

Simon & Schuster

FREUD:

DICTIONARY OF PSYCHOANALYSIS

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ourselves to perform it more correctly; if we are corrected by others, we must immediately recognize the truth of the correction and the incorrectness of our psychic action.

(c) If we at all perceive a faulty action, we must not perceive in ourselves any motivation of the same, but must attempt to explain it through "inattention" or attribute it to an "accident."

Thus, there remain in this group the cases of forgetting, the errors, the lapses in speaking, reading, writing, the erroneously carried-out actions and the so-called chance actions.

PEL—ch. 12



PSYCHIC MOTIVE POWER—The transformation of psychic motive power into the different forms of activity is perhaps as little convertible without loss, as in the case of physical forces.

LDV—ch. 1



PSYCHOANALYSIS [cf. also **ANALYSIS**]—Psychoanalysis is the name (1) of a procedure for the investigation of mental processes which are almost inaccessible in any other way, (2) of a method (based upon that investigation) for the treatment of neurotic disorders and (3) of a collection of psychological information obtained along those lines, which is gradually being accumulated into a new scientific discipline.

PA

Psychoanalysis is a dynamic conception, which reduces mental life to the interplay of reciprocally urging and checking forces.

PVD

The contribution of psychoanalysis to science consists precisely in having extended research to the region of the mind.

NILP—ch. 7

Psychoanalysis is not, in my opinion, in a position to create a *Weltanschauung* of its own. It has no need to do so, for it is a branch of science, and can subscribe to the scientific *Weltanschauung*.

NILP—ch. 7

Sixth Edition

Jess Feist Gregory J. Feist

Theories of Personality



Sixth Edition

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2 3 4 5 6 7 8 9 0 DOC/DOC 0 9 8 7 6

ISBN-13: 978-0-07-296980-1

ISBN-10: 0-07-296980-6

Publisher: *Stephen Rutter*

Executive editor: *Mike Sugarman*

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Permissions editor: *Marty Graffano*

Cover design: *Srdjan Samardic*

Cover image: © Corbis

Typeset: *10/12 Times New Roman*

Compositor: *ElectraGraphics, Inc.*

Printer: *R. R. Donnelley and Sons Inc.*

Library of Congress Cataloging-in-Publication Data

Feist, Jess.

Theories of personality / Jess Feist, Gregory J. Feist.—6th ed.

p. cm.

Includes bibliographical references and index.

ISBN 0-07-296980-6 (alk. paper)

I. Personality—Textbooks. I. Feist, Gregory J. II. Title.

BF698 .F365 2006

155.2—dc22

2004058760

www.mhhe.com

timate friend and a hated enemy. I have always been able to provide myself afresh with both" (Freud, 1900/1953, p. 483). Until he was well past 50, all these relationships were with men. Interestingly, Freud, the man who seemed to be constantly thinking of sex, had a very infrequent sex life himself. After Anna, his youngest child was born in 1895, Freud, not yet 40 years old, had no sexual intercourse for several years. Much of his sparse sexual life stemmed from his belief that use of a condom, coitus interruptus, as well as masturbation were unhealthy sexual practices. Because Freud wanted no more children after Anna was born, sexual abstinence was his only alternative (Berger, 2000; Freud, 1985).

In addition to balancing his emotional life between an intimate friend and a hated enemy, Freud possessed an outstanding talent as a writer, a gift that helped him become a leading contributor to 20th century thought. He was a master of the German tongue and knew several other languages. Although he never won the coveted Nobel prize for science, he was awarded the Goethe prize for literature in 1930.

Freud also possessed intense intellectual curiosity; unusual moral courage (demonstrated by his daily self-analysis); extremely ambivalent feelings toward his father and other father figures; a tendency to hold grudges disproportionate to the alleged offense; a burning ambition, especially during his earlier years; strong feelings of isolation even while surrounded by many followers; and an intense and somewhat irrational dislike of America and Americans, an attitude that became more intense after his trip to the United States in 1909.

Why did Freud have such a disdain for Americans? Perhaps the most important reason is that he rightly believed Americans would trivialize psychoanalysis by trying to make it popular. In addition, he had several experiences during his trip to the United States that were foreign to a proper bourgeois Viennese gentleman. Even before he embarked on the *George Washington*, he saw his name misspelled as "Freund" on the passenger list (Ferris, 1997). A number of other events—some of which seem almost humorous—made Freud's visit more unpleasant than it might have been. First, Freud experienced chronic indigestion and diarrhea throughout his visit, probably because the drinking water did not agree with him. In addition, he found it both peculiar and problematic that American cities did not provide public restrooms on street corners, and with his chronic indigestion he was frequently in search of a public lavatory. Also, several Americans addressed him as Doc or Sigmund while challenging him to defend his theories, and one person tried—unsuccessfully, of course—to prevent him from smoking a cigar in a nonsmoking area. Moreover, when Freud, Ferenczi, and Jung went to a private camp in western Massachusetts, they were greeted by a barrage of flags of Imperial Germany, despite the fact that none of them was German and each had reasons to dislike Germany. Also at camp, Freud, along with the others, sat on the ground while the host grilled steaks over charcoal, a custom Freud deemed to be both savage and uncouth (Roazen, 1993).

Levels of Mental Life

Freud's greatest contribution to personality theory is his exploration of the unconscious and his insistence that people are motivated primarily by drives of which they have little or no awareness. To Freud mental life is divided into two levels, the **unconscious** and the **conscious**. The unconscious, in turn, has two different levels, the

unconscious proper and the **preconscious**. In Freudian psychology the three levels of mental life are used to designate both a process and a location. The existence as a specific location, of course, is merely hypothetical and has no real existence within the body. Yet, Freud spoke of *the* unconscious as well as unconscious processes.

Unconscious

The unconscious contains all those drives, urges, or instincts that are beyond our awareness but that nevertheless motivate most of our words, feelings, and actions. Although we may be conscious of our overt behaviors, we often are not aware of the mental processes that lie behind them. For example, a man may know that he is attracted to a woman but may not fully understand all the reasons for the attraction, some of which may even seem irrational.

Because the unconscious is not available to the conscious mind, how can one know if it really exists? Freud felt that its existence could be proved only indirectly. To him the unconscious is the explanation for the meaning behind dreams, slips of the tongue, and certain kinds of forgetting, called *repression*. Dreams serve as a particularly rich source of unconscious material. For example, Freud believed that childhood experiences can appear in adult dreams even though the dreamer has no conscious recollection of these experiences.

Unconscious processes often enter into consciousness but only after being disguised or distorted enough to elude censorship. Freud (1917/1963) used the analogy of a guardian or censor blocking the passage between the unconscious and preconscious and preventing undesirable anxiety-producing memories from entering awareness. To enter the conscious level of the mind, these unconscious images first must be sufficiently disguised to slip past the *primary censor*; and then they must elude a *final censor* that watches the passageway between the preconscious and the conscious. By the time these memories enter our conscious mind, we no longer recognize them for what they are; instead, we see them as relatively pleasant, non-threatening experiences. In most cases, these images have strong sexual or aggressive motifs, because childhood sexual and aggressive behaviors are frequently punished or suppressed. Punishment and **suppression** often create feelings of anxiety, and the anxiety in turn stimulates **repression**, that is, the forcing of unwanted, anxiety-ridden experiences into the unconscious as a defense against the pain of that anxiety.

