economic issues of unemployment which led to their going to the mines.

Coplan has undertaken intensive research into the origins of what is now called Basotho accordion music. He observes that the popular instruments in the nineteenth century were the concertina and the home-made-drum. These instruments were accompanied by a variety of *lifela* from the audience who participated in the dancing during the drinking session. The establishment of shebeens became one way of solving the problem of unemployment through the illegal sale of liquor. Music was played in the shebeens as one way of attracting more customers and entertaining them so as to speed up cash flow into the shebeen queens' pockets. He further indicates that the music was played in shebeens for rough and sexy Basotho migrants, both men and women. He writes:

> According to numerous eyewitnesses, the *famo* (from *ho re famo)* to open nostrils; to raise garments, displaying the genitals, was almost defiantly suggestive. Women made shaking and thrusting movements with their shoulders, hips and bosoms while lifting their flared skirts in an effort, perhaps to show their ass to Lesotho. The dancers wore no under wears but instead had painted rings around the whole area of their sex, a ring they called "stoplight". ... Men, dancing along side or seated against the walls, chose the women they wanted and took them into the back for intercourse (Coplan 1985: 98).

Coplan further relates the historical background of this music up to the 1950s when some of the recording companies recorded the *famo* music. He further points out that the *famo* music comprised recitative songs performed by the women with the purpose of paralleling the male's *lifela;* that is, women addressed their *famo* songs to men.

Against the historical background given by Coplan, this study will discuss the content of different cassettes recorded by various musical groups. Coplan's work, which concentrates on performance, leaves room for one to analyze the language used in the Basotho accordion music. The focus of this study is not only based on the fact that accordion music is produced by migrant workers but also, that it is currently sung by artists who have never been to the mines. Basotho accordion music thus addresses various aspects that affect Basotho lives in general; aspects that go beyond the ill-treatment of miners or the poor living conditions experienced in the mines.

The setting and form of performance that used to take place, as described by Coplan above, has changed considerably today. Women no longer flare their skirts without under-wears to attract men, but dress in any form which is acceptable. This music is accepted as the Basotho traditional music which is meant to preserve the integrity of the Basotho as a nation. Although, in most cases, the artists are semi-literate, it inspires both the literate and illiterate as it identifies them as Basotho. The Basotho who attend the concerts or shows of different artists, behave in a more acceptable manner, attending these concerts, not for sex but because they want to listen to the music and see the artists in person. Many attend the shows because they want to listen to the fluency of the artists when they employ figurative and poetic language.

This change of attitude could be traced as far back as 1979 when a group by the name Tau-ea-Matšekha released their album of the same name. The album became popular among the Basotho to the extent that the group was highly in demand and invited to perform at different places on a variety of occasions. The formation of Tau-ea-Matšekha and others that followed sparked a change of attitude among the Basotho. Instead of referring to the music as low class (associated with immoral behavior), Basotho began to identify themselves with it, accepting the music as it reflected their culture, as highlighted by Coplan (1995:258). In it, they felt that their language, customs and beliefs were retained and propagated. Based on the change of attitude, the *famo* music was renamed `*mino oa koriana* (accordion music). There are two reasons for this change of name: i) the accordion, as a musical instrument played a major role, as it was accompanied only by the home-made drum; and ii) it had its own special and acceptable taste, and had to be distinguished from *famo* which was associated with immorality. The accordion music was welcomed with respect, the *famo* was meant for the commercial business of prostitution.

The years 1980–1985 considered as formative in which few groups (e.g. Tau-ea-Linare, Tau-ea-Thaba, Lilala-tsa-Sekhonyana and Mahosana a ka Phamong) began to organize themselves and recorded their albums. This music has won the hearts and sympathy of most Basotho. The period from 1985 until the present marks the increased production of the Basotho accordion music and the proliferation of artists in great numbers.

3. Methodology

The research engaged random sampling of eight albums, each having ten songs. The total number of songs analyzed was 80. The focus was on the recorded material and out of many language aspects, proverbs were singled out because of their bearing on Basotho traditional wisdom, spiritual heritage, culture, morality, collective and general well-being of the nation. The sample was made out of the total number of cassettes owned by researchers. As such, it is not entirely representative given the researchers' keen interest in the Basotho accordion music in general. Researchers listened to each and every song in each album in order to detect the use of proverbs. The proverbs were compiled and analyzed according to the functionalism approach as will be evident later in the paper.

4. Theoretical Framework

Functionalism is a sociological philosophy that originally attempted to explain social institutions as collective means to fulfill individual biological needs. It studies the contributions made by socio-cultural phenomena to the socio-cultural systems of which they are part. It emphasizes the organic unity of society that leads functionalists to speculate about needs which must be met for some social systems to exist, as well as the ways in which social institutions satisfy those needs, Murphy (2005:1)

Although there are several sociologists who subscribe to functionalism, the study will refer mostly to Parson's (1951) and Radcliffe-Brown's (1952) views of functionalism. Both consider the three key elements to functionalism as: function, social system and social structure. The research views the Basotho nation as a social system that has a social structure of artists who play Sesotho accordion music. These artists have a specific function to perform within the Basotho nation. As such, they are connected to the nation through interaction.

This paper focuses on the function of the artists in the society in which they live. The artists are viewed as a social structure that is instrumental in providing services to the nation. A number of questions are raised regarding the functionality of the music associated with artists of accordion music.

- What type of music do they offer the audience?
- Does the music they play relate to the basic needs of the society?
- To what extent does the music respond to the social, political, economic and religious aspects of the Basotho?

Arguably accordion music is functional in that:

- The music is produced for the society;

- The contents or messages conveyed by the music are relevant to the society;

- The music transmits language skills to its audience; and

- It meets the basic needs of the artists for their survival.

Basotho accordion artists as individuals are basic units that form social structures and perform certain functions within Basotho society. They are born into and nurtured within the society of Basotho; consequently they imbibe and internalize norms and values of Basotho. Their music and artistic creativity is influenced by, and reflects, their social environment. Their survival as artists and the sustainability of their careers depends on the reception and marketability of their product however their audience expects to be fed with music that satisfies their needs. Thus the relationship of parasite-host and host-parasite is symbiotic, exhibiting interdependence between the artists and their society for the benefit of harmony within the society. This form of interdependence ensures the continuity of both their music and the social structure of their society.

5. Performance

The current Basotho accordion musicians differ from those of the *famo* when it comes to organization. Each band has its name and members who play different roles during the performance. In some bands, such as Mosotho Chakela, Mantša and Likheleke tsa Lesotho, the lead-singer plays the accordion, along with a guitarist, a drummer, chorus singers and dancers. The lead-singer sometimes chants *lifela* assisted by one or two of his members. . In other bands, such as Apollo Ntabanyane, Famole and Puseletso Seema, the roles of the lead singer and accordionist are demarcated between two separate individuals. Each band has its own style of organizing itself during performance but most tend to follow either of these two formats.

Accordion songs also follow certain patterns that are popular with most of the artists. *Makhele* and *masholu* are the main types of accordion music. With *makhele,* there is a chorus that is normally followed by the chanting of *lifela.* The most popular structures are chorus-*lifela*-chorus-*lifela* and chorus-*lifela*-chorus. In most cases, *Makhele* refer to songs that have a

chorus regardless of the format they follow. *Masholu* does not have a chorus but *lifela* can be chanted throughout the song while still accompanied by instruments. The *lifela* may be sung by one or more people, depending on the individual band. Sometimes the *masholu* songs are just instrumental and not accompanied by *lifela*. During the performance, there is a systematic turn-taking for the chanting of *lifela* as well as the chorus for singers. (Fig.2, slideshows 10)

6. Defining Proverbs

In the use and application of proverbs in the rendition of their accordion music, Basotho artists regard dicta as eminently adequate to convey the intended and intrinsic meaning of their songs. Guma (1967:65) defines a proverb as "a pithy sentence with a general bearing on life', noting that 'a proverb serves to express some homely truth or moral lesson in such an appropriate manner as to make one feel that no better words could be have been used to describe the particular situation." Finnegan (1984: 389 & 393) defines a proverb as "a rich source of imagery and succinct expression on which more elaborate forms can draw, observing that it is a saying that is more or less in a fixed form marked by shortness, sense and salt and distinguished by the popular acceptance of the truth tersely expressed in it". Finnegan goes on to quote Nketia (1958) saying that "the poet of today who is an artist in the use of words, to him the proverb is a model of compressed language…the artist takes interest in the verbal techniques, that is, the selection of words and use of comparison as a method of statement." This is characteristic of accordion music artists in Lesotho who employ proverbs because of their technical language; a technique highly appreciated by most Basotho.

This paper discusses proverbs, as defined above, and different forms of proverbial expressions that can be categorized under it, including idiomatic sayings. It highlights that Basotho accordion music is currently one form of entertainment that retains aspect of the Basotho oral traditions. It will further demonstrate that this music is also a verbal transmitter of dynamic oral literature that is a combination of praise poetry and *lifela-tsa-li-tsamaea-naha*. As part of its promotion of cultural aspects, this music is flavored with proverbs, the language of wisdom.

Furthermore, the paper seeks to challenge the assumption that proverbs are sayings of the past that are no longer in use or relevant in present day communication. In this regard, it follows Mokitimi's (1999:1) claim that it is wrong to view idiomatic expressions and proverbial sayings as language of the past that do not have a place in a modern society; a

claim she substantiates with Mielder's (1995: x & xii) argument that these expressions have not lost their established popularity and that they continue to be present even in a modern technological society.

In doing this, the following basic characteristics of proverbs will be critically examined:

1. that they all have a fixed and rigid form which they adhere to at all times.

2. that some are didactic and teach a lesson by expressing a moral and summing up everyday experience in getting on in the world as it is.

3. that others are practical in significance and suggest a course of action to be followed; often passing judgment on a particular situation.

The paper is divided into two main sections. The first discusses the use of proverbs in four particular contexts and the second the application of proverbs in accordion music by eight selected Basotho artists.

6.1 Proverbs Used as Titles

Proverbs employed as part of the language convey meaning to listeners even when they are sung. That is why artists give proverb titles for their songs. Mokitimi (1999:3) identifies some contexts where Sesotho proverbs have been applied for effective communication. Some of the situations include titles of books, titles of poems and names of societies. The following discussion addresses the use of proverbs in accordion music where they are used as titles of the songs. It should be noted that the English translations have been rendered by the authors of the paper.

The first group to be dealt with is Tšeole in their cassette entitled *Tšeole No.5* (1998). Its songs are composed by Lehlohonolo Leboli and produced by the late Thabo Senone who was the lead vocalist. Of its nine songs, the group used six proverbs as titles even though they are stated in elliptic form. The underlined version is the title as written on the cassette while the second part relates to the proverb in its rigid form. The songs are as follows:

'Ngoan'a Lekhala' - *Ngoan'a lekhala o tsamaea ka lekeke joaloka 'm'ae.*
(A child of the crab - Like father like son, children take after their parents).

'Masoto a Thari' - *Ho etsa matsoho masoto a thari.*

(Loose ends of baby's blanket - To be inactive when it's time to work).

'Mokhoka-khoale'-*Ho iketsa mokhoka-khoale.*
(Witch-hunt – Get oneself into endless difficulties or problems.

'U ka nketsang' - *U ka nketsang ha e hahe motse, motse ho hahuoa oa morapeli.*
(Stubbornness – Negotiations help to bring peace and stability).

'Thuto-boholo' - *Thuto-boholo ea roba.*
(Adult education - It's not easy to instill changes into aged people).

'Tse bonoang' - *Molimo o etsa tse bonoang ka tse sa bonoeng.*
(Practical experience- People often learn a lot from experience.

The second group is Poho-li-Matla in *Poho-li-matlaNo.5* (1999). The songs are composed and produced by Keketso Mokhiba, four of the ten songs have proverbial titles as follows:

'Ha e lale makoala re none' - *Ntoa ha e lale makoala re none.*
(Stop the fight so that cowards can enjoy life – Let there be peace and prosperity).

'Lefatše le otla bana' - *Ke tla otla bana ka lebaka la bokhopo ba batsoali ba bona.*
(The earth punishes children - Children will always bear their parents' misfortune).

'Lebelo lea fela' - *Lebelo lea fela thota e sale.*
(Speed fades away- Man lives and passes away but the world never does).

'Leboela lea ja' - *Leboela lea ja.*
(Anything that comes back is dangerous - One's going for the second experience results in disaster).

The third group is Selepe, in its album *Selepe No. 5* (1996). They have two songs out of ten with the following proverbial titles:

'Taba li mahlong' - *Taba li mahlong.*
(Deeds are on the face - The face is an index of the mind).

'Li ka robana melala' - *Ho robana melala*.
(They can break one's neck - To be at each other's throat).

Matsekela group in its album *Ba tatile batho* (1996) has two out of ten songs with proverbial titles. Its composer is Mohapi Tlelase. The proverbs are as follows:

'Meno-masoeu' - *Batho ke bo-meno masoeu, ba u bolaea ba ts'eha/Meno-masoeu a phoma.*
(White teeth – White teeth deceive/Dangerous people are those with double standards).

'Maea-ke-maboea' - *Maeo-ke-maboea.*
(That which goes, comes back- It is worthwhile to return to one's origins).

Matsie (1999), with its composer Tau Thabeng and the producer Matsie Sefali, has one song out of ten entitled:

'Moiketsi ha a lleloe' - *Moiketsi ha a lleloe ho lleloa moetsuoa.*
(He who brings trouble on himself does not invoke one's sympathy -
Self-infliction is no excuse for sympathy).

Majakathata (1996),produced by Joe Ransala, has one song entitled:

'Oa lebala' - *Moetsi oa lebala moetsuoa ha a lebale.*
(Tormentor forgets - He who inflicts pain easily forgets while the victim does not).

From the above examples, one notes that twenty seven percent (i.e. sixteen songs out of sixty) have titles with proverbial connotations. This figure confirms the frequent use of proverbs in accordion music. The proverbs used as titles are not in their complete form but only words

bearing the basic meaning of the proverbs. Thus, one learns that the artists are also aware of the economic use of words. One might argue that, since Basotho love proverbs, the artists have taken advantage of that fact to have their songs entitled in proverbs as a means of pleasing and enticing potential buyers. Put another way, even though most of the artists are not well read, they have sound business acumen in marketing their products.

6.2 Proverbs Used to Explain Others or Used Synonymously

This section indicates that the artists in this music are very conversant with their use of proverbs. That they sometimes use more than one proverb to summarize or refer to one incident, shows that they are transmitting agents of oral literature; passing it from one generation to another with the aim of retaining the richness of the Sesotho language. This practice shows the knowledge that one has in one's own language where more than two proverbs are used to explain certain situations. This highlights their capability of mastering the Sesotho language in an era when many fear that oral literature is dying a natural death as future generations fail to actively engage with it.

In the cassette *Tšeole No.5* in the song, 'Ngoan'a lekhala' there are two proverbs. The first one is '*Ngoana oa lekhala o tsamaea ka lekeke joaloka m'ae*' which is used interchangeably with '*Ngoana oa tali o tsejoa ka mereto*' (both meaning 'like father like son, children take after their parents'). In another song, 'Masoto a Thari' the artist says '*lenong ha le lapa lea solla*' ('when one is in need, one wanders about to make a living') which is used to give a supplementary explanation to another proverbial expression, '*se etseng matsoho masoto a thari*' ('one who avoids being inactive at work, makes his life better'). Tšeole also has a third song entitled 'Thuto-Boholo' in which another proverb supplements another. The proverb, '*thupa e otlolloa e sa le metsi*' ('it is worthwhile to mould a person at childhood') is used to explain or is synonymously used with '*thuto-boholo e ea roba*' ('it is not easy to instill changes for aged people').

The Matsie group, in their song 'Moiketsi ha a lleloe' ('self-infliction is no excuse for sympathy')*,* has the proverb '*ngoan'a mahana a joetsoa o ka 'mona ka likhapha ho lla*' ('one who does not heed advice suffers'), which supplements another one '*moiketsi ha a lleloe*'.

Poho-li -Matla No.5, in their song 'Leboella lea ja' ('one's going for the second experience results in disaster') sings '*motho o se ke be oa mo ts'epa, o ts'eha ka meno e ka oa u rata that is Meno a masoeu a phoma*' ('dangerous people are those with standards') which

is explained by '*motho ke nama ea ntja ha a jeoe*' ('never trust a human being'). The second proverb stresses the point contained in the first one: that a human being is untrustworthy and should not to be trusted under any circumstances.

