

CHAPTER 2

FRAMEWORKS OF THEORIES

This chapter tells about some explanation of the concepts and theories that have been told in previous chapter. As stated in the previous chapter, the theories that are applied for this research includes intrinsic and extrinsic approaches. The intrinsic approaches include characterization of the characters through telling methods; characterization through appearances and characterization by the author, and showing methods; characterization through appearance, and by the author. After that I will analyze the novel through plot which consists of exposition, complication, crisis, falling action and resolution. Then, I will analyze the novel through the setting. It divides into three parts; as background of action, as antagonist, and as a means of revealing character. In this research, the extrinsic approach that is applied consists of the theory of parasomnia (night terrors and sleepwalking), lucid dreams and out-of-body experience that are included in psychological approach. In this chapter, I will explain those frameworks and theories:

2.1. Intrinsic Approach

In order to analyze the novel, I use some concepts through intrinsic approaches: characterization; showing methods; characterization through dialogue, and characterization through action; setting, and plot. Those concepts will be explained as follows.

2.1.1. Characterization

Characters are the important element in literary work. The art of creating a character for a narrative is characterization. Characterization is a literary device that is used step-by-step in literature to highlight and explain the details about a character in a story. It includes the process of giving some information about them. Characters can be presented by the description in their action, speech, and also their mind. (Pickering & Hoeper, 1981, p. 28) Minderop, in her book entitled *Metode Karakterisasi Telaah Fiksi*, states that an author generally uses two

methods or ways in creating the characters. The two methods are called as telling method and showing method.

2.1.1.1. Telling Method

Telling method relies on exposition and direct commentary by the author. This method preferred and practiced by the author to make us learn and look only at what the author's explanation. Telling method consists of 3 elements such as; characterization through the use of names, characterization through appearance, and characterization by the author (Pickering & Hoeper, 1981, p. 27-28).

a. Characterization through Appearance

In a literary works, the details of character appearances are served as the important and valuable clues of a character. Details of a dress can be clues for a character's background, occupation, economic and social status. Meanwhile, details of a character's physical appearance can be clues for their age, general state of their physical health and well-being, as well as their emotional state and health. (Pickering & Hoeper, 1981, p. 29)

b. Characterization by the author

In this method, the characterization of a character is directly told by the Author. An author can interrupt the narrative and reveal the nature and personalities of the characters, including the thoughts and feelings that are in their minds. The author has full control of the readers' attention and supposed attitude toward the characters. (Pickering & Hoeper, 1981, p. 30)

2.1.1.2. Showing Method

These methods let the characters reveal themselves in through their dialogue and their actions. Showing methods include as follows:

a. Characterization Through Dialogue

Dialogue is one of the key elements of fiction. Dialogue and characters are intimately intertwined. The dialogue reveals the character, and the character determines the dialogue. Without dialogue, we would have a very limited insight into a story's characters. We wouldn't know what they're thinking, feeling, wanting; how they interact with each other; what their relationships are to one another and how this affects the story. To analyze this, there are several ways that

can be applied, there are for what is being said, the identity of the speaker, the identity of the addressee, and the quality of exchange. (Pickering & Hoeper, 1981, p. 32)

- **What is Being Said**

In this case, we need to know whether the dialogue will be discussed is something that is important and can influence the events in the story. (Pickering & Hoeper, 1981, p.32)

- **The Identity of the Speaker**

Something delivered by a main character, which in this case is more important than a subordinate figure, although sometimes information by subordinate leaders can provide important about main characters. (Pickering & Hoeper, 1981, p.32)

- **The Identity of the Person or Persons the Speaker Addressing**

The narrative performed by characters in the story, where a certain figure says something about the character of the other (Pickering & Hoeper, 1981, p. 33).

- b. Characterization Through Action**

The action can reveal what a given character is. Even as little as the gesture and facial expression, action usually represent about their unconscious emotional and psychological states as well as their conscious attitudes and values. In doing so, it is necessary to identify the common pattern of conduct and behavior as well as underlying motives behind an action. (Pickering & Hoeper, 1981, p. 34- 35)

2.1.2. Plot

Plot is a narrative of events that form a basic narrative structure of a fiction. The events are arranged deliberately in a certain sequence that helps readers to understand the story as well as to arouse readers' curiosity. A plot is usually created as lifelike and real as possible in order to not confuse the readers with the kind of random and indeterminate events. (Pickering & Hoeper, 1981, p. 14) A plot usually flows in five certain stages or sections as follows:

2.1.2.1. Exposition

The exposition is the beginning of the story. Usually contain several necessary backgrounds, sets the scene, and establishes situation action which is contain introducing of the characters and conflict. (Pickering & Hoeper, 1981, p. 16)

2.1.2.2. Complication

Complication is also called as rising action. Complication breaks the existing equilibrium as well as introduces the characters and the underlying or inciting conflicts if they have not been introduced already in the exposition. Starting from this, the conflict in a fiction will develop and intensify gradually. (Pickering & Hoeper, 1981, p. 17)

2.1.2.3. Crisis

It is also referred as the climax. It is the peak of the conflict in a story and the turning point where the plot reaches to the point of greatest emotional intensity (Pickering & Hoeper, 1981, p. 17).

