CHAPTER II
FRAMEWORK OF THEORIES

Based on previous chapter above, to understand the explanation, this chapter discusses the construction of the novel. I have mentioned the concepts and theories of intrinsic and extrinsic approaches. I use several concepts and theories to analyse it. In order to reach the purpose, there are two approaches, which are characterization, plot, and setting as the intrinsic approach and I use Genetic Structuralism approach included Human Facts, Collective Subjects, and World Views as the extrinsic approach. I will explain those frameworks of the theories:

2.1 Intrinsic Approaches

To analyze the character of a novel, I use several concepts through intrinsic approaches such as characterization, setting, and plot to analyze this novel. I will explain the concepts below:

2.1.1 Characterization

The characterization method in studying literature is a method of describing the character of the characters in a work of a fiction. Characterization methods are not limited to direct methods (*telling*) and indirect methods only (*showing*). Characterization can also be studied from a point of view, even through the study of figurative language. The final goal in examining the characters in a work is to understand the theme of the work.

2.1.1.1 Telling Method

Telling method, relies on exposition and direct commentary by the author. In telling-a method preferred and practiced by many older fiction writers-the guiding hand of the authors is very much evidence, Pickering and Hoeper (as cited in Albertine Minderop, 2013:27). Telling method consist of characterization through the use of names, characterization through appearance, and characterization by the author.

1. **Characterization Through The Use of Names**

The names of characters in a literary work are frequently used to provide ideas or produce ideas, clarify and sharpen characterization. The characters are given names that portray the character's characteristic qualities that distinguish them from other characters. The name alludes to prevailing characteristic of the character (Minderop, 2013:8-9)

2. **Characterization Through Appearance**

The appearance details show the reader the character's age, physical condition/health and level of well-being. From the portrayal it shows up whether the character may be a solid, sometimes weak, relatively happy, calm or sometimes harsh figure. In fact, the characterization through appearance cannot be denied as well as the psychological condition of the characters in the fictional story (Minderop, 2013:12)

3. **Characterization Through the Author**

This method gives a wide and free space for the author or narrator to determine the story. The author comments on the character's personality, so that he continuously monitors the character's personality. The author not only draws the attention of the reader to his comments about the character's personality but also tries to shape the reader's perception of the character he is telling (Minderop, 2013:15-16)

2.1.1.2 Showing Method

Pickering and Hoeper (as cited in Minderop, 2013:22) stated that the other method is indirect, the dramatic method of showing, which involves the author's stepping aside, as it were, to allow the characters to reveal themselves directly through and their actions. With showing, much of the burden of character analysis is shifted to the reader, who is required to infer character on the basis of the evidence provided in the narrative.

1. **Characterization Through the Dialogue**

Characterization through the dialogue is divided into: what is being said, the identity of the speaker, the occasion of the dialogue, the identity of the person the speaker addressing, and the quality of character's mentality.

1.1 What is Being Said

Pickering and Hoeper, 1981:32 (as cited in Minderop, 2013:23) stated that To begin with, the reader must pay close attention to the substance of the dialogue itself. Is it small talk, or is the subject an important one in the developing action of the plot? In terms of characterization, if the speaker insists on talking only about himself or only on a single subject, we may conclude that we have either an agotist or a bore. If the speaker talks only about others, we may merely have a gossip and busybody.

1.2 The Identity of the Speaker.

This means that utterances conveyed by protagonists which should be considered more important than those uttered by subordinate characters, even though the conversations of subordinate characters often provide hidden cruciate information about the other character. (Minderop, 2013:25)

1.3 The Occasion of the Dialogue.

Pickering and Hoeper, 1981:28 (as cited Minderop, 2013:28) stated that in real life, in private conversations that take place on one occasion in the evening is usually more serious and more obvious than the conversations that happen in a public place there during the day. Chatted in the family living room is usually more significant than talking on the street or in the theater. This, it is quite possible that this can happen to fictional stories; however, the reader must consider why the author presents speech in places such as on the street and in the theater, of course, is an important part of storytelling.

1.4 The Identity of the Person the Speaker Addressing.

Speaker here means the words that delivered by the character in the story; in other words, utterances spoken by certain characters about other characters (Minderop, 1981:31)

1.5 Quality of Character's Mentality.

Pickering and Hoeper, 1981:33 (as cited Minderop, 2013:33) stated that the mental quality of characters can be identified through the strains and flow of the speech when the characters are chatting. For example, the characters involved in a lively discussion indicate that they have an open-minded mental attitude. There are also figures who like to give opinions, or are close minded or characters who are full of secrets and hiding something.

2.1.2   Plot

Plot is the narrative structure of play, tale, or novel. The plot (or narrative structure) is itself composed of smaller narrative structures (episodes, incidents) and it customary to speak of all plots as involving conflicts (man against natures, man against other man, or man fighting with himself (Wellek, 1948:224-225).