Sentle (1996) in his song 'Ke Kopa Tšoarelo' ('I ask for forgiveness') in the album entitled *Ntoa lia Loana* has five proverbial expressions which explain his regret as suggested in the title of the song. He sings:

> Phoso li tsamaea le mohatisi (Even editors do err).
> Khomo e khoptjoa e le maoto-mane (A horse, though four-legged, falls).
> Litsebe li ka eba li mametse (Attentive ears also miss some words).
> Leihlo le fahloa le shebile (Sharp eyes also fail to dodge dirt).
> Phoso li etsoa ke batho (To err is human).

Under normal circumstances when one feels that he has really done something wrong he tries his best to convince the partner that he is really sorry. In this song, the artist tries his best to make the partner and the audience realize that he is really sorry for the wrong-doing he has committed. As one listens, we could say that he invokes sympathy from listeners. The proverbs are said one after the other in a chain to show the artist's proficiency of Sesotho.

The above examples highlight that the artists have good knowledge of the language. The fact that they use two or more proverbs to explain one incident or use one proverb after the other proves them as versatile verbal artists whose knowledge of their language enables them to manipulate words while still retaining their basic meaning. Listening to this music increases one's vocabulary and knowledge of Basotho proverbs.

6.3 Proverbs Used Randomly in Songs

Proverbs as part of the language are used at times to convey any message the speaker wishes to pass on to listeners. This is also the case in the accordion music where artists spice their songs with proverbs to reinforce the message. The casual use of proverbs demonstrates that accordion music is a vehicle of oral literature; one that is arguably overlooked in academic discussions of literary genres.

Tšeole, in his song, 'Mokhoka-Khoale', says: '*o sa fetoha sethotsela*' ('as you did not become involved in nocturnal activities*)* which comes from '*ho fetoha sethotsela*' ('to be involved in nocturnal activities*'*. In the same song he sings: '*lefu ha se letho moshanyana oeso, ke ngoetsi ea malapa e ntse e tla le lapeng la likhorane e kena feela*' ('death is no

threat, it is everywhere, and it visits even the wealthiest) which under normal fixed order is *'lefu ke ngoetsi ea malapa 'ohle'* ('death is in every homestead').

Mahosana a ka Phamong in one of their albums, *Shalusa No.12*, in their song 'Mandela Lijong', include this proverb: '*sekhukhuni se bonoa ke sebatalali*' ('the crawler is seen by the stalker') to communicate their message. The proverb means that if anything is done in secrecy, there is a likelihood that it might be known.

Articulate and random use of proverbs in everyday language, as shown above, could be said to prove that proverbs cannot be divorced from stylized songs as well as everyday conversation. Proverbs can be included in whatever message we want to communicate to the listeners. Again we may say that Basotho accordion music is one genre folklorists, public and academics alike cannot ignore since it helps to revive and transmit oral literature. One's love towards Basotho accordion music develops as one apprehends its proficiency in Sesotho language.

6.4 Proverbs with Neither Fixed Nor Rigid Pattern

Guma (1967: 65) points out that, proverbs have a fixed and rigid form to which they adhere to at all times, but, as highlighted in examples below, there are cases in some of the accordion songs where they do not follow the normal structure. Artists use them to suit their messages without following their fixed and rigid forms, giving a certain amount of freshness to one's message.

The Matsie group, in their song 'Moiketsi ha a Lleloe', use the proverb, '*ngoan'a mahana a joetsoa o ka 'mona ka likhapha ho lla*' instead of '*ngoan'a mahana a joetsoa o bonoa ka likhapha ho rotha*' ('one who does not heed advice suffers'). In his song, 'Mokhoka-Khoale', Ts'eole says '*lefu ha se letho moshanyana oeso, ke ngoetsi ea malapa e ntse e tla, le lapeng la likhorane e kena feela*' instead of '*lefu ke ngoetsi ea malapa 'ohle*' ('death is in every homestead'). In another song, 'Thuto-Boholo', Ts'eole says '*ngoana ea sa mameleng batsoali o tla 'mona ka likhapha ho rotha*' (the child who does not listen to the parents is always regrettable) instead of '*ngoan'a mahana a joetsoa o bonoa ka likhapha ho rotha*' ('one who does not heed advice suffers').

7. Application of Proverbs

This section deals with the application of proverbs to various situations based on the experiences of the artists. Proverbs may be applied to different situations and embody the distilled and collective experience of the community on such situations. They are also didactic and can suggest a course of action to be taken or even pass judgment (Guma 1967:65) The Basotho artists concur with this idea, employing different proverbs in various songs to communicate with society through concise messages based on their differing practical life experiences. This section will explore different situations in which proverbs are used within the accordion music to demonstrate that proverbs are used in songs contextually.

7.1 Tšeole

'Ngoan'a lekhala':

> *Ngoana o tšoana le 'm'ae, o tsamaea ka lekeke joaloka 'm'ae.*
> <u>*Ngoana oa lekhala o tsamaea ka lekeke joaloka 'm'ae.*</u>
> <u>*Ngoana oa tali o tsejoa ka mereto.(chorus)*</u>
> *Ke bolela kamehla ke hlola ke joetsa bana bana ba ka,*
> *Ke re ngoana o motle ha a futsitse 'm'ae le ntat'ae.*
> *Ngoana a sale mekhoa ea batsoali morao.*
>
> The child is like her mother, he walks sideways like her mother.
> <u>The child of the crab walks sideways like his mother.</u>
> <u>The child of the field mouse is known by the stripes</u>. (chorus)
> I always tell these my children,
> I say that child is good if he behaves like his mother and father.
> A child must follow in his parents' footsteps.

Tšeole addresses his children that they should be well-mannered and behave like their parents. They should also refrain from being influenced by gossip from the villagers as this causes problems for families. His concern is within the family context where he is pleading for peace, stability and good relations in the family circle. One can therefore say that the two proverbs ('*ngoan'a lekhala o tsamaea ka lekeke joaloka 'm'ae*' / '*ngoan'a tali o tsejoa ka mereto*') in this context are used to pass a moral lesson to his children: that the children are expected to behave properly in a socially acceptable manner.

'Masoto a thari':

> *Se etseng matsoho masoto a thari Tšeole*
> *Banna ee! Se etseng matsoho masoto a thari.(chorus)*
> *Helele! Uena monna oa Ha Ramarou,*
> *Ba ntse ba botsa ha u lule keng Lesotho!*
> *U tla lula u etseng?*
> *Ha u ka lula moo u katile Jenete!*
> *U katile fikara kapa botle!*
> *U tsebe u tla fetoha leloabe.*
> *Lehlohonolo lenong ha le lapa lea solla.*

> Do not turn your hands into loose ends of baby's blanket Tšeole.
> Men eh do not turn your hands into loose ends of baby's blanket.
> Hi! You man of Ha Ramarou. (chorus)
> They are asking why you do not stay in Lesotho!
> You will stay and do what?

In this example, the artist sends a message to the entire Basotho nation to refrain from idleness and laziness while they have hands to work for themselves in order to earn a living. The proverbs ('*se etseng matsoho masoto a thari*' / '*Lenong ha le lapa lea solla*') urge lazy people to stand up and act accordingly to stave off unemployment in Lesotho. The artist recalls his workmate from Ramarou who is an example of an industrious man who works hard in order to live. He also sings about himself as an example of a hard-worker who moved from one place to another looking for a job. He did not sit back and expect to be spoon-fed. These proverbs could also be said to be didactic while, at the same time, they suggest a course of positive action to be taken. Just like a hungry vulture that fends for itself, a man must go out to fight for his survival through thick and thin. These proverbs call on men to work hard and sweat in order to survive and scorn the idlers.

'*Mokhoka-khoale*':

> *He! Ntate Tšeole ba u neheletse mokhoka-khoale.*
> *Ba u neheletse ntho e se ka ka letho.(chorus)*
> *'Nake ngoan'a leboli,*
> *A k'u ba tlohele ba ntšale morao.*
> *Ntho eo ke bonang lapeng la ka Tšeole,*
> Feela ba tsebe ke 'moulo ha ke thape.

> He! Father Tšeole they are witch-hunting you.

They have sent you the monster. (chorus)
My brother the child of Leboli,
Let them witch-hunt me.
What I see in my family Tšeole,
But they must know that I am a mule I do not get tamed.

This proverb ('*ba u neheletse mokhoka-khoale*' ('*ho nehella mokhoka-khoale*') sends a message to Tšeole, the vocalist, that an evil spirit is sent to him as bad luck until his death. Some of the villagers who are witches are to blame for his misfortunes: his daughter and his niece experience problems in their marriages. On the one hand, he is being made aware of the terrible situation he is in, while on the other hand, he is encouraged to accept it as his fate that ill-luck will follow him to his grave. It should be noted that this is the title of the last album he released before his death. This is the reason why his close friends feel that he was bewitched to his grave.

'*U ka nketsang*':

> U ka nketsang ha e hahe motse.
> Motse ho hahoa oa morapeli. *(chorus)*
> '*Nake ngoan'a theka la ka.*
> *U joetse morali'a Puleng,*
> *U joetse 'Maliekhe.*
> *He le ke le mamele mosali eo oa ka.*
> *He! Jo oa likhomo ha a le khalema le mo mamele.*
> *Ho tloha moo le tla phela maqhofeng.*
> *Mona teng ke le joetsa 'nete.*

> Stubbornness does not build a family.
> A family that grows is that of the faithful. (chorus)
> My brother, my child.
> You tell the daughter of Puleng,
> You tell 'Maliekhe.
> Please listen to that wife of mine.
> Please listen to the one whose *lobola* has been paid when she reprimands you.
> Or else you will into being non-entities.
> On this note I am telling you the truth.

This proverb ('*u ka nketsang ha e hahe motse - motse ho hahuoa oa morapeli*') is addressed to the children of the artist who are advised to listen to their mother if they want to live a

decent and progressive life. The artist also addresses the husbands and wives who are inebriated and disorderly, causing family problems. This is also directed to husbands and wives who dislike being questioned about their whereabouts especially when they come home late in the evenings. Having observed family frictions he proposes some solutions to the problems. He is calling for peace and stability within the families, between children and parents, and between husbands and wives. This accords with Finnegan's (1970:412-413) claim that: "proverbs are a suitable form of communication in situations and relationships of latent conflict, where there is a need to regulate formalized conflicts". She further points out that proverbs imply some general comment on how people should behave when in the same pages says: "it is clear that the conveying of a people's experience and expectations can be performed in a particularly effective way through the use of proverbs." Accordion artists, being first language speakers of Sesotho, have observed this effect of proverbs on the public and use them accordingly to communicate moral lessons that will benefit the society as a whole.

Thuto-boholo:

> *Thupa u e otlolle e sale metsi Tšeole.*
> *Thuto-boholo e ea roba. (chorus)*
> *'M'e 'mangoan'aka Pulane,*
> *A k'u mp'u joetse bana bao beno, Lelingoana.*
> *Le ngoan'abo Motlatsi ke khale ke khalema ba 'mamele.*
> *Ke utloa ke tšaba sebete sa 'Mathipe, ngoan'a moholoane.*
> *O ile a tseba ho phetha melao.*
> *Le mohla a nyaloang o ile a joetsa 'm'ae le ntat'ae.*
> *'Matiisetso eena o sa re phoqile.*
> *Ngoan'a moholoane o thobile bosiu.*

> Straighten the stick while it is wet Tšeole.
> Adult education is difficult to instill. (chorus).
> Mother, the mother of my child Pulane,
> Please tell your brothers and sisters, Lelingoana.
> And his brother Motlatsi I have been warning them to listen to me.
> I just wonder at determination of 'Mathipe, my brother's daughter.
> She managed to heed her family rules.
> Even on her she informed her mother and father.
> While Matiisetso disappointed us.
> The daughter of my brother eloped during the night.

The message is sent to the sons, daughters, relatives of the artists and even the entire society. The artist takes himself as an example in that, even in his old age; he still recalls what his parents used to tell him in order to be a disciplined youngster. He goes further to compare the two daughters of his brothers. The first one had her marriage planned by the parents because she was well-disciplined and was also the pride of her parents. The other one eloped because her behavior was disappointing as she did not heed her parents' advice. His appeal is that youngsters should listen to their parents in order to become disciplined adults, because in their adulthood it is difficult to change behavior. In this case, the proverb ('*thupa o e otlolle e sa le metsi*' / '*thuto-boholo ea roba*') suggests a course of action in relation to the upbringing of the children.

7.2 Poho-li-matla

'Lebelo lea fela':

> *Lebelo lea fela he thota e sale!*
> *E sale he thota e sale! (chorus)*
> *Lebelo lea fela thota e sale bahlankana ba heso!*
> *Pelo ea ka e ntse e utloa bohloko,*
> *Ho betere ke mpe ke ichoelle.*
> *Lefatšeng ke tenehile.*

> Speed fades away while distance remains intact!
> It remains, it remains! (chorus)
> Speed fades away while distance remains my homeboys!
> My heart keeps on aching.
> It is for me to die.
> I am tired of this world.

This proverb ('*lebelo lea fela thota e sale*') is used to communicate the artist's depression because of the problems he is experiencing in life. He even longs for death in order to escape from this world of troubles. When he released this album the artist had just come out of prison and, when recording this album, he had problems with his voice. His message is that even if he dies the music career should be taken up by other artists. As if to echo Shakespeare, he makes us aware that the world is a stage: we play our part and exit while the world remains with other actors who will continue to play their roles.

'Leboella lea ja':

> *Keketso hlokomela hle <u>he leboella lea ja</u> hle!*
> *Mathula hlokomela hore <u>leboella lea ja</u>.*
> *Ke re ke utloa ke tšaba pelo tsa batho.*
> *Motho o tšoana le nama u se ke be ua mo tšepa.*
> *Helele ndoda Keketso.*
> *He! Ba tšeha ka meno e ka ba u rata,*
> *Ha u potela o ntse a u bua.*
>
> Keketso beware that <u>anything that comes back is dangerous</u>!
> Mathula beware that <u>anything that goes back is dangerous</u>.
> I say I am afraid of people's hearts.
> Helele! Keketso!
> He! They laugh showing their white teeth as though they love you.
> When you are out of sight they bite you back.

The artist seems to have been betrayed by one of his friends is warning of the dangers of unfaithful friends. The concern is that if he ever goes back to his former friend he might encounter worse problems. He is determined not to re-establish friendship with his erstwhile friend whose betrayal sent him to prison. As Guma (1967: 99) puts it, this is one of the proverbs ('*leboella lea ja*') that counsel society on the basis of past experiences.

7.3 Matsekela

'Bo-meno-masoeu':

> *Bo-meno-masoeu ba tšeha ka meno ba tla u bolaea.*
> *Hela Mohapi hlokomela batho bana, ba tšeha ka meno ba tla u bolaea! (chorus)*
> *Batho ba heso ha ba nthate, ba re ho 'na ba tla mpolaea.*
> *Ba tšeha ka meno, bongata ba bona bo nthetsa ba re ba nthata.*
>
> Those who display their white teeth when laughing are those who will kill you.
> Hi! Mohapi beware that these people with white teeth will kill you. (chorus)
> My home people do not love me they told me that they will kill me.
> They display their white teeth when laughing, while many pretend to love me.

The artist is here addressing the nation but the direct message goes to his fellow villagers who are unreliable deceivers. They write letters which threaten the artist while pretending to love him when meeting him. The song states that the artist is aware of the situation and sends a warning to the villagers that the artist knows of their double standards. Thus this proverb ('*bo-*

menomasoeu ba ts'eha ka meno ba tla u bolaea') is based on personal experiences which ought to be valued in life.

'Maea ke maboea':

> *Maea-ke-maboea,*
> *Le ba ileng ma-ea-ke-maboea. (Chorus)*
> *Mathaka bongata le mpotsa ke lula kae?*
> *'Na ke lula lokeisheneng lena la Odendaal.*
> *Helele! Ngoan'a 'Maliso!*
> *Leha u khutla ke ntse ke u rapella bophelo.*

> That which goes, comes back,
> Even those who have gone will come back. (chorus)
> Young most of you are asking me where do I stay?
> I stay at the location of Odendaal.
> Helele! The child of 'Maliso!
> Even when you come back I still pray for your survival.

