CHAPTER 2
THEORETICAL FRAMEWORK

This chapter consists of several theories that are needed to support this research in analyzing the 'The Whale' (2022) movie script as mentioned in the previous chapter. The approaches are divided into two types which are the intrinsic and the extrinsic approaches of literature. Intrinsic approach that I used including characterization, plot, setting, theme. Followed by extrinsic approach including psychology of literature, anxiety, and defense mechanism, this chapter also consists of previous studies that are related to my research.

2.1 Intrinsic Approaches

In order to understand deeper behind the meaning of literary work, specifically a movie, this research needs intrinsic approaches. This approach causes a text to exist as a literary text, which is encountered when people read literary works (Nurgiyantoro, 2018). The theories that I used through intrinsic approach are characterization, plot, setting, and theme.

2.1.1 Characterization

Characters in a narrative are credible to the extent that the story itself is credible. This means that characters adhere to the principles of likelihood and necessity by mirroring observable aspects of human nature. Character aligns with an internal truth (the idealized version of humans we aspire to) and are rendered realistic through the convincing performance of the actor. (Boggs and Petrie, 2012: 49-50).

According to Joseph Boggs and Dennis Petrie in their book entitled The Art of Watching Films (2012), characterizations are divided into eight types, for instance characterization through appearances, characterization through dialogue, characterization through external action, characterization through internal action, characterization through reactions of other characters, characterization through contrast: dramatic foils, characterization through caricature and leitmotif, characterization through choice of, as follows:

1) **Characterization Through Appearances**

Characterization in film is heavily influenced by casting, as most actors convery specific character traits the moment they appear on screen. A significant part of how characters are portrayed visually and right away. Some actors can switch it up and play totally different types and most of them stick to what they're known for. When we see an actor, we instantly make judgements based on their looks, clothes, physique, and mannerisms. (Boggs and Petrie, 2012: 50)

2) **Characterization Through Dialogue**

In a fictional film, characters disclose a significant amount information about themselves through their dialogue, but their delivery also plays a crucial role. Their genuine thoughts, feelings, and attitudes can be subtly expressed through their choice of words, as well as the stress, pitch, and rhythm of their speech. The way actors use grammar, sentence structure, vocabulary, and any specific dialects offers valuable insights into their characters' social and economic backgrounds, educational levels, and though patterns. Thus, it is essential to cultivate a sensitive ear that capable to pick up on the slightest nuances of meaning conveyed through the human voice. (Boggs and Petrie, 2012:50)

3) **Characterization Through External Action**

One of the most significant indicators of a character is their actions. It is important to recognize that real characters are not just tools for advancing the plot; they act with purpose and motives that align with their overall personality. Therefore, there should be a clear connection between a character and their actions, with those actions arising naturally from their personality. When a character's motivations are clearly articulated, the character and the plot become so intertwined that they cannot be easily separated, and every action taken by the character reflects aspects of their unique personality. Frequently, the most impactful characterization comes not from grand actions within the film, but from small, seemingly insignificant ones. (Boggs and Petrie, 2012: 51)

3) **Characterization Through Internal Action**

Inner action takes place within the minds and emotions of characters and includes their hidden, unexpressed thoughts, daydreams, desires, memories, fears, and fantasies. A character's hopes, dreams, and ambitions can be just as significant for understanding their character as any tangible accomplishments, while their fears and insecurities may feel more overwhelming than any actual disastrous failure. The most obvious way in which the filmmaker reveals inner reality is by taking us visually or aurally into the character's mind so that we see or hear the things that the character imagines, remembers, or thinks about. This may be achieved through a sustained interior view or through fleeting glimpses revealed by means of metaphors. (Boggs and Petrie, 2012:52)

4) **Characterization Through Reactions of Other Characters**

The perceptions of other characters about an individual can be a powerful tool for characterization. Frequently, significant insights into a character are provided through these perspectives even before the character makes their first appearance on screen. (Boggs and Petrie, 2012:52)