Not all unconscious processes, however, spring from repression of childhood events. Freud believed that a portion of our unconscious originates from the experiences of our early ancestors that have been passed on to us through hundreds of generations of repetition. He called these inherited unconscious images our **phylogenetic endowment** (Freud, 1917/1963, 1933/1964). Freud's notion of phylogenetic endowment is quite similar to Carl Jung's idea of a collective unconscious (see Chapter 4). However, one important difference exists between the two concepts. Whereas Jung placed primary emphasis on the collective unconscious, Freud relied on the notion of inherited dispositions only as a last resort. That is, when explanations built on individual experiences were not adequate, Freud would turn to the idea of collectively inherited experiences to fill in the gaps left by individual experiences. Later we will see that Freud used the concept of phylogenetic endowment to explain several important concepts, such as the Oedipus complex and castration anxiety.

Unconscious drives may appear in consciousness, but only after undergoing certain transformations. A person may express either erotic or hostile urges, for example, by teasing or joking with another person. The original drive (sex or aggression) is thus disguised and hidden from the conscious minds of both persons. The unconscious of the first person, however, has directly influenced the unconscious of the second. Both people gain some satisfaction of either sexual or aggressive urges, but neither is conscious of the underlying motive behind the teasing or joking. Thus the unconscious mind of one person can communicate with the unconscious of another without either person being aware of the process.

Unconscious, of course, does not mean inactive or dormant. Forces in the unconscious constantly strive to become conscious, and many of them succeed, although they may no longer appear in their original form. Unconscious ideas can and do motivate people. For example, a son's hostility toward his father may masquerade itself in the form of ostentatious affection. In an undisguised form, the hostility would create too much anxiety for the son. His unconscious mind, therefore, motivates him to express hostility indirectly through an exaggerated show of love and flattery. Because the disguise must successfully deceive the person, it often takes an opposite form from the original feelings, but it is almost always overblown and ostentatious. (This mechanism, called a *reaction formation*, is discussed later in the section titled Defense Mechanisms.)

Preconscious

The preconscious level of the mind contains all those elements that are not conscious but can become conscious either quite readily or with some difficulty (Freud, 1933/1964).

The contents of the preconscious come from two sources, the first of which is conscious perception. What a person perceives is conscious for only a transitory period; it quickly passes into the preconscious when the focus of attention shifts to another idea. These ideas that alternate easily between being conscious and preconscious are largely free from anxiety and in reality are much more similar to the conscious images than to unconscious urges.

The second source of preconscious images is the unconscious. Freud believed that ideas can slip past the vigilant censor and enter into the preconscious in a disguised form. Some of these images never become conscious because if we recognized them as derivatives of the unconscious, we would experience increased levels of anxiety, which would activate the final censor to repress these anxiety-loaded images, forcing them back into the unconscious. Other images from the unconscious do gain admission to consciousness, but only because their true nature is cleverly disguised through the dream process, a slip of the tongue, or an elaborate defensive measure.

Conscious

Consciousness, which plays a relatively minor role in psychoanalytic theory, can be defined as those mental elements in awareness at any given point in time. It is the only level of mental life directly available to us. Ideas can reach consciousness from two different directions. The first is from the **perceptual conscious** system, which is

turned toward the outer world and acts as a medium for the perception of external stimuli. In other words, what we perceive through our sense organs, if not too threatening, enters into consciousness (Freud, 1933/1964).

The second source of conscious elements is from within the mental structure and includes nonthreatening ideas from the preconscious as well as menacing but well-disguised images from the unconscious. As we have seen, these latter images escaped into the preconscious by cloaking themselves as harmless elements and evading the primary censor. Once in the preconscious, they avoid a final censor and come under the eye of consciousness. By the time they reach the conscious system, these images are greatly distorted and camouflaged, often taking the form of defensive behaviors or dream elements.

In summary, Freud (1917/1963, pp. 295–296) compared the unconscious to a large entrance hall in which many diverse, energetic, and disreputable people are milling about, crowding one another, and striving incessantly to escape to a smaller adjoining reception room. However, a watchful guard protects the threshold between

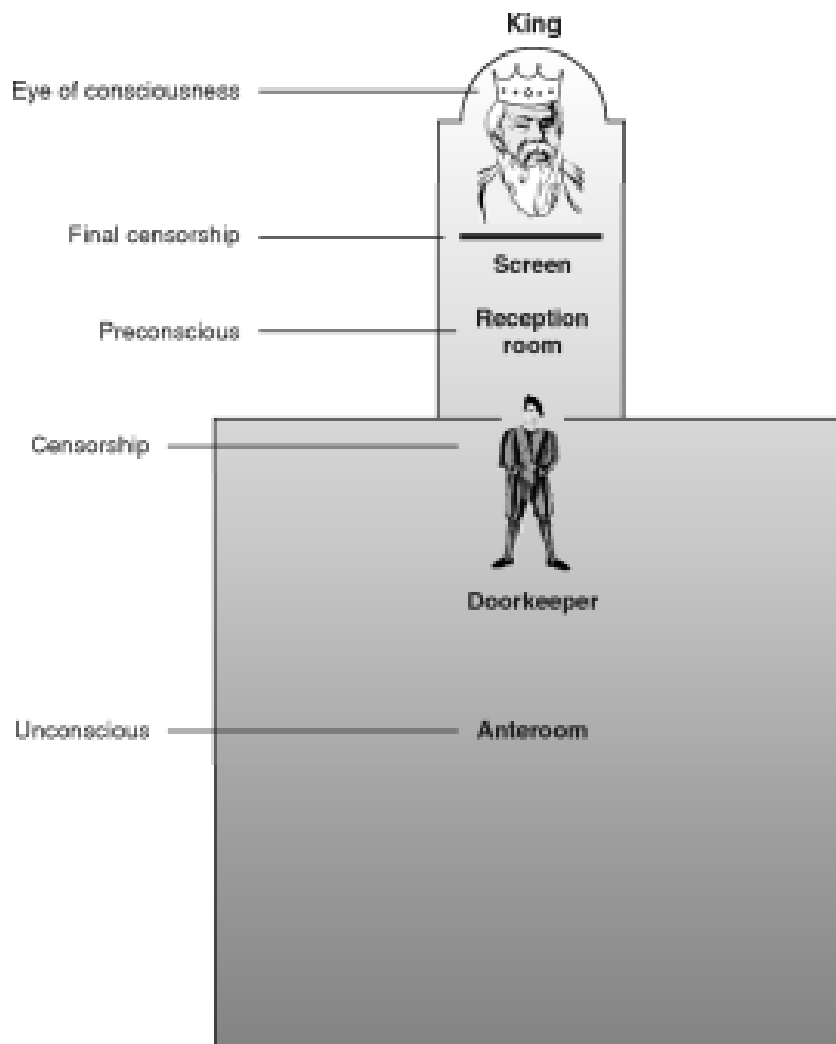


FIGURE 2.1 *Levels of Mental Life.*

the large entrance hall and the small reception room. This guard has two methods of preventing undesirables from escaping from the entrance hall—either turn them back at the door or throw out those people who earlier had clandestinely slipped into the reception room. The effect in either case is the same; the menacing, disorderly people are prevented from coming into view of an important guest who is seated at the far end of the reception room behind a screen. The meaning of the analogy is obvious. The people in the entrance hall represent unconscious images. The small reception room is the preconscious and its inhabitants represent preconscious ideas. People in the reception room (preconscious) may or may not come into view of the important guest who, of course, represents the eye of consciousness. The doorkeeper who guards the threshold between the two rooms is the primary censor that prevents unconscious images from becoming preconscious and renders preconscious images unconscious by throwing them back. The screen that guards the important guest is the final censor, and it prevents many, but not all, preconscious elements from reaching consciousness. The analogy is presented graphically in Figure 2.1.

Provinces of the Mind

For nearly 2 decades, Freud's only model of the mind was the topographic one we have just outlined, and his only portrayal of psychic strife was the conflict between conscious and unconscious forces. Then, during the 1920s, Freud (1923/1961a) introduced a three-part structural model. This division of the mind into three provinces did not supplant the topographic model, but it helped Freud explain mental images according to their functions or purposes.