The artist seems to be staying in the Republic of South Africa in Ondendaal. The plea is that, though he went to South Africa, he is still expected to come back to Lesotho despite the tendency for some Basotho men not to return. This song is a warning to each migrant worker that it is worth coming back home where one belongs, to look after family and meet old friends. It is imperative for one to remember and honor his roots no matter how green the grazing pastures are in South Africa. Therefore home is home and will always remain so. Migrant workers are encouraged to go back to Lesotho having accumulated wealth in the Republic of South Africa. He despises those migrant laborers who come back to Lesotho when they are in a devastating situation and ready for burial. He employs the proverb ('*maea-ke maboea*') to argue that they should come home when they are still capable, healthy and alive.

7.4 Matsie

'Moiketsi ha a lleloe':

> *Moiketsi ha a lleloe,*
> *Ngoan'a mahan'a joetsoa o ka 'mona ka likhapha.*
> *Ho lla, ha a lleloe,*

Ngoan'a mahan'a joetsoa o ka 'mona ka likhapha. (chorus)
Ntho e nkhopotsa tseo eleng khale ke li lebetse.
Bana ba Marupinyane khale ba balehile.
Bana ba otlang bo-ntat'a bona, batsoali hantle.
Ha ke le teng ha ba sa chakela mahahabo bona.
Ba re e tl'o re ha ba fihla ke tl'o thunya.

He who brings trouble does not evoke one's sympathy,
A child who refuses to listen to advice is seen with tears.
Crying, nobody has cry for him,
A child who refuses to listen to advice is seen with tears.
This thing reminds me of the things that I have forgotten.
The children of Marupinyane have long left their home.
Children who beat up their fathers, their real parents.
When I am around they no longer visit their home.
They assume that when they visit their home I will shoot them.

The proverb ('*moiketsi ha a lleloe'* / '*ngoan'a mahana a joetsoa o bonoa ka likhapha ho rotha*') is addressed to the children of Marupinyane who beat up their parents. It is not only abnormal but immoral and socially unacceptable in any society for children to beat up their parents. That is the reason why the artist volunteered to protect the parents against the unruly children. As a result of his stern interference coupled with physical punishment, the children deserted their home for Maseru town where they walk the streets as gangsters. The artist indicates that the unruly life-style of the children is of their own creation. Therefore they do not need sympathy from anybody. This proverb passes judgment in that anybody who turns a deaf ear to a piece of advice will always find himself in trouble. His plea is that children should be obedient and respectful to the society for them to be acceptable, social beings with dignity.

7.5 Majakathata

'Oa lebala':

Oa lebala.
Moetsi eena oa lebala.
Oa lebala.
Moetsi oa lebala empa moetsuoa ha a lebale. (chorus)
Ua tseba moetsi oa lebala.
Ua tseba ha u nts'u li etsa u sa li hopole….
U sa tla bona meleko.

He forgets.
The tormentor himself forgets.
He forgets.
The tormentor forgets but the victim does not forget.
Do you know that the tormentor forgets.
Do you know that when you commit them and forget them.

The tormentor often forgets his actions while his victim seldom forgets his ill-treatment. As South Africans say, 'we can forgive but not forget'. The proverb ('m*oetsi oa lebala, moetsuoa eena ha a lebale'*) is used here in a general manner to warn the society that whatever they do to others paints an indelible mark; it will always be recalled even after many years when the doer has forgotten. The artist is calling for people to treat others in a more cordial and friendly manner, so that good memories would be remembered instead of those sad moments which may open irreparable wounds.

8. Conclusion

In conclusion, this is a summative table of proverbs. The table shows how many proverbs have been used by one artist in one of their album cassettes. This shows that proverbs are not dying in usage. Accordion music can therefore be seen as a genre that promotes and retains some of the Basotho traditions and as such qualifies to be regarded as a traditional music of Basotho.

Names of albums	Total number of proverbs per album	Total number of songs per album
Tšeole No5	13	10
Poho-li-matla No.5	5	10
Sentle	5	10
Selepe No.5	2	10
Matsekela	2	10
Matsie N09	2	10
Majakathata N012	2	10
Mahosana a ka Phamong Shaluza No12	1	10
Total	**32**	**80**

According to the figures above, we find that thirty-two proverbs have been sporadically deployed in eighty songs. Tšeole and his group are most prolific in the use of proverbs, employing thirteen proverbs in their ten songs; followed by Poho-li-Matla and Sentle who both use five proverbs.

The paper has highlighted the frequent use of proverbs in accordion music as evidence of their continued use in Basotho culture. This challenges accounts of accordion music as a mere form of entertainment advocating that it is a genre worthy of closer academic and musicological scrutiny, particularly with regard to its use and application of proverbs. The artists involved in this music are teachers of oral literature in that they apply and use proverbs contextually. As such, they promote the use and understanding of proverbs among younger generations. According to Phafoli (1999:9) Basotho accordion music should, therefore, be treated as one verbal art that changes with times and verbally transmits oral literature from one generation to another This paper invites the public to reconsider the status of Basotho accordion music, not as a mere form of entertainment but as an art form that conveys some of the customary and cultural aspects which a nation wishes to retain for its survival and identity. Accordion music could be seen as one of the reservoirs of oral literature worth preserving for future generations. Its artists need special attention and respect from both public and academics.

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Cassettes

Mahosana a ka Phamong, 1996. *Shalusa No.12*, produced by Solomon M. Khoza, Company-Cool Spot Productions, South Africa.

Majakathata, 1996. *Majakathata No.12*, produced by Joe Ransala, Company-Teal Records, South Africa.

Matsekela, 1996. *Ba Tatile Batho*, produced by Calvin Blignant, Company-W. C. M. South Africa.

Matsie No.9, 1998. *Matsie No.9*, produced by Matsie Sefali, Company-Edward Viereira Productions, South Africa.

Poho-li-Matla No5, 1999. *Batho Ba Bang*, produced by Keketso Mathula, Company-Edward Viereira Productions, South Africa.

Selepe No.5, 1996. *Selepe No.5*, produced by Calvin Blignant, Company-W. C. M. South Africa.

Sentile, 1996. *Ntoa Lia Loana*, produced by Calvin Blignant, Company-W. C. M. South Africa.

Tšeole No.5, 1998. *Mokhoka- khoale*, produced by Thabo Senone & Senone Leboli, Company-Edward Vieraira Productions, South Africa.

Figures 2-18: Pictures of Letsotho Musicians Performing Traditional Songs

The images show Puseletso Seema and her band performing traditional Lesotho songs.

Meaning, Dreaming, Relating and Levels of Consciousness in Music Psychotherapy: a Psychoanalytic, Developmental and Transpersonal Paradigm[1]

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Abstract

In this article the author explores the creation, experience and meaning of music from a number of different perspectives. Although his principal aim is to contribute to the development of theory and practice in music psychotherapy, the author proposes that the thinking he presents also potentially has a wider application beyond the therapeutic sphere. That is in developing our understanding of how music is experienced to be meaningful because of the way it functions psychologically.

The author presents a framework of levels of consciousness, suggesting that music can be understood to be therapeutically meaningful in many different ways at each level of consciousness whilst ultimately it is transcendent of meaning all together. In his exploration of this, the author draws especially on contemporary psychoanalytic perspectives that can be used to understand the role of dream level processes in making everyday experience manageable as well as meaningful at an emotional level. This is dreaming understood to be an unconscious activity of the mind occurring day and night, dream level processes being involved in both creating and experiencing music. It is as a result of these that music can potentially generate experiences of Truth that are not only meaningful at a personal level but psychologically resonant ultimately at a transpersonal level of consciousness beyond knowing. Such experiential Truth from a contemporary psychoanalytic perspective provides the psyche's most essential type of nurturance. The author considers this to be fundamental to music's potential as a psychotherapeutic medium.

The author is particularly concerned in the article with intersubjectivity. That is with the dynamics of relationship between client and therapist when they create (dream) music together in improvisation based music psychotherapy. In this the experience is of being both 'one' and 'separate' as is characteristic of the nature of relationship at the level of dream consciousness. Two different levels or aspects of intersubjectivity are explored drawing on developmental psychology as well as psychoanalysis. The author proposes that health involves being able to maintain the inevitable tension between being 'one' and 'separate' and draws out the therapeutic implications of this. Finally brief reference is made to the 'oneness' of transpersonal music experiences whether in active or receptive forms of music psychotherapy.

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[1] Parts of this article were originally presented at the 6th Nordic Music Therapy Conference: *Sounding Relationships*, April 30th – May 3rd 2009, Aalborg University, Denmark.

1. General Introduction

In this article, and others which I intend will follow it, I explore the creation, experience and meaning of music from a number of different perspectives. In this my principal aim is to contribute to the development of theory and practice in *music therapy* (and *music psychotherapy* in particular - see **2**. below[2]) although I believe that the thinking I present also potentially has a wider application beyond the therapeutic sphere.

An underlying premise of mine is that it is necessary to have many different perspectives to draw on so as to be able to understand and promote the client's music experience for therapeutic benefit in the most effective way. This is even within the single area of practice which is *music psychotherapy*[3]. Thus I present a diverse range of perspectives, although at the same time I regard them as coming together to form a single meta-perspective, if a complex and multi-faceted one. Very broadly speaking this is psychoanalytic in orientation, though I also draw on developmental and transpersonal psychology and other areas such as musicology. From psychoanalysis I draw most especially on thinking that to my knowledge has not been assimilated into the theory and practice in *music psychotherapy*, exploring perspectives that can be used to understand the very fabric of music itself, the experience it generates, the dynamics of music based interaction and the creative process.

1.1 Psychoanalysis, Music and Music Psychotherapy

It is important for the reader to be aware that psychoanalysis itself, beginning with Freud, has on the whole paid relatively little attention to music (Sapen 2012, Nagel 2013). One of the challenges for psychoanalysis is that where other creative modalities like art and drama may have a fairly obvious psychological content that can be approached psychoanalytically, music as non-representational art form does not unless it sets a text, for example. Music can clearly generate a meaningful experience and can resonate emotionally at a deep level. Thus it seems to have some sort of psychological or emotional content. Yet even with recourse to the

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[2] In referring to the literature I generally use the term *music psychotherapy* when it is appropriate in terms of the criteria I draw on (see **2.**). This is for the sake of consistency even when in a specific text I draw on the term *music therapy* is the one used.

[3] Indeed, I also believe it important to be able to shift and integrate perspectives in the kind of broader way Bruscia elaborates in relation to six main different areas of practice (Bruscia 1998a, Bruscia & Stige 2000, see **2.** below). This may, for example, involve moving from a *psychotherapeutically* oriented way of working to a *community* oriented one or vice versa, or integrating *didactic* (educational) and *psychotherapeutic* perspectives. It is not with this that I am concerned in this text, however.

composer's family and life history, it is not a straight forward matter to draw out, by studying a specific piece of music (that is its formal structure), what its psychological content might be (if anything) in terms of the music resonating at some level with the composer's inner world. Indeed music seems to be almost subversive of psychoanalysis in this sense (Davies and Richards 2002: 16). It is also not easy to explain why a particular piece of music generates the psychological experience it does for the listener. Or rather the different kinds of experience it may generate for different listeners at different times.

This is reflected in accounts of (psychoanalytically oriented) *music psychotherapy* in the literature. Whilst these generally refer to the client's emotions and relationships and the way his difficulties are worked on therapeutically (psychological content) and of course describe how music is involved in the process, the actual fabric of the music (its form) is rarely analysed and discussed in detail in relation to its therapeutic function and role. Indeed the music may assume more of a background role in terms of the way the psychotherapeutic process is described (De Backer 2004).

Furthermore, depending on a therapist's training background, the particular method(s) he uses and the philosophy of his approach, there can be wide differences of emphasis and opinion when it comes to determining what may or may not be important about music therapeutically. Thus Streeter, in an influential as well as controversial article published in the *British Journal of Music Therapy* (Streeter 1999b), with reference to the existing *music therapy* literature[4], questions both theory and practice (in improvisation based *music psychotherapy*[5]) when there is an emphasis on *merging* (client and therapist being 'one') in the music (see **7.** below). She is also concerned where there is an emphasis on the aesthetic[6] and spiritual dimensions of the work and its "mystery" which she thinks at best distract from responsible professional practise focused on addressing client need (Streeter 1999a, 1999b).

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[4] Streeter references particularly the work of music-centred practitioners. See footnote 9.

[5] See footnote 25.

[6] The aesthetic dimension of music experiences can on the one hand be treated, most especially by music centred practitioners, as being of central importance and of health promoting significance in therapeutic work (for example Aigen 2007, Lee 2003). Others regard musical aesthetics as not being important therapeutically (Smeijsters 2005, Streeter 1999b), some pointing to the way the therapist's own psychopathology can become manifest through a preoccupation with it that undermines his being able to meet his client's needs (Lecourt 1998). This is a topic I intend to return to in a future proposed article in this series. A particularly important psychoanalytic perspective with which to approach it and understand what may underlie such professional differences (conflicts) of thinking and the dynamics of suspicion that the topic of musical aesthetics can raise derives from Meltzer's elaboration of the *aesthetic conflict* (Meltzer and Harris Williams 1988). This I cannot elaborate here but have elsewhere (Lawes 2002).

Streeter asserts as a key tenet of her thinking that "psychological processing" cannot take place through the creative musical process alone. Indeed, she suggests that the music-making may be driven by a pathological unconscious process in which client and therapist remain caught up, unless the therapist has recourse to "psychological thinking"[7] with which to reflect on what is happening unconsciously in the music and as a result modify his musical input (and/or possibly make a verbal interpretation). The underlying premise of her argument is that "musical awareness" needs to be balanced by "psychological thinking" and that the work may be "unsafe" without this (Streeter 1999b).

Though psychological thinking or processing of one type or another is undoubtedly important, convincing arguments have been made that Streeter's perspective on this is too limited and limiting, even in terms of her own field of thinking (Aigen 1999, Ansdell 1999, Brown, 1999, Pavlicevic 1999). Just as Freud's understanding of the arts was incomplete and limited, focused on the psychopathology of the artist and over-emphasising the neurotic aspects of artistic experience (Glover 2009), Streeter in the way she draws on psychoanalytic thinking is I believe is too restrictive in the way she proposes the music experience in *music psychotherapy* be understood and worked with. Most especially, in emphasising how pathology can become manifest musically and worked with therapeutically from one particular perspective, important and valid as her ideas about this may be, at the same time she does not seem to embrace the possibility of health promoting psychological processes occurring at a purely musical level. That is unless the therapist's input is steered by psychoanalytic thinking in the way she proposes.

Whilst her views do not represent an agreed consensus of thinking in relation to theory and practice in (psychoanalytically oriented) *music psychotherapy*, they do reflect what I believe is a need for continuing development and integration in the field in terms of understanding the relationship between 'the psychotherapeutic' and 'the musical' (Lawes 2013).

Importantly, there has been since Freud's time a great deal written about creativity, aesthetics and the arts in the psychoanalytic field that is potentially a rich resource to draw on, even if there is relatively little written about music itself. In this, whilst Winnicott's important contribution is well-known and often referenced in the *music psychotherapy* literature (Levinge 1993, Tyler 1998, Pavlicevic 1997), there is much other psychoanalytic thinking

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[7] For Streeter this is grounded in an understanding of transference and counter-transference (Streeter 1999a, 1999b).

that seems to be little if at all known about. There are, for example, many contributions that help illuminate the psychological significance of both making and experiencing art, and the nature of form in the arts and its relationship to content, moving far beyond Freud's limited approach to content (Glover 2009). These and other more general developments in the field including contemporary ones at the cutting edge of psychoanalytic thinking can I believe be usefully assimilated so as to contribute to a fuller and more developed understanding of topics like *merging*, of the aesthetic and spiritual (transpersonal) dimensions of psychotherapeutic work involving music, and of the unique therapeutic potential (as well as limitations) of music as creative medium.