5) **Characterization Through Contrast: Dramatic Foils**

One of the most effective techniques of characterization is the use of foils who contrasting characters whose behavior, attitudes, opinions, lifestyle, physical appearances, differ significantly from those of the main characters (Boggs and Petrie, 2012:53)

6) **Characterization Through Caricature and Leitmotif**

Characterization through caricature allows a character to be quickly and imprinted in our minds and memories, as actors often exaggerate or distort one or more dominant features or personality traits. Meanwhile, leitmotif is the repetition of a single action, phrase, or idea by a character, which eventually becomes a sort if trademark or theme song for that character. It essentially exaggerates and emphasizes (through repetition), such a device acts very much like caricature. (Boggs and Petrie, 2012:54)

7) Characterization Through Choice of Name

An important method of characterization involves choosing names that have the right sound, meaning, or connotation, a practice referred to as name typing. Screenwriters frequently give characters names that become closely associated with their identities. (Boggs and Petrie, 2012:54).

Based on the list above, in this research, I will only use four of them which are characterization through dialogue, characterization through external action, characterization through internal action, and characterization through reaction of others.

2.1.2 Plot

In adventure stories and detective stories, the filmmaker primarily focuses on plot—on what occurs. These films typically aim to provide an escape from the boredom and drabness of daily life, resulting in exciting and fast paced. In this context, characters, ideas, and emotional effects are subordinate to events, and the final outcome is all important. However, the significance of these events and the conclusion is largely confined to the particular narrative being presented; they hold little real meaning outside of that context. The theme of such a film can often be effectively in a brief summary of the plot (Boggs and Petrie, 2012:18)

There are several parts of the story, as follows:

1) Exposition

Introduces the characters, illustrates their interrelationships, and places them in a believable time and setting. (Boggs and Petrie, 2012:44)

2) Complication

A conflict emerges and becomes increasingly clear, intense, and significant. This part is typically the longest because it generates and sustains dramatic tension and suspense throughout the complication. (Boggs and Petrie, 2012:44)

3) Climax

When the complication has reached its peak of maximum tension, the opposing forces confront each other at a high point of physical or emotional action called the climax. At the climax, the conflict is resolved and there follows a brief period of calm (Boggs and Petrie, 2012:44)

4) Dénouement

Denouement is a phase in which a state of relative equilibrium returns (Boggs and Petrie, 2012:44). The final scene or sequence in a movie script that provides context and closure to a significant theme, relationship, or event at the conclusion of the narrative is known as the denouement. This is where the story comes to an end, sometimes referred to as the resolution, finale, or the conclusion. The outcome can either a protagonist success over the main conflict and the story ends happily, or the protagonist fails and the story end tragically (Schützenhofer, 2011: 7 as cited in Indah, 2024). In denouement, authors resolve any remaining plot points and give a reader a cathartic moment which occur in a sequence on the lower right edge of the narrative pyramid, directly below the falling action. The denouement or the resolution signifies the ends of the story. It encompasses the breaking tension, the disaster and its aftermath.

2.1.3 Setting

The setting refers to the time and place where the film's story occurs. While the setting may often seem subtle or go unnoticed, it is an essential component in any story and significantly makes a contribution to the theme or overall effect of a film. Given the complex connections of setting with other story elements such as plot, character, theme, conflict, symbolism—it's important the effects of setting on the story to be analyzed carefully. Additionally, because of its important visual function, setting should also be considered as a powerful cinematic element in its own right. (Boggs and Petrie, 2012:82)

1) Setting as Determiner of Character

This perspective is founded on the idea that our character, destiny, and fate are all determined by external factors, suggesting that we might be simply products of our heredity and environment, and with the freedom of choice

being merely an illusion. By viewing the environment, a significant shaping force or even a dominant controlling one, this interpretation forces us to consider how environment has made characters what they are. In other words, how characters' nature has been dictated by factors such as their time in history, the particular place on Earth they inhabit, their place in the social and economic structure, and the customs, moral attitudes, and codes of behavior imposed on them by society. These environmental factors may be so dominant that they serve as something much more important than a backdrop for the film's plot. (Boggs and Petrie, 2012:84)

