THE BORDERLINE PERSONALITY DISORDER OF THE MAIN CHARACTER IN THE MOVIE ENTITLED "WRECK-IT RALPH" (2012)

REFERENCES

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DIAGNOSTIC AND STATISTICAL MANUAL OF MENTAL DISORDERS

FIFTH EDITION

DSM-5™

AMERICAN PSYCHIATRIC ASSOCIATION

manipulative to gain nurturance, whereas those with antisocial personality disorder are manipulative to gain profit, power, or some other material gratification. Individuals with antisocial personality disorder tend to be less emotionally unstable and more aggressive than those with borderline personality disorder. Although antisocial behavior may be present in some individuals with paranoid personality disorder, it is not usually motivated by a desire for personal gain or to exploit others as in antisocial personality disorder, but rather is more often attributable to a desire for revenge.

Criminal behavior not associated with a personality disorder. Antisocial personality disorder must be distinguished from criminal behavior undertaken for gain that is not accompanied by the personality features characteristic of this disorder. Only when antisocial personality traits are inflexible, maladaptive, and persistent and cause significant functional impairment or subjective distress do they constitute antisocial personality disorder.

Borderline Personality Disorder

Diagnostic Criteria
301.83 (F60.3)

A pervasive pattern of instability of interpersonal relationships, self-image, and affects, and marked impulsivity, beginning by early adulthood and present in a variety of contexts, as indicated by five (or more) of the following:

1. Frantic efforts to avoid real or imagined abandonment. (**Note:** Do not include suicidal or self-mutilating behavior covered in Criterion 5.)
2. A pattern of unstable and intense interpersonal relationships characterized by alternating between extremes of idealization and devaluation.
3. Identity disturbance: markedly and persistently unstable self-image or sense of self.
4. Impulsivity in at least two areas that are potentially self-damaging (e.g., spending, sex, substance abuse, reckless driving, binge eating). (**Note:** Do not include suicidal or self-mutilating behavior covered in Criterion 5.)
5. Recurrent suicidal behavior, gestures, or threats, or self-mutilating behavior.
6. Affective instability due to a marked reactivity of mood (e.g., intense episodic dysphoria, irritability, or anxiety usually lasting a few hours and only rarely more than a few days).
7. Chronic feelings of emptiness.
8. Inappropriate, intense anger or difficulty controlling anger (e.g., frequent displays of temper, constant anger, recurrent physical fights).
9. Transient, stress-related paranoid ideation or severe dissociative symptoms.

Diagnostic Features

The essential feature of borderline personality disorder is a pervasive pattern of instability of interpersonal relationships, self-image, and affects, and marked impulsivity that begins by early adulthood and is present in a variety of contexts.

Individuals with borderline personality disorder make frantic efforts to avoid real or imagined abandonment (Criterion 1). The perception of impending separation or rejection, or the loss of external structure, can lead to profound changes in self-image, affect, cognition, and behavior. These individuals are very sensitive to environmental circumstances. They experience intense abandonment fears and inappropriate anger even when faced with a realistic time-limited separation or when there are unavoidable changes in plans (e.g., sudden despair in reaction to a clinician's announcing the end of the hour; panic or fury when someone important to them is just a few minutes late or must cancel an appointment). They may believe that this "abandonment" implies they are "bad." These abandonment fears are related to an intolerance of being alone and a need to have other people with them. Their frantic

Personality Disorders in Modern Life

SECOND EDITION

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temperament." Character thus represents the crystallized influence of nurture, and temperament represents the physically coded influence of nature.

Abnormal Behavior and Personality

The concept of personality disorders requires an understanding of their role in the study of abnormal behavior. The *Diagnostic and Statistical Manual of Mental Disorders* (*DSM*) is considered the bible of mental disorders by psychologists and psychiatrists. The first official edition, published in 1952, was heavily influenced by previous systems established by the Army and the Veterans Administration to assist in understanding the mental health problems of World War II servicemen. In time, the *DSM* evolved beyond its original military purpose, becoming the standard or compendium for all of abnormal behavior. Now in its fourth edition, the *DSM-IV* is widely considered the official classification system or taxonomy for use by mental health professionals. It describes all mental disorders widely believed to exist, as well as a variety of others provisionally put forward for further research. Twelve personality disorders are included in *DSM-IV*, 10 of which are officially accepted, and 2 of which are provisional. In addition, this text briefly discusses two others that appeared in the revised third edition of the *DSM*. Although deleted from the latest edition, their diagnostic labels remain in widespread clinical use. Table 1.1 gives brief descriptions of these 14 personality disorders, an overview to the later chapters of this book.

BASIC VOCABULARY

Abnormal psychology has its own special vocabulary, or jargon. Many terms used in the discussion of abnormal behavior appear repeatedly in this book. Learn them now, for you will see them again and again. **Diagnostic criteria** are the defining characteristics used by clinicians to classify individuals within a clinical category. Essentially, diagnostic criteria constitute a checklist of features that must be present before a diagnosis can be made. Each disorder has its own unique list. Some lists are short; others are longer. For example, seven criteria are used to diagnose the antisocial personality. One of these is "deceitfulness, as indicated by repeated lying, use of aliases, or conning others for personal profit or pleasure" (*DSM-IV*, 1994, p. 650). Eight criteria are used to diagnose the histrionic personality. One of the most interesting is "interaction with others is often characterized by inappropriate sexually seductive or provocative behavior" (p. 657).

The criteria list for each personality disorder includes either seven, eight, or nine items, each of which details some characteristic trait, attitude, or behavior strongly related to that particular disorder. In the antisocial criteria, deceitfulness is considered a **personality trait**, a long-standing pattern of behavior expressed across time and in many different situations. The histrionic criteria can also be considered as tapping the personality trait of seductiveness, because histrionics are known for inappropriately sexualizing their communications. Where many such personality traits typically occur together, they may be said to constitute a **personality disorder**. Antisocials, for example, are much more than just deceitful; they are often manipulative, reckless, aggressive, irresponsible, exploitive, and lacking in empathy and remorse. When all of these characteristics are taken together, they constitute what is called a personality

Character represents the sum total of all influences on personality that derive from levels of organization in which the person is embedded, including family, peers, and society.

Personality represents the complex interaction of influences from both character and temperament, the patterning of characteristics across the entire matrix of the person.

Temperament represents the sum total of all influences on personality from levels of organization existing below the person, including such things as neurotransmitter profiles, and more directly genetically determined traits.

FIGURE 1.2 Levels of Organization and Their Relationship to the Multiaxial Model.

and ultimately are experienced as illness. Robust immune activity easily counteracts most infectious organisms, whereas weakened immune activity leads to illness. Psychopathology should be conceived as reflecting the same interactive pattern. Here, however, it is not our immunological defenses, but our overall personality pattern—that is, coping skills and adaptive flexibilities—that determine whether we respond constructively or succumb to the psychosocial environment. Viewed this way, the structure and characteristics of personality become the foundation for the individual's capacity to function in a mentally healthy or ill way. Every personality style is thus also a coping style, and personality becomes a cardinal organizing principle through which psychopathology should be understood.

PERSONALITY AND THE MEDICAL MODEL: A MISCONCEPTION

By describing the personality disorders as distinct entities that can be diagnosed, the *DSM* encourages the view that they are discrete medical diseases. They are not. The causal assumptions underlying Axis I and Axis II are simply different. Personality is the patterning of characteristics across the entire matrix of the person. Rather than being limited to a single trait, personality regards the total configuration of the person's characteristics: interpersonal, cognitive, psychodynamic, and biological. Each trait reinforces the others in perpetuating the stability and behavioral consistency of the total personality structure (see Figure 1.4). For the personality disorders, then, causality is literally everywhere. Each domain interacts to influence the others, and together, they maintain the integrity of the whole structure. In contrast, the causes of the Axis I clinical syndromes are assumed to be localizable. The cause of an adjustment disorder, for example, lies in a recent change in life circumstances that requires considerable getting used to. Here, causes and consequences are distinguishable, with discrete distinction

TABLE 1.1 Brief Description of the Fourteen Personality Disorders of *DSM-III*, *DSM-III-R*, and *DSM-IV*

Schizoid	Apathetic, indifferent, remote, solitary. Neither desires nor need human attachments. Minimal awareness of feelings of self or others. Few drives or ambitions, if any.
Avoidant	Hesitant, self-conscious, embarrassed, anxious. Tense in social situations due to fear of rejection. Plagued by constant performance anxiety. Sees self as inept, inferior, or unappealing. Feels alone and empty.
Depressive[1]	Somber, discouraged, pessimistic, brooding, fatalistic. Presents self as vulnerable and abandoned. Feels valueless, guilty, and impotent. Judges self as worthy only of criticism and contempt.
Dependent	Helpless, incompetent, submissive, immature. Withdraws from adult responsibilities. Sees self as weak or fragile. Seeks constant reassurance from stronger figures.
Histrionic	Dramatic, seductive, shallow, stimulus-seeking, vain. Overreacts to minor events. Exhibitionistic as a means of securing attention and favors. Sees self as attractive and charming.
Narcissistic	Egotistical, arrogant, grandiose, insouciant. Preoccupied with fantasies of success, beauty, or achievement. Sees self as admirable and superior, and therefore entitled to special treatment.
Antisocial	Impulsive, irresponsible, deviant, unruly. Acts without due consideration. Meets social obligations only when self-serving. Disrespects societal customs, rules, and standards. Sees self as free and independent.
Sadistic[2]	Explosively hostile, abrasive, cruel, dogmatic. Liable to sudden outbursts of rage. Feels self-satisfied through dominating, intimidating and humiling others. Is opinionated and close-minded.
Compulsive	Restrained, conscientious, respectful, rigid. Maintains a rule-bound lifestyle. Adheres closely to social conventions. Sees the world in terms of regulations and hierarchies. Sees self as devoted, reliable, efficient, and productive.
Negativistic[1]	Resentful, contrary, skeptical, discontented. Resist fulfilling others' expectations. Deliberately inefficient. Vents anger indirectly by undermining others' goals. Alternately moody and irritable, then sullen and withdrawn.
Masochistic[3]	Deferential, pleasure-phobic, servile, blameful, self-effacing. Encourages others to take advantage. Deliberately defeats own achievements. Seeks condemning or mistreatful partners.
Paranoid	Guarded, defensive, distrustful and suspiciousness. Hypervigilant to the motives of others to undermine or do harm. Always seeking confirmatory evidence of hidden schemes. Feels righteous, but persecuted.
Schizotypal	Eccentric, self-estranged, bizarre, absent. Exhibits peculiar mannerisms and behaviors. Thinks can read thoughts of others. Preoccupied with odd daydreams and beliefs. Blurs line between reality and fantasy.
Borderline	Unpredictable, manipulative, unstable. Frantically fears abandonment and isolation. Experiences rapidly fluctuating moods. Shifts rapidly between loving and hating. Sees self and others alternatively as all-good and all-bad.

[1] Listed as a provisional disorder in *DSM-IV*.
[2] From the Appendix of *DSM-III-R*.
[3] Called Self-Defeating in *DSM-III-R* appendix.

- Why are borderlines such difficult patients in therapy? Why should therapists guard against issues of countertransference when working with borderlines?
- List therapeutic goals for the borderline personality.

To live a life analogous to a soap opera is to live the life of a **borderline personality.** Wrought with emotional ups and downs, these individuals are known to be unstable and especially angry. What fuels the chaos are intense interpersonal needs and sudden shifts of opinion about others, who may be painted as loving, sensitive, and intelligent one minute and accused of neglect and betrayal the next. When left alone, even for short periods, borderline personalities feel intolerably lonely and empty. With romantic relations typically stormy and intense, they spend most of their time either making up or breaking up. They make frantic attempts to avoid abandonment, including suicidal gestures. In addition, they fail to realize that their clinginess via dramatic and drastic measures drives others away. Plagued by feelings of anxiety, depression, guilt, and inferiority, many engage in self-destructive behaviors, indulging themselves impulsively in drugs or promiscuous sexual activity. Some even mutilate their own bodies by cutting or burning. Lacking a mature sense of self-identity, they flip-flop on goals and values, suddenly change jobs on impulse, and reverse previous opinions with indifference. During stressful periods, this incohesiveness makes them susceptible to temporary psychotic states and dissociative episodes. The borderline personality is peppered with many aspects of other personality disorders. Throughout this chapter, we embark on the roller coaster ride that so aptly depicts this personality.

For the sake of convenience in this text, borderline personalities will be referred to simply as borderlines. Consider the case of Jenny (see Case 14.1). What is immediately striking about Jenny, and about many borderlines, is a specific kind of instability in their relationships. Jenny swings from loving people to hating them and back again, as if she knew only two modes of appraisal: either complete idealization as the best person on earth or devaluation as a demon from Hell (see criterion 2). The immediate recipient of these alternating attitudes is her stepmother, Vera, who is understandably bewildered by such sudden and never-ending shifts of attitude. Later, we find out that Jenny refers to Vera as the "wicked witch" and describes her boyfriend as "evil." Shades of the same are perhaps seen when she talks about her father, who taught her "not to rely on people, 'cause one minute they're here and the next they're gone," as if loyalty could consist only of dichotomous extremes.

What Jenny seems to need most is magical fusion with a loving caretaker. Indeed, feelings of abandonment seem to underlie the intense anger she feels toward her father. Apparently, Jenny sees Vera as replacing not only her real mother but also Jenny herself. A hunger strike, locking herself in her room, and demanding that her father divorce Vera are all frantic efforts to avoid abandonment and recapture the past (see criterion 1). She has also threatened suicide, run away from home, and been arrested for drug possession (see criterion 5).

Moreover, Jenny seems devoid of life goals or consistent values. Whereas normals develop a solid sense of identity that defines the person and gives direction to life, Jenny lacks a stable identity that might anchor her (see criterion 3) against the influence of intense, transient impulses that threaten to seriously damage her life (see criterion 4).

idealization and devaluation, those with the style may read more into behaviors and events than is warranted but can take a more realistic and complex perspective on their relationships. Whereas the disordered feature a disturbance of identity and an unstable self-image, those with the style diminish self-uncertainty by being more experimental and curious about alternative lifestyles, roles, and value systems. Whereas the disordered tend to be impulsive in self-damaging ways, those with the style are simply somewhat sensation-seeking, but in ways that primarily add to the richness of experience rather than subtract from it.

For each of the preceding applicable contrasts, Jenny, our angry stepdaughter, falls convincingly toward the pathological side. Far from being simply concerned with the quality of her attachments, her behavior reflects intense, pervasive abandonment themes focused especially on the connection between her father and her stepmother. Jenny obviously feels replaced and probably fears that her stepmother is more important to her father than is she. Far from reading more into events than is warranted, Jenny's feelings about others, especially Vera, swing from loving to hating. Far from being simply experimental and curious in a way that builds self-identity, Jenny seems too consumed with emotional upheavals to allow for life goals or real values to develop. Finally, Jenny is not simply sensation-seeking in ways that add to the richness of life; instead, she is impulsive in harmful ways, including substance abuse and leaping from her boyfriend's Jeep.

Other diagnostic criteria for the borderline personality can be placed on a continuum with normality (see Sperry, 1995). Whereas the disordered tend to be affectively unstable and make suicidal gestures or engage in self-mutilation, the borderline style tends to be spontaneous and emotionally intense and only occasionally overreacts or overdramatizes. Chronic feelings of emptiness plague those with the disorder, yet those with the style actively pursue social venues and creative pursuits that help make life entertaining. Whereas the disordered exhibit intense displays of anger that are difficult to control, those with the style tend to be more emotionally intense but nevertheless able to step back and see the effects of their moods on others. Whereas the disordered exhibit temporary paranoid ideation or dissociative symptoms under stressful conditions, those with the style are not vulnerable to such symptoms.

The aforementioned characteristics of a borderline are presented in Jenny's case, though hers are more toward the pathological side of the applicable contrasts. Far from being merely more emotionally intense or spontaneous than average, she is emotionally labile, as seen most readily at the beginning of the clinical interview and again in the intense argument with her boyfriend. Moreover, her emotions are so intense that they contribute to a dissociative dysphoria that Jenny "treats" by cutting herself with a razor blade. Finally, she experiences periods of intense anger that she controls only with great difficulty, as evidenced by a rapid erosion of decorum that gives way to an erratic stream of hatred and accusation directed at Vera near the beginning of the interview. As Bockian (2002) succinctly explains, people with the disorder may struggle throughout their lives to gain a sense of identity while managing feelings of inadequacy, impulsiveness, self-destructive behavior, and even suicidal ideations.

Variations of the Borderline Personality

In general, personality disorders alone are difficult to diagnose, and more than most, borderlines are those frequently misdiagnosed (Bockian, 2002). Both theory and research

argue that the *DSM* borderline pattern overlaps nearly every other personality disorder, with some exceptions. Because most subjects diagnosed as borderline are female by a ratio of 2 to 1 or even higher, subjects with dependent, histrionic, avoidant, depressive, and negativistic features are common, though for different reasons. In general, any personality pattern that makes others the center of life is at risk to develop a borderline personality. The desire to magically fuse with others who will support you emotionally and meet your every need is evidence of both ego weakness and identity disturbance, leading to instability in interpersonal relationships and feelings of emptiness and desperation when others seem to separate. In contrast, a *DSM* borderline diagnosis is probably less likely for male compulsive, sadistic, paranoid, and some narcissistic personalities, for whom dogmatism, righteous indignation, or grandiosity artificially boost the coherence of the self, giving it rigid boundaries inconsistent with those of the more permeable borderline. A summary of the borderline subtypes is given in Figure 14.1. Actual cases may or may not fall into one of the combinations described in the following sections.

THE DISCOURAGED BORDERLINE

The **discouraged** borderline is mixed with the dependent or avoidant patterns. Such individuals pursue a strategy of submissive attachment to just one or two significant others.
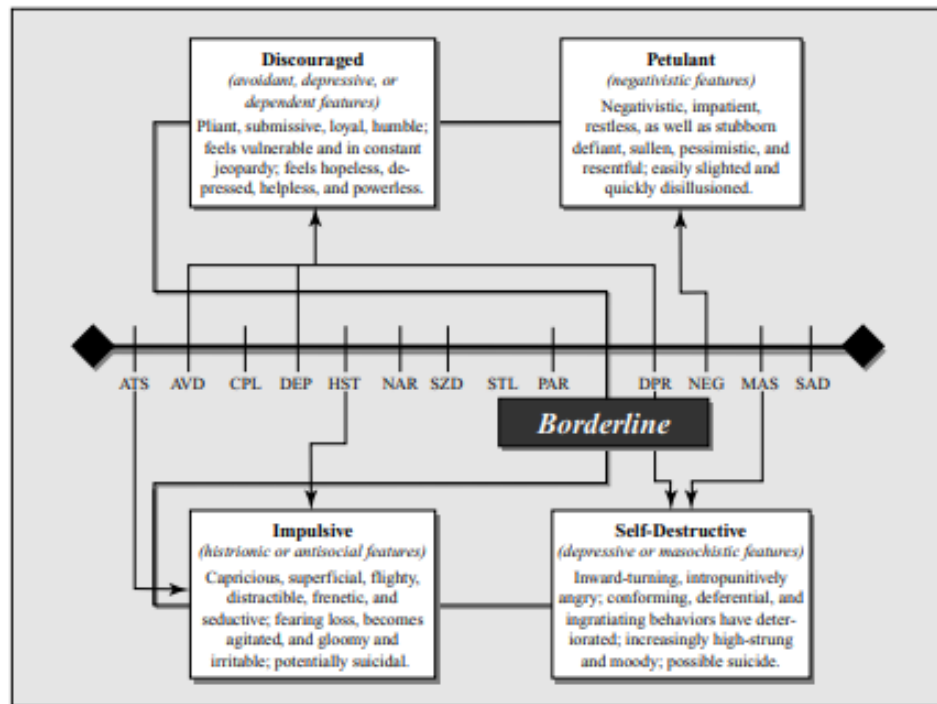

FIGURE 14.1   Variants of the Borderline Personality.

Prominent personality traits include not only avoidance of competition, loyalty, and humility but also masochistic subordination and a parasitic clinginess.

By exclusively relying on a single someone, discouraged borderlines "put all their eggs in one basket." Always fearing that their lifeline is threatened, their world is chronically destabilized. Consequently, they are ever preoccupied with their lack of security, mainly their own helplessness, self-doubt, and lack of self-sufficiency. To reinforce their relationships, they cling tenaciously to whoever is available, merging their own identity into that of their partner. Given such profound needs, they are easily panicked by a sense of isolation or aloneness and easily feel depressed and powerless. Simple responsibilities seem monumental, everything is a burden, and life is empty and heavy. Should their sense of futility intensify, they may regress to a state of marked depression or infantile dependency, requiring others to tend to them as if they were infants.

Other discouraged borderlines mix characteristics of the depressive personality. Such individuals have been taught to be conscientious and proper. They respect authority, tend to be grim and humorless, and expect rewards contingent on compliance and submission. Borderline characteristics begin to develop when the individual senses that this interpersonal pact has been violated too often—that others have selfishly failed to supply promised rewards of affection. Resentful and angry, they no longer believe that conformity will forestall desertion. Instead, they feel coerced into submission and betrayed—emotions that periodically break through normal controls. Because anger is not only inconsistent with their self-image but also alienates or provokes those on whom they depend, intense negative feelings are experienced as dangerous. In response, they may swing to the opposite pole, becoming excessively preoccupied with self-reproach. Self-mutilation and suicidal attempts, symbolic acts of self-desertion, may be used to control their resentment or as punishment for anger.