2.1.2.4. Falling action

It exists after a crisis happen, when the tension subsides and the plot flows to the appointed conclusion (Pickering & Hoeper, 1981, p. 17).

2.1.2.5. Resolution

It is the final part of a story. It contains the outcome of the conflict and establishes some new condition and situation. The resolution is also known as the conclusion (Pickering & Hoeper, 1981, p. 17).

2.1.3. Setting

The reader visualizes the action of the work through setting. Setting helps to create and sustain the illusion of life. Setting in a story is usually provided in a descriptive passage that explains the detail of the setting. Setting is the environment that surrounds an event in the story, the universe that interacts with the events taking place. (Stanton, 2007, p. 35) However, in this research, I use five functions of settings, which are:

2.1.3.1. Setting as background of action

Fiction requires a setting or background of some kind, even if it is only as simple as a stage of opera. Setting as background action may contain costume, manners, events, institution that is related with a certain time and place. (Pickering & Hoepfer, 1981, p. 38-39)

2.1.3.2. Setting as an antagonist

Setting can function as a kind of causal agent or antagonist to which helping to build plot conflict and determine the outcome of the story. (Pickering & Hoepfer, 1981, p. 39)

2.1.3.3. Setting as a means of creating appropriate atmosphere

Many Authors manipulate their settings as a means of arousing the reader's expectation and establishing an appropriate state of mind for events to come. (Pickering & Hoepfer, 1981, p. 40)

2.1.3.4. Settings as a means of revealing character

An author can also use the setting to clarify and reveal character by deliberately making setting a metaphorical or symbolic extension of character. (Pickering and Hoepfer, 1981, p.41)

2.1.3.5. Setting as a means of reinforcing theme

Setting can also be used as a means of reinforcing and clarifying the theme of a novel or short story. (Pickering and Hoepfer, 1981, p.41)

2.2. Extrinsic Approach

This sub-chapter will consist of the explanation about the extrinsic approach theory that is used in this research. Extrinsic approach is used to analyze the relationship between a literary works with evolving situation at the time of the work is created. The suspicion that studying literature alone might be an inadequate means of grasping the truths it contains led some critics to draw on other academic disciplines to illuminate the multiple truths in a literary work. Those critics who consider a piece of literature the product of an individual artist use biography and psychology as a means to explain the presence of facts and

experiences in the work. On the other hand, critics who consider a literary work as determined by the author's economic, social, or political environment look to sociology, history, economics, and anthropology for insights into the substance and sense of the work. Critics of a more humanistic inclination will connect the literary work to the history of the arts or to the history of ideas. All these extrinsic approaches assume literature encompasses truths either as an expression of its environment or as an example of the culture from which the literary work sprang (Strauch, 2009, p. 21). In this sub-chapter, I will explain about what the reflection means, and I will put some theories that I use as he extrinsic element in analyzing this research. The theories I use in this research are sleep disorder that are included in parasomnia (night terrors and sleepwalking, theory of lucid dream and out-of-body experience).

2.2.1. Reflection

According to Cambridge Dictionaries Online, the definition of reflection is something that shows, expresses, or is a sign of something ("Reflection", n.d). Moon, (as cited Queen Margaret University, 2014) states that reflection is part of learning and thinking. We reflect in order to learn something, or we learn as a result of reflecting, and the term "reflective learning" emphasizes the intention to learn from current or prior experience. Reflection is an exploration and explanation of events – not just a description. When reflecting something, necessary to select just the most significant parts of the event or idea on which you're reflecting. Don't try to tell the whole story, or you will end up only describing rather than reflecting. (Queen Margaret University, 2014).

2.2.2. Parasomnia

Parasomnia is included in sleep disorder category. The term parasomnia derives from the Greek "para" meaning "around" and the Latin "somnus" meaning "sleep." The most recent International Classification of Sleep Disorder (ICSD-3) defines parasomnias as "undesirable physical events or experiences that occur during entry into sleep, within sleep, or during arousal from sleep. All parasomnias events appear episodically (i.e., at regular intervals) during sleep, without disrupting the architecture of sleep (Montgomery-Downs, 2020, p. 319).