2) **Setting as Reflection of Character**

The environment in which a person resides can offer the viewer a valuable insight to their character. This is especially true regarding the elements of their environment over which individuals can influence. For instance, houses may be excellent indicators of character. This is exemplified by various exterior views that might be featured in a film's opening shot. (Boggs and Petrie, 2012:84)

3) **Setting for Verisimilitude**

One of the most apparent and fundamental roles of the setting is to create a sense of reality that provides viewers with a sense of a real time and a real place and a feeling of being there. Filmmakers understand the critical role that an authentic setting plays in enhancing a film's believability. As a result, they may spend months searching for the ideal setting and then transport crew, actors, and equipment thousands of miles to capture an appropriate backdrop for the story they wish to film. To be convincing, the chosen setting should be authentic in even the smallest details. (Boggs and Petrie, 2012:85)

4) **Setting for Sheer Visual Impact**

Filmmakers often select a visually striking setting when it aligns with the film's theme and objectives. (Boggs and Petrie, 2012:86)

5) **Setting to Create Emotional Atmosphere**

In some niche films, the setting plays a crucial role in establishing a deep emotional ambiance. This is particularly evident in horror films, and to a

lesser degree in science fiction and fantasy genres, where the uniquely intense atmosphere crafted by the setting is vital for fostering a suspension of disbelief among the audience. Furthermore, the setting can evoke feelings of tension and suspense that align with the film's overall tone, while also enhancing the believability of the plot and character development. (Boggs and Petrie, 2012:86)

6) Setting as Symbol

The setting of a film story can acquire strong symbolic meaning when it is representing not only a physical location but as well as some idea or concepts associated with the location (Boggs and Petrie, 2012:86)

7) Setting as Microcosm

A specific type of symbolic setting is known as a microcosm, which refers to a "small world" where human activities within a confined area reflect broader human behavior or the human condition as a whole. In this type of setting, great care is taken to isolate the characters from external influences, creating a self-contained "little world." This limited group of individuals, representing various human archetypes from different backgrounds or social classes, might be situated on a desert island, in an airplane, on a stagecoach, or in a western town. The implications of the microcosm often approach an allegorical nature, encouraging viewers to recognize strong parallels between the events in the microcosm and those in the larger world, with the film's theme carrying universal significance. (Boggs and Petrie, 2012:86-87)

In film analysis, theme refers to the unifying central concern of the film, serving as the focal point that brings the work together. As director Sidney Lumet noted, "What the movie is about will determine how it will be cast, how it will look, how it will be edited, how it will be musically scored, how it will be mixed, how the titles will look, and, with a good studio, how it will be released. What it's about will determine how it is to be made." This highlights the profound influence that the theme has on every aspect of the filmmaking process, shaping the creative choices and overall execution of the film. (Boggs and Petrie, 2012:18)

2.2 Extrinsic Approaches

2.2.1 Psychology of Literature

Literary psychology is an interdisciplinary field that combines psychology and literature (Endraswara in Minderop 2018:59). Literary psychology focuses on human concerns that provide an image of the soul. Literature not only depicts one's own soul, but it can also portray the souls of others. In this case, many authors have been including personal experiences in their works. (Minderop, 2018, p. 59)

Literary psychology is the study of literary works that have been believed to portray psychological processes and behaviors. In analyzing a psychological work, it is essential to determine the author's level of psychological engagement as well as the author's capacity to create fictional characters dealing with psychological issues. (Minderop, 2018, p. 54)

However, literary psychology does not aim to resolve psychological issues. Instead, the purpose of literary psychology is to analyze and understand the psychological characteristics of a literary work through the characters. This approach allows reader to gain understanding into changes in society, contradictions and other anomalies, much like how individuals can interpret the complexities of human behavior and social dynamics through the lens of literature. (Ratna in Minderop, 2018, p. 54)

2.2.2 Anxiety

Anxiety is assumed to be a situation that threatens the comfort of an organism. Various conflicts and forms of frustration that hinder the progress of individuals to achieve goals are one of the sources of anxiety. This anxiety condition is followed by a feeling of discomfort characterized by the terms worry, fear, unhappiness which we can feel through various levels (Hilgard, et al., 1975 cited in Minderop 2018, p. 28).