THE IMPULSIVE BORDERLINE

The **impulsive** borderline is mixed with the histrionic or antisocial pattern. Unless constantly receiving attention, such individuals become increasingly seductive, impulsive, capricious, and irresponsible. Though most borderlines are famous for dysregulation of negative emotions, subjects with histrionic traits become even more behaviorally hyperactive and cognitively scattered, exhibiting a dysregulation of positive affects that includes frenetic gaiety, frantic gregariousness, and irrational and superficial excitement. At times, they lose all sense of propriety and judgment. Individuals with a stronger antisocial history become even more impulsive and thoughtless, both failing to plan ahead or heed the consequences of their actions as they struggle to free themselves from social constraints. At the borderline level, the strategies of the basic histrionic and antisocial patterns are simply much less successful than before. As such, they are likely to experience many disappointments, to go for extended periods of time without the security they crave, and to succumb to hopelessness and depression.

The impulsive borderline is especially likely to have experienced the chaotic family (Linehan, 1993) or soap opera environment (Benjamin, 1996), which encourages drama, a desire for stimulus variety, and an intolerance of boredom. Many will have felt a sense of security and attachment only when their parents acknowledged some exhibitionistic performance or when their misbehavior was intense enough to stand out against the background noise of chaos and discord. Many were exposed to exhibitionistic parental

THE PETULANT BORDERLINE

The **petulant** borderline is mixed with the negativistic (passive-aggressive) personality. When even more dyscontrol is added to the active-ambivalence of the negativist, the result is someone who is even more unpredictable, restless, irritable, impatient, complaining, disgruntled, stubborn, sullen, pessimistic, resentful, and envious of the happiness and success of others. They resent those on whom they depend and hate those to whom they must plead for love. In contrast to other borderline subtypes, most petulants have seldom had their needs satisfied on a regular basis and have never felt secure in their relationships. Stubborn and demanding, they openly register their disappointments.

Unable to find comfort with others, they may become increasingly bitter and discontent, caught between two pathological extremes. At times, they express feelings of worthlessness and futility, become highly agitated or deeply depressed, express self-condemnation, and develop delusions of guilt. At other times, their habitual negativism becomes completely irrational, driving them into rages in which they distort reality, make excessive demands of others, and viciously attack those they see as having trapped them and forced them into intolerable conflicts. Their moods become a way of threatening others that further trouble is coming unless something is done. However, following these wild outbursts, petulants turn their hostility inward and become remorseful, plead for forgiveness, and promise to behave and make up for their transgressions. Alternatively, they may express fatigue and somatic disorders as a means of milking others' attention while burdening them at the same time. As children, they are likely to have felt mishandled and cheated, perhaps caught in a power struggle between caretakers who used the child as a pawn. For them, affection was never free of conflictful feelings.

Consider the case of Georgia (see Case 14.2). Elizabeth, who has come to the university counseling center seeking help and advice on coping with a problem parent, describes her mother, Georgia. Georgia synthesizes many of the characteristics of the borderline and negativistic personalities. For example, she vacillates between blaming Elizabeth and smothering her, an example of the borderline traits, devaluation and idealization. Consistent with the tendency of the negativist to try to recapture ideal love, Georgia adored Harold, her husband, early in their marriage but later became disenchanted, asserting that everything he did for her was never right or never enough. Indeed, in her more petulant moments, Georgia will tell you that no one has ever appreciated her—another characteristic of the negativistic personality but here synthesized with the unstable relationships characteristic of the borderline. Her social contact with the surrounding neighborhood, throwing tantrums and alienating others, provides even more evidence. Moreover, Georgia's vocational history is typical of the negativist, in that some minor problem that apparently stands as a symbol of her mistreatment gets blown out of proportion, leading to indignation and loss of employment. However, her anger and inability to find a meaningful direction in life are also characteristic of the identity disturbance, unstable affect, and sudden inappropriate anger of the borderline. In fact, intense expressed anger, more anger than would ordinarily be attributed to a passive-aggressive person, is one of the defining characteristics of the case.

Given her history, Georgia appears caught in an unresolvable conflict that prevents finding a single, stable course of action. She desperately wants affection and approval from the significant others in her life, yet she seems unsure how to ask for them. Moreover, she is deeply resentful but fears asserting her anger. As a result, Georgia finds herself in a constant state of turmoil. First, she tries to be ingratiating and acquiescent,

but when this fails, she explodes with accusations that she is unloved and unappreciated. With her hopes dashed, Georgia quickly becomes increasingly hostile. Her resentments are then turned inward, creating guilt and a sense of worthlessness.

THE SELF-DESTRUCTIVE BORDERLINE

All borderlines are at times self-destructive, perhaps to the point of self-mutilation. In the **self-destructive** borderline subtype, however, self-destruction serves the needs of a comorbid masochistic pattern. Like the petulant borderline, the self-destructive type is unable to find a comfortable niche with others. Unlike the petulant type, self-destructive borderlines do not become increasingly testy and bitter over time. Instead, their masochistic traits cause them to turn inward, where destructive feelings can be expressed upon the self. In the past, these individuals presented a veneer of sociability and conformity. Underneath, however, were both a desire for independence and a genuine fear of autonomy. As a result, their social propriety cloaked a deeply conflictful submission to the expectations of others. To control these oppositional tendencies, they struggled to present a façade of self-restraint and self-sacrifice. Ever deferential and ingratiating, most have bent over backwards to impress their superiors with their conformity, all the while denying their dependencies and becoming even more conflicted.

At times, these antagonisms have given rise to public displays and bitter complaints about being treated unfairly, of expecting to be disillusioned and disapproved by others, and of no longer being appreciated for their diligence, submissiveness, and self-sacrifice. With the persistence of ambivalent feelings, self-destructive borderlines often begin to voice growing distress about a wide range of physical symptoms. As more subtle means of discharging negative feelings prove self-defeating, tension and depression mount beyond tolerable limits. They may accuse others of despising them, seeking to destroy their worth, and plotting to abandon them. Inordinate demands for attention and reassurance may be made. They may threaten to commit suicide and thereby save others the energy of destroying them slowly. The self-destructive and discouraged borderline subtypes perpetuate their pathology by deliberately putting themselves in positions of excessive vulnerability, making themselves so dependent and clingy that others could only become exasperated.

The Biological Perspective

More than anything else, the intense moodiness and rapidly shifting emotions of the borderline personality have caused observers to wonder whether some biological abnormality might underlie the disorder or at least create a predisposition that favors its development. Some biological basis seems necessary to fuel the intense emotional reactivity of the borderline, as seen in Jenny and Georgia. After all, anger is an intensely arousing emotion, as Jenny shows us consistently throughout her case study. Alternatively, we might suppose that reactivity itself has some biological basis. Perhaps some people simply react more intensely than others given any negative stimulus, and borderlines fall at the extreme upper end of such a distribution.

Because borderlines not only act out frantically but also frequently feel depressed, the early history of the borderline construct is confounded with the history of manic-depressive illness. From the earliest times, writers recognized persons with intense and

2nd Edition

Borderline Personality Disorder For dummies

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Recognize and understand
the symptoms of BPD

Practice strategies for
staying in control

Find support
for loved ones

Charles H. Elliott, PhD
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>> **Parenting:** Some people with BPD report having parents who told them that their feelings weren't important or accurate.

>> **Social and cultural:** Family instability, a culture that fosters individual needs and desires over those of the community, and even the angst of adolescence may all contribute to the high incidence of BPD in certain populations, at least in the Western world.

>> **Biology:** People with BPD appear to have differences in the way their brains work and the way the neurons in their brains communicate.

The multiple causes of BPD should increase compassion for the people who suffer from the disorder because these causes prove that people don't go through life asking for BPD. They acquire the disorder for reasons beyond their control. For more information on causes of BPD, refer to Chapter 4.

Counting the Costs of BPD

BPD inflicts an amazing toll on sufferers, families, and society. For a long time, experts assumed that about 2 to 3 percent of the general population had BPD. However, some findings suggest that this estimate may have greatly underestimated the extent of the problem and that up to 6 percent of the population may warrant receiving this diagnosis at some point in their lives.

The next sections take a look at the personal costs, both physical and financial, of BPD for the people who suffer from BPD and the people who care about them.

REMEMBER

In spite of the bleak topics we cover in the following sections, many people with BPD manage to have brilliant careers and live long, fairly successful lives. Furthermore, the passage of time typically results in reduced severity of BPD symptoms, and therapy can accelerate this process. In other words, don't give up, because you have many reasons for hope!

Health costs

Experts consider BPD one of the most severe mental illnesses. About 10 percent of the people with BPD eventually kill themselves, and many more of them seriously injure themselves in suicide attempts. Multiple studies conducted from the 1940s to the present have consistently found that people with severe mental illnesses (such as BPD) die young — shockingly, studies show that people with BPD live lives that are 20 to 25 years shorter than the lives of people without mental illnesses.

Characterizing Personality

Personality consists of broad, enduring patterns of behaving, relating, and expressing emotions to other people. Some of these patterns are quite healthy and adaptive, while others are not.

The term personality comes from the Latin word *persona*, which means *mask*. People use masks not only to project identities they want others to perceive but also to conceal what actually lies beneath the surface. *Personality* represents an attempt to describe the core essence of a person, yet, somewhat like a mask, that description is determined only by what others perceive. For example, consider a young woman who goes to a party. She tells jokes, flirts a bit, and seems to be having a fabulous time. People around her may describe her as "the life of the party." However, she actually feels painfully shy and self-conscious inside. Thus, the personality that others *perceive* of this girl isn't a direct reflection of her own perception.

In contrast, some people have personalities that are quite consistent with their inner feelings and emotions. For example, an adolescent boy may perceive himself as the class clown. He frequently pulls pranks on his friends and teachers. All of his classmates see him as the class clown just as he does.

Personality is a pattern of relatively consistent behaviors, perceptions, and reactions to others and the environment. Similar terms include temperament, character, disposition, and traits. It is only when these patterns become extreme that they are considered pathological or unhealthy.

The next section discusses the core dimensions that distinguish a healthy personality from an unhealthy one.

Differentiating Healthy from Unhealthy

People with healthy personalities report considerable satisfaction with their lives. Others see them as well adjusted to life in general. They manage to obtain most of their goals, face challenges with resolve, and bounce back quickly from adversities.

On the other hand, people with unhealthy personalities describe their lives as being unfulfilled and unhappy; they're typically unsatisfied with either with some aspects of themselves or what life has to offer them. Others usually see people with unhealthy personalities as chronically poorly adjusted. These folks struggle

IN THIS CHAPTER

» Looking at how biology and
   personality interact

» Exploring the contribution of
   psychological and developmental
   challenges

» Checking out social influences

Chapter **4**

Exploring the Root Causes of BPD

Not everyone who has horrible childhood experiences or traumas ends up with borderline personality disorder (BPD). However, most people with BPD report difficult or traumatic childhoods. Recent studies suggest that combinations of genetic influences accompanied by highly challenging psychological factors are usually present in people who develop BPD. In addition, culture and social factors (including social media) create conditions that either facilitate or inhibit the development of BPD.

Scientists can't pinpoint a single, clear pathway that leads to the emergence of BPD in any particular person. Consider the flu as a rough analogy. People don't come down with the flu every time they're exposed to the flu virus. Other factors, such as the person's genetic makeup, general health, levels of current stress, and past history (having received a flu shot, for example), make a difference in whether or not a certain person will come down with the flu. Similarly, exposure to one or two risk factors doesn't cause BPD in everyone.

In this chapter, we explore the ins and outs of the major risk factors for BPD. Like most emotional disorders, combinations of psychological, biological, and social risk factors interact to cause BPD. This multifaceted conceptualization is often referred to as the *biopsychosocial* model. We show you how various combinations of factors contribute to the emergence of BPD.

experiences along with current information and consider future implications. People with BPD often have executive systems that don't function effectively. Therefore, they may have difficulty planning ahead, reacting without thinking, and have trouble making logical responses.

So what came first? The chicken or the egg? Did these deficiencies in brain chemistry and function come before or after BPD? Even brain scientists and mental health professionals don't know. They need considerably more research before fully understanding these cause and effect relationships.

Psychological Factors

Mental health professionals widely ascribe to the theory that the events of a person's childhood significantly affect mental health in adolescence and adulthood. Parents and the way they parent influence the mental and emotional states of their children throughout their lives. Other family members, peers, schools, neighborhoods, friends, and even strangers also impact children. In addition, random events, such as hurricanes, violent crimes, and house fires, can change young people's lives forever.

As important as the impact of childhood is on people, however, keep in mind that children are quite resilient. Many mental health professionals have allowed their opinions to run ahead of the data in drawing connections between childhood problems and disorders in adulthood. As research has shown, the development of BPD involves much more than just poor parenting or even traumatic events. Many kids experience significant traumas as well as neglectful parents, yet they manage to lead emotionally healthy lives. A biological vulnerability usually plays at least a part in the development of BPD. (See the "Beginning with biology" section for more information.) Nevertheless, difficult childhoods do raise the risks for developing BPD.

The four major factors that can affect childhood negatively and, as a result, can increase risk for BPD in some cases are

>> Problematic parenting

>> Abuse and trauma

>> Early separation and loss

>> Disorganized and disrupted families

BPD has no single cause. Most of the issues we describe in the following sections must occur in extreme forms and/or for a very prolonged period of time to increase the risk of BPD. Even then, they usually require some interaction with biological and social factors for BPD to emerge.

Problematic parenting

Most of what mental health professionals know about the parents of people who develop BPD comes from reports made by the people who suffer from BPD. But when people suffer great distress, they tend to focus on and recall negative events far more than positive ones. When they feel better, their memories of certain events have a somewhat more cheerful tone. As a result, researchers quarrel over how much weight to give studies based on such recollections.

Unfortunately, far fewer studies objectively look at parenting styles at a given point in time and then follow the outcomes in terms of how children function in adulthood. Therefore, current professional perspectives on parenting and its true long-term effects remain somewhat murky. At the same time, mental health professionals have reached a reasonable degree of consensus that certain parenting practices do harm children. The next sections take a look at some problematic parenting styles.

Retrospective studies look into the past and gather information from memories of the past, old records, school data, and so on. This data often suffers from an inability to verify its accuracy and generally contains some degree of bias. *Prospective studies* follow people over time and collect information more systematically and objectively. They tend to be quite expensive, time consuming, and difficult to conduct. Scientists depend on both kinds of studies while remaining aware of the weaknesses inherent with each type.

Psychologist Marsha Linehan promotes the idea that emotional invalidation plays a critical role in fostering the development of BPD. *Emotional invalidation* refers to a variety of ways in which parents diminish, demean, discount, and disqualify children's emotional experiences.

Parents who emotionally invalidate their kids deliver a wide variety of messages to their kids that ultimately teach them to distrust or disbelieve their own emotional reactions. In the following list, we explore some of the more common messages parents use to invalidate their children's emotions and describe how these messages affect the children's feelings:

>> **You shouldn't feel that way.** Parents send messages like this one when their kids have been hurt or upset. Parents may feel uncomfortable with their children's distress and thus attempt to squelch it by using this message. They

Daniela's story doesn't contain enough information for you to conclude that sexual molestation was actually occurring. However, parents can't decide whether a child's concerns are legitimate when they frequently invalidate their kids' emotions and statements. Furthermore, because molestation often begins at a low level and slowly escalates over time, parents have to make sure their children feel totally safe in sharing their concerns with them.

Abuse and trauma

Numerous studies have demonstrated that people with BPD have a high rate of abuse — inflicted by either their parents or someone else, namely a relative, a bully, or a stranger — in their childhoods. Because of such data, some professionals suggest that BPD is actually a complicated form of post-traumatic stress disorder (PTSD). It's a highly distressing disorder that frequently occurs following a traumatic event. (See Chapter 3 for more about PTSD.) However, most researchers now contend that BPD is *not* a form of PTSD, even though trauma certainly raises the risk of developing BPD.

One reason researchers believe BPD is separate from PTSD is that BPD can and does develop in people who don't show clear signs of trauma in their childhoods. In fact, far less than 50 percent of those with BPD reportedly suffered from severe trauma. Biological vulnerabilities likely combine with other difficulties, such as emotionally invalidating experiences or chaotic childhoods and may lead to BPD in some people.

On the other hand, some people undergo traumatic events and don't develop BPD or even PTSD. Many of the people who demonstrate such resilience to trauma probably do so as a result of their genetic makeup, which enables them to endure hardships that others can't. Additional factors, such as highly supportive families, the presence of an especially involved caring adult, or psychotherapy, may also serve a protective function for some people who experience traumatic events.

Furthermore, the type of trauma children experience makes a difference in whether they develop BPD or other emotional disorders later in life. Trauma inflicted by a trusted family member appears to have a greater impact than trauma inflicted by a stranger. Sexual molestation that goes on for years typically has a greater impact than a single event of molestation. Incest usually increases the risk of BPD and other emotional disorders more than molestation by a stranger does.

Keep in mind, though, that any event involving abuse or trauma of children causes harm. Yet, in the absence of genetic vulnerability or other risk factors, large numbers of children eventually manage to overcome much of the damaging effects.

WARNING

If you have BPD, you shouldn't assume that you were abused as a child. Unlike claims that some poorly trained therapists have made to the contrary, most instances of trauma tend to be at least partially recalled over the years. Therapies based on the assumption that everyone with BPD was abused often guide people to construct memories of events that evidence later shows never occurred.

Separation and loss

Unexpected losses and separation from one or more parents for extended periods of time appear to contribute to an increased risk of BPD. Such losses can be quite traumatic because they disrupt the development of normal bonding between children and their parents. Children who lose parents often become more anxious and depressed in part because they worry about who will take care of them.

However, much like the case with trauma and abuse, some children lose a parent and overcome the effects of the loss, for the most part. Such recovery is more likely when these kids have an innate biological resilience and don't have the other risk factors of BPD.

Disorganized and disrupted families

An old cartoon depicts a man standing by himself in a huge conference hall with a banner that reads "Worldwide Meeting of Those with Functional Families" draped across the stage. Although we may have slightly misquoted the cartoon, the point is that most people have at least some degree of dysfunction in their families.

In contrast, dysfunction and disorganization dominate in some families. Dysfunction occurs when parents experience high marital discord and conflict. Parents often overtly express that conflict in the form of frequent loud fighting that fills children with anxiety and even fear that one or both parents may leave them. Other parents express that marital discord behind closed doors. In these cases, the parents may cover up and fail to talk about their disagreements. Although this approach may sound less stressful to children, most professionals believe that sweeping conflicts under the rug only makes them fester. Children pick up on the subtle signs of tension, and when parents don't openly resolve their conflicts with each other, their kids fail to learn the skills needed for resolving their own conflicts.

Dysfunction also arises when parents place confusing roles and expectations on their children. Some parents feel virtually incapable of parenting and place excessive responsibilities on their oldest children — virtually turning them into parents of the younger kids. Other parents take the opposite tack and treat their kids as incompetent — essentially infantilizing them.

Some homes are filled with disorganized chaos, something that children also find difficult to understand and manage. Such chaos comes in a wide range of forms, including the following

» Financial woes, unpaid bills, and bill collectors

» Frequent job changes

» Constant moves from one neighborhood to another

» Conflicts that cause various household members to move in and out

» Substance abuse

» Incarceration

» Neighborhood crime

» Disability, serious illness, or severe emotional disorders in one or more of the parents

These types of chaotic atmospheres challenge children and make understanding their own and other people's emotions very difficult. Disorganized chaos also interferes with a child's developmentally crucial task of learning how to regulate or control emotions.

Large extended families consisting of multiple generations — cousins, aunts, uncles, and grandparents — aren't as common as they were in the past, especially in the U.S., where 8 percent of children live with extended families compared to 38 percent worldwide. As a result, sources of emotional support are much less reliable and stable than they once were.

Furthermore, about a quarter of U.S. children under the age of 18 live in single-parent homes. These families are more likely to suffer from low income, stress, and time pressures. Kids of divorced parents are also more likely to experience emotional problems of all sorts, including BPD. Again, we don't know to what extent family instability contributes to the development of BPD, but social scientists have long known that social support serves as a strong protective force against declining mental and physical health.

Social and Cultural Influences

Social influences represent the way people behave in order to meet the demands and expectations of the people around them. These influences include people in the neighborhood, friends, family, and the larger community. Community

expectations, norms, and values are to a large part determined by culture. *Culture* represents enduring patterns of behavior, attitudes, beliefs, and ways of expressing emotions that are common to a large community of people and passed from one generation to the next. Culture transmits strong expectations about the way individual members of a particular community are supposed to live their lives.

Culture also influences the way people express emotional distress. In most poor countries, for example, intentionally cutting oneself is a rare and confusing event. In wealthier cultures, however, the act of self-mutilation is a relatively common occurrence, especially among troubled adolescents.

Some emotional disorders, such as schizophrenia and obsessive-compulsive disorder, occur at about the same rate and in similar ways across most cultures. However, BPD symptoms appear at different rates in different cultures. The varying social norms that exist across cultures may explain this difference in the rate of occurrence, at least in part. The next sections discuss social and cultural influences that may impact the likelihood of BPD.

BPD is not directly caused by neighbors, culture, social media, or other social influences. BPD is caused by interactions of biological, psychological, and social factors.

The neighborhood

The neighborhood someone grows up in may actually influence the way they express their feelings. For example, growing up in a neighborhood where everyone knows each other may inhibit aggression and misbehavior, which are somewhat predictive of BPD. If a young boy gets into a fight with a neighborhood kid, the whole block learns of the altercation. Parents are told and expected to discipline the boy's the transgression. In such close-knit neighborhoods, grandmothers, teachers, and neighbors all may exert influence on untoward behaviors, thus mitigating the likelihood of repeated offenses and developing BPD.

In other neighborhoods, few people know each other and everyone minds their own business. In these environments, there is less chance that young people's misbehavior will fall under the watchful eyes of relatives and neighbors. Especially in neighborhoods where adults are faced with poverty or poor working conditions, teens are often left to their own devices, and their behaviors are less influenced by social pressures.

Friends and peers

One's friends and peers also impact the way emotional disorders including BPD develop. For example, a teen hanging out with well adjusted friends may be less likely to act impulsively and be more likely to conform with standards of good, well controlled behavior. Kids drawn to groups that use drugs or commit minor crimes and other misdeeds fail to acquire self-control and may overreact to trivial setbacks and frustrations.