Parasomnias are categorized according to the sleep stage they emerge from as rapid eye movement (REM) sleep parasomnias, non-REM sleep parasomnias, or state-independent parasomnias. In this research, I will explain two types of sleep disorder included in parasomnia;

2.2.2.1. Night Terror

Night terror is a kind of sleep disorder that include to Non-Rapid Eye Movement (NREM) in parasomnia. Night terror or also known as sleep terror is one of the sleep disorders that characterized by the sudden arousal from sleep with a heart-breaking scream and intense fear manifested by heightened sympathetic activation.

Night terrors can be suffered by children and adults. Older children and adults provide a more detailed recollection of fearful images associated with sleep terrors than do younger children, who are more likely to have complete amnesia or report only a vague sense of fear. Among children, sleep terrors are more common in males than in females. Among adults, the sex ratio is even. (American Psychiatric Association, 2013, p. 401) There are several factors that can contribute and trigger the sleep terrors; sleep deprivation and extreme tiredness, stress, sleep schedule disruptions, travel or sleep interruptions, fever, sleep-disordered breathing — a group of disorders that include abnormal breathing patterns during sleep, the most common of which is obstructive sleep apnea, restless legs syndrome, some medications, mood disorders, such as depression and anxiety and in adults, alcohol use. Night terrors may result some complication from experiencing sleep terrors such as excessive daytime sleepiness, which can lead to difficulties at school or work, or problems with everyday tasks, disturbed sleep, embarrassment about the night terrors or problems with relationships and injury to oneself or rarely to someone nearby. A sleep terror may lead to sleepwalking. Both of them appear to be linked. (Mayo Clinic, 2018)

Night terrors could be a sign of stress, trauma, anxiety, depression, or other mental health concerns. Many adults who experience night terrors live with mood-related mental health conditions, such as depression, anxiety, or bipolar disorder. Night terrors have also been associated with the experience of trauma and heavy or long-term stress. (Healthline, 2019) Therefore, people who

experience repeated night terror is advised to have some treatments from specialist. “A sleep specialist can help to identify whether there is an underlying cause that can be treated. They may also prescribe therapy to manage the symptoms of night terrors” (Sleep Foundation, 2020).

2.2.2.2. Sleepwalking

Sleepwalking, also known as somnambulism is a behavior disorder that originates during deep sleep and results in walking or performing other complex behaviors while still mostly asleep. Sleepwalking is one of parasomnias that generally grouped as disorder of arousal occur in non-rapid eye movement [NREM] sleep, usually in stage III of the sleep cycle, which is also known as deep sleep. (Sleep Foundation, 2020) As mentioned before, sleepwalking and night terrors are related. People who experience sleepwalking may be led by night terrors that they have.

2.2.3. Lucid Dream

Before explain the theory of Lucid dream, I will explain about the dream itself first. Every people in this world may experience dream in their life. A dream can be explained as a succession of sensations, emotions, ideas, and images that occur involuntarily in a person’s mind during certain stages of sleep. Dreams mainly occur during rapid eye movement [REM] stage of sleep, when brain activity is high and most resembles that of being awake, and also being able to recall the dream if you awoken during the episode (American Sleep Association, 2021)

Dream has a strong relation with psychology. Many psychologist experts have discussed about the theory of dream and its relation to psychology and human life behavior. Sigmund Freud, a founder of psychoanalysis whose theories have been used for many psychology analysis researches, especially in psychology literature researches, has given attention to the problem of dream which he poured out in his book *The Interpretation of Dream*. Freud (as cited in Naisah, 2021) explains that dream phenomenon is one of the themes that can be raised by the author in creating literary works. He believes that there are some symbols which have meanings that can be interpreted in unique conflicts of each

individual in dream. According to Freud, (as cited in Milner, 1992, p.26) dream is related to the individual's disguised desires. Dream is a psych product which becomes the embodiment of a conflict. Why does it happen? It happens because dreams occur as the fulfillment of unrealized desires. Therefore, we can conclude that dream is the realization of a desire or wish. In a simple description, when someone cannot get what he wants or the things that he desires does not happen in his waking life, he can experience it in his dream. Freud also states that dreams occur as the cause one's conscious desire that is repressed. The conscious desire generates dream if the desire is able to evocative the other unconscious desires (Milner, 1992, p.31).