Anxiety disorders can arise from a variety of root causes, which may coexist or interact in complex ways. Some causes can lead to other illnesses, while others may not trigger anxiety disorders until additional factors are

present. Potential reasons for anxiety disorders include environmental pressures, such as family or interpersonal issues; genetic predispositions; medical considerations, including symptoms of diseases or side effects from medications; and drug withdrawal. Each of these factors can contribute to the development and experience of anxiety disorders in different individuals. (Juby, 2023 as referenced in Amelia, 2020, p. 13). Freud differentiated anxiety into three types, as follows:

1) Realistic Anxiety

Freud stated that realistic anxiety is a natural response when an individual perceives danger in a real-life situation, akin to fear. This type of anxiety prompts us to take actions that prepare us for potential threats. However, this reality-based fear can sometimes become exaggerated. For instance, a person might experience intense anxiety about leaving the house due to the fear of being involved in a car accident, or they may hesitate to light a match out of concern for starting a fire. Such extreme reactions illustrate how realistic anxiety can manifest in everyday situations. (Schultz, 2017, p. 48 as cited in Amelia, 2020, p. 13).

2) Moral Anxiety

According to Freud (as cited in Schultz, 2017, p. 48 and Amelia, p. 2020), this type of anxiety arises from a conflict between the id and the superego, representing a struggle within an individual's consciousness. When a person feels compelled to express innate desires that contradict the moral standards upheld by their superego, they may experience feelings of shame or guilt. Additionally, this anxiety is fueled by fears and concerns about the potential shame and wrongdoing associated with intentions to engage in actions that violate social norms. This internal conflict can lead to significant emotional distress as individuals navigate their desires in relation to societal expectations.

3) Neurotic Anxiety

This anxiety stems from conflict experienced during childhood between innate desires for satisfaction and the demands of reality. During early life, a child may face repeated punishment from his or her parents' for satisfying impulsive id desires, particularly related to sexual or aggressive tendencies. As a result, the child is frequently learning to suppress these impulses to avoid punishment. The neurotic anxiety that develops is characterized by a fear of being punished for engaging in behavior driven by the id, leading to an internal struggle between the desire for expression and the fear of repercussions. This dynamic can create lasting patterns of anxiety as the individual navigates their impulses in adulthood (Schultz, 2017, p. 48 as cited in Amelia, 2020, p. 13).

Moreover, according to Hall and Lindzey, neurotic anxiety develops from childhood experiences where parenting and behavior carried out by rude and neglectful parenting. When parents exhibit rude behavior or fail to provide adequate care and support, children may internalize feelings of insecurity and fear. As a result, individuals experiencing neurotic anxiety often find themselves fearing imaginary punishments from parental figures, reflecting unresolved conflicts from their early relationships. This fear can manifest as a pervasive sense of anxiety in adulthood, influencing their behavior and emotional responses in various situations (cited in Riswandono 13-14, Cahyati, 2022, p. 17)

In this research, by focusing on the theme of anxiety as depicted in The Whale (2022) movie script, I will only use the neurotic anxiety that is dominantly reflected through Ellie's character. Ellie experienced anxiety rooted in her childhood, stemming from the abandonment by her father. This unresolved trauma manifests in her inability to control her emotional impulses, leading to heightened feelings of anxiety in various situations. By analyzing Ellie's characterization, I aim to explore how her experiences of neurotic anxiety shape her behavior and relationships throughout the movie.