The teen years

So what do teens have to do with BPD? *Adolescence* is a relatively modern concept that refers to the transition period between childhood and adulthood. Adolescence emerged as a consequence of the Industrial Revolution as a way to keep children in school and out of sweatshops — not such a bad idea. However, as it has evolved, adolescence has become a tumultuous and treacherous time for many teens. Arguably, adolescence brings with it large chunks of free time, which means numerous opportunities for teens to engage in self-destructive behaviors. Pressures mount for teens to have more, be more, and be noticed.

Adolescence is a time when psychological disorders, including signs of personality disorders such as BPD, emerge. Of course, we're not saying that adolescence itself causes emotional disorders; after all, many adolescents mature into adulthood with no sign of any emotional disorders. However, from a historical perspective, BPD symptoms and behaviors have only been written about in the past century or so, which coincides with the emergence of adolescence as a feature of modern culture. When kids were busy milking cows and gathering crops, much less adolescent angst existed among teens. Perhaps if we can give teens more important tasks than texting, gaming, and hanging out at the mall, they won't be as easily seduced by self-destructive behaviors.

Social media

Technology in the form of computers, cellphones, and mobile apps have increased productivity, access to information, and the ability to communicate. Personally, we love computers and our phones. They've enabled us to write more and to research with greater ease than ever. Sometimes we spend days at a time holed up in our offices, banging away on the computer and not speaking to other living beings. Yet, because we don't want to lose real, face-to-face communication, we try to monitor our isolation to make sure we don't go overboard with social media and online news reading.

Borderline Personality Disorder

ROY KRAWITZ

WENDY JACKSON

FOREWORD BY DIXIANNE PENNEY AND KIERA VAN GELDER

ALL THE INFORMATION YOU NEED,
STRAIGHT FROM THE EXPERTS

OXFORD

To diagnose or not to diagnose?

In the introduction to the book we encouraged you to understand your condition and to put in place effective treatment for your condition. Whether you call your condition BPD or not, is not critical. BPD was included in the DSM-IV, the major diagnostic reference manual for professionals, as a mental health diagnosis when a group of professionals got together and decided that there were advantages in giving a name to a collection of features that they frequently encountered. Disadvantages can occur if the diagnosis is associated with negativity, pessimism, or derogatory attitudes, or with a failure to recognize the uniqueness and humanity of the person with the condition. The most important advantage is that diagnosis can serve as a guide to effective and compassionate treatment. Other advantages include sourcing education about the condition, a common language for professionals and people-in-recovery to use as a reference point to know that they are talking about the same condition, research into understanding the condition, and research into effective treatments. Increasingly people like yourself with BPD are being told about the diagnosis, assisting you in being informed, and being able to join together with your therapist as a true collaborative team working together, each with responsibilities.

Alternative names used to describe BPD

There have been explorations of alternative names for the collection of features that we call BPD. 'Complex post-traumatic stress disorder' acknowledges in the name the role of past trauma, while 'emotion regulation disorder' and 'emotional intensity disorder' highlight the central feature of heightened emotional sensitivity and reactivity.

A useful way of thinking about BPD is that of ongoing, enduring instability in many areas of life including thoughts, emotions, behaviours, and relationships. We like the term 'emotion regulation disorder', if not as a diagnostic name, as a way of understanding the condition and as a way of thinking to aid treatment and recovery. Emotion dysregulation refers to rapid shifts in emotions where we do not feel in charge, as our emotional selves take charge in a way that is unhelpful or harmful. If our problem is one of emotion dysregulation then it is obvious that solutions and treatment will include developing the skills necessary to take charge and regulate our emotions.

Features of BPD

BPD is a term given to a condition with a collection of features. Most experts in the field recognize BPD as a valid recognizable condition despite some

𝒾 Comment from Wendy

A diagnosis is simply a way of people, particularly professionals getting some understanding of you, to aid in planning with you, a way forward. You are not, never were, and will never be 'a borderline'—that is impossible. You may meet diagnostic criteria for BPD as a part of who you are, but you will never be 'a borderline'. Any therapist worth their salt will spend a lot of time finding out about your strengths and all the other parts of who you are to gain a balanced whole picture.

When I was diagnosed with BPD, the common language used was that I 'was' a borderline personality disorder. I hated this, emphasizing for me the sense that I was entirely damaged. Throughout the world, many of us involved in assisting change have turned language around so that now we speak of ourselves and assert our right to be spoken of as 'someone who meets diagnostic criteria for BPD or who has BPD'. This sits much better with me, as it indicates that this is just one part of what made up the person that was me.

Brief outline of causes of BPD

We discuss possible causes of BPD in detail in a later chapter but wished briefly to say enough about cause here to put into context our discussion in this chapter on understanding BPD. There are many factors that can contribute to the way that BPD can develop, including biological predisposition (factors making it more likely to develop BPD) and psychological trauma. About 15–20% of the population are thought to be born with a temperament where emotions are experienced intensely (biological predisposition). This has advantages and disadvantages and is neither good nor bad *per se* but requires understanding to make the most out of our biological make up. You may have been born feeling emotions intensely, into a caring family who did their very best, not knowing exactly how to respond to your emotional intensity. This may have left you feeling misunderstood despite the best efforts of yourself and your family, with no one to blame. Others may have had severe psychologically traumatic experiences such as childhood sexual abuse and/or physical assault. Both these situations of biological predisposition and psychological trauma could have made it difficult or impossible to develop necessary psychological skills and resulted in the behaviours that are categorized as BPD.

Making sense of all the DSM-IV diagnostic criteria together

Now, we make sense of the DSM criteria as a whole, highlighting in bold italics key phrases that are associated with the nine DSM-IV criteria listed towards the end of Chapter 4.

If you are an intense or emotionally sensitive person, as many people with BPD are, you might respond enthusiastically when things are going well and plummet when things are not going well. You are likely to be sensitive to events in the world around you (especially relationships) and also to your own self-talk, which might be quite harsh on yourself. This is likely to be associated with and result in very ***high levels of reactivity of your mood*** with rapid changes that can be extremely unsettling. Your emotions and moods might be very labile—easily go up and down in response to events with little time in an even more settled mid-range. Because your emotions are so intense, it is more challenging for you to use skilful behaviours when distressed. It is more likely therefore that your behaviour will be determined by your mood; that is, mood-dependent behaviour rather than skilful behaviour whatever your mood.

If you have BPD, you are likely to have had a difficult life either due to the difficulties of being born experiencing emotions intensely in a world not knowing how to relate to this intensity or due to childhood trauma, or a combination of the two. This could have resulted in your not having had the necessary positive opportunities to develop a robust sense of self-worth and self-esteem. If your life has been full of such experiences, you will of course be unhappy and may be depressed. Life might be hellish.

Difficulties with emotion regulation might show themselves in the present in difficulty with self-esteem and knowing who you are (***identity***) and what you believe in (values). If your emotions change rapidly and intensely, it might be hard to know your values steadily and have a stable sense of your own ***identity***. If your identity and self-esteem are linked to being with another person, then it makes sense that you will be ***anxious about being rejected and abandoned*** and wish not to be alone, to keep away feelings of ***emptiness***. Rapidly changing emotions and easily changing identity and values are likely to be associated with parallel changes in ***relationships that will be inherently unstable*** and perhaps turbulent. This may include considerable arguing and possibly break-ups and reconciliations. If you lean on other people to get by, it is quite likely that you will at times see them in a very positive and perhaps idealizing way. If these people are unable to meet your expectations then it makes sense that you will feel disappointed in them and perhaps cope
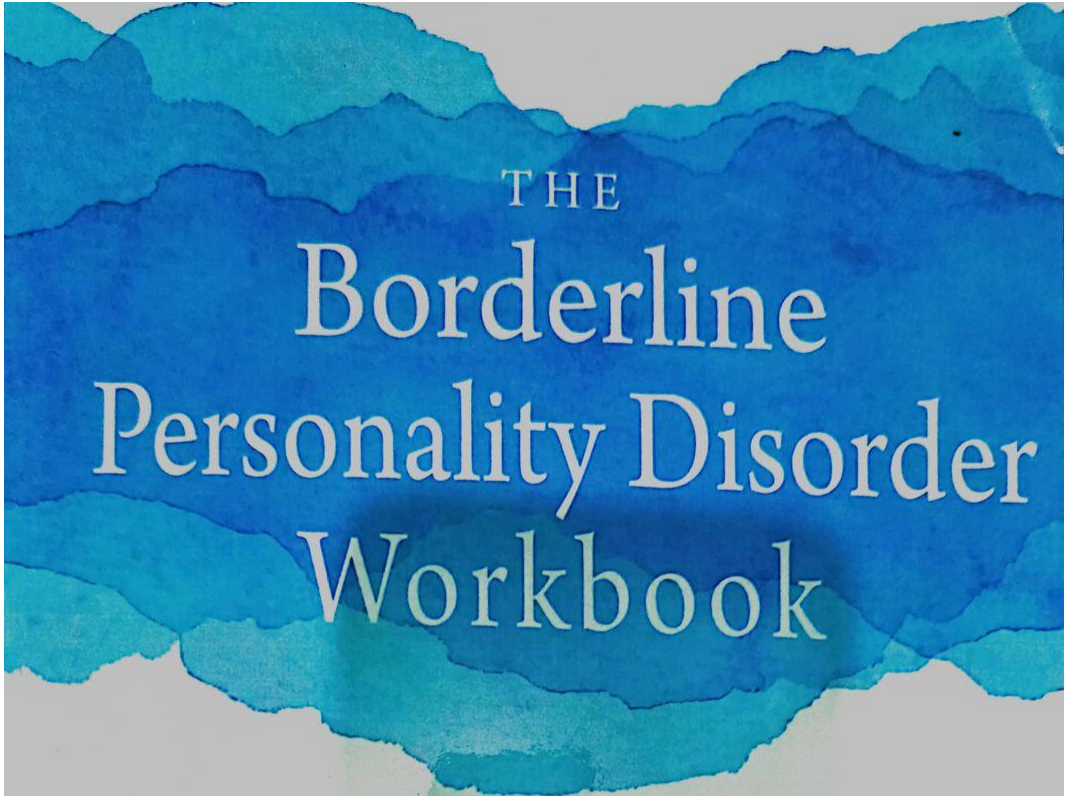
with your disappointment by devaluing them and *getting very angry*. This *idealizing and devaluation* will be very hard on you and the people you are in a relationship with. There will be an ever-changing situation that is likely to be, at least, unsettling for you. If your sensitivity to feeling rejected becomes extreme you might get *suspicious* of people whom you might have *brief paranoid thoughts* about. Your relationships might have a 'roller-coaster' quality to them—up or down rather than even and steady.

If you have BPD, it is likely that you did not have enough of the right opportunities to develop and learn the skills to deal with life problems and of ways of feeling good about yourself and the world. You might not have had the experiences of learning that difficult times can pass and that you can cope with being distressed. If this is the case, you will have been left with very high levels of distress without skills of how to deal with this distress other than engaging in *impulsive behaviours* that might make you feel better briefly but have long-term negative consequences. Examples of such impulsive behaviours might include verbal or physical attacks, *self-harm, alcohol, and other substance use, sex you later regretted, disordered eating, and excessive spending*. Another way that you might have developed of dealing with painful feelings is to *numb out*, including what professionals call *dissociation*. This numbing out might be contributing to your *lack of sense of your identity* and also your feelings of *emptiness*. Numbing out also means that you don't have the opportunities to practise and get skilful in dealing with emotions, resulting in *unstable emotions*.

Your recovery will include setting up structures so that you can have enough positive experiences to regulate your emotions, build a sense of who you are, your value and worth, and to learn skills of living that will enable you to enjoy the good times and to ride out the bad times as best you can without having to engage in impulsive behaviours that make things worse. Recovery will mean your being more skilled at managing your intense emotions, with less need to numb out, and your mood will consequently be more stable. Your behaviour will also be skilful whatever your mood. You will be aware of anger earlier on and use the information that anger brings to look after yourself. As you feel better about yourself, you will be less sensitive to feeling rejected and abandoned, better able to manage being alone without feeling empty, and better able to manage your life, your emotions, and your relationships relying on your own developing skills.

Like being romantically dumped non-stop!

Most people will have some of the features of BPD at some times in their lives without having BPD. A good example is how someone feels, thinks,

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THE

Borderline Personality Disorder Workbook

AN INTEGRATIVE PROGRAM TO
UNDERSTAND AND MANAGE YOUR BPD

STEP-BY-STEP GUIDANCE TO HELP YOU:

» Balance Emotions » Improve Relationships
» Challenge Negative Beliefs » Grow Beyond Your BPD
» Reclaim Your life

DANIEL J. FOX, PhD

CHAPTER 4

What Is Your BPD Type?

You learned a lot about BPD in the preceding chapters, including how it develops and presents itself in your life. No single process created your BPD, and as we continue to explore this disorder you'll learn there's no singular type of BPD either. In this chapter, we're going to explore the four subtypes of BPD. A *subtype* is a different presentation or form of an idea or concept. For our purposes, "borderline personality disorder" is the general term we use for this disorder, and the subtypes are the specific presentations, or forms, of BPD. In this chapter you'll also complete an assessment in which you identify the subtype (or subtypes) that best represents your BPD. Learning about your subtype will help you better understand your BPD, and the more you know the more prepared you are to grow beyond it.

The Four BPD Subtypes

There are four subtypes of BPD: discouraged, impulsive, petulant, and self-destructive (Millon 1996). Let's briefly go over each and see which subtype (or subtypes) fits you best.

Discouraged: These individuals tend to have difficulty making up their mind, have a strong need to be around others, have intense internal anger that builds until they explode, and act out when they feel "pushed" to defend themselves or when they feel they're not being heard.

Impulsive: These individuals are often flirtatious, tend to focus on the surface of things rather than going deeply into any one issue, have high energy but lose interest in things and people easily, and act without thinking. Others tend to not know what these individuals will do next.

Petulant: These individuals tend to be quick to express annoyance or dissatisfaction, have difficulty waiting their turn, are easily frustrated, and see the world as hurtful and negative. Others are uncertain about how these individuals will behave next.

Self-destructive: These individuals tend to have difficulty making decisions, may be humble in one instance and then inflexible the next, tend to be undecided about most things, behave without thinking about the consequences, may hurt themselves physically, and see themselves in a very loathsome and negative way.

As you went through this list, did you try to identify which subtype (or subtypes) fits you best? In the next section we're going to do just that—identify your subtype.

Identifying Your BPD Subtype

In the assessment below, circle how often you have the thoughts and feelings or exhibit the behaviors that are listed. Try not to overthink your responses, rather answer from your gut. Keep in mind that it's common for people to score high on more than one subtype; this means that you have tendencies that fit more than one subtype. Don't use this information to feel bad about or to attack yourself. You're only identifying the frequency of your thoughts, feelings, and behaviors. Remember, your BPD doesn't want you to explore and grow beyond it, so if doing this assessment brings up too many thoughts, feelings, and memories, take a break, talk to a mental health provider or a trusted friend, and come back to it when you're ready. You can download a copy of this assessment at http://www.newharbinger.com/42730.

CHAPTER 5

BPD Symptoms

In this chapter we're going to explore the symptoms associated with your BPD and identify those that are most problematic for you. We'll then examine the likelihood of you overcoming BPD. This knowledge will expand your awareness of BPD and how it impacts you and your life, and it will hopefully encourage you to continue this journey of growth and self-discovery.

Identifying the Intensity of Your BPD Symptoms

Remember Betty from chapter 1? Her issues with BPD seemed unmanageable when taken as a whole, but when she and I explored her symptoms individually and then identified those that caused her the greatest amount of difficulty, she was able to focus her treatment, reduce the interference from those symptoms, and ultimately learn to control them. When you look at BPD broadly, as a whole disorder, it's overwhelming, but when you examine it at the symptom-specific level, you can identify areas to focus on. Approaching BPD in this way makes it more manageable.

Symptoms are the emotions, thoughts, and behaviors related to your BPD. The Symptom Expression Rating Form below will help you identify the symptoms that are causing you the greatest problems. Complete the form by identifying the intensity of each symptom within the last two weeks. For example, if you felt that you were reactive in an extreme way, you'd rate it a 10, but if you felt you were minimally reactive, you'd rate this symptom a 2. Do your best to rate each symptom honestly, from 0 (none) to 10 (extreme), as doing so will help you identify those symptoms that cause you the greatest difficulty. BPD symptoms change over time, so this form is available for download at http://www.newharbinger.com/42730. You may want to revisit your symptoms as you continue your journey beyond BPD.

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Borderline Personality Disorder: Why 'fast and furious'?

Martin Brüne [1]

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Abstract

The term 'Borderline Personality Disorder' (BPD) refers to a psychiatric syndrome that is characterized

REVIEW

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Borderline Personality Disorder
Why 'fast and furious'?

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ABSTRACT

The term 'Borderline Personality Disorder' (BPD) refers to a psychiatric syndrome that is characterized
by emotion dysregulation, impulsivity, risk-taking behavior, irritability, feelings of emptiness, self-injury
and fear of abandonment, as well as unstable interpersonal relationships. BPD is not only common in
psychiatric populations but also more prevalent in the general community than previously thought, and
thus represents an important public health issue. In contrast to most psychiatric disorders, some
symptoms associated with BPD may improve over time, even without therapy, though impaired social
functioning and interpersonal disturbances in close relationships often persist. Another counterintuitive
and insufficiently resolved question is why depressive symptoms and risk-taking behaviors can occur
simultaneously in the same individual. Moreover, there is an ongoing debate about the nosological
position of BPD, which impacts on research regarding sex differences in clinical presentation and
patterns of comorbidity.

In this review, it is argued that many features of BPD may be conceptualized within an evolutionary
framework, namely behavioral ecology. According to Life History Theory, BPD reflects a pathological
extreme or distortion of a behavioral 'strategy' which unconsciously aims at immediate exploitation of
resources, both interpersonal and material, based on predictions shaped by early developmental ex-
periences. Such a view is consistent with standard medical conceptualizations of BPD, but goes beyond
classic 'deficit'-oriented models, which may have profound implications for therapeutic approaches.

KEYWORDS: Borderline Personality Disorder; Life History Theory; adversity; interpersonal oppor-
tunism; psychotherapy; deficit model

INTRODUCTION

The term Borderline Personality Disorder (BPD)
refers to a psychiatric condition that is characterized
by unstable interpersonal relationships, fear of
abandonment, difficulties in emotion regulation,
feelings of emptiness, chronic dysphoria or depres-
sion, as well as impulsivity and heightened risk-
taking behaviors. Paranoid ideation and dissociative

Table 1. Descriptive diagnostic criteria of Borderline Personality Disorder according to the DSM-5

Fear of abandonment
Unstable and intensive relationships with rapid changes between idealization and derogation
Identity disorder
Impulsivity (spending money, sexuality, substance abuse, other risk-taking behaviors)
Recurrent suicidal behavior, threat of committing suicide or self-injurious behavior
Emotional instability
Feelings of emptiness
Inappropriate anger, uncontrolled aggression
Stress-dependent paranoid ideation or dissociative symptoms

A diagnosis is based on the presence of at least five of the following signs or symptoms

states are also transient features of the syndrome (Table 1). Moreover, many patients with BPD show recurring self-injurious or suicidal behavior [1]. BPD has a lifetime prevalence of about 6%. It is much more common in clinical settings, thus rendering BPD highly relevant for health care providers and public health in general [2].

Etiological models of BPD suggest that the development of 'mistrustful inner working models' based on insecure attachment predisposes to perceiving others as untrustworthy and rejecting [3–5]. Causal factors in this development include childhood trauma such as emotional neglect or physical and sexual abuse, though associating BPD with traumatic events alone is an oversimplification [6–8]. The contribution of genetics to BPD is inconclusive, but heritability of BPD seems to be significant [9, 10]. Taken together, the experience of early adversity, particularly the emotional unresponsiveness of attachment figures, trauma or abuse, coins an individual's expectations with regard to future resource availability, including the quality of interpersonal relationships in terms of others' reliability and trustworthiness [5].

BPD is often a comorbid condition of other psychiatric disorders (formerly conceptualized as axis-I disorders according to DSM-IV), foremost depression, other personality disorders, and there seems to be syndromal overlap and/or comorbidity with bipolar disorder (BD), attention deficit/hyperactivity disorder (ADHD) and posttraumatic stress disorder (PTSD) [2, 11–14].

In keeping with traditional medical conceptualizations, many scholars see BPD as a clinical syndrome with identifiable brain lesions or defects, mainly affecting fronto-limbic connections, which account for patients' emotional dysregulation, impulsivity and

inability to cope with interpersonal distress [e.g. 15]. Such views are incompatible, however, with observations suggesting that interpersonal difficulties of individuals with BPD are largely absent outside emotionally challenging situations, and that over time many patients experience a substantial reduction in self-mutilating behavior and impulsivity, though full recovery is rare and interpersonal difficulties and emotional instability are more pervasive [16]. In fact, most psychiatric conditions worsen with increasing age, so, why should BPD be an exception? Another counter-intuitive issue pertaining to BPD is that risk-taking behavior and depression co-occur in the same condition, whereby people with depression are usually risk-averse, rather than risk-prone, the latter being a typical feature of BPD [17]. Finally, there is controversy about sex differences in prevalence and clinical presentation of BPD, much of which remains unresolved, possibly due to conceptual diversity [18–20].

In consideration of these conceptual inconsistencies, the present article seeks to shed a different light on BPD. It is proposed that some features of BPD can be better understood in a frame of reference taking into account insights from behavioral ecology. Accordingly, cognition, emotions and behaviors typical of BPD may become meaningful and comprehensive, sometimes even logical, when imagining a world that is dangerous and unpredictable, where a 'fast and furious' lifestyle may appear appropriate. Such a view does not contend that BPD is adaptive *per se*. Instead, it is suggested that individual signs and symptoms associated with BPD can be meaningfully integrated in a life history perspective, and that sub-threshold or 'diluted' phenotypes of BPD may well pay off reproductively (i.e. being adaptive in the biological sense), though perhaps

at the expense of well-being and mental health. With regard to clinical implications, it is claimed that a behavioral ecological perspective may also shift focus in relation to psychotherapeutic goals away from fighting signs and symptoms (i.e. 'dis-ease') to views that aim at reframing an individual's life history strategy in more functional ways by means of improving patients' insight into and acceptance of the inter-relatedness of early life experiences with the pursuit of current bio-social goals.