Lucid dream is a type of dream that seems very clear and real which the dreamer can control all the aspects of the dream. According to Walker, lucid dreaming occurs at the moment when an individual becomes aware that he or she is dreaming. However, the term is more colloquially used to describe gaining volitional control of what an individual is dreaming, and the ability to manipulate that experience, such as deciding to fly, or perhaps even the functions of it, such as problem solving. (Walker, 2017, p. 231) Lucid dreaming is a psychophysiology technique that is developed by Dr. Stephen LaBerge, an American Psychophysiology. He began researching lucid dreaming for his Ph.D. in psychophysiology at Stanford University, which he received in 1980. He developed techniques to enable himself and other researchers to enter a lucid dream state at will, most notably the MILD technique (mnemonic induction of lucid dreams), which was used in many forms of dream experimentation. (Wikipedia, 2021)

Lucid dream is used as a treatment for people who have mental or sleep disorder such as Post-Traumatic Stress Disorder [PTSD], nightmare disorder, and anxiety (Healthline, 2019). Many psychologists have done this technique to their patient. Gackenbach & Bosveld (1989), in their book entitled Control Your Dreams described benefit of lucid dream through a therapy that is conducted by Paul Tholey, a German psychologist to his patient;

Tholey has found that a patient can reap the benefits of a dreamed action without understanding why. One of his clients, a twenty-eight-year-old female student, for example, came to Tholey complaining of nightmares. She showed signs of anxiety and depression, a result perhaps of her failing relationship with her

husband and her relationship with her dying father. Tholey discussed ways of dealing with the frightening characters that haunted her nightmares, and in a dream that followed these sessions, the woman had a lucid dream that in essential ways served to heal her pain. The dream went like this: The woman was in the house in which she had lived as a child, waiting for a group of people to arrive who intended to harm her. She remembered that this setting often occurred in her dreams, a thought that gave rise to lucidity. "Despite the fact that she was stuck with fear and wanted to flee," explains Tholey, "she overcame the fear and courageously stood her ground." Then people in long robes approached. As she looked at the first figure to come close - a gigantic man with a cold, blue face and glowing eyes - she followed Tholey's instructions and asked him, "What are you doing here? What do you want from me?" The man looked at her sadly and helplessly as he said, "Why, you called us. You need us for your anxiety." At this, the man shrank to normal size. His face turned flesh colored and his eyes ceased to glow. Since this first lucid dream, the woman has not had any more nightmares and has felt less anxious in her waking life. But despite the effects, the woman was unable to interpret or make sense of the dream. (Gackenbach & Bosveld, 1989, p. 90-91)

From the situation that is explained above, we can see that the patient is able to control her dream to change the characters that haunted her nightmares before to be the friendly characters that want to help her with her anxiety.

There are several methods or techniques that are used for people to enter a lucid dream. The methods usually give instruction to the people to focus on visualizing the dream image and be aware that they are dreaming. Tholey explains that developing critical attitude is important to differentiate a dream and waking stage. For instance, some people have successfully induced lucid dreams by drawing a C (for consciousness) on the palm of one hand. Each time they notice the C, they ask themselves, "What is real?" or, "Is this a dream?" After looking about them and testing the nature of the place in which they find themselves, they conclude that they are not dreaming, but what they are now experiencing is the waking world. By asking themselves this many times during the day, they are more likely to ask themselves the same questions while dreaming. And with any luck, they will realize then that they are dreaming. (Gackenbach & Bosveld, 1989, p. 29)

2.2.4. Out-of-Body Experience (OBE)

According to Merriam-Webster Online dictionary, the definition of out of body experience is an experience in which a person has a feeling of being separated from his or her body and able to look at himself or herself and other people from the outside ("Out-of-body experience", n.d). Out-of-body experiences

have been known to occur in other states of consciousness, arising during meditation, while under the influence of psychedelics, and during times of extreme stress. But they most frequently occur as one is lying prone and likely to be falling asleep or dreaming.

Out-of-body experiences have the similarities with lucid dreaming. Much of the early lucid dream research was carried out by parapsychologists who saw many similarities between lucid dreaming and out-of-body experiences, they both reliably occur in the same people. Belsebuub, in his book “The Astral Codex: Using Dreams and Out-of-Body Experiences on a Spiritual Journey”, states:

Out-of-body experiences usually happen in three ways. Firstly from dreaming—this is called lucid dreaming. When this happens, we know that we are in a dream and realize that we are out of the body, just as we are aware of being here in this physical world. Secondly they can occur from consciously leaving the body, usually while it falls asleep—this is commonly known as astral projection. Sometimes these experiences happen spontaneously, but they can be learnt so that they happen voluntarily with the appropriate techniques. Thirdly they happen with near-death experiences. These are out-of-body experiences that take place with the death of the body. Dreams are related to out-of-body experiences—they occur in the same place as out-of-body experiences, and when we dream we are actually out of the body. We can verify this by having a lucid dream or by projecting and seeing unconscious or partly-conscious dreamers. When we are dreaming however, we do not always see where we are because of the subconscious projections of the mind, so we do not realize what’s happening; in an average dream the psyche is locked into the images and model of the world it has unconsciously created, is without self-awareness, and the ability to question the situation. (Belsebuub, 2013, p. 19-20)

The quotation above explains that out-of-body experiences mostly happen when the individual is asleep. The first way, people who are lucid dreaming will know that they are in dream, so they also knowing that they are out of their bodies just as they aware that they are being in the physical world. It can be said that lucid dreaming and out-of-body experiences are related. The second way, out-of-body experiences can be happens if the individual is consciously leaving the body while asleep. This way sometimes happens spontaneously, but for people who want to experience being out of their bodies voluntarily, this requires appropriate techniques. This way is also called astral projection.

Several techniques that are required for astral projection are relaxation, concentration, and visualization. Relaxation is important because sleep is needed for astral projection. Concentration helps to focus in order to successfully project, and visualization is using the concentrated mind to consciously imagine or

remember something. Then, to be more details there is a technique which is called Concentration and Visualization on an Object; to visualize the details of an object and remember it. It is useful training for increasing the ability to concentrate and visualize in the exercises for astral projection. (Belsebuub, 2013)

When you have clearly visualized the object (while having your eyes still closed), imagine, perceive, and visualize the inside of the object. In the case of a candle for example, go inside the flame and visualize the inside of the flame. Go further exploring anything else you would like to explore about the object. As you are visualizing / concentrating on it, feel yourself being the object, what it feels like being a flame burning on the tip of a wick. At that point you could ask questions to explore the object, such as: What is fire made of? How does it work? What is it for? What is it to be the object? If you pursue the answers far enough you may go beyond what the logical mind can find the answers to, into meditation, into the silence of the mind, rather than being concentrated. You can learn to focus the mind very well through this simple, but powerful technique. On the surface it looks mundane, but it can be quite a spiritual exercise. You can do this type of visualization on any object. You could do it with a pen, with a flower in a vase on your coffee table in your living room, and so on. Vary the objects—for example, try a glass of water, a plant, flowers, etc., and continue with at least ten minutes each day. You can also try this exercise in a quiet and safe spot in nature and try this imaginative visualization/concentration on a tree, a rock, an ocean, a lake, or a river to mention a few. You can also visualize a place by being there or by looking at a photograph or video of it. (Belsebuub, 2013, p. 37-38)

The quotation above explains about the technique of astral projection by concentrating and visualizing the objects. By doing the technique, people can have the answers of what they are questioning. They can even being at the place they want to be there just by visualized the details when looking at the details of the place.

2.3. Literature Review

The first previous research that I will review is the thesis that uses the same novel as I analyzed. The research entitled “The Reflection of Rob Hoyle’s Obsessive Love toward David Martin in Sarah Pinborough’s Novel *Behind Her Eyes*” by Andini (2019), the graduated student of University of Darma Persada. In her research, Andini (2019) uses psychology studies theory of obsessive love on the character Rob Hoyle toward David Martin. Andini (2019) uses the same approaches; intrinsic and extrinsic approaches in order to analyze her research.

Hutagalung (1963), in his book entitled “Djalan Tak Ada Ujung Mochtar Lubis” uses some psychology theory to analyze the novel *Djalan Tak Ada Ujung* by Mochtar Lubis. In his research, Hutagalung (1963) described that there are

some psychological aspects that is contained in novel *Djalan Tak Ada Ujung*; dreams, sexual desires, the unconscious minds, anxiety, fear, and superego. He uses Sigmund Freud theory as the reference. Hutagalung (1963) state that Fatimah often has dreams about the character Hazil in the novel *Djalan Tak Ada Ujung*, and the character Guru Isa also often experiences scary dreams about the endless road.

The third research that I use as literature review is the journal from Naisah (2021) entitled “Analisis Mimpi Tokoh Utama dalam Novel *Gelombang Karya* Dee Lestari: Kajian Psikonalisis Sigmund Freud”. Naisah (2021) states that dreams are the essential theme that many writers have been used in their literature works. In her research Naisah (2021) explains the manifest and latent contents of Alfa’s dreams, the main character on the novel *Gelombang Karya* by Dee Lestari. She explains the contents of dreams through Sigmund Freud’s theories.