There is much, in particular, that can further an understanding of the creative process and of the state of mind needed by a therapist to facilitate therapeutic work involving music. This includes how a type of 'psychological thinking' ('psychological processing') can indeed be understood to occur in purely musical form that is psychotherapeutic in the deepest and most authentic sense. Whilst 'psychological thinking' of the type Streeter advocates may be very important, being preoccupied with wanting to understand what is happening psychologically (at an unconscious level) and with helping the (verbal) client develop insight into his problems (making the unconscious conscious) (Streeter 1999b) can, I suggest, get in the way of the workings of the psychotherapeutic process at a deeper level, where the creation of the music itself can involve a type of unconscious ' psychological thinking'.

What may be needed, therefore, may be not so much to balance "musical awareness" with "psychological thinking" (Streeter 1999b), as to balance music-based *dream-thinking* (see **1.2**) with (word-based) "psychological thinking". For this it is necessary to appreciate that sometimes the most therapeutically significant change and transformation occurs at a level of unconscious depth that can never and need not be fully understood (Vermote 2011)[8].

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[8] There are other psychoanalytic perspectives that can help illuminate the nature of therapeutic change in *music psychotherapy* when this occurs at a level that does not involve the kind of psychological awareness and thinking (interpretation) with which Streeter is concerned (Lawes 2013). One is elaborated by Stern. This concerns change occurring at the level of *implicit relational knowing* (see **6.** below) where again the therapist's use of "psychological thinking" (Streeter 1999b) may get in the way when a more immediate response is called for. This is most especially when certain decisive 'now moments' arise at which times the therapist's (defensive) attempts to interpret, and so avoid 'meeting' the client in the immediacy of the moment may mean that an important opportunity is missed when the client may have otherwise experienced psychotherapeutic change (Stern 2004, Garred 2004). Other perspectives come from Winnicott with his proposing that the act of playing with another in itself can be psychotherapeutic before and beyond what the play may or may not be about at a symbolic level (1971). Bollas' work too is important with his concept of the *transformational object* (Bollas 1987). The application of this to *music psychotherapy* has been explored by Stewart (Stewart 2002, 2004).

Because music is so complex and multi-faceted as therapeutic medium, in order to develop theory and practice in (psychoanalytically oriented) *music psychotherapy*, I believe it necessary not only to assimilate wide ranging perspectives in psychoanalytic thinking, but also to assimilate thinking from other disciplines such as musicology. Most especially, I believe there needs to be openness to learning from practitioners across the spectrum of practice in the wider *music therapy* field, including those who may think in sometimes very different ways about music and therapy (Ansdell 1999, Brown, 1999, Pavlicevic 1999). Thus in addition to drawing on the writing of those who adopt psychoanalytic thinking, I also draw on the work of music-centred practitioners[9] who, whilst they may not themselves find psychoanalytic thinking to be relevant to the way they work, nevertheless I regard as having an important contribution to make in understanding various core topics in (psychoanalytically oriented) *music psychotherapy* (Ansdell 1995, Aigen 2005, 2008, Garred 2004, Lee 1996, 2003).

1.2 Bion: Dreaming, Truth and O

Amongst psychoanalytic writers, as well as referring to those with a special interest or experience in the creative arts, I draw most especially on the work of those who have developed the implications for theory and practice of Bion work's including the remarkable re-visioning of psychoanalysis in his later thinking (Meltzer & Harris Williams 1988, Ogden 1994, 2005, Grotstein 1997, 1999, 2000, 2007, Eigen 1998, Ferro 2005, De Cortinas 2009, Reiner 2009, 2012, Vermote 2011). This includes an understanding of the unconscious which embraces its more ineffable transpersonal dimensions. Because of the significance I consider this to have, I elaborate some of the central themes of Bion's work here, themes which underpin much of my text.

A central tenet of Bion's thinking, drawing principally here on Grotstein's elaboration of it in his seminal publication *A Beam of Intense Darkness: Wilfred Bion's Legacy to Psychoanalysis* (2007), is that the most essential psychological need of human beings is to experience *Truth*. This is not intellectual or scientific (factual, objective) truth. Rather it involves a person's being able to experience the subjective *Truth* of who he is in his everyday

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[9] Music-centred practitioners such as Aigen, Ansdell and Lee (who are Nordoff-Robbins trained) are more concerned with deriving theory and practice from the phenomenon of music itself than they are with the application of thinking from other disciplines such as psychoanalysis (Aigen 1999, Ansdell 1999). Aigen, nevertheless, characterises his work as being a music-centred form of *music psychotherapy* (Aigen 1999, Bruscia 1998a) (see **2.** below).

life through being able to assimilate his emotional experiences. According to Bion, this depends on his being able to process them unconsciously through 'dreaming' them. This is not only at night but during the day as well. For it is an individual's emotional experience that mediates and allows him to realize *Truth* at a personal level if it can be processed (dreamt) in a way that assimilates its full depth and complexity. That is if all the different, even conflicting feelings that together constitute the wholeness of an emotional experience can be brought together and integrated. An example would be being able to assimilate feelings of both love and hate felt at different times towards the same person. It is when such can be brought together and 'harmonized' that *Truth* is experienced of the type that according to Bion is the mind's most essential nurturance (Grotstein 2007). This is personal *Truth* which at the same time resonates with the universal *Truths* of experiencing that we all live by (Ogden 2005).

A central insight of Bion's is that such *Truths* in their ineffable essence are ultimately beyond anything that can be fully comprehended. Bion refers enigmatically to the 'O' of experiencing at this level which he associates with *Absolute Truth*, *Ultimate Reality*, the *thing-in-itself*, Milton's 'void and formless infinite' and the *godhead*. With this concept of O, he thus introduces a transpersonal (spiritual) perspective into the heart of psychoanalytic thinking (Eigen 1998, Grotstein 2007)[10]. Indeed, his work suggests that contact with the numinous transcendent realm of O is absolutely fundamental to the development of the mind right from the beginning of life (Reiner 2009), mediated by dream level processes[11].

Bion's work gives a particular perspective with which to understand the psychological function, and therefore therapeutic potential of the creative arts. For the arts, which can be understood to operate essentially at the level of dream consciousness as I explore in the text, are uniquely suited to *containing* a sense of the wholeness, and thus the *Truth*, of human (emotional) experience in all its subtlety, depth and multi-layered complexity. Indeed, the creative arts can potentially resonate *Truth* at a depth that little else can. This as it is 'dreamt'

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[10] It should be clarified here that in using a term like *godhead*, Bion is not religious in the conventional sense. Most especially, he does not conform to any kind of religious ideology. Whilst he does consider the religious dimension of human experience to be very important and comments on its neglect in psychoanalysis, he is more interested in the mystical traditions of both East and West than with restrictive ideologies that may in fact inhibit the individual's living out of an authentic sense of *Truth* (Reiner 2009).

[11] It can be suggested that one of the limitations in Streeter's thinking (1999b) is that with her belief that the aim of therapy from a psychoanalytically oriented perspective is to make the unconscious conscious, she has too restricted an understanding of the unconscious mind. Thus she only seems to conceptualize the dynamically repressed unconscious, which Grotstein terms the secondary unconscious and not the (unrepressed) depth unconscious that never becomes conscious (Grotstein 1999, Vermote 2011).

which in *music psychotherapy* can involve the client's (and therapist's) involvement in both creative and receptive music experiences (dependent on the modality of practice). It is important to realize in this that Bion regards dreaming as being a type of thinking (that is of unconscious "psychological thinking") that can take place in many different sensory-based modalities including the musical. It is the most important type of thinking when it comes to assimilating and processing experience (emotion). Thinking involving words is "secondary thinking" or "after thinking" (Grotstein 2007).

When *Truth* is realized as a result of *dream-thinking* (without which it cannot be realized), an experience of meaning is generated that is at once personal and universal (Ogden 2005) and utterly ineffable in its ultimate transpersonal essence (O, *Absolute Truth*) (Figure 1)[12].
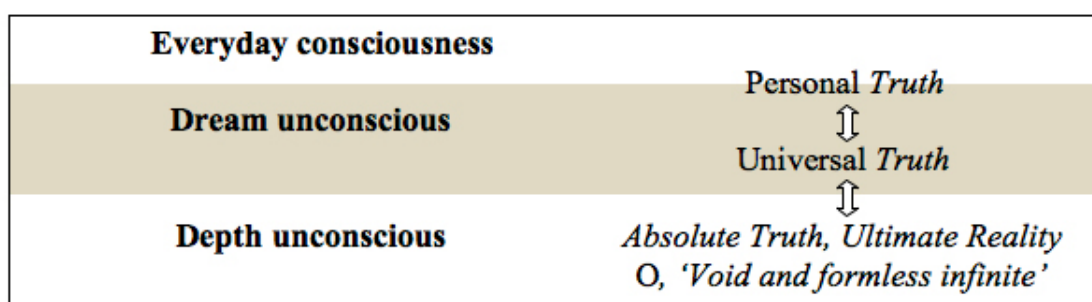
Figure 1. Levels of (Emotional) *Truth* (after Bion)

It can be proposed that without being able to experience *Truth* in this sense, the individual is starved of being able to experience his life to be meaningful in any way that really satisfies at depth. Music can have an important role to play in mediating this both within and beyond the therapy room.

Whilst this very brief summary can hardly do justice to the full richness of Bion's thinking which is indeed very complex, the ideas that I have drawn out here - of music's functioning to *contain* experience at the level of dream consciousness and to mediate *Truth* (and thus a sense of meaning) at depth - are core themes that underlie my text.

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[12] Experiences of O (*Truth*) can be understood to be those of the "implicate order of the universe" as elaborated by Bruscia (Bruscia and Stige 2000: 85-88, Wigram et al. 2002: 38), though this cannot be explored in detail here.

1.3 The Spectrum of Consciousness

In addition to drawing on psychoanalytic perspectives, I have also been much influenced by Wilber's *Integral Psychology* (2000) in approaching the complex multi-faceted nature of music experiences and in thinking about the different perspectives as are needed to understand them in any sort of a complete way. Indeed, it has been proposed by Bonde that Wilber's model could potentially provide a meta-theoretical framework for *music therapy* (Bonde 2001, 2011). An important tenet of Wilber's thinking is that any psychological therapy that is to be adequate to *Reality* needs in its theory and methodology to acknowledge the full spectrum of human consciousness (Wilber 2001). That is not only what might be termed the psychodynamic unconscious but also the transpersonal dimensions of consciousness which are ultimately formless and infinite as Bion too proposes (the numinous transcendent realm of O)[13].

Both Wilber and Bion have been influenced by the mystic traditions of religion in thinking about these more ineffable transpersonal dimensions of human consciousness. Wilber in particular refers to the spectrum of consciousness identified in the perennial philosophy (the common core of wisdom found in the world's great spiritual traditions). Though this has been elaborated in many different ways, in its most basic form it consists of waking consciousness, dream consciousness, and consciousness at the level of deep dreamless sleep (the 'void and formless infinite'). Transpersonal experiences occur when consciousness at these deeper levels is opened to 'awake' which, for example, is the ultimate goal of yoga and meditation practices (Wilber 2000).

I draw on this same spectrum of levels of consciousness in order to provide a framework within which to place the many different perspectives I present. That is to help the reader assimilate them together into the complex, multi-faceted whole I propose they are. In elaborating this I refer to the work of Campbell who highlights one text in particular - the *Mandukya Upanishad* - that can be used as a basis for understanding the meaning of symbolic/art forms at each level of consciousness (Campbell 1968). Drawing on Campbell's reading of this text, I explore how music can not only be given meaning on each level in innumerable different ways, but more than this is simultaneously meaningful on all three levels of consciousness at once, as well as being ultimately transcendent of meaning all together.

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[13] See footnote 11.

1.4 Many Truths

This gives music an experiential meaning that is multi-layered and complex including in the therapeutic domain. Difficulties and misunderstandings arise when in focusing on one aspect to clarify matters, the significance of other aspects is underplayed or ignored. The reader, I believe, needs to bear this in mind in reading any text on *music therapy*[14]. The problem is, as Wilber suggests, that any one perspective may well be complete in its own terms, but when its truths are asserted in a way that denies or ignores other perspectives, they becomes false. Any one perspective can only be relatively true or useful. There are always other contexts or perspectives of meaning: in fact contexts within contexts endlessly according to Wilber (Wilber 2001: 102).

It is with such thinking at the back of my mind that I present such a wide ranging set of perspectives, not that I consider them all to be useful in all circumstances, but rather potentially useful in thinking about and helping promote the client's music experience for therapeutic benefit. Thus, in utilising the different perspectives in clinical work, my own experience is that at any one time one or more perspectives may be figural in my conscious awareness. Other perspectives may be present at a more background (unconscious) level of awareness but come to the foreground at other times. Importantly, in this I often find it necessary to simultaneously hold in mind quite contrasting perspectives.

This relates to the way that whilst I endeavour in the text to relate and integrate the different perspectives I present with one another, at the same time my approach is a pluralistic one in which the whole comprises much diversity. Thus I present each perspective employing the terms and concepts of the original texts I draw on, where the underlying assumptions and focus may be quite different in each case. I do not attempt to over smooth out differences which reflect the way that music itself is an irreducibly complex and multi-faceted phenomena as I understand it. Its meaning and therapeutic significance cannot be fully grasped with recourse to a single perspective. That is if it is to be approached in any sort of a complete way. In fact, even the entire set of perspectives I present is only one amongst potentially limitless numbers of others. Such is the nature of *Reality, Truth* and meaning as I understand it.

Because my underlying aim is to bring together and inter-relate many different perspectives there is only space to elaborate each one relatively briefly. This means that

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[14] I believe that this is the difficulty with Streeter's text (1999b) commented on by those who responded directly to it (Aigan 1999, Ansdell 1999, Brown, 1999, Pavlicevic 1999). See also Bruscia & Stige 2000: 91.

clinical examples cannot be included. I also believe it important not to over fill out theoretical ideas which refer to therapeutic and musical experiences that are in their essence ineffable and beyond what can be captured in words or illustrated by audio or video examples. Rather my hope is that the reader will find his own evolving 'living' meaning grounded in his clinical practice (if he is a therapist) as well as his personal music experiences. This reflects the way that in my own case, whilst working on the text, I have drawn on my clinical practice, continually moving between it and the writing. At a more personal level the text is rooted in a formative therapeutic music experience of my own and my life long quest to understand it (in as much as this is possible) and make use of it as clinician (Lawes 2001, 2003).

1.5 Structure of the Article

In this article, and the ones that I propose will follow it, topics are introduced in an order that links to a gradual deepening of the level of consciousness at which musical meaning can be considered to resonate experientially. The reader will note that many topics interlink and that various core themes reoccur to be integrated with others and be further elaborated as I proceed. Visual figures are incorporated throughout the text to help orient the reader by linking the different ideas and perspectives together and also locate them within the larger framework of levels of consciousness.

After introducing this framework and integrating it with Bion's re-visioning of the psychoanalytic paradigm, I begin my elaboration of the therapeutic nature and meaning of music at the different levels of consciousness. After focusing briefly on its meaning at the level of waking conscious awareness I move on to explore its meaning at the level of dream which is my main concern in the article. As already intimated, it can be proposed that music essentially operates at this level of consciousness. As a result of the 'work' it does at this level, the client's inner (unconscious) world is transformed, and consequently his waking conscious state, in therapeutically significant ways.

One of the most important things to grasp about dream consciousness is that things that are experienced to be separate, even opposite at the level of everyday waking consciousness, are at the level of dream experienced to be simultaneously 'one' and separate. For example self and other, or self and music. I explore this in relation to *intersubjectivity* which has to do with the dynamics of connection generated between client and therapist, between client and music, and between client and therapist in the music. The situation is a complex one, because,

along with unconscious processes operative at the level of dream, it is necessary also to take account of processes occurring in the domain of *implicit relational knowing* as described by Stern. Processes operative at this level, as I explain, are *non-conscious* rather than unconscious (Stern 2004). I therefore differentiate two different aspects or levels of *intersubjectivity*, which can in fact be understood to operate in interplay with one another (Grotstein 2007).

Stern's perspective on *intersubjectivity*, rooted in his research in the field of mother-infant interaction, has been highly influential in *music psychotherapy* (Pavlicevic 1997, Smeijsters 2005). To it I believe the psychoanalytic perspectives I introduce, focused on *intersubjective* process operative at the level of dream, can usefully be added[15]. In the current article I begin an elaboration of these by turning to Ogden's work on the *analytic third*. In this Ogden is concerned with an area of unconscious subjectivity generated between client and therapist that in improvisation based *music psychotherapy* can be understood to be 'sounded' directly by the therapeutic dyad as they create music together. I consider how health, in terms of music based relating, can be understood to involve the maintaining of a creative interplay between being 'one' and being separate in the music. This has particular implications in understanding the therapeutic task.