BEHAVIORAL ECOLOGY

Behavioral Ecology focuses on the variation in behavior between as well as within species and its contingency on environmental conditions. An important behavioral ecological concept, termed Life History Theory (LHT), concerns an organism's differential allocation of resources to physical growth and reproduction. Put another way, there is a trade-off between an organism's capacity to invest energy in somatic growth, as opposed to investment of energy in reproductive activity, resulting in different life history strategies (LHS) shaped by natural selection. Accordingly, growth rate, age and body size at sexual maturation, number and size of offspring, mortality rate, longevity, etc. are biological traits modeled by environmental contingencies [21].

The concept of LHT was originally applied to differences between species, with growing evidence for within-species differences in LHS [22]. That is, ecological (environmental) conditions (interacting with genetic factors) determine whether an individual adopts a 'faster' or 'slower' LHS, whereby current and future resource availability is estimated by observable cues or predicted based on prior experience acquired in early developmental stages [23]. Critical aspects involved in 'decisions' over faster or slower LHS concern the timing of biological maturation, current versus future reproduction, quality versus quantity of offspring, and quality versus quantity of parental care in offspring and mating [24, 25].

A wealth of research has shown that the principles of LHT apply to humans in the same way as to any other organism [24]. It is necessary to point out, however, that terms such as 'strategy' or 'decision-making' do not imply conscious reflection or intentional action. The timing of biological maturation, sexual activity and intensity of care for offspring is regulated by sex hormones, the stress response system and neuropeptides [26–28]. In a more general vein, however, LHS have also profound

ramifications for the shaping of interpersonal behavior including cooperation, reciprocity, aggression and pair-bonding, as well as for neurocognitive domains, such as risk-taking, executive functioning and inhibitory control [25]. According to the 'Adaptive Calibration Model' individual differences in stress-regulation, as a function of complex gene–environment interaction, may translate into different adaptive strategies, which may shift one's somatic development and psychological mechanisms toward a 'faster' or 'slower' LHS [25, 27].

In support of theories about LHS, abundant research suggests that differences in early environmental conditions shape an individual's LHS in predictable ways [29]. Central to this is the observation that the quality of parenting profoundly influences the way children develop 'inner working models' which in turn serve as a guideline for predicting future resource availability [3]. That is, children who grow up in an emotionally safe and stable familial environment learn to see the world as a safe place, in which stable relationships with trustworthy others (family, peers, partners) indicate the availability of social and material resources in the future. Accordingly, from the perspective of attachment theory, securely attached individuals tend to pursue slower LHS, that is, they tend to mature later, delay reproduction, are generally risk averse, and form stable long-term intimate relationships with partners. Such individuals are also cooperative, empathetic, display low levels of interpersonal aggression, and have good inhibitory control over impulses. In terms of personality traits, they score high on conscientiousness and agreeableness. In contrast, children who are exposed to environmental cues such as harsh parenting, violence or other sources of danger are more likely to develop an inner working model suggesting that future resource availability is unpredictable, thereby shifting LHS toward faster development, including earlier biological maturation, sexual activity and earlier reproduction [24, 29]. A faster LHS is more often associated with insecure attachment patterns, increased delay discounting, greater impulsivity, larger numbers of sexual partners, lack of reciprocity, reduced inhibitory control, increased risk-taking behavior and less parental effort. Moreover, several personality traits may also be linked to differential LHS, whereby conscientiousness and agreeableness may be the most relevant in this regard, whereas others such as extraversion, openness and neuroticism may be more ambiguous indicators of a particular LHS (Table 2) [30, 31].
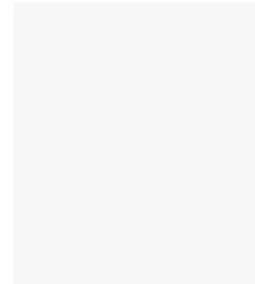
Foto: Binus School Serpong. (Dok: Gallery Binus School)

Jakarta, CNBC Indonesia - Kasus *bullying* yang terjadi pada siswa SMA Binus Serpong tengah menjadi perbincangan. Sebab, salah satu tersangkanya disebut anak dari artis berinisial VR.

Korban disebut mengalami sejumlah luka akibat *bullying* tersebut. Kabar keterlibatan anak dari artis VR juga telah dibenarkan oleh pihak sekolah

Haris menyebut orang tua dari anak tersebut juga akan dipanggil oleh pihak sekolah untuk dimintai keterangan.

Theories of Personality

DUANE P. SCHULTZ SYDNEY ELLEN SCHULTZ

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at any one time. He likened the mind to an iceberg. The conscious is that part above the surface of the water—the tip of the iceberg.

More important, according to Freud, is the unconscious, that larger, invisible portion below the surface. This is the focus of psychoanalytic theory. Its vast, dark depths are the home of the instincts, those wishes and desires that direct our behavior. The unconscious contains the major driving power behind all behaviors and is the repository of forces we cannot see or control.

Between these two levels is the preconscious. This is the storehouse of all our memories, perceptions, and thoughts of which we are not consciously aware at the moment but that we can easily summon into consciousness. For example, in the unlikely event your mind strays from this page and you begin to think about what you did last night, you would be summoning up material from your preconscious into your conscious. We often find our attention shifting back and forth from experiences of the moment to events and memories in the preconscious.
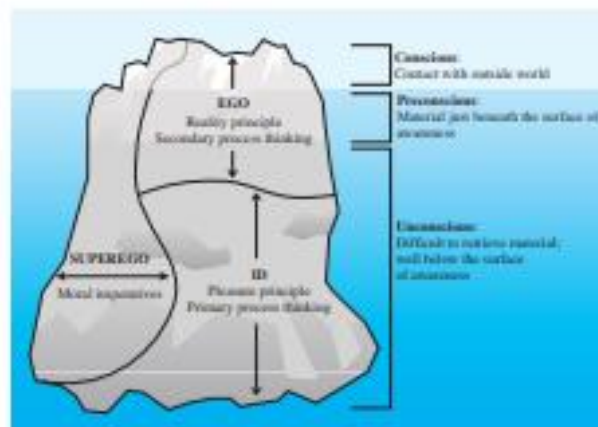
The Structure of Personality

The Id

id To Freud, the aspect of personality allied with the instincts; the source of psychic energy; the id operates according to the pleasure principle.

Freud later revised this notion of three levels of personality and introduced in its place three basic structures in the anatomy of the personality: the id, the ego, and the superego (see Figure 2.1). The **id** corresponds to Freud's earlier notion of the unconscious (although the ego and superego have unconscious aspects as well). The id is the reservoir for the instincts and libido (the psychic energy manifested by the instincts). The id is a powerful structure of the personality because it supplies all the energy for the other two components.

Because the id is the reservoir of the instincts, it is vitally and directly related to the satisfaction of bodily needs. As we saw earlier, tension is produced when the body is in a state of need, and the person acts to reduce this tension by satisfying the need. The id

FIGURE 2.1
Freud's levels and structures of personality.

Source: From Weiten, *Psychology: Themes and Variations*, 2E. © 1992 Cengage Learning.

self archetype To Jung, the archetype that represents the unity, integration, and harmony of the total personality.

The Self The **self archetype** represents the unity, integration, and harmony of the total personality. To Jung, the striving toward that wholeness is the ultimate goal of life. This archetype involves bringing together and balancing all parts of the personality. We have already noted Jung's principle of opposites and the importance of polarities to the psyche. In the self archetype, the opposites of conscious and unconscious processes must become assimilated so that the self, which is the center of the personality, shifts from the ego to a point of equilibrium midway between the opposing forces of the conscious and the unconscious. As a result, material from the unconscious comes to have a greater influence on the personality.

The full realization of the self lies in the future. It is a goal—something to always strive for but which is rarely achieved. The self serves as a motivating force, pulling us from ahead rather than pushing us from behind (as our past experiences do).

The self cannot begin to emerge until all the other systems of the psyche have developed. This occurs around middle age, a crucial period of transition in Jung's system, as it was in his own life. The actualization of the self involves goals and plans for the future and an accurate perception of one's abilities. Because development of the self is impossible without self-knowledge, it is the most difficult process we face in life and requires persistence, perceptiveness, and wisdom.

The Development of the Personality

Jung believed that personality is determined by what we hope to be as well as by what we have been in the past and by what happened to us then. He criticized Freud for emphasizing only past events as shapers of personality, to the exclusion of the future. Jung believed we develop and grow regardless of age and are always moving toward a more complete level of self-realization (see Table 3.2).

Jung took a longer view of personality than Freud, who concentrated on the early years of life and foresaw little development after the age of 5. Jung did not posit sequential stages of growth in as much detail as Freud, but he wrote of two general periods in the overall developmental process (Jung, 1930).

Childhood to Young Adulthood

The ego begins to develop in early childhood, at first in a primitive way because the child has not yet formed a unique identity. What might be called children's personalities are, at this stage, little more than a reflection of the personalities of their parents. Obviously, then, parents exert a great influence on the formation of the child's personality. They can enhance or impede personality development by the way they behave toward their child.

TABLE 3.2   Jung's developmental stages

Childhood	Ego development begins when the child distinguishes between self and others.
Puberty to young adulthood	Adolescents must adapt to the growing demands of reality. The focus is external, on education, career, and family. The conscious is dominant.
Middle age	A period of transition when the focus of the personality shifts from external to internal in an attempt to balance the unconscious with the conscious.

Extraverts channel the libido externally, toward the outside world.

The *introverted thinking types* do not get along well with other people and have difficulty communicating ideas. They focus on thoughts rather than feelings and have poor practical judgment. Intensely concerned with privacy, they prefer to deal with abstractions and theories, and they focus on understanding themselves rather than other people. Others see them as stubborn, aloof, arrogant, and inconsiderate.

The *introverted feeling types* repress rational thought. They are capable of deep emotion but avoid any outward expression of it. They seem mysterious and inaccessible and tend to be quiet, modest, and childish. They have little consideration for others' feelings and thoughts and appear withdrawn, cold, and self-assured.

The *introverted sensing types* appear passive, calm, and detached from the everyday world. They look on most human activities with benevolence and amusement. They are aesthetically sensitive, expressing themselves in art or music, and tend to repress their intuition.

The *introverted intuiting types* focus so intently on intuition that they have little contact with reality. They are visionaries and daydreamers—aloof, unconcerned with practical matters, and poorly understood by others. Considered odd and eccentric, they have difficulty coping with everyday life and planning for the future.

The Personal Unconscious

personal unconscious
The reservoir of material that was once conscious but has been forgotten or suppressed.

The **personal unconscious** in Jung's system is similar to Freud's concept of the preconscious. It is a reservoir of material that was once conscious but has been forgotten or suppressed because it was trivial or disturbing. There is considerable two-way traffic back and forth between the ego and the personal unconscious. For example, your attention might wander away from this page to a memory of something you did yesterday. All kinds of experiences are stored in the personal unconscious, which has been likened to a filing cabinet. Little mental effort is required to take something out, examine it for a while, and then put it back, where it will remain until the next time we want it or are reminded of it.

Complexes

complex To Jung, a core or pattern of emotions, memories, perceptions, and wishes in the personal unconscious organized around a common theme, such as power or status.

As we file more and more experiences in our personal unconscious, we begin to group them into what Jung called **complexes**. A complex is a core or pattern of emotions, memories, perceptions, and wishes organized around a common theme. For example, we might say that some people have a complex about power or status, meaning that they are preoccupied with that theme to the point where it influences behavior. They might try to become powerful by running for elective office, or to identify or affiliate with power by driving a motorcycle or a fast car. By directing thoughts and behavior in various ways, the complex determines how that person perceives the world.

Complexes may be conscious or unconscious. Those that are not under conscious control can intrude on and interfere with consciousness. The person with a complex is generally not aware of its influence, although other people may easily observe its effects.

Some complexes may be harmful, but others can be useful. For example, a perfection or achievement complex may lead a person to work hard at developing particular talents or skills. Jung believed that complexes originate not only from our childhood and adult experiences, but also from our ancestral experiences, the heritage of the species contained in the collective unconscious.

The Collective Unconscious

collective unconscious The deepest level of the psyche containing the accumulation of inherited experiences of human and pre-human species.

The deepest and least accessible level of the psyche, the **collective unconscious**, is the most unusual and controversial aspect of Jung's system. Jung believed that just as each of us accumulates and files all of our personal experiences in the personal unconscious, so does humankind collectively, as a species, store the experiences of all our human and pre-human ancestors in the collective unconscious. This heritage is passed to each new generation.

He believed that whatever experiences are universal—that is, are repeated by each generation—become part of our personality. Our primitive past thus becomes the basis of the human psyche, directing and influencing our present behavior. To Jung, the collective unconscious was the powerful and controlling repository of ancestral experiences. Thus, Jung linked the personality of each of us with the past, not only with childhood but also with the history of the species.

We do not inherit these collective experiences directly. For example, we do not inherit a fear of snakes. Rather, we inherit the potential to fear snakes. We are predisposed to behave and feel the same ways people have always behaved and felt. Whether the predisposition becomes reality depends on the specific experiences we encounter in life.

Jung believed that certain basic experiences have characterized every generation throughout human history. People have always had a mother figure, for example, and have experienced birth and death. They have faced unknown terrors in the dark, worshipped power or some sort of godlike figure, and feared an evil being. The universality of these experiences over countless evolving generations leaves an imprint on each of us at birth and determines how we perceive and react to our world. Jung wrote, "The form of the world into which [a person] is born is already inborn in him, as a virtual image" (Jung, 1953, p. 188).

A baby is born predisposed to perceive the mother in a certain way. If the mother behaves the way mothers typically behave, in a nurturing and supportive manner, then the baby's predisposition will correspond with its reality.

Because the collective unconscious is such an unusual concept, it is important to note the reason Jung proposed it and the kind of evidence he gathered to support it. In his studies of ancient cultures, both mythical and real, Jung discovered what he believed to be common themes and symbols that appeared in diverse parts of the world. As far as he

could determine, these ideas had not been transmitted or communicated orally or in writing from one culture to another.

In addition, Jung's patients, in their dreams and fantasies, recalled and described the same kinds of symbols he had discovered in ancient cultures. He could find no other explanation for these shared symbols and themes over such vast geographical and temporal distances than that they were transmitted by and carried in each person's unconscious mind.

Archetypes

archetypes Images of universal experiences contained in the collective unconscious.

The ancient experiences contained in the collective unconscious are manifested by recurring themes or patterns, which Jung called **archetypes** (Jung, 1947). He also used the term *primordial images*. There are many such images, as many as there are common human experiences. By being repeated in the lives of succeeding generations, archetypes have become imprinted in our psyches and are expressed in our dreams and fantasies.

Among the archetypes Jung proposed are the hero, the mother, the child, God, death, power, and the wise old man. A few of these are developed more fully than others and influence the psyche more consistently. These major archetypes include the persona, the anima and animus, the shadow, and the self.

The Persona The word *persona* refers to a mask that an actor wears to display various roles or faces to the audience. Jung used the term with basically the same meaning. The **persona archetype** is a mask, a public face we wear to present ourselves as someone different from who we really are. The persona is necessary, Jung believed, because we are forced to play so many roles in life in order to succeed in school and on the job and in getting along with a variety of people.

persona archetype The public face or role a person presents to others.

Although the persona can be helpful, it can also be harmful if we come to believe that it reflects our true nature. Instead of merely playing a role, we may then become that
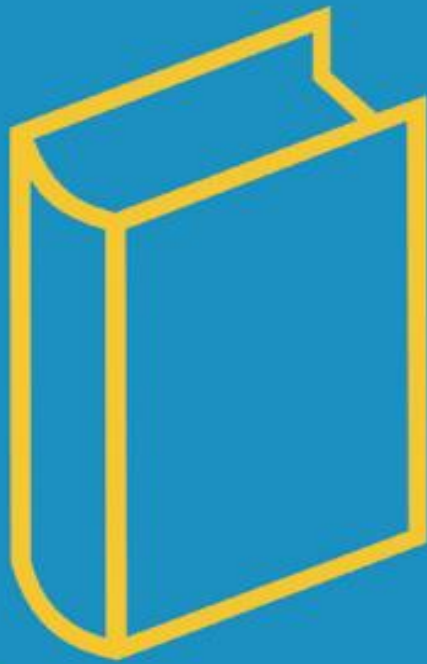
In the fully developed personality, a person will express behaviors considered characteristic of the opposite sex.

Zero Creatives/Culture/Corbis

An Introduction
to Literary Studies
Second edition

Mario Klarer

1
WHAT IS LITERATURE, WHAT IS A TEXT?

Look up the term **literature** in any current encyclopedia and you will be struck by the vagueness of its usage as well as by an inevitable lack of substance in the attempts to define it. In most cases, literature is referred to as the entirety of written expression, with the restriction that not every written document can be categorized as literature in the more exact sense of the word. The definitions, therefore, usually include additional adjectives such as "aesthetic" or "artistic" to distinguish literary works from texts of everyday use such as telephone books, newspapers, legal documents, and scholarly writings.

Etymologically, the Latin word "litteratura" is derived from "littera" (letter), which is the smallest element of alphabetical writing. The word **text** is related to "textile" and can be translated as "fabric": just as single threads form a fabric, so words and sentences form a meaningful and coherent text. The origins of the two central terms are, therefore, not of great help in defining literature or text. It is more enlightening to look at literature or text as cultural and historical phenomena and to investigate the conditions of their production and reception.

Underlying literary production is certainly the human wish to leave behind a trace of oneself through creative expression, which will exist detached from the individual and, therefore, outlast its creator. The earliest manifestations of this creative wish are prehistoric paintings in caves, which hold "encoded" information in the form of visual signs. This visual component inevitably remains closely connected to literature throughout its various historical and social manifestations. In

2
MAJOR GENRES IN TEXTUAL STUDIES

As early as Greco-Roman antiquity, the classification of literary works into different genres has been a major concern of literary theory, which has since then produced a number of divergent and sometimes even contradictory categories. Among the various attempts to classify literature into genres, the triad *epic, drama,* and *poetry* has proved to be the most common in modern literary criticism. Because the epic was widely replaced by the new prose form of the novel in the eighteenth century, recent classifications prefer the *terms fiction, drama,* and *poetry* as designations of the three major literary genres. The following section will explain the basic characteristics of these literary genres as well as those of film, a fourth textual manifestation in the wider sense of the term. We will examine these types of texts with reference to concrete examples and introduce crucial textual terminology and methods of analysis helpful for understanding the respective genres.

1
FICTION

Although the novel emerged as the most important form of prose fiction in the eighteenth century, its precursors go back to the oldest texts of literary history. Homer's **epics,** the *Iliad* and the *Odyssey* (*c.* seventh century BC), and Virgil's (70–19 BC) *Aeneid* (*c.* 31–19 BC) influenced the major medieval epics such as Dante Alighieri's (1265–1321) Italian *Divina Commedia* (*Divine Comedy, c.* 1307–21) and the early modern English epics such as Edmund Spenser's (*c.* 1552–99) *Faerie Queene* (1590; 1596) and John Milton's (1608–74) baroque long poem *Paradise Lost* (1667). The majority of traditional epics revolve

fiction. Even the Bible includes stories such as "Job" (*c.* fifth-fourth century BC) or "The Prodigal Son" (*c.* first century BC), whose structures and narrative patterns resemble modern short stories. Other forerunners of this subgenre of fiction are ancient satire and the aforementioned romance.

Indirect precursors of the short story are medieval and early modern narrative cycles. The Arabian *Thousand and One Nights,* compiled in the fourteenth and subsequent centuries, Giovanni Boccaccio's (1313–75) Italian *Decamerone* (1349–51), and Geoffrey Chaucer's (*c.* 1343–1400) *Canterbury Tales* (*c.* 1387) anticipate important features of modern short fiction. These cycles of tales are characterized by a frame narrative—such as the pilgrimage to the tomb of Saint Thomas Becket in the *Canterbury Tales*—which unites a number of otherwise heterogeneous stories. On their way to Canterbury, the pilgrims tell different, rather self-contained tales which are only connected through Chaucer's use of a frame story.

The short story emerged as a more or less independent text type at the end of the eighteenth century, parallel to the development of the novel and the newspaper. Regularly issued magazines of the nineteenth century exerted a major influence on the establishment of the short story by providing an ideal medium for the publication of this prose genre of limited volume. Forerunners of these journals are the *Tatler* (1709–11) and the *Spectator* (1711–12; 1714), published in England by Joseph Addison and Richard Steele, who tried to address the educated middle class in short literary texts and commentaries of general interest (essays). Even today, magazines like the *New Yorker* (since 1925) still function as privileged organs for first publications of short stories. Many of the early novels appeared as serial stories in these magazines before being published as independent books, for example, Charles Dickens's (1812–70) *The Pickwick Papers* (1836–37). While the novel has always attracted the interest of literary theorists, the short story has never actually achieved the status held by book-length fiction. The short story, however, surfaces in comparative definitions of other prose genres such as the novel or its shorter variants, the novella and novelette. A crucial feature commonly identified with the short story is its impression of unity since it can be read—in contrast to the novel—in one sitting without interruption. Due to restrictions of length, the plot of the short story

an indiscernible pause; a suspense (but that might be her heart, affected, they said, by influenza) before *Big Ben strikes*. There! Out it boomed. First a warning, musical; then the hour, irrevocable. The leaden Circles dissolved in the air. Such fools we are, she thought, crossing *Victoria Street*. […] in the triumph and the jingle and the strange high singing of some *aeroplane* overhead was what she loved; life; *London-*, this moment of June. For it was the *middle of June*. The *War was over*.[11]

Virginia Woolf consciously borrows from the visual arts, attempting to integrate formal elements of cubism into literary practice. The simultaneous projection of different perspectives in the characterization of a figure is a central concern of cubist art, which also tries to represent an object as seen from a number of perspectives in space simultaneously.