2.2.3 Defense Mechanism

According to Freud, the term defence mechanism refers to a person's unconscious processes that defend against anxiety; this mechanism protects someone from external threats or impulses arising from internal anxiety by distorting reality in various ways. (Hilgard, et al., 1975 cited in Minderop, 2018,p. 29)

A defense mechanism in which a drive or feeling is shifted to a substitute object, one that is psychologically more available. For instance, aggressive impulses may be displaced, as in scapegoating, upon people (or even inanimate objects) who are not sources of frustration but are safer to attack (Krech, 1974 cited in Minderop, 2018, p. 29)

Defense mechanisms are psychological constructs inferred from observations of the way people behave. They are useful ways of summarizing what we think is going on when we observe behaviour. Although some of the mechanisms are supported by experimental evidence, others have little scientific verification (Hilgard, et al., 1975 cited in Minderop, 2018, p. 30)

According to Sigmund Freud (1894), several defense mechanisms exist, including repression, denial, projection, regression, and sublimation. However, his daughter, Anna Freud (1936) has developed and elaborated the ideas given by Freud by categorizing defense mechanism into three groups: mature, neurotic, and immature. For Mature defenses, which are considered healthy and adaptive, she identified suppression and sublimation. Suppression involves consciously choosing to set aside distressing thoughts or feelings, while sublimation refers to channelling unacceptable impulses into socially acceptable activities.

In contrast, neurotic defenses, which are viewed as less healthy and potentially maladaptive, include repression and denial. Repression involves unconsciously blocking out painful or anxiety-provoking thoughts, while denial entails refusing to accept reality or facts that are uncomfortable.

Understanding these defense mechanisms can provide insight into how individual cope with anxiety and emotional distress (Bratadijaya, 2023)

A broad recent theory of defense mechanisms proposed by George Eman Vaillant, a psychoanalyst, classifies these mechanisms into two groups: mature and immature. There are suppression, altruism, and humor for Mature defenses and they are considered healthy and adaptive. Furthermore, there are acting out, fantasy, and projection for Immature defenses, which are considered less healthy and can lead to maladaptive behaviors. (Bratadijaya, 2023)

In this research, by focusing on the defense mechanism depicted in The Whale (2022) movie script, there are two defense mechanisms among all kinds of defense mechanisms that are illustrated through Ellie's character which is repression and reaction formation. Repression manifests in Ellie's tendency to unconsciously block out painful memories and emotions related to her father's abandonment, which influences her behavior and emotional responses throughout the film. While reaction formation is evident in Ellie's behavior when she expresses attitudes or emotions that are opposite to her true feelings.

1) Repression

According to Anna Freud, epression is described as "forgetting motivation," referring to the inability to consciously recall a threatening scenario, person, or event. While repression can provide temporary relief from emotional pain, it is considered harmful in the long term, as it can contribute to unresolved conflicts and manifest in other defense mechanisms. (Boeree, 2006, p. 8, as referenced in Cahyati, 2022, p. 19). Repression is one of the most fundamental forms of defense mechanisms. Freud states, whenever the ego is threatened by unwanted id impulses, it protects itself by suppressing those impulses, effectively forcing threatening feelings into the unconscious (Feist, 2008 p. 41 as referenced in Cahyati, 2022, p. 19). However, these suppressed impulses can emerge in various ways such as through dreams, madness, or another defense mechanism. For

example, consider someone who nearly drowned as a youngster but is unable to recall the event even when reminded. Despite this lack of memory, someone may experience a profound fear of open water, which serves as a manifestation of the repressed memory. (Cahyati, 2022, p. 19).