Finally I turn to briefly consider the nature of transpersonal music experiences which are those of being 'one' at a deeper level.

Amongst the different areas of practice in *music therapy*, my text with its focus on *unconscious* processes and the way that music is *containing* of experience at the level of dream, is most relevant to the practice of *music psychotherapy*. I begin therefore by clarifying the nature of this area of practice drawing on Bruscia's elaboration of it. For simplicity of exposition, both client and therapist are referred to in the male gender throughout.

2. Music Psychotherapy

In *Defining Music Therapy* (1998a) Bruscia, having surveyed the spectrum of *music therapy* taking place around the world, identified six core areas of practice: the didactic (educational), medical, healing, *psychotherapeutic,* recreational and ecological.

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[15] They also I believe compliment existing perspectives on *intersubjectivity* in *music psychotherapy* understood in terms the dynamics of transference and counter-transference as elaborated by Streeter and others (Streeter 1999a, 1999b, Hadley 2003, Priestley 1994, Bruscia 1998b, Pedersen 2006).

As far as the *psychotherapeutic* is concerned, with which I am principally concerned, Bruscia characterises this as involving work where the aim, through individual or group therapy, is to help clients find meaning and fulfilment. Specific goals may relate to work on emotions, self-expression, greater self-awareness, the resolution of inner conflicts, improved interpersonal skills, the development of healthy relationships, deeper insight, the healing of emotional traumas, self-contentment and spiritual development (Bruscia 1998a: 161, 214).

There are many different types of *music psychotherapy* with the work potentially involving *music as psychotherapy* as well as *music in psychotherapy*. This could be at different times during a single session or at different stages of the psychotherapeutic process. In *music as psychotherapy*, the work is done entirely through the music with verbal discourse, if it is engaged in at all, only being employed in a secondary role to help promote and enhance the music experience and its relevance to the client and the therapy process. In *music in psychotherapy* the work is generally done equally musically and verbally, either alternately or simultaneously, with music being used for its unique nonverbal advantages, and words used to enhance insight (Bruscia 1998a, 1998b). Work in other creative modalities may also feature.

Whilst my own clinical practice involves both *music as* and *in psychotherapy*, my essential concern in this article is with a psychoanalytically informed understanding of *music as psychotherapy*. That is with an understanding of music promoting therapeutic change in, of, and by itself (at its own level). Whilst change may also be precipitated in other ways, for example in the context of verbal discussion when this takes place before or after the music experience (*music in psychotherapy*), it is not with this that I am concerned in this text[16].

As far as theoretical underpinning is concerned, according to Bruscia the orientations most commonly found in *music psychotherapy* are psychodynamic (psychoanalytic), existential-humanistic, gestalt, cognitive and behavioural, each having many variations (Bruscia 1998). The current text integrates developmental and transpersonal perspectives with its core psychoanalytic one.

Whatever the theoretical underpinning, the focus in *music psychotherapy* is on the client's psyche and on promoting psychological change. In this, the relational (or

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[16] The reader is referred to Streeter's articles already referenced (1999a, 1999b) as well as *Psychodynamic Music Therapy: Case Studies* (Hadley 2003), *Essays on Analytical Music Therapy* (Priestley 1994) and *The Dynamics of Music Psychotherapy* (Bruscia 1998b) for a broader understanding of theory and practice in psychoanalytically oriented work involving *music in psychotherapy* as well as *music as psychotherapy*.

intersubjective) dimension of the work is considered to be of fundamental importance (Bruscia 1998a). This is both the client's relationship with the music and, (depending on the therapist's theoretical orientation and the method being employed,) the client's relationship with the therapist in and around the musical process. Thus *intersubjectivity* is core theme of my text. As far as the therapist's involvement in the process is concerned, this is likely to be at what Rowan and Jacob's term the *authentic* level (Rowan and Jacobs 2002). Whilst a therapist utilizing techniques at the *instrumental* level learns to adopt a therapeutic persona, almost a kind of *false self* (Rowan and Jacobs 2002: 27, 29), to methodically apply the therapeutic procedures he has been taught, at the *authentic* level the therapist needs to be involved at a more personal level in the process. The psyche of the therapist is fully engaged in the therapeutic relationship and the therapist is trained to use all that he is in the service of the work. In a sense the therapist is the therapy on offer more than the method and techniques being used. In other words his personality, which includes his way of being as a musician, is arguably "the key tool in the work" (Stewart 2000: 23). The training of the *music psychotherapist*, whilst it inevitably involves learning the *instrumental* aspects of being a therapist, at its heart involves learning to work at the *authentic* level whatever the theoretical orientation. This is why therapists are required to have personal therapy, for example (which may include music and/or verbal therapy), and why it is required that not only do they have the highest level of musical skills but that music is of central importance in their own lives. As well as using the *authentic self*, the *music psychotherapist* may also use what Rowan and Jacobs term the *transpersonal self* (2002) as I allude to at various points.

Amongst the different types of *music psychotherapy*, I refer mostly to improvisation based work where client and therapist spontaneously create music together, and the *Bonny Method of Guided Imagery and Music* (from this point on referred to as GIM), a receptive method. These are the approaches I am trained in and practice myself. The reader unfamiliar with the basic tenets of either form of practice is referred elsewhere for more detailed information than it is possible to provide in this text (such as can be found in Wigram, Pedersen & Bonde 2002).

3. AUM

The next topic is the framework of levels of consciousness within which I place the many different perspectives that I drawn on to understand music's psychological function and related to this its meaning in *music psychotherapy*.

At the end of the last volume of his monumental opus 'The Masks of God' (1968), and in other important essays (1990, 2007), Joseph Campbell, the American mythologist, writer and lecturer, refers to an ancient Hindu scripture, the *Mandukya Upanishad*. The text elaborates on the mystic syllable AUM[17], Campbell basing his understanding of the meaning of art forms at different levels of consciousness on it. AUM is described as the 'imperishable sound' of the universe and everything that exists in space and time is a manifestation of it. It is said that words are fragments of AUM, although AUM itself cannot be 'heard' in the everyday sense of the word. It is the *soundless sound* of the energy of the universe, antecedent to everything but of which everything is a manifestation. It is the irreducible mysterious essence of the being and becoming of the cosmos at large, and also of our own individual sense of being - Bion's O (Grotstein 1997, 2007, Reiner 2009). Beyond the reach of scientific investigation (because beyond space and time and what can be perceived by the senses) it can only be apprehended through an inward orientation of consciousness (intuition) (Campbell 2007). It is 'the sound of one hand clapping' in the Zen Buddhist tradition.

AUM has four elements. A denotes outward-turned waking consciousness (what has become), U inward-turned dream consciousness (what is becoming) and M deep dreamless sleep (what will become). The fourth element is the SILENCE out of which AUM emerges, back into which it goes, and which supports it as its transcendent ground (Figure 2).

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[17] This is sometimes spelt OM, but can also be spelt AUM since the Sanskrit O is interpreted as an amalgam of A and U (Campbell 2007: 211).
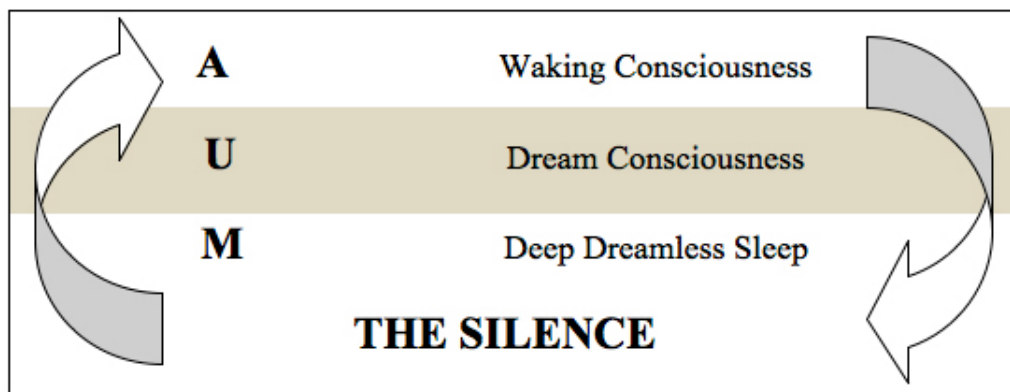
Figure 2. AUM (Mandukya Upanishad)

In this model, Dream Consciousness serves as a channel of communication between the level of Deep Sleep and that of Waking Consciousness. Deep sleep is alluded to in the following way:

> Here a sleeper . . . is an undifferentiated mass of consciousness, consisting of bliss and feeding on bliss, his only mouth being spirit. He is here 'The Knower': the Lord of All, the Omniscient, the Indwelling Controller, the Source or Generative Womb of All: the Beginning and End of Beings (translated by Campbell 1968: 656)

The reader needs to be aware, in reading a text of this type, that the religious/spiritual reference should be read as being to psychological experience where this is understood to encompass the transpersonal dimensions of consciousness (Campbell 1968, Wilber 2000). Thus the Upanishad is suggesting (according to Campbell) that human psychological experience is continuously creating itself out of its *ground of being* at the level of deep dreamless sleep - out of the *Generative Womb* - spontaneously arising moment by moment and evolving through dream to waking consciousness (and then disappearing back down to the level of deep dreamless sleep again) (Campbell 1968).

3.1 THE SILENCE of AUM: Reality-Beyond-Meaning

Art forms (like religions/mythic symbols) are essentially operative at the level of dream and as Campbell points out, allow us to enter this sphere awake, potentially opening us to

transpersonal awareness if our state of consciousness deepens and expands sufficiently[18] (Campbell 1968). Their meaning is not restricted to this level, however, and they can be given many different meanings at each level of consciousness. In fact, the arts can be understood to have meaning on all three levels at once, whilst at the same time they point beyond the reach of meaning altogether. Thus Campbell sees the most important function of art being:

> . . . to render a *sense of existence*, not an *assurance of some meaning* . . . that sense of existence - of spontaneous and willing arising - which is the first and deepest characteristic of being, and which it is the province of art to waken. (Campbell 1990: 188)

The arts ultimately have no referential meaning. Their most essential function is to awaken the individual to the *reality-beyond-meaning* which is the ineffable essence of life itself. This ultimately is to reveal through their temporal forms a radiance of the supporting SILENCE of AUM beyond even consciousness at the level of deep dreamless sleep (Campbell 2007). This is consciousness transcendent, utterly beyond the reach of words and concepts, beyond space and time. The Upanishad (typical of texts of its type) uses paradox and alludes to it through the negation of attributes. Thus it is:

> . . . neither inward- nor outward-turned consciousness, nor the two together; not an undifferentiated mass of a dormant omniscience; neither knowing nor unknowing - because invisible, ineffable, intangible, devoid of characteristics, inconceivable, undefinable, its sole essence being the assurance of its own Self: the coming to peaceful rest of all differentiated, relative existence: utterly quiet: peaceful-blissful: without a second: the Self, to be known.
> (translated by Campbell 1968: 666)

3.2 Integrating the Upanishad with Bion's Understanding of Dreaming

This framework of levels of consciousness with dream consciousness mediating between deep dreamless sleep and waking conscious awareness can be integrated with Bion's re-visioning of the psychoanalytic paradigm. Thus as discussed in the introduction, Bion's work suggests that contact with the numinous transcendent realm of O, with *Absolute Truth* or *Ultimate Reality*, is fundamental to the development of the mind (Reiner 2009) (see **1.2** above). Indeed,

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[18] Wilber notes that often the transpersonal is associated with <u>higher</u> levels of development and of consciousness. Yet at the same time attaining these higher levels involves a greater <u>depth</u> of experiencing. Metaphors relating to height and depth each emphasize something different about states of consciousness that transcend the limitations of any particular way of conceptualizing them (Wilber 2000: 110).

it is the necessary foundation for the development of an authentic sense of self right from the beginning of life[19]. Whilst in its transcendent essence (at the level of THE SILENCE of AUM), O is beyond sensually based reality, and therefore utterly beyond what we can know and understand in any ordinary way, yet at the same time it is the ineffable essence of everyday (emotional) experiencing - its *Absolute Truth*.

Grotstein suggests that O confronts us in everyday life at two different levels which are brought together when (and if) we are able to process (dream) our experience. Firstly O is the raw emotional impact of our interpersonal encounters in everyday life, which is infinite and mentally unpalatable if it cannot be dreamt[20]. Secondarily O lies imminent within at the level of deep dreamless sleep where it can be associated with the Jungian archetypes[21]. Grotstein describes O in this aspect in terms of inherent as well as acquired formatting structures present deep within our unconscious mind that await (even push the individual towards) specific experiences in the world to be realized (incarnated) (Grotstein 2007).

Thus Grotstein proposes that dreaming involves these deep structures acting as formatting templates for processing the raw impact of everyday living at an emotional level. Such a process is 'sounded' in improvisation based *music psychotherapy*, through the therapist (unconsciously in his 'dreaming' of the session - see below) selecting specific elements of *musical form* or a particular musical idiom to help shape a client's chaotic and disorganized (formless) musical expression, thus *containing* it musically (giving it form) so as to make it psychologically and emotionally resonant for the client as it would not otherwise be.

It is thus that dreaming that brings the two dimensions of O together, allowing *Truth* to be realized in a personally meaningful and palatable way. It is through experiences of (personal, finite) *Truth* that incarnate (impersonal, infinite) *Absolute Truth* in this way that the mind receives the essential nurturance it needs to develop as the individual dreams himself

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[19] That is for the emergence of the *true self* out of formless experiencing as Winnicott elaborates it (Winnicott 1960, 1971).

[20] Bion uses the term *β-elements* to refer the raw sensory stimulation of unprocessed emotional experience (Grotstein 2007).

[21] Bion refers to pre- conceptions, myths, memoirs of the future and thoughts-without-a-thinker (discussed in Grotstein 2007).

into being (Ogden 2005). O, *Truth* becomes (relatively, provisionally) knowable through its sensory-based realization as dream narrative[22] (Figure 3).
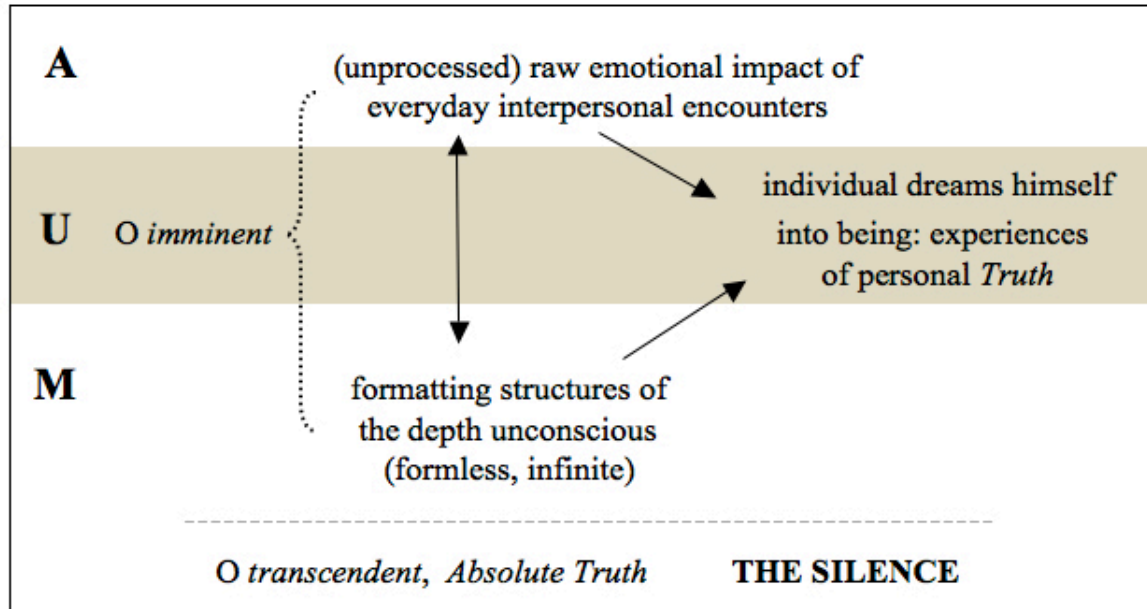
Figure 3. Realization of Personal *Truth*: the individual dreams himself into being (after Bion, Grotstein and Ogden).