This example once again highlights the fact that the various levels of fiction, including plot, setting, point of view, and characters, tend to receive full meaning through their interaction with one another. In the interpretation of literary texts, it is therefore important to see these structural elements not as self-contained and isolated entities, but rather as interdependent elements whose full meaning is only revealed in the context of the other features and overall content of the text. Ideally, the structural analysis of these levels in literary texts should not stop at the mere description of these features, but rather show to what ends they are employed.

2
POETRY

Poetry is one of the oldest genres in literary history. Its earliest examples go back to ancient Greek literature. In spite of this long tradition, it is harder to define than any other genre. Poetry is closely related to the term "lyric," which derives etymologically from the Greek musical instrument "lyra" ("lyre" or "harp") and points to an origin in the sphere of music. In classical antiquity as well as in the Middle Ages, minstrels recited poetry, accompanied by the lyre or other musical instruments. The term "poetry," however, goes back to the Greek word "poieo" ("to make," "to produce"), indicating that the

thou see'st" in the fifth and the ninth, and "This thou perceiv'st" in the thirteenth. Each quatrain introduces an image which fits into the theme of the sonnet as a whole and works toward the couplet. In the first stanza, boughs without leaves are mentioned, followed by the setting sun and darkness in the second, and a dying fire in the third. Images from various areas all function as signs of mortality. In the couplet, a connection is drawn between these signs, which are visible in the speaker's face, and love. Indirectly, Shakespeare sees human love as arising out of the certainty of man's death. In this sonnet, the close connection between formal and thematic elements is clearly visible.

Ideally, in traditional poetry, the lexical-thematic, visual, and rhythmic-acoustic dimensions—used here to illustrate the most important elements of the genre—should link with each other. The idea of unity, according to which several levels of expression connect, is most dominant in poetry, but, to a lesser degree, also characterizes other genres. One ought to be cautious, however, since not every poem subscribes to the concept of unity as its main structural goal. Experimental poetry, in particular, abandons these seemingly rigid structures in order to explore new "open forms," such as poems in prose or free verse.

3
DRAMA

So far we have identified distinct features belonging to fiction and poetry, two genres which rely on the written or spoken word as their primary means of expression. The dramatic or performing arts, however, combine the verbal with a number of non-verbal or optical-visual means, including stage, scenery, shifting of scenes, facial expressions, gestures, make-up, props, and lighting. This emphasis is also reflected in the word **drama** itself, which derives from the Greek "draein" ("to do," "to act"), thereby referring to a performance or representation by actors.

Drama has its roots in cultic-ritual practice, some features of which were still present in stylized form in the classical Greek drama of the fifth century BC. Ancient tragedies and comedies were performed during festivals in honor of Dionysos, the god of wine. While drama was one of the main genres in classical antiquity, its importance waned

strong connections with the traditional performing arts and its links with fiction's textual features.

4
FILM

At the beginning of the twenty-first century, it is impossible to neglect **film** as a semi-textual genre both influenced by and exerting influence on literature and literary criticism. Film is predetermined by literary techniques; conversely, literary practice developed particular features under the impact of film. Many of the dramatic forms in the twentieth century, for example, have evolved in interaction with film, whose means of photographic depiction far surpass the means of realistic portrayal in the theater. Drama could therefore abandon its claim to realism and develop other, more stylized or abstract forms of presentation. Photography and film have also had a major influence on the fine arts; novel, more abstract approaches to painting have been taken in response to these new media. The same can be said for post-modern fiction, which also derives some of its structural features from film.

Film's idiosyncratic modes of presentation—such as camera angle, editing, montage, slow and fast motion—often parallel features of literary texts or can be explained within a textual framework. Although film has its own specific characteristics and terminology, it is possible to analyze film by drawing on methods of literary criticism, as film criticism is closely related to the traditional approaches of textual studies. The most important of these methodologies coincide with the ones that will be discussed in the next chapter on literary theory. There are, for example, approaches similar to text-oriented literary criticism which deal with material aspects of film, such as film stock, montage, editing, and sound. Methodologies which are informed by *reception aesthetics* focus on the effect on the spectator, and approaches such as psychoanalytical theory or feminist film theory regard film within a larger contextual framework. The major developments of literary theory have therefore also been borrowed or adapted by film studies.

In spite of their differing forms and media, drama and film are often categorized under the heading **performing arts** because they use

RICHARD BARSAM   DAVE MONAHAN

LOOKING AT
MOVIES

AN INTRODUCTION TO FILM

FIFTH EDITION

information of our "real life." This often imperceptible **cinematic language**, composed not of words but of myriad integrated techniques and concepts, connects us to the story while deliberately concealing the means by which it does so.

Yet behind this mask, all movies, even the most blatantly commercial ones, contain layers of complexity and meaning that can be studied, analyzed, and appreciated. This book is devoted to that task—to actively *looking at* movies rather than just passively watching them. It will teach you to recognize the many tools and principles that filmmakers employ to tell stories, convey information and meaning, and influence our emotions and ideas.

Once you learn to speak this cinematic language, you'll be equipped to understand the movies that pervade our world on multiple levels: as narrative, as artistic expression, and as a reflection of the cultures that produce and consume them.

What Is a Movie?

Now that we've established what we mean by looking at movies, the next step is to attempt to answer the deceptively simple question, What is a movie? As this book will repeatedly illustrate, when it comes to movies, nothing is as straightforward as it appears.

Let's start, for example, with the word *movies*. If the course that you are taking while reading this book is "Introduction to Film" or "Cinema Studies 101," does that mean that your course and this book focus on two different things? What's the difference between a movie and a *film*? And where does the word *cinema* fit in?

For whatever reason, the designation *film* is often applied to a motion picture that critics and scholars consider to be more serious or challenging than the *movies* that entertain the masses at the multiplex. The still loftier designation of *cinema* seems reserved for groups of films that are considered works of art (e.g., "French cinema"). The truth is, the three terms are essentially interchangeable. *Cinema*, from the Greek *kinesis* ("movement"), originates from the name that filmmaking pioneers Auguste and Louis Lumière coined for the hall where they exhibited their invention; *film* derives from the celluloid strip on which the images that make up motion pictures were originally captured, cut, and projected; and *movies* is simply short for motion pictures. Since we consider all cinema worthy of study, acknowl-

edge that films are increasingly shot on formats other than film stock, and believe motion to be the essence of the movie medium, this book favors the term used in our title. That said, we'll mix all three terms into these pages (as evidenced in the preceding sentence) for the sake of variety, if nothing else.

To most people, a movie is a popular entertainment, a product produced and marketed by a large commercial studio. Regardless of the subject matter, this movie is pretty to look at—every image is well polished by an army of skilled artists and technicians. The finished product, which is about two hours long, screens initially in movie theaters; is eventually released to DVD and Blu-ray, streaming, download, or pay-per-view; and ultimately winds up on television. This common expectation is certainly understandable; most movies that reach most English-speaking audiences have followed a good part of this model for three-quarters of a century.

And almost all of these ubiquitous commercial, feature-length movies share another basic characteristic: narrative. When it comes to categorizing movies, the narrative designation simply means that these movies tell fictional (or at least fictionalized) stories. Of course, if you think of narrative in its broadest sense, *every* movie that selects and arranges subject matter in a cause-and-effect sequence of events is employing a narrative structure. For all their creative flexibility, movies by their very nature must travel a straight line. A conventional motion picture is essentially one very long strip of images. This linear quality makes movies perfectly suited to develop subject matter in a sequential progression. When a medium so compatible with narrative is introduced to a culture with an already well-established storytelling tradition, it's easy to understand how popular cinema came to be dominated by those movies devoted to telling fictional stories. Because these fiction films are so central to most readers' experience and so vital to the development of cinema as an art form and cultural force, we've made narrative movies the focus of this introductory textbook.

But keep in mind that commercial, feature-length narrative films represent only a fraction of the expressive potential of this versatile medium. Cinema and narrative are both very flexible concepts. Documentary films strive for objective, observed veracity, of course, but that doesn't mean they don't tell stories. These movies often arrange and present factual information and images in the form of a narrative, whether it be a predator's attempts to track and kill its prey, an activist's quest

PSYCHOLOGY

from inquiry to understanding

LILIENFELD LYNN NAMY WOOLF

SECOND EDITION

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One notable exception is the connection between *novelty seeking*—a trait that refers to the tendency to search out and enjoy new experiences—and genetic markers of the dopamine system, which is intimately involved in reward seeking (see Chapter 3). Several researchers have reported significant associations between measures of novelty seeking and various genes influencing the activity of the neurotransmitter dopamine (Epstein et al., 1996; Munafo et al., 2008; see Chapter 3). In addition, some investigators have reported a linkage between symptoms of attention-deficit/hyperactivity disorder, a childhood disorder associated with novelty seeking (see Chapter 15), and genes influencing the dopamine system (Waldman & Gizer, 2006). Nevertheless, findings linking dopamine-related genes to novelty seeking haven't always been consistently replicated (Pogue-Geile et al., 1998; Waldman & Gizer, 2006) and tend to be weak in magnitude, so we should view them with a bit of caution. It's likely that we'll see more progress linking specific genes, such as those of the serotonin system (Lesch et al., 1996) to specific personality traits in the coming decade.

replicability

CAN THE RESULTS BE DUPLICATED IN OTHER STUDIES?

assess your knowledge   FACT OR FICTION?

✓ Study and Review on mypsychlab.com

1. Identical twins reared together tend to be about as similar in their personality traits as identical twins reared apart. True / False

2. Environmental factors shared among members of the same family play an important role in the causes of most personality traits in adulthood. True / False

3. Birth order is weakly related to most personality traits. True / False

4. We shouldn't trust the findings from molecular genetic studies of personality until independent investigators have replicated them. True / False

Answers: 1. T (p. 543); 2. F (p. 543); 3. T (p. 543); 4. F (p. 544)

PSYCHOANALYTIC THEORY: THE CONTROVERSIAL LEGACY OF SIGMUND FREUD AND HIS FOLLOWERS

14.2 Describe the core assumptions of psychoanalytic theory.

14.3 Describe key criticisms of psychoanalytic theory and the central features of neo-Freudian theories.

Long before researchers stepped in to conduct controlled studies of the causes of personality, psychologists, psychiatrists, and many other thinkers had generated theoretical models that sought to explain the development and workings of personality. These models address three key questions:

1. How do our personalities develop?

2. What are the core driving forces in our personalities or, more informally, what makes us tick?

3. What accounts for individual differences in personality?

We'll examine and evaluate four influential models of personality, starting with the granddaddy of them all: Sigmund Freud's psychoanalytic theory.

To most nonpsychologists, psychoanalytic theory—indeed, much of personality theory itself—is virtually synonymous with the writings of a Viennese physician named Sigmund Freud (1856–1939), who is undeniably one of the most influential figures in all of psychology. Yet ironically, Freud's training wasn't in psychology or psychiatry—specialties that scarcely existed in his day—but in neurology. Largely as a consequence of his neurological background, Freud initially believed that mental disorders were physiologically caused. Yet his views changed dramatically in 1885, when he spent a year in Paris studying under neurologist Jean Charcot. Charcot had been treating patients, most of them women, who had a condition then known as "grande hysteria." They exhibited an assortment of spectacular physical symptoms:
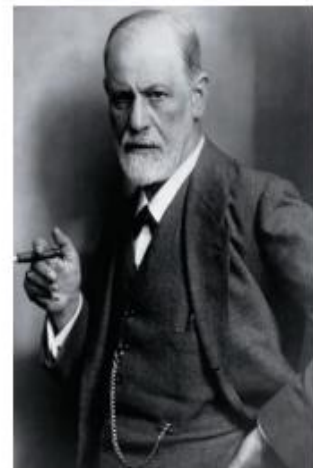
Sigmund Freud, the founder of psychoanalysis, is simultaneously the most worshipped and most criticized figure in personality psychology.

at any one time. He likened the mind to an iceberg. The conscious is that part above the surface of the water—the tip of the iceberg.

More important, according to Freud, is the unconscious, that larger, invisible portion below the surface. This is the focus of psychoanalytic theory. Its vast, dark depths are the home of the instincts, those wishes and desires that direct our behavior. The unconscious contains the major driving power behind all behaviors and is the repository of forces we cannot see or control.

Between these two levels is the preconscious. This is the storehouse of all our memories, perceptions, and thoughts of which we are not consciously aware at the moment but that we can easily summon into consciousness. For example, in the unlikely event your mind strays from this page and you begin to think about what you did last night, you would be summoning up material from your preconscious into your conscious. We often find our attention shifting back and forth from experiences of the moment to events and memories in the preconscious.

The Structure of Personality

The Id

id To Freud, the aspect of personality allied with the instincts; the source of psychic energy, the id operates according to the pleasure principle.

Freud later revised this notion of three levels of personality and introduced in its place three basic structures in the anatomy of the personality: the id, the ego, and the superego (see Figure 2.1). The **id** corresponds to Freud's earlier notion of the unconscious (although the ego and superego have unconscious aspects as well). The id is the reservoir for the instincts and libido (the psychic energy manifested by the instincts). The id is a powerful structure of the personality because it supplies all the energy for the other two components.

Because the id is the reservoir of the instincts, it is vitally and directly related to the satisfaction of bodily needs. As we saw earlier, tension is produced when the body is in a state of need, and the person acts to reduce this tension by satisfying the need. The id

FIGURE 2.1
Freud's levels and structures of personality.

Source: From Weiten, *Psychology: Themes and Variations*, 2E. © 1992 Cengage Learning.

■ The Id, Ego, and Superego: The Structure of Personality

Freud (1933, 1935) hypothesized that the human psyche consists of three *agencies* or components: id, ego, and superego. For Freud, the interplay among these three agencies gives rise to our personalities, and differences in the strength of these agencies account largely for individual differences in personality.

THE ID: BASIC INSTINCTS. The **id**, according to Freud, is the reservoir of our most primitive impulses, a seething cauldron of desires that provides the driving force much of our behavior. The id is entirely unconscious; it's the part of the iceberg submerged underwater. It contains a variety of drives, particularly the sexual drive or *libido* (see Chapter 11) and aggressive drive. Although critics have sometimes accused Freud of saying that "everything is sex," this allegation is only partly true. Freud believed the libido to be of crucial importance in personality, but he maintained that other impulses, particularly aggression, also play significant shaping roles. According to Freud, the id operates by means of the **pleasure principle**. The pleasure principle strives for immediate gratification: The word *no* isn't in the id's vocabulary.

THE EGO: THE BOSS. The **ego** is the boss of the personality, its principal decision maker. The ego's primary tasks are interacting with the real world and finding ways to resolve the competing demands of the other two psychic agencies. We shouldn't confuse the Freudian ego with the ego, or inflated sense of self-worth ("Wow, that athlete has a big ego"), that's crept into everyday language.

The ego, unlike the id, is governed by the **reality principle**. The reality principle strives to delay gratification until it can find an appropriate outlet. If you find today's introductory psychology lecture to be inordinately frustrating, your id may want to satisfy your aggressive impulses by screaming out loud in class (we don't recommend doing this, by the way). This is the pleasure principle rearing its ugly head. But the ego's reality principle requires that you delay this gratification until you can find a socially appropriate outlet for your aggression, such as throwing darts at a dartboard—ideally one featuring your professor's face as the bull's-eye—when you get home from class.

THE SUPEREGO: MORAL STANDARDS. The **superego** is our sense of morality. The term literally means "above ego," and Freud conceptualized this agency much like a judgmental parent looking down upon the ego. The superego contains the sense of right and wrong we've internalized from our interactions with society, particularly our parents. According to Freudians, people with overly developed superegos are guilt-prone, whereas particularly guilt-free people are at risk for developing psychopathic personality (see Chapters 11 and 15). ✦ Explore

HOW THE PSYCHIC AGENCIES INTERACT. Much of the time, id, ego, and superego interact harmoniously, much like a chamber music trio playing in perfect synchrony. Yet the agendas of these agencies sometimes collide (see **FIGURE 14.2**). Indeed, Freud (1935) hypothesized that psychological distress results from conflict among these three agencies. If you're attracted to your best friend's partner, your id is at odds with your ego and (hopefully!) your superego. You might fantasize about a romantic fling with this person (id), but feel frightened about what would happen to you (ego) and stricken with pangs of guilt about hurting your friend's feelings (superego) if you were foolish enough to act on your impulses.

For an intimate view of the three psychic agencies in action, we have only to look to the third of our lives we spend asleep. Dreams, Freud (1900) suggested, are the "royal road to the unconscious mind" (see Chapter 5) because they not only reveal the inner workings of our id in action, but illustrate how ego and superego cooperate to keep the id's wishes in check. According to Freud, all dreams are *wish fulfillments*, that is, expressions of the id's impulses. Yet they don't always seem that way on the surface, said Freud, because these wishes are disguised. When the superego perceives the id's desires to be

psychic determinism
the assumption that all psychological events have a cause

id
reservoir of our most primitive impulses, including sex and aggression

pleasure principle
tendency of the id to strive for immediate gratification

ego
psyche's executive and principal decision maker

reality principle
tendency of the ego to postpone gratification until it can find an appropriate outlet

superego
our sense of morality

✦ **Explore** the Id, Ego, and Superego on **mypsychlab.com**

FIGURE 14.2   Id, Ego, and Superego. Many works of art portray an individual trying to make a difficult moral decision, with a devil on one shoulder—urging immoral behavior—and an angel—urging moral behavior—on the other. Freudians would say that such artwork captures the distinction among ego (the person trying to make the decision), id (demon), and superego (angel).

TEORI KEPRIBADIAN
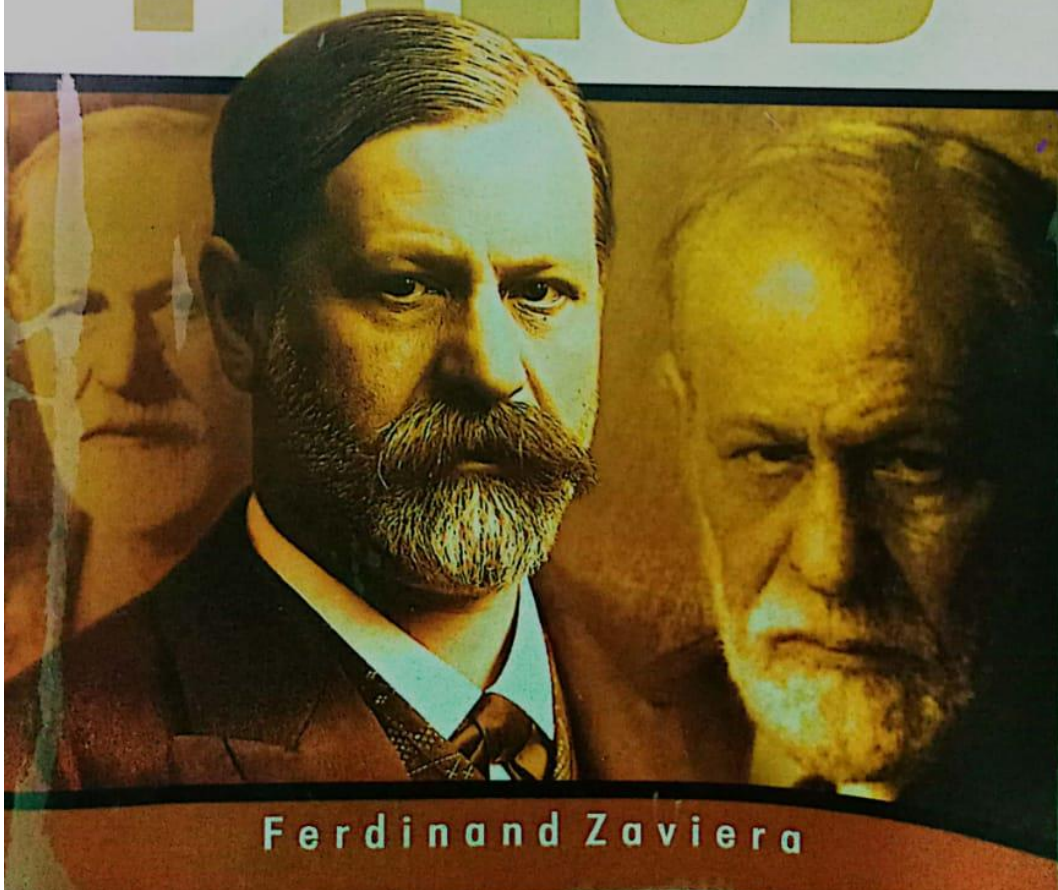
SIGMUND FREUD

Ferdinand Zaviera

TEORI KEPRIBADIAN SIGMUND FREUD

Ferdinand Zaviera

Psychoanalysis pada tahun 1911. Tahun berikutnya, organisasi ini berubah menjadi *The Society for Individual Psychology*.

Ketika Perang Dunia I berkecamuk, Adler bertugas sebagai fisikawan dalam Angkatan Bersenjata Austria, yang tugas awalnya berada di garis depan yang berbatasan dengan Rusia dan kemudian di rumah sakit anak-anak. Dia telah menyaksikan dengan mata kepala sendiri seperti apa akibat buruk peperangan, dan inilah yang membawa pemikirannya ke arah konsep *kepentingan sosial*. Dia berpendapat bahwa kalau kemanusiaan masih ingin dipertahankan, manusia harus mengubah cara hidupnya.