Based on Nurgiyantoro (1995:110), plot is an element of fiction which is important. Some people believe it's the most important among the elements of fiction. We may conclude of plot as the most important factor in the understanding of fiction. Plot, says Aristotle, is the soul of tragedy. It may well be the soul of fiction too.

2.1.2.1. Exposition

The exposition is the beginning section in which the author provides the necessary background information, sets the scene, establishes the situation, and dates the action. It may also introduce the character and the conflict, or the potential for conflict. (Pickering and Hoeper, 1981:17)

2.1.2.2. Complication

Complication sometimes referred to as the rising action, breaks the existing equilibrium and introduces the characters and the underlying or inciting conflict (if the have not already been introduced by the exposition). The conflict is then developed gradually and intensified (Pickering and Hoeper, 1981:17)

2.1.2.3. Crisis

The crisis (also referred to as the climax) is that moment at which the plot reaches its point of greatest emotional intensity; it is the turning point of the plot, directly precipitating its resolution (Pickering and Hoeper, 1981:17)

2.1.2.4. Falling Action

Once the crisis, or turning point, has been reached, the tension subsides and the plot moves toward its appointed conclusion (Pickering and Hoeper, 1981:17)

2.1.2.5. Resolution

The final section of the plot is its resolution; it records the outcome of the conflict and establishes some new equilibrium or stability (however tentative and momentary). The resolution is also referred as the conclusion (Pickering and Hoeper, 1981:17)

2.1.3 Setting

Setting is everything that happens somewhere at some time, that elements of fiction, which reveals the where and when of events (Kenney, 1996:78). In other words, the terms 'setting' refers to the point in time and space at which the event of the plot occurs.

2.1.3.1 Setting as Background

When we speak of setting as background, then, we have in mind a kind of setting that exists by and large for its own sake, without any clear relationship to action or characters, or at best relationship that is only tangential and slight. To see whether setting acts as an essential element in the fiction, or whether it exists merely as decorative and functionless background, we need ask ourselves this: Could the work in question be set in another time and another place without doing it essential damage? If the answer is yes, then the setting can be said to exists as decorative background whose function s largely irrelevant to the purpose of the work as whole. (Pickering and Hoeper, 1981:38)

2.1.3.2 Setting as Antagonist

Setting in the form of nature can function as a kind of causal agent or antagonist, helping to establish plot conflict and determining the outcome of events (Pickering and Hoeper, 1981:39)

2.1.3.3 Setting as a Means of Creating Appropriate Atmosphere

Setting that explains the mood or situation in a literary work so as to arouse a state of the reader. Many authors manipulate their settings as a means of arousing the reader's expectations and establishing an appropriate state of mind for events to come (Pickering and Hoeper, 1981:40)

2.1.3.4 Setting as a Means of Revealing Character

Setting can also be used as a means of reinforcing and clarifying the theme of a novel or short story. These functions must not, however, be thought of as mutually exclusive. In many works of fiction, setting can and does serve a number of different functions simultaneously (Pickering and Hoeper, 1981:42)

2.2   Extrinsic Approaches

The previous part is different with this part. The extrinsic approach focuses the form of history, environment, economy, social and political. I will use sociological approach through the concepts of Genetic Structuralism to analyze the character. I will explain the concepts below:

1. **Sociology**

    Soerjono Sukanto, 1970 (as cited in Wiyatmi, 2013:6) defines that sociology is a science that focuses on general aspects of society and tries to get general patterns of community life.

    Both sociology and literature have the same object of study, namely humans in society, understanding human relationships and the process that arise from these relationships in society. The difference is, of sociology conduct an objective and scientific study of humans and society, studies social institutions and processes, finds out how society is made possible, how it takes place, and how it persists; then literature infiltrates, penetrates the surface of social life and shows the ways humans experiences society with their feelings, conduct subjective and personal analysis (Damono, 1979).

2. **Genetic Structuralism**

    Damono, 1979:5 (as cited in Minderop, 2016:1) *Sociology of literature is an approach to literature that emphasizes aspects of society and human life; while*

what is meant by Genetic Structuralism is a structure that is a product of an ongoing history that is alive and well lived by the community from which the work is concerned (Faruk, 1989:12)

In translation, Damono said sociology of literature is an approach to literature that emphasizes the aspects of society and human life; meanwhile what is meant by genetic structuralism is a structure which is a product of an ongoing history that is alive and being lived by the community where the work is concerned.

Genetic Structuralism, as the theory introduced by Lucien Goldmann, has a set of categories, namely: human facts, collective subject, world views and literary works. Literary creativity is considered an extrinsic outcome and the subject of research is historical and social background. These two backgrounds are the starting point for literary study (Faruk, 1989:17) as cited in Minderop, 2016:1

According to Goldmann, world views are ideas, aspirations and feelings that link together the members of a particular social group and which oppose them with other social group (Faruk, 1989:17). As a collective consciousness, the world view develops as a result of a particular social situation faced by collective subjects.