Indeed, without functional dream level processes the mind cannot develop at all. It is dreaming that most essentially can be understood to create and maintain the structure of the mind. It does this by differentiating, and at the same time allowing there to be a mediated conversation between its conscious (finite) and unconscious (infinite) dimensions (Ogden 2005, Grotstein 2007). Dreaming creates a "vent in the shield" (Grotsein 2000: 32) that separates our everyday mind (waking conscious awareness) from the infinite realm of our inner comic vastness. Only by keeping our conscious and unconscious worlds separate, yet also connected, can we participate successfully in life, process our ongoing experiences and at the same time remain engaged with reality at an everyday waking level without being flooded by the unconscious. Only through dreaming can we maintain our sanity and be nurtured by contact with unconscious depth (*Truth*, O).

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[22] This is in fact an extremely complex topic that I have only partially sketched here. I intend in other articles in the series to explore the process in further detail in relation to music based dreaming through which *Truth* can be realized experientially.

Yet an innate human difficulty is that we are all limited to some degree in our capacity to assimilate (dream) *Truth* (O). That is to process the impact of life on us moment by moment and keep up with the way things are always changing and evolving (Eigen 1998). Indeed, the essential task of *psychotherapy* can be understood in relation to this. This is where the client either lacks or has an undeveloped capacity for unconscious dream level processing, or where it has been overwhelmed so that he cannot dream his experience without help, as is most obviously the case with traumatic experience that remains unprocessed (Grotstein 2000, Ferro 2005, Ogden 2005).

The therapist's task is, through participating in dreaming the client's experience with him in the session, to help the client to dream himself more fully into being where he cannot manage this alone (Ogden 2005). In as much as this can be done, it will become more possible for him to experience life as a process of being and becoming that feels *Real* and *True* (authentic) and therefore meaningful at depth. This is to experience the unconscious to be not simply the "seething cauldron" of Freud, but ultimately a realm of infinite creative potentiality as well as ineffability:

> Bion was a psychoanalytic cosmologist in so far as he valued the vastness and infinite resourcefulness of the unconscious, which he was ultimately to rename "infinity". His aim was to acquaint man with the awesomeness and wonder, rather than dread, of the ineffable Otherness within and beyond him and to lead him to respect the truths that constantly evolve from it. Bion's analytic stance is to encourage man to allow himself to become incarnated by his ineffable, infinite reservoir of cosmic being (Grotstein 2007: 52).

3.3 Silent Music

When the individual can allow this to happen (it can never be willed consciously) form emerges out of the formlessness at the level of deep dreamless sleep (and THE SILENCE which is its transcendent aspect) and becomes elaborated at the level of dream, music being a specific modality through which this can happen as I explore in my text (and in those that I intend will follow this one) from many different perspectives. This includes exploring how the therapist needs to participate with the client in the process (Ogden 2005).

But always before, between, during and after the notes heard in the ordinary sense of the word, is the 'music behind the music'. This is the SILENCE of AUM. To be able to 'hear' (intuit) this is to be opened to the spiritual dimension of existence (Campbell 2007). Indeed, the music we hear in the everyday sense is ultimately a resonance of this ineffable silent

essence of what *is* and can orient us towards it nurturing us with a taste of that which is ultimately *Real* and *True*. Music can be given all sorts of referential and other types of meaning but ultimately propels us beyond the sphere of meaning altogether at this level.

Whilst this might be thought of as a quasi-mystical perspective with little relevance to everyday clinical work, I believe that this is far from being the case. Thus whilst the music created or listened to in therapy can be understood to be clinically meaningful in many different ways (each of which is inevitably limited and provisional but has its own implication for practice), ultimately music has a kind of meaningless meaning (or an infinite, transcendent meaning) that simply affirms life and existence just as it is. Indeed music, because of the way it evolves in the temporal dimension, can be intimated to be a very direct manifestation of that "sense of existence - of spontaneous and willing arising - which is the first and deepest characteristic of being" to which Campbell refers (Campbell 1990: 188). It can resonate with a sense of what is *Real* and *True*, that is highly personal and intimate, yet rooted in the universal and ultimately transpersonal dimensions of consciousness, beyond knowing. It is this that at the deepest level gives music experiences in the therapeutic setting their value and significance and allows them to be so potentially nurturing and healing (Lawes 2001, 2003).

It should be added here that whilst it can be proposed that the meaning of music is difficult to put into words because of the way music is rooted in and directly evocative of the sensory-based non-verbal modalities of relating and experiencing as are central to the developmental process at the beginning of life (see **4.1**, **6.1** below), what I am referring to here as music's ineffable essence concerns its resonance of a transpersonal realm of consciousness that is not only before and beyond words but is also not sensory based (Grotstein 2007, Reiner 2009, Vermote 2011). It is transcendent of experience in any ordinary everyday sense. Yet through music, the transcendent can paradoxically be experienced to be imminent within the everyday. That is when we begin to 'hear' the *silent music* hidden within and beyond the notes that are actually sounded.

4. Music and Waking Consciousness

I turn now to the meaning of the *music in* and *as psychotherapy* (see **2.** above) in relation to these same levels of consciousness.

The first level is that of waking consciousness which is the realm where everyday language functions most naturally. The words that we use to describe experience at this level

are symbolic and give us the possibility of being specific about what we mean in consensually agreed ways. One of the ways in which music can be understood to have a symbolic meaning comes about as a result of the use of words to explain its meaning at this level. For example, I may say that a piece of music expresses how I feel about someone. At the level of waking consciousness, that someone will be another person who is experienced to be separate from myself. Subject and object are separate at this level of experiencing.

Of course, I may identify a categorical feeling state like love, sadness or anger that encapsulates my feeling expressed in the music about this other person. In this way, music assumes a fixed symbolic meaning at a particular time and in particular circumstances. Words have the characteristic of fixing meaning in this kind of a way which means that others can understand what I mean even if they experience the music differently.

4.1 Musical and Verbal Meaning

The experiential meaning of the music, the way I actually experience it as it evolves through time will, however, be of quite a different order. Such experiential meaning is not symbolic, fixed or communicable in the same way that verbal meaning is[23]. Music does not describe experience as words do, which is essentially indirectly and distant from experienced as lived, there being no formal similarity between the word and what it represents. What a word means is agreed by convention. Music, on the other hand, emerges directly out of the contours, shapes and textures of lived experience (involving *forms of vitality* - see **6.** below). Whilst music does not have the same type of conventionally agreed meaning as the word, it much more closely portrays the actual forms of lived experience (Wright 2009). As Langer puts it, "because the forms of human feeling are much more congruent with musical forms than with the forms of language, music can *reveal* the nature of feelings with a detail and truth that language cannot approach" (Langer 1942: 235). Thus words enable us to talk about and comprehend experience in a way that has many advantages but words cannot 'tell' us what experience is actually like in quite the same way that music can[24]. Everyday language is not at

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[23] Words are generally symbolic in a discursive sense - associated with logic, rationality and left brain functioning. Music can be considered to be symbolically meaningful in the analogic domain associated with right brain functioning and intuition. *Analogic symbolization* involves non-verbal representations of experiences - dream images and narratives for example - that can hold together a deeper sense of the multi-dimensional complexity, even ambiguity of what is experienced in its wholeness (Korlin 2002).

[24] There is, of course, a 'musical' (or *protomusical* - see footnote 34) dimension to the spoken word. This is an individual's *tone of voice* through which he directly communicates the felt quality of his lived experience drawing on his and his listener's inherent capacity for *communicative musicality* (Malloch and Trevarthen 2000,

all suited to capturing the vitality, complexity and multi-faceted wholeness of lived experience (its *Truth*), always in a state of becoming, always flowing onwards and evolving. Music can do this and 'tells' us about the very *beingness* of our experience in a directly evocative rather than indirectly descriptive manner (Wright 2009).

Taking a developmental perspective, Stern writes about language, when it begins to be acquired during the second year of life, being a "double edged sword" (Stern 1985/2000: 162). Thus whilst it brings many new possibilities in terms of being able to communicate and share experience, it can only very partially embrace experience in the non-verbal domain. That is experiences of self, of interpersonal relating and of the world at a level as have not only been central in the infant's experiencing and development up until this point, but will continue to be very important throughout the life span.

Stern refers especially to the global, amodal flux of experiencing at a non-verbal level that language struggles to capture. He describes the infant having a "highly flexible and omni-dimensional perspective" (Stern 1985/2000: 176) as he takes in a complex web of perceptual qualities often through several different sensory channels at the same time. It is language that later separates out specific aspects of this amodal flux, classifying them in terms of sensory modality: eg "<u>look</u> at the <u>colour</u> of that car - <u>listen</u> to the <u>sound</u> of that train".

Whilst this has many advantages and tends to become the "official version" of what is experienced (Stern 1985/2000: 176), by classifying and consequently isolating specific elements of it, everyday language at best fractures, if not sends completely underground, the global flux of experiencing as it is actually perceived and taken in. Words tend at best to misrepresent it so it remains poorly understood. A wedge is created between experience as lived (in its wholeness) and as represented verbally. In the 'space' between the two, pathology can develop especially when, whether for reasons of nature or nurture, the infant's experience of self was insufficiently well *contained* at a non-verbal level. Hence the need for non-verbal art forms like music in both culture and in therapy to bridge the gap (Stern 1985/2000). That is to *contain* a sense of the vitality, complexity and multi-faceted wholeness of lived experience evolving moment-by-moment at a non-verbal level as everyday language is so distanced from.

2009) - see **6.1** below. Poetry also often emphasises the musical dimension of the spoken word and in fact can be considered to be an art form operative at the level of dream just as is music, resonant (*containing*) of lived (felt) experience at a deeper level than is everyday language.

5. Being One, Being Separate: Music, Intersubjectivity and Dream Consciousness.

It can be suggested that music's capacity to *contain* experience in this sense results from its operating essentially at the level of dream. In other words, music affects our waking conscious state through the work it does at this deeper level, allowing us to apprehend the *beingness* of our experience, influencing our mood, and so on. More than this, music can potentially take us into the realm of dream awake (Campbell, 1968), into a realm of experiencing in which the differentiation between subject and object is no longer so absolute as it is experienced to be at the level of everyday waking consciousness. This brings me to consider the nature of relationship at this level, focusing to begin with on improvisation based *music psychotherapy*[25], where the music itself 'sounds' the dynamics of a relationship in which the participants can be considered to be simultaneously 'one' and separate (Figure 4).
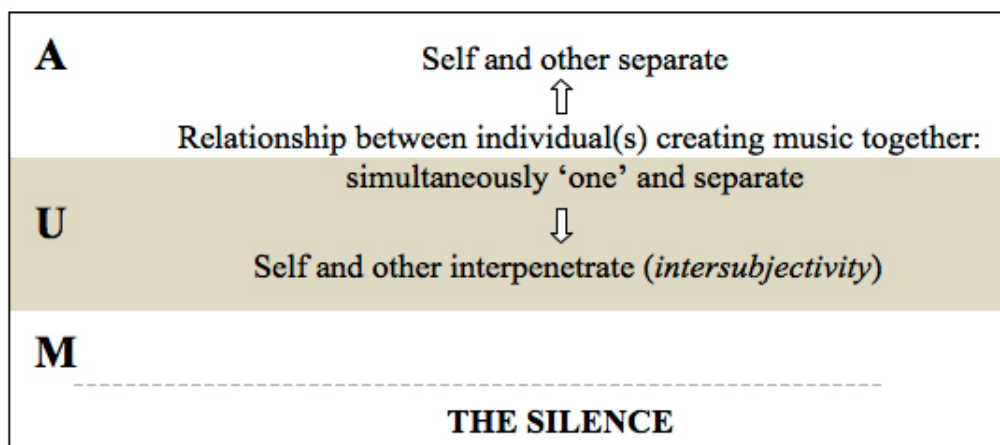

Figure 4. Dynamics of relationship at the level of dream

The situation is complicated by the fact that in this it is necessary to differentiate unconscious interactive processes (*intersubjectivity*) occurring at the level of dream from *intersubjective* processes occurring at the level *implicit relational knowing* as Stern terms it which are *non-conscious* (2004). I find it necessary to take both of these types of, or aspects of, *intersubjectivity* into account to fully understand the nature and therapeutic potential of the music in improvisation-based work. Indeed, it has been proposed that the two in fact work in interplay (Grotstein 2007). They can be understood as being externally and internally oriented

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[25] In this client and therapist create improvised music together typically using tuned and unturned percussion instruments, voice, piano and possibly other instruments as well.

aspects of the same process through which lived experience is shared, communicated and processed in the interpersonal sphere (Figure 5).
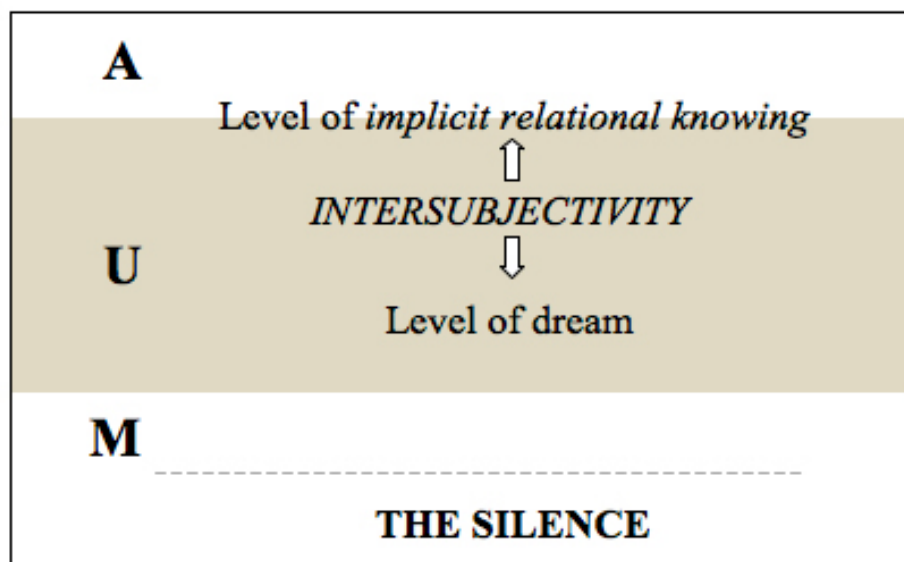
Figure 5. Two aspects of *intersubjectivity*

6. Implicit Relational Knowing.

Implicit relational knowing is a type of relationally oriented 'knowing' of others and being 'known' by them that is non-verbal. Our ways of being and relating at this level are *non-conscious* rather than unconscious. By this Stern means that they are not defensively barred from entering conscious awareness as is the content of the dynamic unconscious (in the way he understands it that is, which is arguably too limited, certainly in comparison with the understanding I am drawing on in this text based in Bion's re-visioning of psychoanalysis to include, for example, the transpersonal dimensions of consciousness[26]). *Non-conscious* experience is not repressed or hidden like this. It does not generally enter conscious awareness because it does not need to.

In everyday life, we interact with, and 'know' others at this level through 'reading' the *forms of vitality*[27] (Stern 2010) - the dynamic contours of timing, intensity and shape[28] -

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[26] See also footnote 11.
[27] Stern formally used the term *vitality affects* (1985/2000, 2004). *Forms of vitality* is his more recent term (2010).
[28] This is the way Stern described *vitality affects* (1985/2000, 2004) as has been developed in the *music therapy* literature (Pavlicevic 1997, Smeijsters 2005). More recently, elaborating his new term *forms of vitality*, he

present in the 'music' of their speech, in their body movement, gesture and facial expression. These *forms of vitality* reflect the person's way of *being-in-the-world* and can be associated with qualities of, for example, surging, accelerating, gliding, fading, halting, and so on[29]. Our capacity to 'read' another person in terms of such qualities, which is our capacity for *intersubjectivity* or *affect attunement* (Stern1985/2000) at this level involves our coming to experience something of what it is like to be in the other person's skin as well as in our own (Stern 2004).