Setelah perang usai, dia terlibat dalam berbagai proyek, termasuk klinik-klinik yang didirikan di sekolah-sekolah negeri dan melatih para guru. Tahun 1926, dia pergi ke AS untuk mengajar dan menerima jabatan sebagai profesor tamu di Long Island College of Medicine. Tahun 1934, dia dan keluarganya meninggalkan Wina untuk selama-lamanya. Pada tanggal 28 Mei 1937, sewaktu menyampaikan beberapa kuliah di Abeerden University, dia meninggal akibat serangan jantung.

Pemikirannya tentang kepribadian bisa dilihat dalam paragrap berikut ini:

> Berbeda dengan pandangan Freud bahwa kebiasaan manusia didorong oleh naluri-naluri buta (yakni *id*) dan Jung yang mengatakan bahwa tindakan umat manusia didorong oleh *arketipal-arketipal*, Adler berpendapat bahwa umat manusia terutama dimotivasi oleh dorongan-dorongan masyarakat. Manusia, menurut Adler, pada dasarnya adalah makhluk sosial. Mereka menghubungkan dirinya dengan orang lain, terlibat dalam kegiatan-kegiatan kemasyarakatan, menempatkan kepentingan umum di atas kepentingan pribadi, serta menjalankan gaya hidup yang didominasi oleh orientasi kemasyarakatan.

Sumbangsih terpenting kedua Adler terhadap

teori kepribadian adalah konsep kepribadian kreatif... Ciri khas teori Adler yang membedakannya dengan psikoanalitik klasik adalah penekanannya terhadap uniknya kepribadian... Kemudian Adler memandang bahwa kesadaran merupakan pusat dari kepribadian, yang membuatnya sebagai pelopor ilmu kejiwaan yang berorientasikan ego.

Dengan demikian, Alfred Adler memostulatkan satu "nafsu" atau daya motivasi yang bermain di balik segala bentuk perilaku dan pengalaman kita. Ketika teorinya semakin berkembang dan matang, dia menyebut daya motivasi tadi dengan "dorongan ke arah kesempurnaan" (*striving for perfection*). Inilah hasrat yang kita gunakan untuk memenuhi segala keinginan dan potensi yang ada di dalam diri kita, yang mendorong kita untuk semakin dekat dengan apa yang kita idealkan. Seperti yang akan kita lihat, hasrat ini hampir sama dengan ide yang lebih dikenal luas, yakni ide aktualisasi-diri.

"Kesempurnaan" atau "yang ideal" adalah kata-kata yang rumit. Di satu sisi, kata-kata ini mengandung tujuan-tujuan positif. Tidakkah kita semua memang didorong ke arah yang ideal? Namun dalam psikologi, kata-kata ini lebih berkonotasi negatif. Berdasarkan definisi, kesempurnaan atau yang ideal adalah hal-hal yang tidak bisa kita raih. Tidak sulit mencari orang-orang yang menderita hidupnya karena berusaha hidup sempurna. Beberapa teoretikus seperti Karen Horney dan Carl Rogers, memberi penekanan khusus pada masalah ini. Adler juga membahasnya. Bedanya, Adler melihat sisi negatif dari idealisme semacam ini sebagai pembalikan dari pemahaman yang lebih positif.

Dorongan ke arah kesempurnaan bukanlah istilah pertama yang dipakai Adler untuk menunjukkan kekuatan yang mendorong kita dari dalam. Istilah yang lebih awal adalah

laki punya kekuatan, pendidikan, dan juga bakat serta motivasi yang diperlukan untuk melakukan "hal-hal yang luar biasa", sementara kaum wanita tidak.

Anda bahkan masih bisa mendengar hal-hal seperti itu dari para orangtua sekarang yang berkomentar pada anak laki-laki dan perempuan mereka. Jika seorang anak laki-laki "berontak" ingin melakukan keinginannya (protes maskulin), mereka akan mengatakan itu sebagai hal yang wajar bagi anak laki-laki; dan kalau anak perempuan itu pemalu dan pendiam, dia akan dipuji karena sudah memiliki sifat feminin. Tapi kalau ada anak laki-laki yang pendiam dan pemalu, para orangtua akan khawatir jangan-jangan dia akan tumbuh menjadi banci; atau anak perempuan yang pembangkang dan selalu menuruti keinginannya sendiri, mereka akan menyebutnya "tomboy" dan memerintahkan agar dia mengubah sifatnya.

Akan tetapi, Adler tidak melihat pembangkangan dan kesuksesan anak laki-laki ini ada kaitannya dengan superioritas bawaan sejak lahir. Dia menganggap hal ini sebagai akibat dari dorongan terhadap anak laki-laki agar bersifat asertif (pembangkang) dalam hidupnya, sementara anak perempuan tidak mendapat dorongan semacam ini. Setiap anak, baik laki-laki maupun perempuan, memulai hidup mereka dengan kapasitas "protes" yang sama. Tapi karena begitu banyak orang yang salah paham dengan istilah yang dipakai Adler ini, dengan menganggap anak laki-laki membawa sifat pembangkang sejak lahir, maka dia pun kemudian membatasi pemakaian istilah ini.

Istilah terakhir yang dipakai Adler, sebelum memilih istilah dorongan ke arah kesempurnaan, adalah *dorongan ke arah kesuperioran*. Dia memakai istilah ini berdasarkan landasan filosofis gagasannya. Friedrich Nietzsche mengembangkan filsafat yang menganggap kehendak untuk kuasa sebagai motif

Kedua, ketimbang berbicara tentang kepribadian seseorang dalam pengertian tradisional, yakni sifat-sifat internal, struktur, dinamika, dan konflik yang terjadi di dalam kepribadian seseorang tersebut, maka dia memilih berbicara tentang "gaya dari hidup" (*style of life*) atau yang sekarang dengan ringkas disebut gaya hidup (*lifestyle*). Gaya hidup merujuk pada cara-cara Anda menjalani kehidupan Anda, bagaimana Anda mengatasi persoalan dan menjalin hubungan dengan pribadi-pribadi lain. Berdasarkan kata-katanya sendiri, Adler menyatakan, "Gaya hidup sebatang pohon adalah individualitas pohon tersebut dalam mengekspresikan dirinya dan cara-cara dia berbaur dengan keadaan sekitarnya. Kita akan menyadari gaya kita ketika kita menempatkannya pada latar belakang yang berbeda dari apa yang kita harapkan, karena dengan demikian, kita akan menyadari bahwa setiap pohon memiliki pola hidup dan bukan hanya sebatas reaksi mekanis terhadap keadaan sekitarnya saja".

Poin terakhir dari kutipan di atas —bahwa gaya hidup bukan sekadar reaksi mekanis— adalah titik perbedaan kedua yang membedakan Adler dari Freud. Bagi Freud, segala sesuatu yang terjadi di masa lalu, seperti trauma masa kecil, pasti menjadi penentu siapa Anda sekarang ini. Sementara Adler melihat motivasi sebagai persoalan bagaimana melangkah ke masa depan, bukan hanya persoalan dorongan masa lalu secara mekanis. Kita diarahkan menuju tujuan, harapan dan cita-cita kita. Inilah yang disebut teleologi.

Mengarahkan sesuatu dari masa lalu ke masa depan tentu punya dampak-dampak yang tidak kecil. Karena masa depan adalah sesuatu yang belum terjadi, maka pendekatan teleologis ke arah motivasi menjadi hal yang tidak dapat ditawar-tawar. Dalam pendekatan mekanistik tradisional, sebab pasti melahirkan akibat: jika A, B, dan C terjadi, maka X, Y, dan Z pasti dan mesti terjadi.

Wiyatmi

Psikologi Sastra
Teori dan Aplikasinya

Kanwa publisher, 2011

1

sastrawan, atau sebagai produk imajinasi sastrawan yang bekerja dengan persepsi-persepsi, pikiran-pikiran atau perasaan-perasaannya Sementara itu, berdasarkan teori pragmatik karya sastra dipandang sebagai sarana untuk menyampaikan tujuan tertentu, misalnya nilai-nilai atau ajaran kepada pembaca (Abrams, 1981).

Ketika digunakan dalam kerangka ilmu sastra, maka sastra mengacu pada salah satu cabang ilmu pengetahuan yang mengkaji karya sastra sebagai objek formalnya secara bersistem dan terorganisir. Dalam kajian sastra yang menggunakan pendekatan psikologi sastra inilah, hubungan antara sastra dan psikologi terjadi. Peneliti atau kritikus sastra membaca dan mengkaji karya sastra, pengarang yang menciptakannya, dan pembaca yang mengalami berbagai proses kejiwaan ketika membaca dan menanggapi karya yang dibacanya dengan menggunakan konsep-konsep yang terdapat dalam psikologi.

Untuk mengkaji karakter tokoh-tokoh yang terdapat dalam sebuah novel atau drama, misalnya seorang peneliti atau kritikus sastra perlu menguasai berbagai konsep psikologi, terutama yang berhubungan dengan watak dan kondisi kejiwaan tokoh. Kebencian tokoh Nayla terhadap ibu kandungnya dan mendorongnya untuk melarikan diri dari rumahnya dalam novel *Nayla* karya Djenar Maesa Ayu terjadi karena sebagai seorang anak, Nayla tidak pernah merasakan kasih sayang dari ibunya. Hampir setiap hari yang diperoleh dari ibunya adalah ajaran untuk senantiasa membenci ayah kandungnya yang menurut ibunya telah meninggalkan mereka dan hukuman yang cukup berat untuk seorang anak atas kesalahan yang dilakukannya.

PERSONALITY OF MAIN CHARACTERS IN MACKINLAY KANTOR'S

A MAN WHO HAD NO EYES AND *BLUE EYES FAR AWAY*

THESIS

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2016

UNNES

UNIVERSITAS NEGERI SEMARANG

ALASKA'S BORDERLINE PERSONALITY DISORDER AS REFLECTED IN JOHN GREEN'S *LOOKING FOR ALASKA*

A Final Project

submitted in partial fulfillment of the requirements

for the degree of *Sarjana Sastra*

in English

by

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RALPH'S ANXIETY IN THE WILDLIFE IN *LORD OF THE FLIES NOVEL*

THESIS

Presented to

Universitas Islam Negeri Maulana Malik Ibrahim Malang
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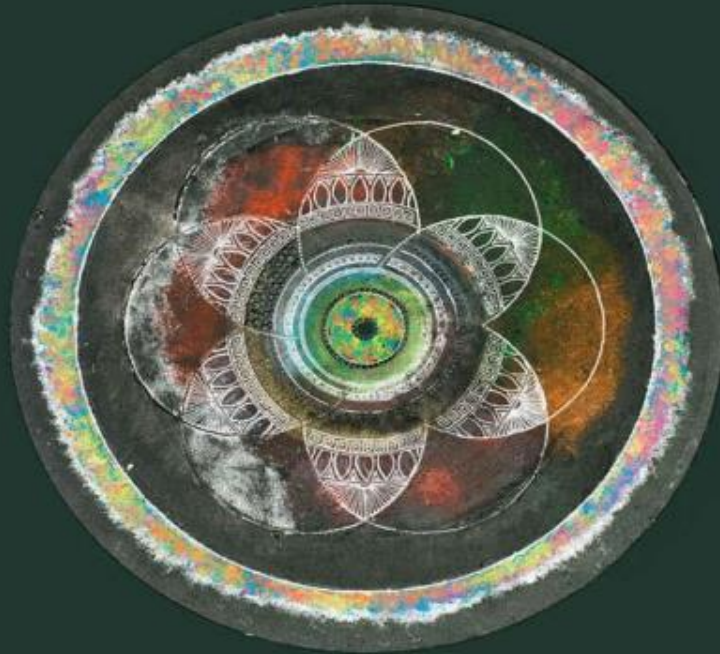for the degree of *Sarjana Sastra (S.S.)*

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JOHN W. CRESWELL · J. DAVID CRESWELL

FIFTH EDITION

RESEARCH
DESIGN

Qualitative, Quantitative, and
Mixed Methods Approaches

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Chapter 9 Qualitative Methods

Qualitative methods demonstrate a different approach to scholarly inquiry than methods of quantitative research. Although the processes are similar, qualitative methods rely on text and image data, have unique steps in data analysis, and draw on diverse designs. Writing a method section for a proposal or study for qualitative research partly requires educating readers as to the intent of qualitative research, mentioning specific designs, carefully reflecting on the role the researcher plays in the study, drawing from an ever-expanding list of types of data sources, using specific protocols for recording data, analyzing the information through multiple steps of analysis, and mentioning approaches for documenting the methodological integrity or accuracy—or validity—of the data collected. This chapter addresses these important components of writing a good qualitative method section into a proposal or study. Table 9.1 presents a checklist for reviewing the qualitative methods section of your project to determine whether you have addressed important topics.

Qualitative Designs

Beyond these general characteristics are more specific approaches (i.e., strategies of inquiry, designs, or procedures) in conducting qualitative research (Creswell & Poth, 2018). These approaches have emerged in the field of qualitative research since it has matured in the social sciences since the early 1990s. They include procedures for data collection, analysis, and writing, but they originated out of disciplines in the social sciences. Many approaches exist, such as the 28 identified by Tesch (1990), the 22 types in Wolcott's (2009) tree, and the five approaches to qualitative inquiry by Creswell and Poth (2018), and Creswell (2016). Marshall and Rossman (2016) discussed five types common across five different authors. As mentioned in Chapter 1, we recommend that qualitative researchers choose from among the possibilities, such as narrative, phenomenology, ethnography, case study, and grounded theory. We selected these five because they are popular across the social and health sciences today. Others exist that have been addressed adequately in qualitative books, such as participatory action research (Kemmis & Wilkinson, 1998), discourse analysis (Cheek, 2004), or participatory action research (Ivankova, 2015). In these approaches, researchers study individuals (narrative, phenomenology); explore processes, activities, and events (case study, grounded theory); or learn about broad culture-sharing behavior of individuals or groups (ethnography).

In writing a procedure for a qualitative proposal, consider the following **research tips**:

- Identify the specific approach that you will be using and provide references to the literature that discusses the approach.
- Provide some background information about the approach, such as its discipline origin, the applications of it (preferably to your field), and a brief definition of it (see Chapter 1 for the five approaches or designs).
- Discuss why it is an appropriate strategy to use in the proposed study.
- Identify how the use of the approach will shape many aspects of the design process, such as the title, the problem, the research questions, the data collection and analysis, and the report write-up.

o *On using predetermined codes.* Another issue about coding is whether the researcher should (a) develop codes *only* on the basis of the emerging information collected from participants, (b) use predetermined codes and then fit the data to them, or (c) use some combination of emerging and predetermined codes. The traditional approach in the social sciences is to allow the codes to emerge during the data analysis. In the health sciences, a popular approach is to use predetermined codes based on the theory being examined. In this case, the researchers might develop a **qualitative codebook,** a table that contains a list of predetermined codes that researchers use for coding the data. Guest and colleagues (2012) discussed and illustrated the use of codebooks in qualitative research. The intent of a codebook is to provide definitions for codes and to maximize coherence among codes—especially when multiple coders are involved. This codebook would provide a list of codes, a code label for each code, a brief definition of it, a full definition of it, information about when to use the code and when not to use it, and an example of a quote illustrating the code. This codebook can evolve and change during a study based on close analysis of the data when the researcher is not starting from an emerging code perspective. For researchers who have a distinct theory they want to test in their projects, we would recommend developing a preliminary codebook for coding the data and then permitting the codebook to develop and change based on the information learned during the data analysis.

o *Coding visual images.* As mentioned earlier, visual data are becoming used more frequently in qualitative research. These data sources represent images drawn from photographs, videos, film, and drawing (Creswell, 2016). Participants might be handed a camera and asked to take pictures of what they see. Alternatively, they may be asked to draw a picture of the phenomenon under study, or reflect on a favorite picture or object that would elicit responses. Challenges in using visual images do arise in qualitative research. Images may reflect trends of the culture or society rather than the perspectives of a single individual. It is difficult to respect anonymity when images of individuals and places represent qualitative data. Permissions are needed to respect the privacy of individuals providing visual data.

Despite these concerns, once the qualitative researcher obtains the visual data, the process of coding comes into play. These steps often follow this procedure:

- **Step 1.** Prepare your data or analysis. If hand coding, print each image with a wide margin (or affix it to a larger piece of paper) to allow space to assign the code labels. If using a computer, import all images into the application.
- **Step 2.** Code the image by tagging areas of the image and assigning code labels. Some codes might involve meta-details (e.g., the camera angle).
- **Step 3.** Compile all of the codes for the images on a separate sheet.
- **Step 4.** Review the codes to eliminate redundancy and overlap. This step also begins to reduce the codes to potential themes.

- **Step 5.** Group codes into themes that represent a common idea.
- **Step 6.** Assign the codes/themes to three groups: expected codes/themes, surprising codes/themes, and unusual codes/themes. This step helps to ensure the qualitative "findings" will represent diverse perspectives.
- **Step 7.** Array the codes/themes into a conceptual map that shows the flow of ideas in the "findings" section. The flow might represent presenting the themes from a more general picture to a more specific picture.
- **Step 8.** Write the narrative for each theme that will go into the "findings" section of a study or for a general summary that will go into the "discussion" section as the overall findings in the study. (Creswell, 2016, pp. 169–170).

o *Further data analysis by type of approach.* A helpful conceptualization to advance in the method section is that qualitative data analysis will proceed on two layers: (a) the first basic layer is the more general procedure (see above) in analyzing the data, and (b) the second more advanced layer would be the analysis steps embedded within specific qualitative designs. For example, narrative research employs restorying the participants' stories using structural devices, such as plot, setting, activities, climax, and denouement (Clandinin & Connelly, 2000). Phenomenological research uses the analysis of significant statements, the generation of meaning units, and the development of what Moustakas (1994) called an essence description. Grounded theory has systematic steps (Corbin & Strauss, 2015; Strauss & Corbin, 1990, 1998). These involve generating categories of information (open coding), selecting one of the categories and positioning it within a theoretical model (axial coding), and then explicating a story from the interconnection of these categories (selective coding). Case study and ethnographic research involve a detailed description of the setting or individuals, followed by analysis of the data for themes or issues (see Stake, 1995; Wolcott, 1994). A complete description of the data analysis in a proposal, when the inquirer is using one of these strategies, would be to first describe the general process of analysis followed by the specific steps within the strategy.

Interpretation

Interpretation in qualitative research involves several procedures: summarizing the overall findings, comparing the findings to the literature, discussing a personal view of the findings, and stating limitations and future research. In terms of overall findings, the question "What were the lessons learned?" captures the essence of this idea (Lincoln & Guba, 1985). These lessons could be the researcher's personal interpretation, couched in the understanding that the inquirer brings to the study from a personal culture, history, and experiences.

It could also be a meaning derived from a comparison of the findings with information gleaned from the literature or theories. In this way, authors suggest that the findings confirm past information or diverge from it. It can also suggest new questions that need to be asked—questions raised by the data and analysis that the inquirer had not foreseen earlier in the study. Ethnographers can end a study, Wolcott (1994) said, by stating further questions. The questioning approach is also used in transformative approaches to qualitative research. Moreover, when qualitative researchers use a theoretical lens, they can form interpretations that call for action agendas for reform and change. Researchers might describe how the narrative outcome will be compared with theories and the general literature on the topic. In many qualitative articles, researchers also discuss the literature at the end of the study (see Chapter 2). Thus, interpretation in qualitative research can take many forms; be adapted for different types of designs; and be flexible to convey personal, research-based, and action meanings.

Finally, part of interpretation involves suggesting limitations in a project and advancing future research directions. Limitations often attach to the methods of a study (e.g., inadequate sample size, difficulty in recruitment), and they represent weaknesses in the research that the author acknowledges so that future studies will not suffer from the same problems. Suggestions for future research propose research themes that studies might address to advance the literature, to remedy some of the weaknesses in the present study, or to advance new leads or directions that can point to useful applications or knowledge.

Nicholas Walliman

Research Methods

the basics

develop purely out of the data collected, the theory being developed and refined as data collection proceeds. However, this is difficult to achieve, as without some theoretical standpoint, it is hard to know where to start and what data to collect!

An alternative to this approach is to first devise a theory and then test it through the analysis of data collected by field research. In this case the feedback loops for theory refinement are not present in the process. Even so, theory testing often calls for a refinement of the theory due to better understanding gained by the results of the analysis. There is room for research to be pitched at different points between these extremes in the spectrum.

Although it has been the aim of many researchers to make qualitative analysis as systematic and as 'scientific' as possible, there is still an element of 'art' in dealing with qualitative data. However, in order to convince others of your conclusions, there must be a good argument to support them. A good argument requires high quality evidence and sound logic. In fact, you will be acting rather like a lawyer presenting a case, using a quasi-judicial approach such as used in an enquiry into a disaster or scandal.

Qualitative research is practised in many disciplines, so a range of data collection methods has been devised to cater for the varied requirements of the different subjects, such as: qualitative interviewing, focus groups, participant, discourse and conversation analysis and analysis of texts and documents.

STEPS IN ANALYSING THE DATA

How is it possible to organize and analyse qualitative data that is in the form of words, pictures and even sounds, and to come to some conclusions about what they reveal? Unlike the well-established statistical methods of analysing quantitative data, qualitative data analysis is still in its early stages. The certainties of mathematical formulae and determinable levels of probability are difficult to apply to the 'soft' nature of qualitative data, which is inextricably bound up with individual human feelings, attitudes and judgements and their interplay in society.

Miles and Huberman (1994: 10–12) suggested that there should be three concurrent flows of action:

COLLECTING PRIMARY DATA

Although we are surrounded by data, in fact, bombarded with them every day from the TV, posters, radio, newspapers, magazines and books, it is not so straightforward to collect the correct data for your purposes. It needs a plan of action that identifies what data you need, where the necessary data are to be found and what are the most effective and appropriate methods of collecting that data. You will need to consider whether to get information from people, in single or large numbers, or whether to observe and/or measure things or phenomena. You may need to do several of these, for example in sport, you may need to examine both the people, their attitudes and fitness, and the equipment they use, or in commerce, you may be looking at both the product and the production system as well as marketing, sales and distribution – the people and the processes.