To Freud, the most primitive part of the mind was *das Es*, or the "it," which is almost always translated into English as **id**; a second division was *das Ich*, or the "I," translated as **ego**; and a final province was *das Uber-Ich*, or the "over-I," which is rendered into English as **superego**. These provinces or regions have no territorial existence, of course, but are merely hypothetical constructs. They interact with the three levels of mental life so that the ego cuts across the various topographic levels and has conscious, preconscious, and unconscious components, whereas the super-ego is both preconscious and unconscious and the id is completely unconscious. Figure 2.2 shows the relationship between the provinces of the mind and the levels of mental life.

The Id

At the core of personality and completely unconscious is the psychical region called the **id**, a term derived from the impersonal pronoun meaning "the it," or the not-yet-owned component of personality. The id has no contact with reality, yet it strives constantly to reduce tension by satisfying basic desires. Because its sole function is to seek pleasure, we say that the id serves the **pleasure principle**.

A newborn infant is the personification of an id unencumbered by restrictions of ego and superego. The infant seeks gratification of needs without regard for what is possible (that is, demands of the ego) or what is proper (that is, restraints of the superego). Instead, it sucks when the nipple is either present or absent and gains pleasure in either situation. Although the infant receives life-sustaining food only by

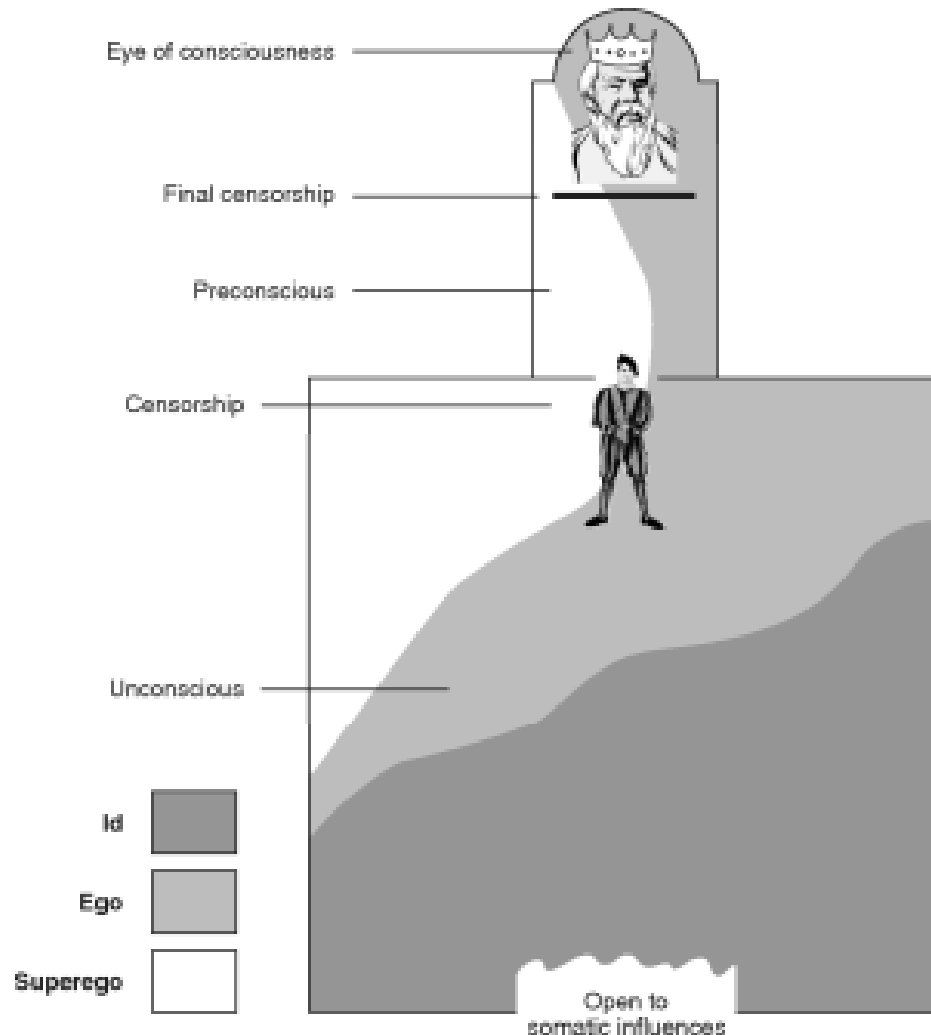


FIGURE 2.2 *Levels of Mental Life and Provinces of the Mind.*

sucking a nurturing nipple, it continues to suck because its id is not in contact with reality. The infant fails to realize that thumb-sucking behavior cannot sustain life. Because the id has no direct contact with reality, it is not altered by the passage of time or by the experiences of the person. Childhood wish impulses remain unchanged in the id for decades (Freud, 1933/1964).

Besides being unrealistic and pleasure seeking, the id is illogical and can simultaneously entertain incompatible ideas. For example, a woman may show conscious love for her mother while unconsciously wishing to destroy her. These opposing desires are possible because the id has no morality; that is, it cannot make value judgments or distinguish between good and evil. However, the id is not immoral, merely amoral. All of the id's energy is spent for one purpose—to seek pleasure without regard for what is proper or just (Freud, 1923/1961a, 1933/1964).

In review, the id is primitive, chaotic, inaccessible to consciousness, unchangeable, amoral, illogical, unorganized, and filled with energy received from basic drives and discharged for the satisfaction of the pleasure principle.

As the region that houses basic drives (primary motivates), the id operates through the **primary process**. Because it blindly seeks to satisfy the pleasure principle, its survival is dependent on the development of a **secondary process** to bring it into contact with the external world. This secondary process functions through the ego.

The Ego

The ego, or I, is the only region of the mind in contact with reality. It grows out of the id during infancy and becomes a person's sole source of communication with the external world. It is governed by the **reality principle**, which it tries to substitute for the pleasure principle of the id. As the sole region of the mind in contact with the external world, the ego becomes the decision-making or executive branch of personality. However, because it is partly conscious, partly preconscious, and partly unconscious, the ego can make decisions on each of these three levels. For instance, a woman's ego may *consciously* motivate her to choose excessively neat, well-tailored clothes because she feels comfortable when well dressed. At the same time, she may be only dimly (i.e., *preconsciously*) aware of previous experiences of being rewarded for choosing nice clothes. In addition, she may be *unconsciously* motivated to be excessively neat and orderly due to early childhood experiences of toilet training. Thus, her decision to wear neat clothes can take place in all three levels of mental life.

When performing its cognitive and intellectual functions, the ego must take into consideration the incompatible but equally unrealistic demands of the id and the superego. In addition to these two tyrants, the ego must serve a third master—the external world. Thus, the ego constantly tries to reconcile the blind, irrational claims of the id and the superego with the realistic demands of the external world. Finding itself surrounded on three sides by divergent and hostile forces, the ego reacts in a predictable manner—it becomes anxious. It then uses repression and other *defense mechanisms* to defend itself against this anxiety (Freud, 1926/1959a).

According to Freud (1933/1964), the ego becomes differentiated from the id when infants learn to distinguish themselves from the outer world. While the id remains unchanged, the ego continues to develop strategies for handling the id's unrealistic and unrelenting demands for pleasure. At times the ego can control the powerful, pleasure-seeking id, but at other times it loses control. In comparing the ego to the id, Freud used the analogy of a person on horseback. The rider checks and inhibits the greater strength of the horse but is ultimately at the mercy of the animal. Similarly, the ego must check and inhibit id impulses, but it is more or less constantly at the mercy of the stronger but more poorly organized id. The ego has no strength of its own but borrows energy from the id. In spite of this dependence on the id, the ego sometimes comes close to gaining complete control, for instance, during the prime of life of a psychologically mature person.