6.1 Developmental Origins

Stern describes *intersubjectivity* as this is established developmentally between mother and infant, involving at the start experiences of being 'one with' or *self-resonating-with-another* (Stern 1985/2000: xxi). This is *primary intersubjectivity* featuring especially imitative dialogues and mirroring in which the mother is in synchrony with the timing of her infant's movements. Importantly Stern maintains that separateness[30] is never completely swept away by the 'oneness' experienced at such times. The overlapping of self and other is partial not absolute[31]. Furthermore, interaction based on imitation in the early months does not simply involve repetition back and forth. Rather mothers constantly introduce modifying imitations or provide a "theme-and-variation format" (Stern 1985/2000: 139) with slight changes in their contribution at each dialogic turn. It is apparent that from very early on (around 3 months old) this type of response is of more interest to an infant than exact imitations (Stern 1985/2000, 2010). Thus *intersubjective* experience, in health, right from the beginning of life involves being both 'one' and separate.

A more sophisticated type of *intersubjectivity* (*secondary intersubjectivity*) emerges at around eight to nine months when mother and infant engage in *proto-conversations* involving *affect attunement*. This goes beyond interaction based on copying behaviour in the same modality of expression (eg vocalization to respond to a vocalization) as occurs in *primary*

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describes a gestalt of properties that comprise them - movement, force, space, time and intentionality (2010). He explains, however, that this new way of describing them does not reflect a fundamental change in his thinking.

[29] This could range from being the quality of a single action taking place in less than a second, for example 'exploding' out of a chair, or 'exploding with anger', or a quality more general present in a person's way of being, for example, his always tending to have a 'halting' quality when speaking.

[30] This is at the level of *core self* experiencing as he terms it (Stern 1985/2000).

[31] Writing from a psychoanalytic perspective, Ogden also proposes that the infant experiences both being 'one with' and 'separate from' his mother right from the beginning of his life (Ogden 1994). See **7.1**. Stern especially challenges the earlier psychoanalytic view that there is a period of primary *merger* or *undifferentiation* between mother and infant at the beginning of life (Stern 1985/2000).

intersubjectivity. The emphasis is now on mother and baby sharing the felt quality of their lived experience as separate yet connected individuals at a more dynamically complex as well as subtle level. Whilst imitation remains important and is the basis for *affect attunement,* in the way it occurs at this stage of development, the mother's imitation is generally cast in a different modality of expression (eg vocalization to respond to a gesture but with a similar *vitality form*). Her baby is able to sense how what she does connects to what he does through his inherent capacity for cross-modal perception. This involves his recognizing at a felt level the similar *forms of vitality* manifest in his and his mother's separate yet connected behaviour in different modalities of expression. Stern postulates that this focuses both mother and baby's attention on what lies behind the behaviour. Where simple imitation maintains their focus on the external dimension of behaviour, *proto-conversations* involving cross-modal attunement focus on the quality of feeling, the inner state, being shared (Stern 1985/2000).

Importantly, in his elaboration of this, Stern does not confine himself to the sharing of categorical affective states like sadness or joy, displays of which only usually occur from time to time in mother-infant interaction (Stern 1985/2000)[32]. Rather through utilizing *affect attunement* a mother can remain intimately connected to virtually everything her infant does in a continuous ongoing process. Thus through reading and responding to the *forms of vitality* present in the way he reaches for a toy or kicks his foot for example, and responding perhaps with a vocalization she can share his experience with him. Such expressive acts, one following another, in an essential way constitute his way of *being-in-the-world* which the mother can affirm and help regulate in this way. In this, the 'oneness' (connectedness) of mother and baby, in the way it is experienced inwardly by each of them as they interact at the same time as separate individuals, is present at a more subtle level than it is in simple copying or mirroring.

6.2 Communicative Musicality

Malloch and Trevarthen, writing also from a developmental perspective (2000, 2009), elaborate the nature of early interaction in a related but slightly different way. Their core concept is *communicative musicality* which they consider to be an "intrinsic organising principle" of healthy mother-infant interaction and in fact of adult communication as well.

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[32] Stern describes how *forms of vitality* are manifest in almost all the different dimensions of what we experience. Thus they are present in sensations, actions and thought processes, for example, as much as in our emotional experiences (Stern, 1985/2000, 2004, 2010).

Through it human beings structure expressive time together "synchronizing in subtle and unconscious rhythms of exchange" (Malloch and Trevarthen 2000: 5)

Communicative musicality has three features: 'pulse', 'quality' and 'narrative'. 'Pulse' they define as:

> the regular succession of discrete behavioural events through time, vocal or gestural, the production and perception of these behaviours being the process through which two or more people may coordinate their communications, spend time together, and . . . anticipate what might happen and when it might happen (Malloch and Trevarthen 2009: 4).

'Pulse' is thus fundamental to the way in which we experience being both 'one with' whilst at the same time 'separate from' others. By 'Quality' is meant "modulated contours of expression moving through time" (2009: 4). In infancy, these typically involve the *forms of vitality* (Stern 2010) of individual expressive vocalizations (featuring contours of pitch, timbre and volume) and body gesture. Reflecting Stern's findings, Malloch and Trevarthen note that in health there is a balance between imitation (being 'one') and contrast (being separate) in the way these are elaborated between mother and baby. Indeed they propose that the mother, in doing more than simply mimicking her infant, adds something of her own inner life to the relationship which is very important to the infant's development, making the relationship one of companionship. There is both a sharing and an exchange of feelings in *communicative musicality* operating on a "separation-interconnection continuum" (2009: 7). To be healthy is not to be stuck at either end of the continuum.

'Pulse' and 'quality' combine to form expressive 'narratives' of exchange. These are typically constelled as a sequence of vocalizations and gesture are strung together by mother and infant, underpinned by a shared sense of 'pulse'. A characteristic narrative might feature a gradual increase in excitement leading to a climax followed by a subsidence taking place over half a minute. The mother has a very important role to play in facilitating the emergence of her infant's expressive and communicative life through narratives like this, regulating his inner life and making sure he is neither chronically under-, nor over-stimulated (Stern 1985/2000: 194-198). Such narratives emerge as a sign of health and are central to "The Dance of Wellbeing" of early mother-infant interaction (Malloch and Trevarthen 2000).

6.3 Application to Music Psychotherapy

The significance of all this and particularly of Stern's work for (improvisation based) *music psychotherapy* has already been extensively explored (Pavlicevic 1997, Smeijsters 2005). This is rooted in the way that music 'sounds' the *forms of vitality* of lived experience through its rhythms and melodic shapes, through the way it surges, or accelerates, or fades, and so on. This is one of the things that makes it so well suited to being a modality of therapeutic interaction. A core clinical technique used in *music psychotherapy*, that can be understood to draw on the therapist's inherent capacity for *intersubjectivity* (*affect attunement*) at this level, is *matching* (Wigram 2004). In this he reflects in his own playing the *forms of vitality* present in the client's music-making[33]. The clients' experience of being 'heard' and responded to in this way generates a felt sense of connectedness as is foundational to mental and emotional development and to the establishment of a sense of self (Stern 1985/2000).

Using *matching* and related techniques the therapist is able to support the evolution of a therapeutic process when the client's way of *being-in-the-world*, as 'sounded' by the *forms of vitality* present by his music-making, is limited or restricted in some way (Smeijsters 2005). This may be as a result of developmental blocks associated with his health condition (eg autism), or a result of psychopathology of some kind (eg having experienced trauma).

The therapeutic process evolves through the client being supported musically by the therapist to engage in a 'dance' of *intersubjectivity* (Pavlicevic 1997). In facilitating this, the therapist does more than simply copy the *forms of vitality* present in the client's playing. Rather the technique of *matching* involves the therapist's music having the same style and quality as the client's whilst not being identical with it (Wigram 2004). He may vary, extend and develop some elements of the music whilst maintaining or conserving others (Smeijsters 2005), striving in this to draw out and develop the client's innate capacity for *communicative musicality* (Malloch and Trevarthen 2000, 2009) as the client and he co-create evolving expressive 'narratives' together. The client experiences in this way a dynamic relationship in which he is both 'one with' and 'separate from' the therapist (Wigram 2004, Smeijsters 2005). He senses that the therapist is experiencing something similar to him, that he and the therapist are intimately connected through dynamic aspects of the rhythm, movement, timing,

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[33] The therapist may also use music to connect with the client by 'reading' the *forms of vitality* present in his body movement, facial expression or gesture. This is most obviously when the client chooses not to play any of the instruments provided nor to vocalise. Through music it is still possible to connect with his way of *being-in-the-world* in this way, drawing on his inherent capacity for cross-modal perception (see **6.1**).

melody, phrasing, articulation and intensity of the music they share (its *forms of vitality*)[34], whilst at the same time they are separate from one another (Smeijsters 2005).

The therapist's elaboration of both connectedness and separateness in the music utilising *matching* (and other clinical techniques), in which he inevitably and necessarily brings something of his own inner life in responding musically to the client, as mothers do with their infants (Trevarthen and Malloch 2000, see **6.2**), has the potential to stimulate the client to explore new ways of *being-in-the-world* for himself. As a result a greater range of *vitality forms* may become manifest in the client's musical play, musical and psychological development being very closely melded in the way the therapy process thus unfolds (Smeijsters 2005).

This not only supports the development of the client's sense of self. At the same time it may potentially help him to overcome, at least to some degree, developmental blocks associated with a particular health condition. Or (perhaps linked to a particular condition) it may help him work on psychological (emotional, relational) difficulties that have arisen because of what he has experienced (or not experienced) in the interpersonal sphere that has been un-conducive, even detrimental, to his development and well-being (trauma for example). In a unique way, in *music psychotherapy*, such difficulties can be addressed at a foundational non-verbal level of interaction.

Music used in this way can generate shared experiences of meaning of a type that are foundational to well-being and development, and that some client's may be unable to experience otherwise. This is meaning constellated at a felt rather than cognitive level arising through the way that music is intimated to 'sound' the way that experience including in the interpersonal domain is lived.

6.4 Inter-syncronization in Improvisation Based Work

Pulse is foundational not only to mother-infant interaction (Malloch and Trevarthen 2009) but of course to most music-based interaction. When established *intersubjectively* this is not the

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[34] In elaborating *intersubjectivity* from a developmental perspective here, the focus is on the (preverbal) *protomusical* aspects of music based interaction. These are based in the innate human capacity for *communicative musicality* as described in **6.2.** Like all perspectives this is a limited one that, influential as it has been within the field of *music therapy*, does not account for all that music is and that music-making involves in therapy as psychological, social and cultural phenomena (Pavlicevic and Ansdell 2009). Thus drawing on musicology, for example, the *dynamic fields of tone* and *metre* as conceptualized by Zukerkandl (1956) (in the case of Western music at least,) can also be considered to be fundamental to the simultaneity of being 'one' and separate. Elaborating *intersubjectivity* from this perspective is not, however, the focus here.

rigid mechanical pulse of the metronome but something generated together in a flexible way that can accommodate rubato, for example, subtle shifts in pulse often being crucial to the expressive aliveness of a musical narrative. Pulse in this sense forms perhaps the most important bedrock for establishing a sense of shared meaning when creating/playing music with another. That is, it establishes the basis for an experience of being both 'one with' and 'separate from'.

Yet many clients in *music psychotherapy* have some degree of limitation in terms of being able to interact on the basis of such a shared sense of pulse, including those who because of their health condition - for example some of those with psychosis or autism - are extremely isolated from human companionship. For these clients music may come to have especial significance in the therapeutic setting, allowing them to begin to feel connected as little else can. Thus de Backer and Schumacher have in their different but related ways identified the pivotal role that moments of temporal attunement can play in therapeutic work with such clients: moments of *synchronicity* (De Backer, 2004) or *inter-synchronisation* (Schumacher & Calvet 2008). These occur when the therapeutic dyad share the same rhythm or pulse even if only very fleetingly to begin with. De Backer, in researching his work with clients with psychosis (Schizophrenia and related conditions), describes what can happen:

> Both patient and therapist have the feeling that they are able to come into a genuine shared play for the first time with an intertwining of two musical lines into one entity, or one whole, for example, where both share the same pulse with shared accents in the meter. Underpinning this is the paradoxical experience of each individual's freedom and autonomy. The mutual dependency in the creation of a shared musical object leads to a liberating feeling of being able to make music in a completely independent way. The patient and therapist are free in relation to one another and can play, think, exist and develop their own musical thoughts. This paradox involves emerging autonomy in the patient and therapist, while at the same time, there is acceptance and recognition of mutual dependency.
> (De Backer 2004: 276).

Above I explore how the elaboration of such an interplay of being 'one with' and 'separate from' involves the operation of *intersubjectivity* taking place at the level of *implicit relational knowing*. To give a more complete account, processes operative at a more unconscious level, at the level of dream, need also to be taken into consideration. Though I am not able to fully explore this rich and complex topic in the current article, I can elaborate one important aspect related to my theme of being 'one' and separate.
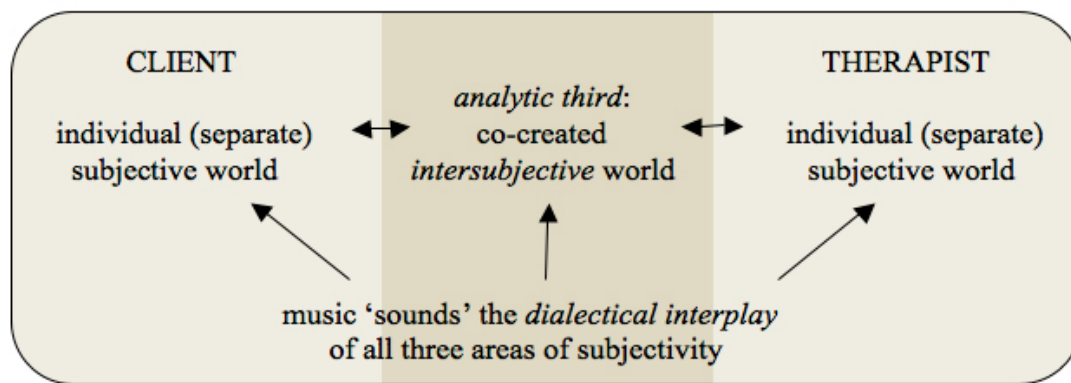
7. Merging and the Analytic Third

Merging is a term sometimes used to describe the musical 'oneness' of client and therapist. There has at times been rich debate amongst practitioners of differing theoretical perspectives as to its therapeutic significance in improvisation based work, even whether it is 'safe' to engage in at all (Streeter 1999b, Brown 1999, Pavlicevic 1999). One particularly useful psychoanalytic perspective with which to approach this topic draws on Ogden's elaboration of the *analytic third* (Ogden 1994, Brown 1999). This concerns the dynamics of *intersubjectivity* constellated at an unconscious level 'between' the therapeutic dyad.

Ogden's thinking is that whilst client and therapist are separate individuals with separate internal worlds, there is at the same time an unconscious shared area of subjectivity generated by and between their separate subjectivities. This he terms the *analytic third*[35]. These three different areas of *subjectivity* - those of client and therapist separately and of the *analytic third* - exist in a dynamic creative tension or *dialectical interplay* with one another (Ogden 1994, see **7.1** below). In verbal psychotherapy the *analytic third*, Ogden proposes, is an area of unconscious (dream level) *intersubjectivity* "forever in the process of coming into being in the emotional force field generated by the interplay of the unconscious of patient and analyst" (Ogden 2005: 6). This dimension of their interaction is not 'sounded' when they speak to one another in the sense that they have to talk separately.

In contract, in improvisation based *music psychotherapy* (a version of) the *analytic third* is 'sounded' musically whilst at the same time the music resonates the therapeutic dyad's separateness (Figure 6)[36]

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[35] Winnicott's describing psychotherapy as taking place in the overlap of two areas of playing - in the *potential space* between client and therapist - relates to Ogden's idea (Winnicott 1971).
[36] The *analytic third* is, suggests Ogden, continually being generated at an unconscious level. Whilst at one level it can become manifest in the way it is 'sounded' musically, the therapist may become aware of it through non-musical dimensions of his *reverie* experience including in the form of his somatic experiences (Ogden 1994). In *music psychotherapy* Pedersen most especially has elaborated on the importance of the therapist's awareness at this level (Pedersen 2006).