There are several basic methods used to collect primary data; here are the main ones:

- asking questions
- conducting interviews
- observing without getting involved
- immersing oneself in a situation
- doing experiments
- manipulating models.

COLLECTING AND ANALYSING SECONDARY DATA

All research studies require secondary data for the background to the study. You will inevitably need to ascertain what the context of your research question/problem is, and also get an idea of the current theories and ideas. No type of project is done in a vacuum, not even a pure work of art. However, it is quite common in student level research to rely on secondary data for the actual research investigations rather than generating new primary data from the field. Wherever there exists a body of recorded information, there are subjects for study. You can imagine using existing resources when doing an historical study (i.e. of any past events, ideas or objects, even the very recent past) or a nationwide or even a local study that uses official statistics as the principle data.

The advantage of using sets of secondary data is that it has been produced by teams of expert researchers, often with large budgets and extensive resources way beyond the means of a single student, so it cuts out the need for time consuming fieldwork. Data that has been collected over a long period of time will provide the opportunity to do a longitudinal study (tracing the developments over time), impossible to do with data collected in short projects. Secondary data can also be used to compare with primary data you may have collected, in order to triangulate the findings and put your data into a larger

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Introduction to

Qualitative
Research Methods

A Guidebook and Resource

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WILEY

experiencing reality as they experience it (Corbin & Strauss, 2008). Qualitative researchers empathize and identify with the people they study in order to understand how those people see things. Herbert Blumer (1969) explained it this way:

> To try to catch the interpretative process by remaining aloof as a so-called "objective" observer and refusing to take the role of the acting unit is to risk the worst kind of subjectivism—the objective observer is likely to fill in the process of interpretation with his[2] own surmises in place of catching the process as it occurs in the experience of the acting unit which uses it. (p. 86)

As suggested by Blumer's quote, qualitative researchers must attempt to suspend, or set aside, their own perspectives and taken-for-granted views of the world. Bruyn (1966) advised the qualitative researcher to view things as though they were happening for the first time. Nothing is taken for granted. Psathas (1973) wrote:

> For the sociologist, a phenomenological approach to observing the social world requires that he break out of the natural attitude and examine the very assumptions that structure the experience of actors in the world of everyday life. A method that provides assistance in this is "bracketing" the assumptions of everyday life. This does not involve denying the existence of the world or even doubting it (it is not the same as Cartesian doubt). Bracketing changes my attitude toward the world, allowing me to see with clearer vision. I set aside preconceptions and presuppositions, what I already "know" about the social world, in order to discover it with clarity of vision. (pp. 14–15)

2. *Qualitative research is inductive.* Qualitative researchers develop concepts, insights, and understandings from patterns in the data rather than collecting data to assess preconceived models, hypotheses, or theories. Glaser and Strauss (1967) coined the phrase "grounded theory" to refer to the inductive theorizing process involved in qualitative research that has the goal of building theory. A theory may be said to be grounded to the extent that it is derived from and based on the data themselves. Lofland (1995) described this type of theorizing as "emergent analysis" and pointed out that the process is creative and intuitive as opposed to mechanical.

In qualitative studies, researchers follow a flexible research design (Marshall & Rossman, 2011). We begin our studies with only vaguely formulated research questions. However we begin, we do not know for sure what to look for or what specific questions to ask until we have spent some time in a setting. As we learn about a setting and how participants view their experiences, we can make decisions regarding additional data to collect on the basis of what we have already learned.

Burhan Nurgiyantoro

TEORI PENGKAJIAN FIKSI

Altenbernd dan Lewis (1966:14), dapat diartikan sebagai "prosa naratif yang bersifat imajinatif, namun biasanya masuk akal dan mengandung kebenaran yang mendramatisasikan hubungan-hubungan antarmanusia. Pengarang mengemukakan hal itu berdasarkan pengalaman dan pengamatannya terhadap kehidupan. Namun, hal itu dilakukan secara selektif dan dibentuk sesuai dengan tujuannya yang sekaligus memasukkan unsur hiburan dan penerangan terhadap pengalaman kehidupan manusia". Penyeleksian pengalaman kehidupan yang akan diceritakan tersebut, tentu saja, bersifat subjektif.

Fiksi menceritakan berbagai masalah kehidupan manusia dalam interaksinya dengan lingkungan dan sesama, interaksinya dengan diri sendiri, serta interaksinya dengan Tuhan. Fiksi merupakan hasil dialog, kontemplasi, dan reaksi pengarang terhadap lingkungan dan kehidupan. Walau berupa hasil kerja imajinasi, khayalan, tidak benar jika fiksi dianggap sebagai hasil kerja lamunan belaka, melainkan penghayatan dan perenungan secara intens, perenungan terhadap hakikat hidup dan kehidupan, perenungan yang dilakukan dengan penuh kesadaran dan tanggung jawab. Fiksi merupakan karya imajinatif yang dilandasi kesadaran dan tanggung jawab dari segi kreativitas sebagai karya seni. Fiksi menawarkan "model-model" kehidupan sebagaimana yang diidealkan oleh pengarang sekaligus menunjukkan sosoknya sebagai karya seni yang berunsur estetik dominan.

Imajinasi (*imagination*) sebenarnya menunjuk pada pengertian *creative thinking*, 'berpikir kreatif', berpikir untuk menciptakan (baca: menghasilkan) sesuatu. Dengan berimajinasi, seseorang aktif berpikir memahami, mengritisi, menganalisis, menyintesis, dan mengevaluasi untuk menghasilkan pemikiran, karya, atau produk baru. "Produk" dan "produk baru" dalam dunia kesastraan menunjuk pada pengertian karya sastra, teks-teks kesastraan, yang dapat meliputi berbagai genre. Berbagai teks tersebut dihasilkan lewat kerja berkreasi, berkreasi lewat imajinasi, maka "produk" yang dihasilkan disebut sebagai karya kreatif. Berbagai macam karya seni yang lain yang "penciptaannya" dilakukan lewat eksplorasi kreativitas imajinasi juga dapat disebut

sebagai karya kreatif. Artinya, mereka dihasilkan lewat kerja yang menekankan unsur kreativitas-imajinatif.

Sebenarnya, hal itu tidak hanya mencakup karya atau produk yang terkait dengan karya seni (baca: seni sastra, fiksi), melainkan dapat berupa apa saja termasuk berbagai karya yang benar-benar mengeksplorasi kemampuan intelektual. Karya sastra juga tidak mungkin tercipta jika para penulis tidak memunyai kekuatan intelektual yang baik. Para insinyur arsitektur tidak mungkin mencipta bangunan hebat, kuat, dan sekaligus artistik jika tidak memunyai kekuatan imajinatif yang tinggi. Semua yang baru, indah, atau hebat mengagumkan di dunia ini mesti tercipta lewat kerja dengan kekuatan imajinatif yang hebat pula. Jadi, unsur dan kekuatan imajinatif dan kreativitas pada hakikatnya merupakan prasyarat untuk dapat "menciptakan" sesuatu yang bernilai tinggi.

Bagaimanapun, karya fiksi merupakan sebuah cerita, dan karenanya terkandung juga di dalamnya tujuan memberikan hiburan kepada pembaca di samping adanya tujuan estetik. Membaca sebuah karya fiksi berarti menikmati cerita, menghibur diri untuk memperoleh kepuasan batin, dan sekaligus memperoleh pengalaman kehidupan. Namun, betapapun saratnya pengalaman dan permasalahan kehidupan yang ditawarkan, sebuah karya fiksi haruslah tetap merupakan cerita yang menarik, tetap merupakan bangun struktur yang koheren, dan tetap memunyai tujuan estetik (Wellek & Warren, 1989:212).

Daya tarik cerita inilah yang pertama-tama akan memotivasi orang untuk membacanya. Hal itu disebabkan pada dasarnya, setiap orang senang cerita, apalagi yang sensasional, baik yang diperoleh dengan cara melihat maupun mendengarkan. Melalui sarana cerita itu pembaca secara tidak langsung dapat belajar, merasakan dan menghayati berbagai permasalahan kehidupan yang secara sengaja ditawarkan pengarang. Hal itu disebabkan cerita fiksi tersebut akan mendorong pembaca untuk ikut merenungkan masalah hidup dan kehidupan. Oleh karena itu, cerita, fiksi, atau kesastraan pada umumnya, sering dianggap dapat membuat manusia menjadi lebih arif, atau dapat dikatakan sebagai "memanusiakan manusia".

cerita, sehingga boleh dikatakan bahwa hal itu bersifat mengikat adanya sifat saling keterkaitan antarepisode (perlu dicatat pula: menafsirkan tema sebuah novel pun bukan merupakan pekerjaan mudah).

Unsur-unsur pembangun sebuah novel, seperti, plot, tema, penokohan, dan latar, secara umum dapat dikatakan bersifat lebih rinci dan kompleks daripada unsur-unsur cerpen. Hal yang dimaksud terlihat pada pembicaraan berikut.

Plot. Plot cerpen pada umumnya tunggal, hanya terdiri dari satu urutan peristiwa yang diikuti sampai cerita berakhir (bukan selesai, sebab banyak cerpen, juga novel, yang tidak berisi penyelesaian yang jelas, penyelesaian diserahkan kepada interpretasi pembaca). Urutan peristiwa dapat dimulai dari mana saja, misalnya dari konflik yang telah meningkat, tidak harus bermula dari tahap perkenalan (para) tokoh atau latar. Kalaupun ada unsur perkenalan tokoh dan latar, biasanya tak berkepanjangan. Berhubung berplot tunggal, konflik yang dibangun dan klimaks yang akan diperoleh pun, biasanya, bersifat tunggal pula.

Novel, di pihak lain, berhubung adanya ketidakterikatan pada panjang cerita yang memberi kebebasan kepada pengarang, umumnya memiliki lebih dari satu plot: terdiri dari satu plot utama dan sub-subplot. Plot utama berisi konflik utama yang menjadi inti persoalan yang diceritakan sepanjang karya itu, sedangkan sub-subplot adalah berupa (munculnya) konflik(-konflik) tambahan yang bersifat menopang, mempertegas, dan mengintensifkan konflik utama untuk sampai ke klimaks. Plot-plot tambahan atau sub-subplot tersebut berisi konflik-konflik yang mungkin tidak sama kadar "ke-penting-annya" atau perannya terhadap plot utama. Masing-masing subplot berjalan sendiri, bahkan mungkin sekaligus dengan "penyelesaian" sendiri pula, namun harus tetap berkaitan satu dengan yang lain, dan tetap dalam hubungannya dengan plot utama.

Novel *Maut dan Cinta* karya Mochtar Lubis, misalnya, mengikuti satu plot utama di samping menampilkan sub-subplot tersebut. Plot utama adalah urutan peristiwa yang ditokohi oleh Sadeli. Namun, tokoh-tokoh lain seperti Umar Yunus dan ali Nurdin pun membawakan plot, konflik, dan penyelesaian sendiri, walau keduanya menjadi penting karena kaitannya dengan tokoh Sadeli sang pendukung plot utama.

Harimau! Harimau!, Canting, Para Priyayi, dan lain-lain? Klimaks novel-novel tersebut, antara lain, dapat dikenali melalui konflik-konflik utama yang diperani oleh tokoh utama, berturut-turut yaitu tokoh Fuyuko, Permana, Setodewo (dan Larasati), Rasus dan Srintil, Sadeli, Buyung dan Wak Katok, Bu Bei (Pak Bei dan Ni), Lantip (Sastradarsana). Menentukan klimaks sebuah cerita, memang, diperlukan berbagai pertimbangan, kejelian, dan kekritisan dalam membaca karya fiksi yang bersangkutan. Penentuan di mana letak klimaks sebuah karya fiksi, sebagaimana halnya dengan aspek-aspek yang lain, orang dapat berbeda pendapat.

3. KAIDAH PEMPLOTAN

Sebagaimana telah dikemukakan, novel merupakan sebuah karya yang bersifat imajiner dan kreatif. Sifat kreativitas itu antara lain terlihat pada kebebasan pengarang untuk mengemukakan (baca: menciptakan) cerita, peristiwa, konflik, tokoh, dan lain-lain yang termasuk dalam aspek 'material" fiksi, dengan teknik dan gaya yang paling disukai. Tentu saja kesemuanya itu tak akan lepas dari kontrol tujuan estetis. Karena adanya unsur kreativitas inilah dimungkinkan sekali pengarang menciptakan karya yang baru, asli, yang belum pernah dikemukakan orang sebelumnya. Adanya unsur kebaruan dan keaslian, baik yang menyangkut apa yang ingin dikemukakan maupun terlebih bagaimana cara mengemukakan, dalam banyak hal, khususnya dalam pendekatan struktural, dipandang sebagai kriteria yang penting untuk menilai keberhasilan karya yang bersangkutan sebagai karya sastra.

Masalah kreativitas, kebaruan, dan keaslian dapat juga menyangkut masalah pengembangan plot. Pengarang memiliki kebebasan untuk memilih cara untuk mengembangkan plot, membangun konflik, menyiasati penyajian peristiwa, dan sebagainya sesuai dengan selera estetisnya. Mencari kebaruan cara pengucapan dalam karya sastra merupakan suatu hal yang esensial. Pengarang tak mau hanya berlaku dan bersifat "menjiplak" sesuatu yang telah dikemukakan dan dipergunakan orang sebelumnya, apalagi sampai menciptakan karya yang

4 PENAHAPAN PLOT

Awal peristiwa yang ditampilkan dalam karya fiksi, seperti ditunggung di atas, mungkin saja langsung berupa adegan(-adegan) yang tergolong menegangkan. Pembaca langsung dihadapkan pada peristiwa cerita yang berkadar konflik dan dramatik tinggi, yang barangkali, justru konflik yang amat menentukan plot karya yang bersangkutan. Padahal, pembaca belum lagi dibawa masuk ke dalam suasana cerita, belum lagi tahu awal mula dan sebab-sebab terjadinya konflik. Cerita yang diawali dengan tanpa basa-basi dan langsung menukik ke inti permasalahan, adalah cerita yang menampilkan plot yang bersifat *in medias res*. Namun, bahwa yang ditemui di bagian awal itu adegan konflik berkadar tinggi, baru akan diketahui pembaca setelah melewati bagian-bagian yang lebih kemudian.

Hal yang demikian dapat terjadi disebabkan urutan waktu penceritaan (jadi, secara linear, *sujet*) sengaja dimanipulasikan dengan urutan peristiwa (secara logika, *fabel*). Ia mungkin dimaksudkan untuk mendapatkan bentuk pengucapan baru dan efek artistik tertentu, kejutan, ataupun sebentuk *suspense* di pihak pembaca. Teknik pengungkapan cerita, atau teknik pemplotan, yang demikian biasanya justru lebih menarik karena memang langsung dapat menarik perhatian pembaca. Pembaca langsung berhadapan dengan konflik, yang tentu saja, ingin segera mengetahui sebab-sebab kejadian dan bagaimana kelanjutannya.

Plot sebuah cerita bagaimanapun tentulah mengandung unsur urutan waktu, baik dikemukakan secara eksplisit maupun emplisit. Oleh karena itu, dalam sebuah cerita, sebuah teks naratif, tentulah ada awal kejadian, kejadian-kejadian berikutnya, dan barangkali ada pula akhirnya. Namun, plot sebuah karya fiksi sering tak menyajikan urutan peristiwa secara kronologis dan runtut, melainkan penyajian yang dapat dimulai dan diakhiri dengan kejadian yang mana pun juga tanpa adanya keharusan untuk memulai dan mengakhiri dengan kejadian awal dan kejadian (ter-)akhir. Dengan demikian, tahap awal cerita tidak harus berada di awal cerita atau di bagian awal teks, melainkan dapat terletak di bagian mana pun.

dari di mana letak mereka masing-masing pada urutan sintagmatik cerita. Tahap awal cerita membawa kita dari eksposisi dan pengenalan setting ke tanda-tanda munculnya konflik, tahap tengah menyajikan semakin meningkatnya konflik, pertautan dan kompleksitas konflik untuk akhirnya sampai ke klimaks yang kesemuanya itu merupakan inti cerita, dan tahap akhir membawa kita dari klimaks ke penyelesaian.

b. Tahapan Plot: Rincian Lain

Selain rincian tahapan plot seperti di atas, ada tahapan lain yang dikemukakan orang dan terlihat lebih rinci. Rincian yang dimaksud adalah yang dikemukakan oleh Tasrif (dalam Mochtar Lubis, 1978: 10; mungkin dengan mendasarkan diri pada pendapat Richard Summers?), yaitu yang membedakan tahapan plot menjadi lima bagian. Kelima tahapan itu adalah sebagai berikut.

(1) Tahap *situation* (Tasrif juga memakai istilah dalam bahasa Inggris): **tahap penyituasian,** tahap yang terutama berisi pelukisan dan pengenalan situasi latar dan tokoh(-tokoh) cerita. Tahap ini merupakan tahap pembukaan cerita, pemberian informasi awal, dan lain-lain yang, terutama, berfungsi untuk melandastumpui cerita yang dikisahkan pada tahap berikutnya.

(2) Tahap *generating circumstances*: **tahap pemunculan konflik,** masalah(-masalah) dan peristiwa-peristiwa yang menyulut terjadinya konflik mulai dimunculkan. Jadi, tahap ini merupakan tahap awalnya munculnya konflik, dan konflik itu sendiri akan berkembang dan atau dikembangkan menjadi konflik-konflik pada tahap berikutnya. Tahap pertama dan kedua pada pembagian ini, tampaknya, berkesesuaian dengan tahap awal pada penahapan seperti yang dikemukakan di atas.

(3) Tahap *rising action*: **tahap peningkatan konflik,** konflik yang telah dimunculkan pada tahap sebelumnya semakin berkembang dan dikembangkan kadar intensitasnya. Peristiwa-peristiwa dramatik yang menjadi inti cerita semakin mencengkam dan menegangkan. Konflik-konflik yang terjadi, internal, eksternal, ataupun keduanya, pertentangan-pertentangan, benturan-benturan antarkepen-

kaitannya dengan berbagai unsur yang lain dan peranannya dalam cerita secara keseluruhan. Tokoh memang unsur yang terpenting dalam karya fiksi, namun, bagaimanapun juga, ia tetap terikat oleh unsur-unsur yang lain. Bagaimana jalinan dan bentuk keterikatan unsur tokoh dengan unsur-unsur yang lain dalam sebuah fiksi, perlu ditinjau satu per satu. Jika tokoh memang berjalinan erat, saling melengkapi dan menentukan dengan unsur-unsur yang lain dalam membentuk keutuhan yang artistik, tokoh mempunyai bentuk relevansi dengan cerita secara keseluruhan. Penokohan telah dikembangkan sesuai dengan tuntutan cerita.

2. PEMBEDAAN TOKOH

Tokoh-tokoh cerita dalam sebuah fiksi dapat dibedakan ke dalam beberapa jenis penamaan berdasarkan dari sudut mana penamaan itu dilakukan. Berdasarkan perbedaan sudut pandang dan tinjauan, seorang tokoh dapat saja dikategorikan ke dalam beberapa jenis penamaan sekaligus, misalnya sebagai tokoh utama-protagonis-berkembang-tipikal.

a. Tokoh Utama dan Tokoh Tambahan

Membaca sebuah novel, biasanya, kita akan dihadapkan pada sejumlah tokoh yang dihadirkan di dalamnya. Namun, dalam kaitannya dengan keseluruhan cerita, peranan masing-masing tokoh tersebut tak sama. Dilihat dari **segi peranan** atau **tingkat pentingnya** tokoh dalam sebuah cerita, ada tokoh yang tergolong penting dan ditampilkan terus-menerus sehingga terasa mendominasi sebagian besar cerita, dan sebaliknya, ada tokoh(-tokoh) yang hanya dimunculkan sekali atau beberapa kali dalam cerita, dan itu pun mungkin dalam porsi penceritaan yang relatif pendek. Tokoh yang disebut pertama adalah tokoh utama cerita (*central character, main character*), sedang yang kedua adalah tokoh tambahan (*peripheral character*).

Tokoh utama adalah tokoh yang diutamakan penceritaannya

Manyar, ia memiliki kadar keutamaan yang lebih daripada Atik. Atik pun dapat dianggap sebagai tokoh utama, karena ia juga banyak diceritakan, banyak berhubungan dengan Teto, mempengaruhi perkembangan plot, bahkan penemuan jati diri Teto melalui simbolisasi burung manyar, Atiklah yang melantarkannya. Dari segi cerita, dapat dikatakan bahwa novel ini mengisahkan perjalanan kehidupan Teto dan Atik. Dengan demikian, Atik pun berhak disebut sebagai tokoh utama, walau utama yang tambahan. Tokoh-tokoh yang lain seperti Verbruggen, Janakatamsi, Bu Antana, dan Marice, walau relatif tak banyak, juga mempengaruhi plot. Dominasi mereka dalam cerita ada di bawah Atik, sehingga mereka dapat dipandang sebagai tokoh tambahan, walau harus dicatat: tokoh tambahan yang utama.

Apa yang dikemukakan di atas menunjukkan bahwa pembedaan antara tokoh utama dan tambahan tak dapat dilakukan secara eksak. Pembedaan itu lebih bersifat gradasi, kadar keutamaan tokoh-tokoh itu bertingkat: tokoh utama (yang) utama, utama tambahan, tokoh tambahan utama, tambahan (yang memang) tambahan. Hal inilah antara lain yang menyebabkan orang bisa berbeda pendapat dalam hal menentukan tokoh-tokoh utama sebuah cerita fiksi.

b. Tokoh Protagonis dan Tokoh Antagonis

Jika dilihat dari **peran tokoh-tokoh** dalam pengembangan plot dapat dibedakan adanya tokoh utama dan tokoh tambahan, dilihat dari **fungsi penampilan tokoh** dapat dibedakan ke dalam tokoh protagonis dan tokoh antagonis. Membaca sebuah novel, pembaca sering mengidentifikasikan diri dengan tokoh(-tokoh) tertentu, memberikan simpati dan empati, melibatkan diri secara emosional terhadap tokoh tersebut. Tokoh yang disikapi demikian oleh pembaca disebut sebagai tokoh protagonis (Altenbernd & Lewis, 1966: 59).