As children begin to experience parental rewards and punishments, they learn what to do in order to gain pleasure and avoid pain. At this young age, pleasure and pain are ego functions because children have not yet developed a conscience and ego-ideal: that is, a superego. As children reach the age of 5 or 6 years, they identify with their parents and begin to learn what they should and should not do. This is the origin of the superego.

The Superego

In Freudian psychology, the superego, or above-I, represents the moral and ideal aspects of personality and is guided by the **moralistic and idealistic principles** as opposed to the pleasure principle of the id and the realistic principle of the ego. The superego grows out of the ego, and like the ego, it has no energy of its own. However, the superego differs from the ego in one important respect—it has no contact with the outside world and therefore is unrealistic in its demands for perfection (Freud, 1923/1961a).

The superego has two subsystems, the **conscience** and the **ego-ideal**. Freud did not clearly distinguish between these two functions, but, in general, the conscience results from experiences with punishments for improper behavior and tells us what we *should not do*, whereas the ego-ideal develops from experiences with rewards for proper behavior and tells us what we *should do*. A primitive conscience comes into existence when a child conforms to parental standards out of fear of loss of love or approval. Later, during the Oedipal phase of development, these ideals are internalized through identification with the mother and father. (We discuss the Oedipus complex in a later section titled Stages of Development.)

A well-developed superego acts to control sexual and aggressive impulses through the process of *repression*. It cannot produce repressions by itself, but it can order the ego to do so. The superego watches closely over the ego, judging its actions and intentions. Guilt is the result when the ego acts—or even intends to act—contrary to the moral standards of the superego. Feelings of inferiority arise when the ego is unable to meet the superego's standards of perfection. Guilt, then, is a function of the conscience, whereas inferiority feelings stem from the ego-ideal (Freud, 1933/1964).

The superego is not concerned with the happiness of the ego. It strives blindly and unrealistically toward perfection. It is unrealistic in the sense that it does not take

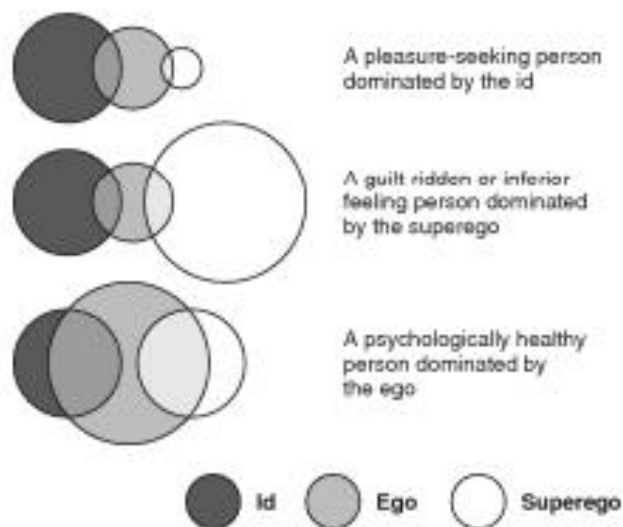


FIGURE 2.3 *The Relationship among Id, Ego, and Superego in Three Hypothetical Persons.*

perverted when the sexual aim of erotic pleasure becomes secondary to the destructive aim (Freud, 1933/1964).

Masochism, like sadism, is a common need, but it becomes a perversion when Eros becomes subservient to the destructive drive. Masochists experience sexual pleasure from suffering pain and humiliation inflicted either by themselves or by others. Because masochists can provide self-inflicted pain, they do not depend on another person for the satisfaction of masochistic needs. In contrast, sadists must seek and find another person on whom to inflict pain or humiliation. In this respect, they are more dependent than masochists on other people.

Aggression

Partially as a result of his unhappy experiences during World War I and partially as a consequence of the death of his beloved daughter Sophie, Freud (1920/1955a) wrote *Beyond the Pleasure Principle*, a book that elevated aggression to the level of the sexual drive. As he did with many of his other concepts, Freud set forth his ideas tentatively and with some caution. With time, however, aggression, like several other tentatively proposed concepts, became dogma.

The aim of the destructive drive, according to Freud, is to return the organism to an inorganic state. Because the ultimate inorganic condition is death, the final aim of the aggressive drive is self-destruction. As with the sexual drive, aggression is flexible and can take a number of forms, such as teasing, gossip, sarcasm, humiliation, humor, and the enjoyment of other people's suffering. The aggressive tendency is present in everyone and is the explanation for wars, atrocities, and religious persecution.

The aggressive drive also explains the need for the barriers that people have erected to check aggression. For example, commandments such as "Love thy neighbor as thyself" are necessary, Freud believed, to inhibit the strong, though usually unconscious, drive to inflict injury on others. These precepts are actually *reaction formations*. They involve the repression of strong hostile impulses and the overt and obvious expression of the opposite tendency.

Throughout our lifetime, life and death impulses constantly struggle against one another for ascendancy, but at the same time, both must bow to the reality principle, which represents the claims of the outer world. These demands of the real world prevent a direct, covert, and unopposed fulfillment of either sex or aggression. They frequently create anxiety, which relegates many sexual and aggressive desires to the realm of the unconscious.

Anxiety

Sex and aggression share the center of Freudian dynamic theory with the concept of **anxiety**. In defining anxiety, Freud (1933/1964) emphasized that it is a felt, affective, unpleasant state accompanied by a physical sensation that warns the person against impending danger. The unpleasantness is often vague and hard to pinpoint, but the anxiety itself is always felt.

Only the ego can produce or feel anxiety, but the id, superego, and external world each are involved in one of three kinds of anxiety—neurotic, moral, and realistic. The ego's dependence on the id results in neurotic anxiety; its dependence on

the superego produces moral anxiety; and its dependence on the outer world leads to realistic anxiety.

Neurotic anxiety is defined as apprehension about an unknown danger. The feeling itself exists in the ego, but it originates from id impulses. People may experience neurotic anxiety in the presence of a teacher, employer, or some other authority figure because they previously experienced unconscious feelings of destruction against one or both parents. During childhood, these feelings of hostility are often accompanied by fear of punishment, and this fear becomes generalized into unconscious neurotic anxiety.

A second type of anxiety, **moral anxiety**, stems from the conflict between the ego and the superego. After children establish a superego—usually by the age of 5 or 6—they may experience anxiety as an outgrowth of the conflict between realistic needs and the dictates of their superego. Moral anxiety, for example, would result from sexual temptations if a child believes that yielding to the temptation would be morally wrong. It may also result from the failure to behave consistently with what they regard as morally right, for example, failing to care for aging parents.

A third category of anxiety, **realistic anxiety**, is closely related to fear. It is defined as an unpleasant, nonspecific feeling involving a possible danger. For example, we may experience realistic anxiety while driving in heavy, fast-moving traffic in an unfamiliar city, a situation fraught with real, objective danger. However, realistic anxiety is different from fear in that it does not involve a specific fearful object. We would experience fear, for example, if our motor vehicle suddenly began sliding out of control on an icy highway.

These three types of anxiety are seldom clear-cut or easily separated. They often exist in combination, as when fear of water, a real danger, becomes disproportionate to the situation and hence precipitates neurotic anxiety as well as realistic anxiety. This situation indicates that an unknown danger is connected with the external one.

Anxiety serves as an ego-preserving mechanism because it signals us that some danger is at hand (Freud, 1933/1964). For example, an anxiety dream signals our censor of an impending danger, which allows us to better disguise the dream images. Anxiety allows the constantly vigilant ego to be alert for signs of threat and danger. The signal of impending danger stimulates us to mobilize for either flight or defense.