Figure 6. *Dialectical interplay* of subjectivity and *intersubjectivity* in *music psychotherapy*

In this their separate unconscious subjectivities and the co-created *intersubjectivity* of the *analytic third* operate in "unconscious conversation" with one another (Ogden 2005: 6) in the ongoing generation of the music. This reflects the way music and music based interaction operates essentially at the level of dream although *intersubjective* processes operative in the domain of *implicit relational knowing* are also necessarily involved. Indeed as suggested in **5.** above, the processes occurring at these two levels can be understood to operate together in an integrated way as internally and externally oriented dimensions of the same *intersubjective* process through which what is being dreamt both separately and together at an unconscious level comes to be 'sounded' (incarnated) musically.

7.1 The Dialectical Interplay of 'Oneness' and Separateness

Ogden emphasises the interplay of the separate subjectivities of client and therapist and of the co-created *analytic third*. In this whilst the *analytic third* is a creation of the separate subjectivities of client and therapist, at the same time their experience as separate individuals (in the therapeutic setting) is created by the *analytic third* (Ogden 1994). Indeed, right from the beginning of life, Ogden proposes that 'oneness' is a necessary condition or context for 'twoness' (separateness). At the same time, 'twoness' safeguards the experience of 'oneness' by providing an essential negation of it (Ogden 1994: 52). It is in this way that 'oneness' and 'twoness' exist in a *dialectical tension* in which they simultaneously "create, preserve and negate" one another (Ogden 1994: 64).

Health can be understood in terms of being able to establish and maintain this *dialectical interplay* in a mutually generative and enriching way as happens in improvised

musical interaction most especially when the music seems to take on a creative life of its own generating an experience of deep connectedness (interdependence) and yet also of mutual creative freedom and independence (Brown 1999, De Backer 2004, Lee 1995). Ogden's psychoanalytic perspective is I find particularly useful in understanding music based interaction in this aspect. In this it parallels, compliments and subtly enriches the developmentally oriented perspective on the interplay of 'oneness' and separateness at the level of *implicit relational knowing* described above.

7.2 The Therapist's Music in Music Psychotherapy

Whilst in *music psychotherapy* the therapist needs at one level to generate his contribution to the co-created music through the involvement of some kind of "psychological thinking" (Streeter 1999b) to reflect on what seems to be happening (relationally at an unconscious level) and help shape his musical response and use of clinical music technique, at the same time what he plays will inevitably, and indeed needs to be generated through the involvement of these more unconscious (and non-conscious) level processes. Indeed, it can be proposed that he in part he needs to 'think' his response creatively at this level (see **1.1**, **1.2** and **3.2** on musical *dream-thinking*).

Thus in **6.4** above I describe how the therapist may use specific clinical techniques such as *matching* designed to promote the client's experiencing a dynamic relationship in which he is both 'one with' and 'separate from' the therapist in the music. In this it can be suggested that the therapist needs, integrated with his deliberate and consciously directed use of clinical technique, to be able to utilise the creative unconscious to 'dream' his response to the client (Ogden 2005). The *analytic third* and *dialectical interplay* of areas of subjectivity emerge at this level.

For it may only be through 'dreaming' his response that the therapist's participation with the client in the music-making, as both separate individual and *intersubjective* partner, may enable the client to realize (dream) himself musically in the way he most needs to and as he will most benefit from. In other words, it is only through utilising the creative unconscious that the therapist's music may be sufficiently attuned with the client's inner process so as to enable the client to realize experientially who he is (his *Truth* - see **3.2**). That is when, whether for reasons of nature or nurture, the client is struggling or lacks the capacity to 'dream himself into being' on his own and needs another's help (Ogden 2005 - see **3.2**).

It can be suggested in this that the therapist needs to elaborate a response, that in the way it is attuned to the client, is also an expression of his own authenticity as musician therapist, though this is always in service of the client's process, the aim being that the client may come to experience more fully the authenticity of who he is. Thus whilst the relationship is not a fully democratic one in the sense it may be when musicians improvise together in other contexts, at the same time the therapist needs to have available all that he is as both person and musician to bring to the co-created musical relationship if he is to fulfil his therapeutic role.

This involves the therapist through his *reverie* (Ogden 1994, 2005, De Backer 2004) 'dreaming himself into being' (Ogden 2005) musically within the bounds of his role. Yet in this, as a result of the way that the *analytic third* is not only created by, but at the same time creates the individual subjectivity of each participant (Ogden 1994), the therapist's music will be uniquely generated in each session through his encounter with the client. This however much it may at the same time reflect his own personal musical idiom and characteristic way of playing and his mood and personal experiences around the time of a session and in these ways seem unconnected to the client.

Thus the therapist needs to learn to become aware of and reflect on what he plays, and the way he plays, even in its most personal and perhaps seemingly (therapeutically) irrelevant aspects, as being generated by his experience in and of the *analytic third*, the therapist not being fully the creator of his own musical contribution in this sense (Ogden 1994). This could even be so at times when, for example, the therapist loses awareness of the client and becomes self-preoccupied in his own music-making or with his own thoughts. On these occasions the therapist may at one level nevertheless still be 'thinking' creatively (unconsciously at the level of dream) about the client. If he can become aware of it and learn to use his *reverie* thinking (musical and otherwise) emergent in such ways (how what is personal to him is shaped by his encounter with the client), it may turn out to be very important in helping the client dream himself more fully into being as he might not be otherwise able to (Ogden 1994, 2005).

Whilst it is sometimes thought that the therapist needs to inhibit the realization of his musical self at a personal level in therapy so as to be fully present with and responsive to the client, from the perspective I am considering here, rather the opposite is the case. What is more the therapist's music should also, I suggest, be understood as being potentially more

than simply a kind of unconscious counter-transference enactment. For the implication then is that "psychological processing" or thinking has not taken place in the act of generating the music itself but only occurs through (word based) reflection on it (Streeter 1999a - see **1.1**)[37].

Indeed, in this sense I believe that the concern expressed by some 'music-centred' practitioners that psychodynamic thinking can be a defence against experiencing (in the music) is not unfounded. This is most especially when the therapist's preoccupation with analysis and interpretation make him so self-conscious that he cannot trust the creative process (Turry 1998). When there is too much emphasis on making the unconscious conscious and on verbal processing and understanding, the danger is of splitting 'the musical' and 'the psychotherapeutic' in ways that I suggest are potentially detrimental to our thinking and practice (Lawes 2013)[38].

I am proposing therefore that the creative musical process itself between client and therapist itself facilitates a type of psychological processing or thinking (dream-thinking), involving the interplay of 'oneness' and separateness I describe. Whilst conscious (word based) reflection on the process by the therapist (and client) is also necessary and important, this is at the same time 'secondary' or 'after-thinking' (Grotstein 2007).
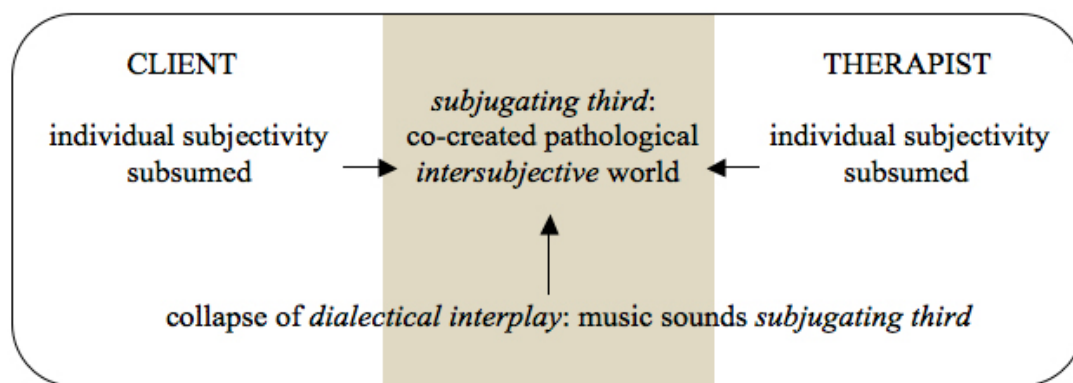
7.3 The Subjugating Third

During the course of the therapeutic process this interplay is, however, likely to collapse as the individual subjectivities of client and therapist becoming subsumed by the *analytic third* (loss of separateness). This then becomes what Ogden describes as the *subjugating (analytic) third* (Ogden 1994) (Figure 7).

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[37] In the way that counter-transference is understood in *music psychotherapy*, I believe that Ogden's thinking has much to add that is useful. This includes the way he brings out the need to ground the concept of counter-transference in the dialectical interplay of individual *subjectivity* and *intersubjectivity* that is the foundation of the therapeutic relationship (Ogden 1994: 74). In this sense the therapist's music is never exclusively an expression of his separate subjectivity, not exclusively a creation of the *analytic third*. Rather it is both and in ever changing ways, and it is this that needs to be reflected on.

[38] A further conceptual limitation in the application of psychoanalytic thinking to *music psychotherapy*, occurs I believe when improvisation is thought about in terms of its being a form of *free association*, as Streeter proposes for example (1999a, 1999b). The problem again is that this does not embrace the possibility of a type of psychological processing occurring through the creativity of the music-making itself, whether the client's, the therapist's or both in interplay (Brown 1999).

Figure 7. The *Subjugating Third*

In *music psychotherapy* the therapist needs first of all to become aware of the way this has happened as it tends to inevitably and even necessarily at some level. It may only be through this that the therapist can gain a sufficiently deep, experientially based insight into the client's difficulties so as to really be of help to him. Indeed, the therapist's role involves his making himself available for this to happen. His task is then to work with the client both musically and possibly in other ways (verbally) towards establishing a *dialectical interplay* of both separateness and oneness, and thus healthy interdependence in the music. Then growth and transformation will have taken place as cannot happen in any other way.

Thus successful therapy involves the superseding of the *subjugating third* with the therapeutic dyad coming to be able to relate more healthily as separate yet interdependent individuals who have both been enriched (newly created) as a result of the process. Indeed, Ogden elaborates how the therapist may be challenged, as a result of his experience in and of the *analytic third,* to work on his own experiences or difficulties as have not been fully processed (dreamt). This does not necessarily inhibit the work he does with the client. Indeed the unique way in which he becomes aware of his own unresolved issues in work with a particular client (which in *music psychotherapy* includes at a musical level) can potentially give him at the same time an insight into the client's difficulties (Ogden 2005).

Space does not permit any further exploration of this topic here. The reader is referred to accounts in the literature where this kind of process is described, if in slightly different terms - for example De Backer 2004 (the quotation in **6.3** above seeming to me to describe the emergence of a healthy dynamic of relationship of this type) and Streeter 1999a. Lee writing

from a music-centred perspective, refers to the way that for one of his clients, "the beneficial outcome" came through "a togetherness that was also intrinsically separate (Lee 1995).

That music can sound the *merged* subjectivity of the therapeutic dyad as they play together - involving the interplay of processes operative at the level of *implicit relational knowing* and at the level of dream - is one of the things that gives it music its uniqueness as a therapeutic medium. Whilst *merging* can be a manifestation of pathology that needs working through, it is important to realize it is also an aspect, even a condition, of a 'healthy' musical relationship in any context (including I suggest in the performance of pre-composed music and in receptive music experiences). This can be characterised as involving at the same time being 'one with' and 'separate from'. In this, health consists essentially in being able to sustain the creative tension between these different aspects of the relationship dynamic.

8. Merging and the Transpersonal

The paradox of a relational mode in which the experience is of simultaneously being 'one' and being separate is, as I have been exploring, characteristic of the nature of relationship at the level of dream. Because music can be understood to essentially operate at this level, it (potentially) opens our awareness to consciousness at this level awake (Campbell 1968).

In improvisation based *music psychotherapy* the more deeply this is experienced the more likely it is to feel (to both participants) like partaking in 'one' music together. Ken Aigen describes how in his experience, some of the most powerful experiences in *music psychotherapy* occur when there is such a *merging* in the music that transcends the personal and the relational as normally experienced in waking conscious awareness. The therapeutic dyad *become* the music or experience themselves *as* music (Aigen 2005), the therapist's "use of self" being transpersonal at times like this (Rowan and Jacobs 2002).

When these experiences occur, the music can be understood to provide an opening to transpersonal awareness resonant ultimately of the *undifferentiated* unity consciousness of deep dreamless sleep where the separation and differentiation of phenomena is completely undone (Figure 8). Bruscia elaborates on this describing how transpersonal music experiences:

> suspend the ordinary boundaries between self/music or self/other to form a new larger, expanded whole. When this occurs, the music is not a mirror of the self, the music is the self on the way to becoming Self: similarly the music is no longer a

mirror of the other or the self/other relationship, rather the three components (self, other and music) become indistinguishably one as part of the greater Self. Here the expanded consciousness includes the music as an integral but indistinguishable part of the infinite. (Bruscia 1998a: 150)
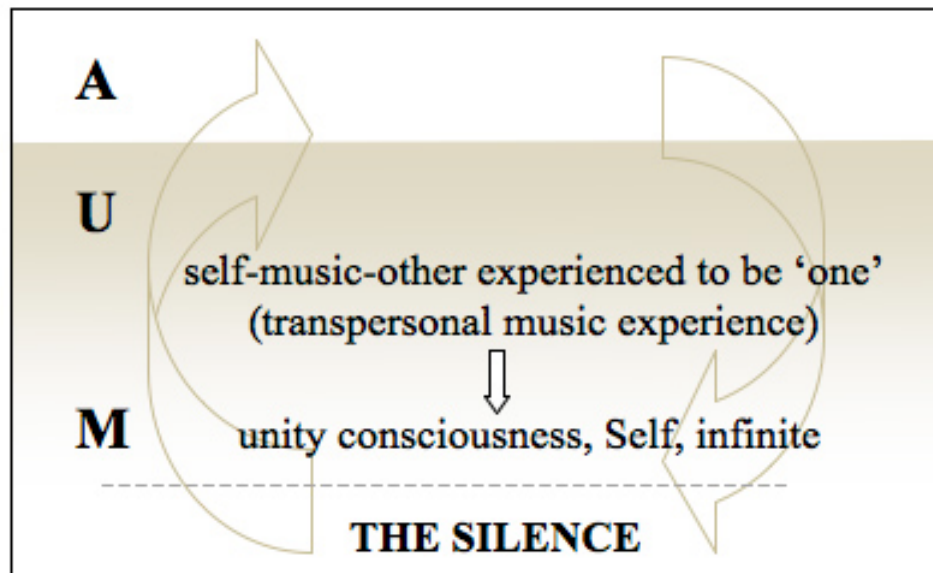
Figure 8. Transpersonal music experience

Transpersonal experiences of being 'one' or *merged* with the music also often occur in GIM, a type of receptive *music psychotherapy* in which the client listens to a sequence of usually classical music in a slightly altered state of consciousness so that he is more open than usual to dream level interaction (with the music) and process. Transpersonal experiences occur when the client is able to surrender to the music so that his state of consciousness expands more deeply (Abrams 2002, Summer 2009, Mårtenson Blom 2011).

When such experiences of *merging* occur in GIM, or indeed in improvisation based *music psychotherapy* as Aigen describes, it is not so much that separateness becomes subsumed in a pathological way (as Ogden elaborates in relation to the *subjugating third*) but that the essential nature of depth experiencing (and relating) is tasted directly in waking conscious awareness. Separateness is temporarily transcended as (transpersonal) experiences are opened to that can be some of the most health promoting and transformative ones it is possible to have in *music psychotherapy*.

9. Coda

In this text, I present a framework based on the different levels of consciousness at which music can be understood to be simultaneously meaningful and psychologically functional in the therapeutic context. I propose that music functions essentially at the level of dream and explore the nature of *intersubjectivity* at this level and interlinked with it at the level of *implicit relational knowing*. The perspectives I present on this I believe are important ones, bringing out how music based interaction involves both being 'one with' and 'separate from'.

In the next article in the series, with a slight change in emphasis, I move on to explore *intersubjectivity* and the interplay of being 'one with' and 'separate from' as this is constellated in the dynamic relationship between an individual and the music itself that he creates or that he listens to. In *music psychotherapy* this dimension of *intersubjectivity* is intimately linked with the interpersonally constellated dimension of *intersubjectivity* described in the current article. I also propose to explore further perspectives on *merging* and creativity, and consider the role of different modes of perception in creating, experiencing and performing music.

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