Tokoh protagonis adalah tokoh yang kita kagumi—yang salah satu jenisnya secara populer disebut hero—tokoh yang merupakan pengejawantahan norma-norma, nilai-nilai, yang ideal bagi kita (Altenbernd & Lewis, 1966: 59). Tokoh protagonis menampilkan sesuatu yang sesuai dengan pandangan kita, harapan-harapan kita.

Anik, memaafkan kekeliruannya itu. Itu semua disebabkan Teto banyak diceritakan dan diberi kesempatan untuk mengeluarkan sikap dan pandangannya, walau kadang-kadang terasa keras, "menusuk dan menyakitkan", namun diam-diam dalam hati kita-pembaca toh membenarkannya juga.

Pembedaan antara tokoh utama dan tambahan dengan tokoh protagonis dan antagonis sering digabungkan, sehingga menjadi tokoh-utama-protagonis, tokoh-utama-antagonis, tokoh-tambahan-protagonis, dan seterusnya. Pembedaan secara pasti antara tokoh utama protagonis dengan tokoh utama antagonis juga sering tidak mudah dilakukan. Pembedaan itu sebenarnya lebih bersifat penggradasian. Apalagi tokoh cerita pun dapat berubah, khususnya pada tokoh yang berkembang, sehingga tokoh yang semula diberi rasa antipati belakangan justru menjadi disimpati, atau sebaliknya. Atau paling tidak, pemberian rasa simpati, atau antipati, menjadi berkurang, atau bertambah, dari semula. Sikap Teto pun belakangan juga berubah menjadi cinta Republik.

(, Tokoh Sederhana dan Tokoh Bulat

Berdasarkan **perwatakannya**, tokoh cerita dapat dibedakan ke dalam tokoh sederhana (*simple* atau *flat character*) dan tokoh kompleks atau tokoh bulat (*complex* atau *round character*). Pembedaan tersebut berasal dari Forster dalam bukunya *Aspects of the Novel* yang terbit pertama kali 1927. Pembedaan tokoh ke dalam sederhana dan kompleks (Forster, 1970: 75) tersebut kemudian menjadi sangat terkenal. Hampir semua buku sastra yang membicarakan penokohan, tak pernah lupa menyebut pembedaan itu, baik secara langsung menyebut nama Forster maupun tidak. Pengkategorian seorang tokoh ke dalam sederhana atau bulat haruslah didahului dengan analisis perwatakan (baca: Catatan tentang Identifikasi Tokoh pada akhir bab ini). Setelah deskripsi perwatakan seorang tokoh diperoleh, kita dapat menentukan ke dalam kategori mana secara lebih dapat dipertanggungjawabkan.

Tokoh Sederhana. Tokoh sederhana, dalam bentuknya yang asli, adalah tokoh yang hanya memiliki satu kualitas pribadi tertentu,

2. UNSUR LATAR

Unsur latar dapat dibedakan ke dalam tiga unsur pokok, yaitu tempat, waktu, dan sosial. Ketiga unsur itu walau masing-masing menawarkan permasalahan yang berbeda dan dapat dibicarakan secara sendiri, pada kenyataannya saling berkaitan dan saling mempengaruhi satu dengan yang lainnya.

a. Latar Tempat

Latar tempat menyaran pada lokasi terjadinya peristiwa yang diceritakan dalam sebuah karya fiksi. Unsur tempat yang dipergunakan mungkin berupa tempat-tempat dengan nama tertentu, inisial tertentu, mungkin lokasi tertentu tanpa nama jelas. Tempat-tempat yang bernama adalah tempat yang dijumpai dalam dunia nyata, misalnya Magelang, Yogyakarta, Juranggede, Cemarajajar, Kramat, Grojogan, dan lain-lain yang terdapat di dalam *Burung-burung Manyar*. Tempat dengan inisial tertentu, biasanya berupa huruf awal (kapital) nama suatu tempat, juga menyaran pada tempat tertentu, tetapi pembaca harus memperkirakan sendiri, misalnya kota M, S, T, dan desa B seperti dipergunakan dalam *Bawuk*. Latar tempat tanpa nama jelas biasanya hanya berupa penyebutan jenis dan sifat umum tepat-tempat tertentu, misalnya desa, sungai, jalan, hutan, kota, kota kecamatan, dan sebagainya.

Penggunaan latar tempat dengan nama-nama tertentu haruslah mencerminkan, atau paling tidak tak bertentangan dengan sifat dan keadaan geografis tempat yang bersangkutan. Masing-masing tempat tentu saja memiliki karakteristiknya sendiri yang membedakannya dengan tempat-tempat yang lain, misalnya Gunung Kidul, Juranggede, Pejaten, dan Paruk. Jika terjadi ketidaksesuaian deskripsi antara keadaan tempat secara realistis dengan yang terdapat di dalam novel, terutama jika pembaca mengenalinya, hal itu akan menyebabkan karya yang bersangkutan kurang meyakinkan. Deskripsi tempat secara teliti dan realistis ini penting untuk mengesani pembaca seolah-olah hal yang diceritakan itu sungguh-sungguh ada dan terjadi, yaitu di tempat (dan waktu) seperti yang diceritakan itu.

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dengan kadar kelitereran karya yang bersangkutan. Keberhasilan latar tempat lebih ditentukan oleh ketepatan deskripsi, fungsi, dan keterpaduannya dengan unsur latar yang lain sehingga semuanya bersifat saling mengisi. Keberhasilan penampilan unsur latar itu sendiri antara lain dilihat dari segi koherensinya dengan unsur fiksi lain dan dengan tuntutan cerita secara keseluruhan.

b. Latar Waktu

Latar waktu berhubungan dengan masalah "kapan" terjadinya peristiwa-peristiwa yang diceritakan dalam sebuah karya fiksi. Masalah "kapan" tersebut biasanya dihubungkan dengan waktu faktual, waktu yang ada kaitannya atau dapat dikaitkan dengan peristiwa sejarah. Pengetahuan dan persepsi pembaca terhadap waktu sejarah itu kemudian dipergunakan untuk mencoba masuk ke dalam suasana cerita. Pembaca berusaha memahami dan menikmati cerita berdasarkan acuan waktu yang diketahuinya yang berasal dari luar cerita yang bersangkutan. Adanya persamaan perkembangan dan atau kesejalanan waktu tersebut juga dimanfaatkan untuk mengesani pembaca seolah-olah cerita itu sebagai sungguh-sungguh ada dan terjadi.

Misalnya, usaha memahami kehidupan tokoh Teto dalam *Burung-burung Manyar* itu mau tak mau kita akan menghubungkannya dengan waktu sejarah, seperti keadaan tangsi militer Magelang zaman kekuasaan Belanda, semasa pendudukan Jepang di tanah air, penyerbuan Belanda ke Yogyakarta pada masa *clash* II, walau tokoh Teto itu sendiri kita sadari betul sebagai tokoh fiktif. Tanpa memahami latar belakang sejarah apresiasi kita terhadap novel tersebut akan menjadi lain, tak dapat mendapatkan kesan dan makna secara penuh. Demikian pula halnya jika kita membaca *Maut dan Cinta* yang berlatar sejarah masa revolusi kemerdekaan. Dalam karya-karya lain seperti *Lintang Kemukus Dini Hari, Kubah, Sri Sumarah,* dan *Bawuk,* peristiwa G-30-S/PKI bahkan menjadi inti konflik. Unsur waktu dalam novel-novel tersebut sangat dominan, secara jelas mempengaruhi perkembangan plot dan cerita secara keseluruhan. Latar waktu, dengan demikian, bersifat fungsional.

novel yang hanya membutuhkan waktu cerita singkat biasanya juga tidak hanya menceritakan kejadian-kejadian dalam waktu yang sesingkat itu pula. Ia dapat saja menceritakan kejadian-kejadian lampau—tentunya yang berkaitan dengan peristiwa masa kini—dengan cara sorot balik, retroversi, yang mungkin lewat cerita atau renungan tokoh. Dengan demikian, novel jenis ini pun sebenarnya membutuhkan waktu cerita relatif panjang, bahkan mungkin juga hampir sepanjang hayat tokoh, hanya karena disiasati pengarang maka ia tampak menjadi singkat.

Akhirnya, latar waktu harus juga dikaitkan dengan latar tempat (juga sosial) sebab pada kenyataannya memang saling berkaitan. Keadaan suatu yang diceritakan mau tidak mau harus mengacu pada waktu tertentu karena tempat itu akan berubah sejalan dengan perubahan waktu. Misalnya, Gunung Kidul tahun 1950-an seperti dalam cerpen *Gunung Kidul*-nya Nugroho, tentunya tidak sama dengan Gunung Kidul dewasa ini, Surabaya dalam *Bumi Manusia* (akhir abad ke-19) jelas berbeda dengan Surabaya pada *Petualang*-nya Trisnojuwono pada masa revolusi. Dengan demikian, cerita *Gunung Kidul* dan Surabaya tersebut mungkin sekali tidak bisa lagi diterapkan dalam waktu kini walau untuk lokasi yang sama sekalipun. Ketidaksesuaian antara deskripsi tempat dengan perkembangan waktu pun menyebabkan adanya "anakronisme"—jangkauan anakronisme dapat pula mencakup aspek selain waktu, namun masih ada kaitannya dengan masalah waktu. Misalnya, sebuah karya yang berlatar waktu tahun 1940-an di Jakarta, menunjuk tugu Monumen Nasional sebagai salah satu tempat terjadinya peristiwa. Hal itu jelas ngawur sebab waktu itu Monumen Nasional belum dibangun.

c. Latar Sosial

Latar sosial menyaran pada hal-hal yang berhubungan dengan perilaku kehidupan sosial masyarakat di suatu tempat yang diceritakan dalam karya fiksi. Tata cara kahidupan sosial masyarakat mencakup berbagai masalah dalam lingkup yang cukup kompleks. Ia dapat berupa kebiasaan hidup, adat istiadat, tradisi, keyakinan, pandangan hidup, cara berpikir dan bersikap, dan lain-lain yang tergolong latar spiritual

2. MACAM SUDUT PANDANG

Sudut pandang dapat banyak macamnya tergantung dari sudut mana ia dipandang dan seberapa rinci ia dibedakan. Friedman (dalam Stevick, 1967: 118) mengemukakan adanya sejumlah pemertanyaan yang jawabnya dapat dipergunakan untuk membedakan sudut pandang. Pemertanyaan yang dimaksud adalah sebagai berikut.

(1) Siapa yang berbicara kepada pembaca (pengarang dalam persona ketiga atau pertama, salah satu pelaku dengan "aku", atau seperti tak seorang pun)?

(2) Dari posisi mana cerita itu dikisahkan (atas, tepi, pusat, depan, atau berganti-ganti)?

(3) Saluran informasi apa yang dipergunakan narator untuk menyampaikan ceritanya kepada pembaca (kata-kata, pikiran, atau persepsi pengarang; kata-kata, tindakan, pikiran, perasaan, atau persepsi tokoh)?

(4) Sejauh mana narator menempatkan pembaca dari ceritanya (dekat, jauh, atau berganti-ganti).

Selain itu pembedaan sudut pandang juga dilihat dari bagaimana kehadiran cerita itu kepada pembaca: lebih bersifat penceritaan, *telling*, atau penunjukkan, *showing*, naratif atau dramatik. Pembedaan sudut pandang yang akan dikemukakan berikut berdasarkan pembedaan yang telah umum dilakukan orang, yaitu bentuk persona tokoh cerita: persona ketiga dan persona pertama.

a. Sudut Pandang Persona Ketiga: "Dia"

Pengisahan cerita yang mempergunakan sudut pandang persona ketiga, gaya "dia", narator adalah seseorang yang berada di luar cerita yang menampilkan tokoh-tokoh cerita dengan menyebut nama, atau kata gantinya; ia, dia, mereka. Nama-nama tokoh cerita, khususnya yang utama, kerap atau terus menerus disebut, dan sebagai variasi dipergunakan kata ganti. Hal ini akan mempermudah pembaca untuk mengenali siapa tokoh yang diceritakan atau siapa yang bertindak. Tokoh-tokoh itu misalnya, Srintil, Kartareja, Sakarya, dan Sakum

dalam *Ronggeng Dukuh Paruk*, atau Sadeli, Maria, David, Wayne dalam *Maut dan Cinta*.

> Sadeli dan David memandang padanya separuh takjub. Apakah Maria berbicara sungguh-sungguh, atau hanya hendak mempermainkan mereka saja?.
>
> Melihat air muka mereka yang keheranan, Maria tiba-tiba tertawa, merasa amat lucu. David Wayne dan Sadeli ikut tertawa, meskipun tak begitu mengerti apa yang ditertawakan Maria, dan segera mereka merasa seakan sudah berkenalan lama.
>
> *(Maut dan Cinta,* 1977: 215).

Dalam adegan percakapan antartokoh banyak terdapat penyebutan "aku", seperti juga "engkau", sebab tokoh-tokoh "dia" tersebut oleh narator sedang dibiarkan untuk mengungkapkan diri sendiri. Cerita yang dikisahkan secara berselang-seling antara *showing* dan *telling*, narasi dan dialog, menyebabkan cerita menjadi lancar, hidup, dan natural. Hal inilah antara lain yang merupakan kelebihan tehnik sudut pandang "dia".

Sudut pandang "dia" dapat dibedakan ke dalam dua golongan berdasarkan tingkat kebebasan dan keterikatan pengarang terhadap bahan ceritanya. Di satu pihak pengarang, narator, dapat bebas menceritakan segala sesuatu yang berhubungan dengan tokoh "dia", jadi bersifat **mahatahu**, di lain pihak ia terikat, mempunyai keterbatasan "pengertian" terhadap tokoh "dia" yang diceritakan itu, jadi bersifat **terbatas**, hanya selaku **pengamat** saja.

(1)"Dia" Mahatahu

Sudut pandang persona ketiga mahatahu dalam literatur bahasa Inggris dikenal dengan istilah-istilah *the omniscient point of view, third-person omniscient, the omniscient narrator,* atau *author omniscient*. Dalam sudut pandang ini, cerita dikisahkan dari sudut "dia", namun pengarang, narator, dapat menceritakan apa saja hal-hal yang menyangkut tokoh "dia" tersebut. Narator mengetahui segalanya,

tokoh, yang beroposisi ataupun yang tidak, dan itu berarti bahwa pembaca menjadi lebih tahu daripada tokoh-tokoh cerita itu sendiri. Keadaan semacam ini menjadikan pembaca lebih terlibat secara emosional terhadap cerita. Bahkan, rasanya pembaca ingin membisikkan sesuatu kepada tokoh tentang hal-hal "penting" yang tak diketahuinya. Misalnya, pembaca ingin memberi tahu seorang tokoh bahwa kawan seperjuangannya itu sebenarnya seorang pengkhianat bangsa yang sangat membahayakan. Keluwesan bercerita teknik mahatahu yang demikian kurang dimiliki oleh teknik gaya "aku".

Pembicaraan di atas menunjukkan betapa kuatnya teknik "dia" mahatahu untuk mengisahkan sebuah cerita. Ia merupakan teknik yang paling natural dari semua teknik yang ada, sekaligus dikenal sebagai teknik yang memiliki fleksibilitas yang tinggi. Dengan teknik tersebut pengarang dapat mengekspresikan sedemikian rupa ceritanya dengan penuh kebebasan. Hal-hal inilah yang merupakan kelebihan sudut pandang gaya "dia" mahatahu (Kenny, 1966: 50). Namun, teknik ini juga mengandung hal-hal yang dapat dipandang sebagai kelemahannya. Walau merupakan teknik yang paling natural, sebenarnya, ia sekaligus bersifat tak natural. Hal itu disebabkan dalam realitas kehidupan tak ada seorang pun yang bersifat mahatahu, paling-paling orang mampu menuturkan apa yang dapat dilihat atau didengarnya jika itu menyangkut orang lain. Itulah sebabnya teknik tersebut tak selamanya merupakan teknik yang tepat. Di samping itu, adanya kebebasan pengarang justru dapat menyebabkan adanya kecenderungan untuk "kehilangan" sehingga menjadi kurang koheren. Teknik mahatahu memang kurang memberikan sifat kedisiplinan kepada pengarang (Kenny, 1966: 50).

(2) "Dia" Terbatas, "Dia" sebagai Pengamat

Dalam sudut pandang "dia" terbatas, seperti halnya dalam "dia" mahatahu, pengarang melukiskan apa yang dilihat, didengar, dialami, dipikir, dan dirasakan oleh tokoh cerita, namun terbatas hanya pada seorang tokoh saja (Stanton, 1965: 26), atau terbatas dalam jumlah yang sangat terbatas (Abrams, 1981: 144). Tokoh cerita mungkin saja

b. Sudut Pandang Persona Pertama: "Aku"

Dalam pengisahan cerita yang mempergunakan sudut pandang persona pertama, *first-person point of view*, "aku", jadi : gaya "aku" narator adalah seseorang ikut terlibat dalam cerita. Ia adalah si "aku" tokoh yang berkisah, mengisahkan kesadaran dirinya sendiri, *self consciousness*, mengisahkan peristiwa dan tindakan, yang diketahui, dilihat, didengar, dialami, dan dirasakan, serta sikapnya terhadap orang (tokoh) lain kepada pembaca. Kita, pembaca, menerima apa yang diceritakan oleh si "aku", maka kita hanya dapat melihat dan merasakan secara terbatas seperti yang dilihat dan dirasakan tokoh si "aku" tersebut.

Si "aku" tentu saja punya nama, namun karena ia mengisahkan pengalaman sendiri, nama itu jarang disebut. Penyebutan nama si "aku" mungkin justru berasal dari ucapan tokoh lain yang bagi si "aku" merupakan tokoh "dia". Demikianlah, kita akan berhadapan dengan tokoh-tokoh "aku", misalnya Sri dan Michel dalam *Pada Sebuah Kapal*, Hiroko dalam *Namaku Hiroko*, dan Fujuko dalam *Gairah untuk Hidup dan Mati*. Penggunaan sudut pandang "aku" dalam sebuah cerita hanya merupakan gaya, teknik. Jadi, ia tidak perlu dihubungkan dan diartikan sebagai aku-nya pengarang walau tidak pelak sikap dan pandangan pengarang akan tercermin di dalamnya.

Jika dalam sudut pandang "dia" mahatahu narator bebas melukiskan apa saja dari tokoh yang satu ke tokoh yang lain, dalam sudut pandang "aku" sifat kemahatahuannya terbatas. Persona ketiga merupakan sudut pandang yang bersifat eksternal, maka narator dapat mengambil sikap terbatas atau tidak terbatas, tergantung keadaan cerita yang akan dikisahkan. Sebaliknya, persona pertama adalah sudut pandang yang bersifat internal, maka jangkauannya terbatas (Meredith & Fitzgerald, 1972: 49). Dalam sudut pandang "aku", narator hanya bersifat mahatahu bagi diri sendiri dan tidak terhadap orang-orang (tokoh) lain yang terlibat dalam cerita. Ia hanya berlaku sebagai pengamat saja terhadap tokoh-tokoh "dia" yang bukan dirinya.

Sudut pandang persona pertama dapat dibedakan ke dalam dua golongan berdasarkan peran dan kedudukan si "aku" dalam cerita. Si

Si "aku" tentu saja dapat memberikan komentar dan penilaian terhadap tokoh utama. Namun, hal itu bersifat terbatas. Hal itu disebabkan tokoh utama tersebut bagi si "aku" merupakan tokoh "dia" sehingga ia menjadi tidak bersifat mahatahu. Pandangan dan penilaian si "aku" akan mengontrol pandangan dan penilaian pembaca terhadap tokoh utama. Tokoh "aku" tambahan adalah tokoh protagonis, sedang tokoh utama itu sendiri juga protagonis. Dengan demikian, empati pembaca ditujukan kepada si "aku" dan tokoh utama cerita.

Cerita pokok yang "dipengantari" oleh si "aku" tambahan itu sendiri, seperti novel dan cerpen yang dicontohkan di atas, pada umumnya juga mempergunakan sudut pandang "aku". Jadi, tokoh utama cerita itu adalah juga tokoh "aku". Dengan demikian, dalam sebuah karya itu terdapat dua "aku", si "aku" tokoh tambahan dan si "aku" tokoh utama. Jika si "aku" tokoh utama sering diketahui namanya, misalnya lewat "pemberitahuan" tokoh lain, seperti Jono pada cerpen Nugroho di atas, si "aku" tambahan sering tak jelas karena tak disebutkan, kecuali tokoh Thalib (Thalibu Sang) pada *Gairah untuk Hidup dan untuk Mati*.

c. Sudut Pandang Campuran

Penggunaan sudut pandang dalam sebuah novel mungkin saja lebih satu teknik. Pengarang dapat berganti-ganti dari teknik yang satu ke teknik yang lain untuk sebuah cerita yang dituliskannya. Kesemuanya itu tergantung dari kemauan dan kreativitas pengarang, bagaimana mereka memanfaatkan berbagai teknik yang ada demi tercapainya efektivitas penceritaan yang lebih, atau paling tidak untuk mencari variasi penceritaan agar memberikan kesan lain. Pemanfaatan teknik-teknik tersebut dalam sebuah novel misalnya, dilakukan dengan mempertimbangkan kelebihan dan keterbatasan masing-masing teknik.

Penggunaan sudut pandang yang bersifat campuran itu di dalam sebuah novel, mungkin berupa penggunaan sudut pandang persona ketiga dengan teknik "dia" mahatahu dan "dia" sebagai pengamat, persona pertama dengan teknik "aku" sebagai tokoh utama dan "aku" tambahan atau sebagai saksi, bahkan dapat berupa campuran antara persona pertama dan ketiga, antara "aku" dan "dia" sekaligus.