Anxiety is also self-regulating because it precipitates repression, which in turn reduces the pain of anxiety (Freud, 1933/1964). If the ego had no recourse to defensive behavior, the anxiety would become intolerable. Defensive behaviors, therefore, serve a useful function by protecting the ego against the pain of anxiety.

Defense Mechanisms

Freud first elaborated on the idea of **defense mechanisms** in 1926 (Freud, 1926/1959a), and his daughter Anna further refined and organized the concept (A. Freud, 1946). Although defense mechanisms are normal and universally used, when carried to an extreme they lead to compulsive, repetitive, and neurotic behavior. Because we must expend psychic energy to establish and maintain defense mechanisms, the more defensive we are, the less psychic energy we have left to satisfy id

PSYCHOLOGY

The book cover features a close-up photograph of a woman's face. Her dark hair is pulled back, and her eyes are looking slightly to the right. A rectangular, ornate gold frame is superimposed over the right side of her face, containing a more detailed and brightly lit close-up of her eyes and a slight smile. The background is a plain, light color.

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Library of Congress Cataloging-in-Publication Data
Psychology : from inquiry to understanding / Scott O. Lilienfeld . . . [et al.]. —
2nd ed.
p. cm.
ISBN-10: 0-205-83206-7
ISBN-13: 978-0-205-83206-4
1. Psychology. I. Lilienfeld, Scott O.
BF121.P7625 2011
150—dc22

2010024862

10 9 8 7 6 5 4 3 2 1

Student Edition:
Case: ISBN 10: 0-205-83206-7
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ISBN 13: 978-0-205-00160-6

Exam Edition:
ISBN 10: 0-205-00167-X
ISBN 13: 978-0-205-00167-5

A La Carte Edition:
ISBN 10: 0-205-00175-0
ISBN 13: 978-0-205-00175-0

Allyn & Bacon
is an imprint of



www.pearsonhighered.com

whether they be riding a bicycle, eating a sandwich, or becoming depressed. All of these behaviors, they proposed, are products of a handful of basic learning principles (see Chapter 6). Moreover, according to Watson and Skinner, we don't need to peer "inside" the organism to grasp these principles. We can comprehend human behavior exclusively by looking *outside* the organism, to rewards and punishments delivered by the environment. For traditional behaviorists, the human mind is a black box: We know what goes into it and what comes out of it, but we needn't worry about what happens between the inputs and the outputs. For this reason, psychologists sometimes call behaviorism *black box psychology*.

Behaviorism has left a stamp on scientific psychology that continues to be felt today. By identifying the fundamental laws of learning that help to explain human and animal behavior, behaviorists placed psychology on firmer scientific footing. Although early behaviorists' deep mistrust of subjective observations of conscious experience probably went too far, these psychologists properly warned us of the hazards of relying too heavily on reports that we can't verify objectively.

COGNITIVISM: OPENING THE BLACK BOX. Beginning in the 1950s and 1960s, growing numbers of psychologists grew disillusioned with behaviorists' neglect of *cognition*, the term psychologists use to describe the mental processes involved in different aspects of thinking. Although some behaviorists acknowledged that humans and even many intelligent animals do think, they viewed thinking as merely another form of behavior. Proponents of **cognitive psychology**, in contrast, argued that our thinking affects our behavior in powerful ways. For example, Swiss psychologist Jean Piaget (1896–1980) argued compellingly that children conceptualize the world in markedly different ways than do adults (see Chapter 10). Later, led by Ulric Neisser (1928–), cognitivists argued that thinking is so central to psychology that it merits a separate discipline in its own right (Neisser, 1967; see Chapter 8).

According to cognitivists, a psychology based solely on rewards and punishments will never be adequate because our *interpretation* of rewards and punishments is a crucial determinant of our behavior. Take a student who receives a B+ on his first psychology exam. A student accustomed to getting Fs on his tests might regard this grade as a reward, whereas a student accustomed to As might view it as a punishment. Without understanding how people evaluate information, cognitivists maintain, we'll never fully grasp the causes of their behavior. Moreover, according to cognitivists, we often learn not merely by rewards and punishments but by *insight*, that is, by grasping the underlying nature of problems (see Chapter 8).

Cognitive psychology is a thriving approach today, and its tentacles have spread to such diverse domains as language, problem solving, concept formation, intelligence, memory, and even psychotherapy. By focusing not merely on rewards and punishments but on organisms' interpretation of them, cognitivism has encouraged psychologists to peek inside the black box to examine the connections between inputs and outputs. Moreover, cognitivism has increasingly established strong linkages to the study of brain functioning, allowing psychologists to better understand the physiological bases of thinking, memory, and other mental functions (Ilardi & Feldman, 2001). A burgeoning field, **cognitive neuroscience**, which examines the relation between brain functioning and thinking, has come to the fore over the past decade or so (Gazzaniga, Ivry, & Mangun, 2002). Cognitive neuroscience and the allied field of affective neuroscience (Panksepp, 2004), which examines the relation between brain functioning and emotion, hold out the promise of allowing us to better understand the biological processes associated with thinking and feeling.

PSYCHOANALYSIS: THE DEPTHS OF THE UNCONSCIOUS. Around the time that behaviorism was becoming dominant in the United States, a parallel movement was gathering momentum in Europe. This field, psychoanalysis, was founded by Viennese neurologist Sigmund Freud (1856–1939). In sharp contrast to behaviorism, **psychoanalysis** focused on internal psychological processes, especially impulses, thoughts, and memories of which we're unaware. According to Freud (1900) and other psychoanalysts, the primary influences on behavior aren't forces outside the organism, like rewards and punishments, but rather unconscious drives, especially sexuality and aggression.



John B. Watson, one of the founders of behaviorism. Watson's stubborn insistence on scientific rigor made him a hero to some and an enemy to others.



Two students may react to the same grade on a test—say a B+—in markedly different ways. One may be pleased, the other disappointed. Cognitive psychologists would say that these differing reactions stem from the students' differing interpretations of what these grades mean to them.

cognitive psychology

school of psychology that proposes that thinking is central to understanding behavior

cognitive neuroscience

relatively new field of psychology that examines the relation between brain functioning and thinking

psychoanalysis

school of psychology, founded by Sigmund Freud, that focuses on internal psychological processes of which we're unaware



Most dream dictionaries available in bookstores imply that there are universal meanings for dream symbols. Even most psychoanalysts reject this claim.

threatening, it “commands” the ego to plaster over these wishes with symbols. We sometimes draw these symbols from our distant past, but in other cases we draw them from what Freud called the “day residue,” the accumulation of events we experienced on the day of the dream. So rather than having an explicit dream about a romantic encounter with a classmate, a male might dream of driving a car through a tunnel, a favorite Freudian symbolic representation of sex.

But beware: Popular psychology books notwithstanding, most Freudians don’t regard dream symbols as universal. If we peruse the section of our local bookstores devoted to dreams, we’ll find several dictionaries of dream symbols. One such dictionary (Schoenewolf, 1997) offers the following rules for interpreting dream symbols: a duck, icicle, spear, umbrella, or tie symbolizes the penis; a pocket, tunnel, jug, or gate symbolizes the vagina; and a kangaroo symbolizes sexual vitality (please don’t ask us to explain this one). These and other dream dictionaries (Ackroyd, 1993) vastly oversimplify Freudian theory, because Freudians believe that different symbols can mean different things to different dreamers.

ANXIETY AND THE DEFENSE MECHANISMS A principal function of the ego, according to Freud, is to contend with threats from the outside world. When danger arises, the ego experiences anxiety, signaling it to undertake corrective actions. Sometimes these actions are straightforward, like jumping out of the way of an oncoming car. In other cases, though, we can’t do much to correct the situation, so we must change our *perception* of it.