Repression functions to eliminate the inner conflict, problem, stress, or nightmare that causes anxiety. Repression's job is to press the anxiety under the conscious mind. Repression is where people prefer to focus on positive experiences news rather than acknowledging negative ones, repression also occurs when anxiety cannot enter the conscious mind, but still affects an individual's behaviour (Feist as referenced in Rezeki, Alamsyah, and Setyowati, 2023, p. 929)

Moreover, as a result of repression, the person may become unaware of their own anxiety-producing impulses or may not remember deeply emotional and traumatic past events. The relief from anxiety brought by repression is manifests in other ways, for example, in reaction formation (Krech, 1974 as referenced in Minderop, 2018, p. 34)

2) Reaction Formation

Reaction formation is defense mechanism characterized by taking the opposite action (Feist, 2008 as referenced in Rezeki, Alamsyah, and Setyowati, 2023). Freud also stated that reaction formation reduces anxiety by accepting opposing emotions, impulses, or actions. The ego protects itself from forbidden impulses by expressing opposing thoughts and actions (Anshori, 2011 as referenced in Rezeki, Alamsyah, and Setyowati, 2023, p. 930).

Reaction formation reduces anxiety by taking someone to adopt the opposite feelings or behavior. For example, a person who experiences strong sexual urges becomes people who oppose pornography (McLeod, 2009 as cited in Masykuroh, 2017) or engage in moralistic attitudes against sexual expression. Another example, a person who feels deep-seated anger may instead act overly friendly and masking their true feelings. Reaction

formation can prevent the individual from behaving in a way that would most basically create anxiety and frequently can prevent them from behaving in an antisocial manner (Minderop, 2018, p. 38)

2.3 Preview Studies

This research will further focus on the psychology of literature through absent parenting in 'The Whale' (2022) movie script. In this case, there are several previous studies that have been conducted and relevant to the concept or theory of this research.

The first relevant study is conducted by Rofa Rosyidah (2023) entitled "Anxiety and Defense Mechanism of Amirah in Novel She Wore Red Trainers by Na'ima B. Robert". The researcher focusing on the main character namely Amirah who experiences anxiety because of trauma and unstable ennvironment of home and leads to various defense mechanisms including displacement, denial, rationalization, repression, regression, sublimation, and reaction formation to cope the anxiety.

Second, research entitled "Denial as Defense Mechanism on The Main Character in "Knock at The Cabin" Movie Script" was conducted by Garda Bratadijaya (2023). The Researcher used Psychoanalytic theory and supporting theories like anxiety and defense mechanisms to analyze denial as a defense mechanism in the main character of the movie named Andrew. The result of this research suggests that Andrew's defense mechanism is depicted through an intrinsic approach.

Third, Hafidzatul Azizah (2022) conduct a research entitled "Eleanor's Anxiety and Defense Mechanism in Eleanor Oliphant is Completely Fine". By using the theory of anxiety and defense mechanism by Sigmund Freud, the researcher found that the main character experienced three types of anxiety including reality, neurotic, and moral anxiety. The author also found self-defense mechanisms that employ by main character which are repression, denial, displacement, projection, reaction-formation, sublimation, and fixation.

Furthermore, Dea Amelia (2024) from University of Darma Persada, with the name of the research "Anxiety and Depression Leads to Death Instinct on Netflix Series: I am Not Okay With This (2020) Movie Script". The writer used Sigmund Freud's theory of anxiety, depression, and life and death instinct to analyze the movie script. The result of this study figured out that the main character suffered anxiety caused by the death of father, and it manifest to supernatural powers which leads to death instinct in forms of hallucinations.

Another research entitled "Depression and Eating Disorder in The Whale (2022) Movie Script By Samuel D. Hunter" conducted by Khusnul Khotimah (2024). By using depression and eating disorder theory, the researcher discover how the main character's eating disorder, which became obese, caused by depression of losing someone.

Based on the brief description of five previous studies above, I can conclude that this research has differences and similarities to the related studies. The difference between the previous study and this study lies in the object and focus of this study. As I have mentioned, there has been no research conducted using The Whale (2022) movie script as the object of the study with the same theory or concept from Sigmund Freud about anxiety and defense mechanism specifically in repression and reaction formation related to the previous studies. Therefore, I analyze this research by focusing on Ellie's character, appearing in The Whale movie script.