It is a product of the interaction between the collective subject and around the world, the world view is a long process which is mainly due to the fact that the world view is consciousness that not everyone can understand. In this case it is real awareness, namely the awareness possessed by individuals in society. These individuals become members of various groupings in society (Faruk, 1989:17)

2.1 Human Facts

Human facts is all the results of human activity or behavior, both verbal and physical, which science tries to understand. This fact can take the form of certain social activities, certain political activities, as well as cultural creations such as philosophy, fine arts, music, sculpture, and literary arts (Faruk, 1991:14). In the expression of literary works the author creates characters, objects, and relationships. Characters in the novel, for example, do social activities together.

2.2 Collective Subject

Collective subjects can be in the form of kinship groups, work groups, territorial groups and so on. To clarify, Goldmann made the specification as a social class in the Marxist sense because for him this goup was proven in history as a group that had created a complete and comprehensive view of life and which had influenced the historical development of mankind (Faruk, 1991:14) as cited in Minderop, 2016:13.

Collective subject is the subject of human facts in the form of social and historical facts such as social, economic, political revolutions and others. The individual will not be able to create it, the individual is a part, it is a unit, namely a collective unit called a social group. Social group are associations or human units who live together, because of the relationship between them (Soekanto, 1988:103) as cited in Minderop, 2016:14.

2.3 World View

World view, according to Goldmann is a suitable term for a comprehensive complex of ideas, aspirations, feelings that connect together members of a particular social group and differentiate it from other social groups (Faruk, 1991:14) as cited in Minderop, 2016:17

3. The Positive Freedom

This theory was developed by Isaiah Berlin. Isaiah Berlin is a political philosopher who spoke a lot about the theory of freedom. In this case, Berlin differentiate two concepts of freedom, namely: positive freedom and negative freedom. In this research I will use the positive freedom to investigate this novel.

This concept supports that in order to get something, you are most likely to have to sacrifice others to serve as a crutch to achieve the goal. Other people who help also can not be sure to be released from a claim. For Berlin, there was an arrogance in enlightenment realism in which the subject of the illumination was thought to be able to reasonably get it reality and organize the world agreeing to a certain standard of soundness. In turn, this has the potential to weaken the differing qualities of other people's viewpoints where this differing qualities

cannot really be dissolved down by a certain standard of judiciousness or one's claim.

2.3 Literature Review

This title of the research is "The Effort to Seize Liberty Cora in *The Underground Railroad* Novel" I try to make a literature review and there are similarities in this title that I read from the previous cases.

The first, Shifa Fauziah from Pakuan University, Bogor, she has done the research in 2019 under the title "The Struggle of The Main Character to Obtain Freedom in Colson Whitehead's *The Underground Railroad*". Shifa's research focused on displaying modes of oppressions that the main character has to undergo as a dark-skinned slave secretly trying to find ways to escape. In analyzing the data are obtained, she analyzed the research using the theory of forms of oppression by Iris Young. The difference between Shifa's research and this research is in the theory. This research uses Genetic Structuralism by Lucien Goldmann which included Human Facts, Collective Subjects, World Views.

Second, Tania Musmita from Padang State University, she has done the research in 2018 under the title "Seizing Liberty in The Novel *The Underground Railroad* by Colson Whitehead". Tania's research focused to show the way to seize liberty by analyzing character's reactions toward the conflict. The research is related to the psychoanalysis theory developed by Sigmund Freud and the concept of self awareness by Crisp and Turner that are supported by the text and context based interpretation. Of course this research is different with my research. Tania's research only focused on self awareness. This research uses Genetic Structuralism which talked about history, environment, and society.

Third, Sandra Damar Siswanti from State Islamic University of Malang, she has done the research in 2018 under the title "The Oppression Experienced by Black People Characters in Colson Whitehead's *The Underground Railroad*. Sandra's research focused to the struggle of black people while they are in the form of slave mutiny which is the plan to take over ship control that has been done by black slaves on the ship and building underground railroad which is a system to help fugitives run away from the plantation. Her research used theory

about five faces of oppression by Iris Young (2004) which told that oppression is structural concept and has many faces: violence, marginalization, exploitation, powerlessness, cultural imperialism. This research is definitely different with my research, I use Structuralism Genetic by Lucien Goldman that focused on sociological concepts such as Human Facts, Collective Subject, and World View.

I also use a book written by Albertine Minderop *Metode Karakterisasi Telaah Fiksi* for analyzing the character and to determine the behavior and actions they take. For the explicit and implicit aspects of the character, this book will help this research to understand the character within the novel.