In these cases, the ego engages in **defense mechanisms**: unconscious maneuvers intended to minimize anxiety. The concept of defense mechanisms has crept into our everyday language (“Stop being so defensive”). Contrary to popular belief, Freud held that defense mechanisms are essential for psychological health. Indeed, the person lacking any defense mechanisms would be at the mercy of uncontrollable anxiety. Nonetheless, an excessive reliance on one or two defense mechanisms, Freud insisted, is pathological. Freud and his daughter, Anna, who became a prominent psychoanalyst in her own right, outlined the principal defense mechanisms (A. Freud, 1937). We’ll present a brief tour of them here (see **TABLE 14.4**). [Explore](#)

[Explore](#) Defense Mechanisms on myspsychlab.com

defense mechanisms
unconscious maneuvers intended to minimize anxiety

repression
motivated forgetting of emotionally threatening memories or impulses

occam's razor

DOES A SIMPLER EXPLANATION
FIT THE DATA JUST AS WELL?

denial
motivated forgetting of distressing external experiences

regression
the act of returning psychologically to a younger, and typically simpler and safer, age

- **Repression**, the most critical defense mechanism in psychoanalytic theory, is the *motivated forgetting* of emotionally threatening memories or impulses. Unlike the types of forgetting we discussed in Chapter 7, repression is presumably triggered by anxiety: We forget because we want to forget. According to Freud, we repress unhappy memories of early childhood to avoid the pain they produce. This repression leads us to experience *infantile amnesia* (see Chapter 7), the inability to remember anything prior to about age three (Fivush & Hudson, 1990). Early childhood, Freud contended, is too anxiety provoking for us to remember fully. We now know this explanation is unlikely, because investigators have identified infantile amnesia in other animals, including mice and rats (Berk, Vigorito, & Miller, 1979; Richardson, Riccio, & Axiotis, 1986). A committed Freudian could presumably argue that mice and other rodents also repress traumatic memories of early childhood (perhaps memories of seeing too many cats?), but Occam’s razor renders this explanation implausible.
- In contrast to repression, which is the motivated forgetting of distressing internal experiences, **denial** is the motivated forgetting of distressing *external* experiences. We most often observe denial in people with psychotic disorders, such as schizophrenia (see Chapter 15), although individuals undergoing extreme stress occasionally engage in denial, too. It’s not uncommon, for example, for the relatives of individuals who have recently died in a tragic accident to insist that their loved ones must somehow, somewhere, be alive.
- **Regression** is the act of returning psychologically to a younger age, typically early childhood, when life was simpler and safer. Older children who’ve long since stopped sucking their thumbs sometimes suddenly resume thumb sucking under stress.

TABLE 14.4 Major Freudian Defense Mechanisms and an Example of Each.

DEFENSE MECHANISM	DEFINITION	EXAMPLE
Repression	Motivated forgetting of emotionally threatening memories or impulses	A person who witnesses a traumatic combat scene finds himself unable to remember it.
Denial	Motivated forgetting of distressing experiences	A mother who loses a child in a car accident insists her child is alive.
Regression	Returning psychologically to a younger and safer time	A college student starts sucking his thumb during a difficult exam.
Reaction-formation	Transforming an anxiety-producing experience into its opposite	A married woman who's sexually attracted to a coworker experiences hatred and revulsion toward him.
Projection	Unconscious attribution of our negative qualities onto others	A married man with powerful unconscious sexual impulses toward females complains that other women are always "after him."
Displacement	Directing an impulse from a socially unacceptable target onto a more acceptable one	A golfer angrily throws his club into the woods after he misses an easy putt.
Rationalization	Providing reasonable-sounding explanations for unreasonable behaviors or failures	A political candidate who loses an election convinces herself that she didn't really want the position after all.
Intellectualization	Avoiding the emotions associated with anxiety-provoking experiences by focusing on abstract and impersonal thoughts	A woman whose husband cheats on her reassures herself that "according to evolutionary psychologists, men are naturally sexually promiscuous, so there's nothing to worry about."
Identification with the aggressor	Adopting the psychological characteristics of people we find threatening	A college basketball player who initially fears his tyrannical coach comes to admire him and adopts his dictatorial qualities.
Sublimation	Transforming a socially unacceptable impulse into an admired and socially valued goal	A boy who enjoys beating up on other children grows up to become a successful professional boxer.

- **Reaction-formation** is the transformation of an anxiety-provoking emotion into its opposite. The observable emotion we see actually reflects the opposite emotion the person feels unconsciously. Freud contended that we can infer the presence of reaction-formation by the intensity with which the person expresses the emotion, as this emotion displays an exaggerated or "phony" quality.

In a remarkable study, Henry Adams and his colleagues found that males with high levels of *homophobia*—a dislike (not technically a fear, as the word implies) of homosexuals—showed significantly *greater* increases in penile circumference than males with low levels of homophobia in response to sexually explicit videotapes of homosexual stimuli, such as men engaging in sex with other men (Adams, Wright, & Lohr, 1996). This finding is tantalizingly consistent with the Freudian concept of reaction-formation; some homophobics may harbor unconscious homosexual impulses that they find unacceptable and transform them into a conscious dislike of homosexuals. Still, there's an alternative explanation: Anxiety can increase sexual arousal and perhaps trigger penile erections (Barlow, Sakheim, & Beck, 1983). So future investigators will need to rule out this rival hypothesis.

- **Projection** is the unconscious attribution of our negative characteristics to others. According to psychoanalysts, people with paranoia are projecting their unconscious hostility onto others. Deep down they want to harm others, but because they can't accept these impulses they perceive others as wanting to harm them.

reaction-formation
transformation of an anxiety-provoking emotion into its opposite

projection
unconscious attribution of our negative characteristics to others

← **ruling out rival hypotheses**

HAVE IMPORTANT ALTERNATIVE EXPLANATIONS FOR THE FINDINGS BEEN EXCLUDED?



? In this photograph from a 2008 game, frustrated player Prince Fielder throws his bat to the ground after popping out. Freudians would say that Fielder is engaging in which defense mechanism? (See answer upside down at bottom of page.)



FIGURE 14.3 “Sour Grapes.” According to psychoanalysts, rationalization often involves a psychological minimization of previously desired outcomes. This etching from Aesop’s fables illustrates one example of rationalization, namely, the famous “sour grapes” phenomenon: The fox, who can’t reach the previously desired grapes, tells himself, “These grapes are much too green and sour. Even if I could reach them, I would not eat them.”

Artist: Displacement

- Closely related to projection is **displacement**, in which we direct an impulse from a socially unacceptable target onto a safer and more socially acceptable target. After a frustrating day at work, we may pound our fist against the punching bag at the gym rather than into the faces of our annoying coworkers.
- **Rationalization** provides a reasonable-sounding explanation for our unreasonable behaviors or for failures. Some people who receive *posthypnotic suggestions* (see Chapter 5) to perform bizarre actions engage in rationalizations to explain these actions. A subject given a posthypnotic suggestion to bark like a dog after emerging from hypnosis may do so. When the hypnotist asks him why he barked, he may rationalize his behavior: “Hmmm ... I was just thinking about how much I missed my dog, so I felt like barking” (see **FIGURE 14.3**). A related defense mechanism, *intellectualization*, allows us to avoid anxiety by thinking about abstract and interpersonal thoughts (refer back to Table 14.4).
- **Identification with the aggressor** is the process of adopting the characteristics of individuals we find threatening: “If you can’t beat ‘em, join ‘em.” Anna Freud (1937) observed identification with the aggressor in concentration camp survivors, some of whom seemed to assume their guards’ personality characteristics. Identification with the aggressor may underlie some cases of *Stockholm syndrome*—named after a 1973 hostage crisis in Stockholm, Sweden, in which some hostages developed emotional attachments toward their captors (Kuleshnyk, 1984). Nevertheless, journalists and pop psychologists have often used this term loosely to refer to any friendships that hostages forge with their captors (McKenzie, 2004), which may have little or nothing to do with identification with the aggressor.
- **Sublimation** transforms a socially unacceptable impulse into an admired goal. George Vaillant’s (1977) book, *Adaptation to Life*, which is a 40-year longitudinal study of Harvard University graduates, features several striking examples of sublimation. Among them is the story of a man who set fires in childhood and went on to become chief of his local fire department.

■ Stages of Psychosexual Development

No aspect of Freud’s theory is more controversial than his model of psychosexual development. Nor has any aspect of his theory been more widely criticized as pseudoscientific (Cioffi, 1998). According to Freud, personality development proceeds through a series of stages. He termed these stages *psychosexual* because each focuses on an **erogenous zone**, or sexually arousing zone of the body. Although we’re accustomed to thinking of our genitals as our primary sexual organs, Freud believed that other bodily areas are sources of sexual gratification in early development. Contrary to prevailing wisdom at the time, Freud insisted that sexuality begins in infancy. He maintained that the extent to which we resolve each stage successfully bears crucial implications for later personality development (see **TABLE 14.5**). He believed that individuals can become *fixated*, or “stuck,” in an early stage of development. Fixations can occur because children were either deprived of sexual gratification

TABLE 14.5 Freud’s Stages of Psychosexual Development.

STAGE	APPROXIMATE AGE	PRIMARY SOURCE OF SEXUAL PLEASURE
Oral	Birth to 12–18 months	Sucking and drinking
Anal	18 months to 3 years	Alleviating tension by expelling feces
Phallic*	3 years to 6 years	Genitals (penis or clitoris)
Latency	6 years to 12 years	Dormant sexual stage
Genital	12 years and beyond	Renewed sexual impulses; emergence of mature romantic relationships

*Includes Oedipus and Electra complexes.

understanding

Psychoanalysis

Matthew Sharpe
and Joanne Faulkner

Das Unbewusste

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First published in 2008 by Acumen

Acumen Publishing Limited

Stocksfield Hall

Stocksfield

NE43 7TN

www.acumenpublishing.co.uk

ISBN: 978-1-84465-121-4 (hardcover)

ISBN: 978-1-84465-122-1 (paperback)

British Library Cataloguing-in-Publication Data

A catalogue record for this book is available from the British Library.

Typeset by Graphicraft Limited, Hong Kong.

Printed and bound by Cromwell Press, Trowbridge.

Let us give two examples of what Anna's reminiscences revealed to Breuer about the origins of her symptoms.

KEY POINT *Where did Anna O's symptoms originate?*

- *Anna's disturbed vision and squint:* when Breuer asked Anna to recollect when the problems with her vision had begun, she recounted an experience at her father's sickbed. Anna had been crying in grief, when her father asked the time. Anna tried to look at her watch. However, tears obscured her vision. Accordingly, she brought the watch very close to her eyes, squinting to see through her tears.
- *Anna's paralysis of the right side of her body:* when Breuer asked Anna to recall when her paralysis appeared, Anna recounted how one night, attending her father, she lapsed into a vivid dream. In this dream she envisaged a snake leaping at her father from out of the wall. Anna wished she could defend him. However, her right arm, draped over the back of her chair, was paralysed. And when Anna looked at this right arm, the fingers turned, terrifyingly, into snakes before her eyes, each bearing a tiny death's head.

Once again, Anna's act of recollecting when her symptoms first appeared had unexpected effects. What Breuer found "to our great surprise at first" (PMH: 7) was this: Anna's recollection of the incidents when her symptoms first emerged seemed to dissolve these symptoms. By June 1882, Breuer tells us, he was able to cure Anna of all her hysterical symptoms. Freud's 1909 recollection of these occurrences captures the wonder Breuer's unpredicted therapeutic success produced in him: "never before had anyone removed a hysterical symptom by such a method or had thus gained such a deep insight into its causation" (FL: 10).

Freud would spend his life pursuing the implications of Breuer's (and Anna O's) chance discovery. In his own clinical work, Freud would soon discard Breuer's method of hypnosis as "a temperamental and, one might say, a mystical ally" (FL: 26–7). Not only was Freud, by his own admission, not particularly good at hypnotizing patients. Because of the traumatic, emotionally charged content of what Anna O and others recollected under hypnosis, Freud came to hypothesize that hypnosis, by momentarily suspending the patients' resistances to recalling these painful memories, also prevented the doctor from confronting these resistances. Hence these resistances would return in

patients after a period of time, sometimes more strongly than before (e.g. FL: 29–30; see Chapter 8, under the section “The Ends of Psychoanalysis”).

Yet Breuer’s treatment of Anna O had opened the path to psychoanalysis that Freud was to travel down. It was Anna O’s case that introduced Freud to the remarkable possibility that hysterics – and, by implication, the sufferers of other neuroses – “suffer mainly from reminiscences” (PMH: 7). Moreover, Anna O’s case alerted Freud to the possibility on which all psychoanalytic theory would be based: namely, that there may be thoughts and processes in people’s minds which, despite being unknown to them, have a decisive say in their behaviour.

Psychoanalysis proper was born when Freud came to propose, after 1895, that Anna O’s “talking cure” should be undertaken without hypnotizing the patient. The doctor should do two “non-mystical” things. First, he should assure the patient that they know more about what has caused their symptoms than they might consciously think. Second, in what is known as “free association”, the patient should say the first things that come into their heads, no matter how fair or foul. In this manner, Freud advocated, a type of recollection can be engendered in the mentally ill that is lastingly curative.

Introducing metapsychology

Psychoanalysis is first and foremost this clinical practice of the talking cure. It is based on the idea that a person’s – the *analysand*’s – recollection of the original cause of their illness, in the presence of their doctor – the *analyst* – is somehow therapeutic. Given that this is so, we might well ask: what can psychoanalysis have to do with philosophy and other modern movements of thought, if it can have anything to do with them at all? The German novelist Thomas Mann noted Freud’s own professional opinion on the matter. In truth, Mann observed, Freud

did not esteem philosophy very highly . . . He reproaches it with imagining that it can present a continuous and consistent picture of the world; with overestimating the objective value of logical operations; with believing in intuitions as a source of knowledge and with indulging in positively animistic tendencies, in that it believes in the magic of words and the influence of thought upon reality.

(Mann, in Lear 1990: 1; cf. (e.g.) ON: 77–9)

The McGraw-Hill Companies

General Psychology

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Tata McGraw-Hill

Published by the Tata McGraw Hill Education Private Limited,
7 West Patel Nagar, New Delhi 110 008.

General Psychology

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This edition can be exported from India only by the publishers,
Tata McGraw Hill Education Private Limited

ISBN-13: 978-0-07-107799-6

ISBN-10: 0-07-107799-5

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Typeset at The Composers, 260, C.A. Apt., Paschim Vihar, New Delhi 110 063 and printed at
Magic International Pvt. Ltd., Plot No. 26E, Sector-31(INDUSTRIAL), Site-IV, Greater Noida - 201306

Cover Design: Meenu Raghav, Graphic Designer, TMH

Cover Printer: Magic International Pvt. Ltd.

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The psychosomatic relationship was well known in ancient times. The first invocatory stanza of *Ashtangahridaya* (the main text in *Ayurveda*, written in the fourth century AD) describes how emotions like desires lead to both physical and mental diseases.

Many attempts are being made to integrate ancient Indian psychology with modern Western psychology. More than 40 books have appeared in the field of Indian psychology. There is the *Journal of Indian Psychology* published from Andhra University, which has an Institute of Yoga and Consciousness. At least five psychologists have developed personality inventories based on the *Triguna theory* (*Satwa, Rajas* and *Tamas*) of *Kapila* (*Sankhya philosophy*, sixth century BC).

I conclude this section with a personal note by means of a tribute to these great Indian psychologists, most of whom have been my teachers, for having guided and steered the subject of psychology and bringing it on the international platform.

PSYCHOLOGY DEFINED

Psychology is at the center of our efforts to understand the behavior of all living things. Branching off from the mainstream of philosophy, it is interesting to note that literally the word 'psychology' means the 'science of the soul'. It is a combination of two Greek words '*Psyche*' which means soul and '*logos*' which means discourse. Psychology was, therefore, literally, a study of the soul as we saw while discussing its history.

With time, there was a gradual shift in the emphasis of its subject matter. The word 'soul' was replaced by 'mind' and later, by 'consciousness'. In 1890, **William James** defined psychology as the '*science of mental life*'. Thus, by this time psychology became an orderly, truthful and as far as possible a complete account of mental life.

With the advent of behaviorism, the favored definition became '*science of behavior*'. The scientific study of behavior includes for its subject matter behavioral processes that are observable as well as those that can only be inferred as thoughts and dreams. Psychology concerns itself with the study of human as well as animal behavior.

Today, the most acceptable definition of psychology is '*Psychology is the scientific study of all mental processes, as expressed in bodily behavior and as observed in direct experience*'. Thus, psychology is not only the study of an individual's physical reaction, which can be readily observed by another person, but also of his thoughts, feelings, attitudes, values and the like, which may not be always readily observable.

SCOPE OF PSYCHOLOGY

The scope or the field of psychology has an intimate relation with its accepted definition. If we define psychology as the science of conscious mental life, then our field will be limited only to directly known conscious experiences of human beings. If we limit our definition of psychology to the study of behavior, then it will also put restrictions on the scope. Taking psychology as the scientific study of all mental processes, as expressed in bodily behavior and as observed in direct experience, will help us in evaluating its scope.

The problem of the psychologist is to find out the various classes of mental processes; analyse them into the simple or elementary process and try to discover those rules, principles or laws, which can help him in understanding and explaining the origin, growth and development of the various mental experiences.

Further, since several mental processes are known only through the observation of bodily behavior, knowledge of the bodily mechanism will help us to understand the accompanying mental processes. Thus, it is also the duty of present day psychologists to try as far as possible to explain mental facts by reference to bodily changes, especially nervous changes.

As such, we find that the scope of psychology is broad and ever changing. The wide scope of psychology can be understood when we know the various fields that have developed within its fold. Our discussion regarding scope and problems will continue as we go on to examine the various fields of psychology.

Various Fields of Psychology

The various fields of psychology can be broadly classified as theoretical and applied. We will discuss them independently under separate headings (see Fig. 1.1).

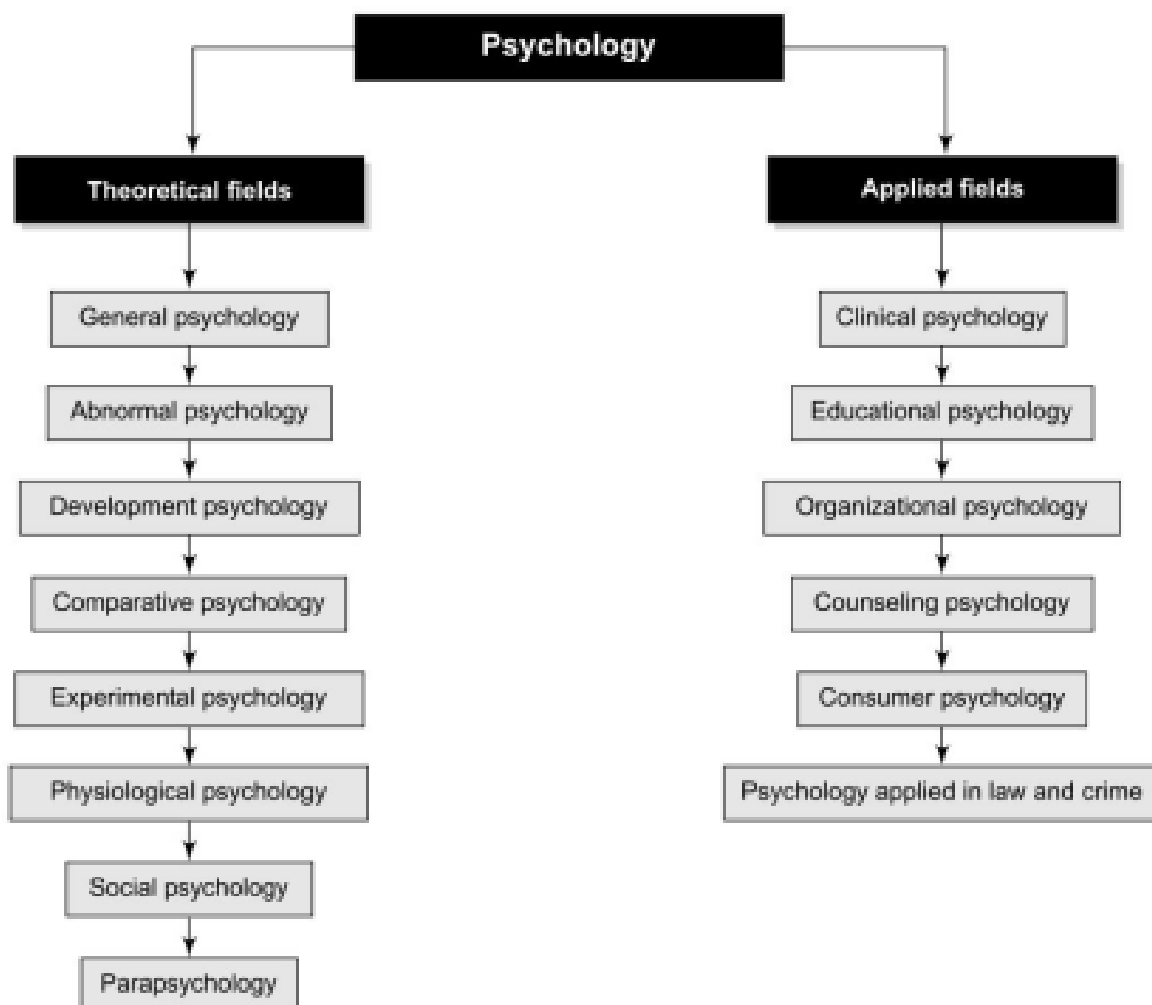


Fig. 1.1 Various Fields of Psychology

Theoretical Fields

We will first deal with general psychology.

General Psychology: In this field of psychology, the emphasis is on general principles as opposed to individual variations, species differences and sociocultural factors. The word 'General' has been used to refer to principles underlying such **processes** as *learning, remembering* and *thinking*, and such **activities** as

attention, motivation and emotion. Stern (1921) comments 'the problems set by general psychology and by the psychology of the individual are quite different'. Warren (1958) defines general psychology as 'the branch of psychology which seeks to discover what is true to individuals in general rather than of one individual or class of individuals as distinct from others'. This definition of Warren is in terms of the goals or purposes of the investigator or writer concerned. Dreyer (1952) defines general psychology as concerned with general principles of mental life 'as distinct from peculiarities characteristic of the individuals'. Historically, general psychology has been associated with the method of experiment, in the strict sense of systematic manipulation of experimental variables.

General psychology is concerned with the description of three things: *behavior, experience and other people* in as far as, they are personal agents. At a less fundamental level, general psychology describes the social condition necessary for the birth of psychology.

Abnormal Psychology: Abnormal psychology is the study of '*abnormal behavior*' or '*abnormal personality*', i.e. '*abnormalities*' of sensory perception or psychomotor function of cognitive, motivational and other psychological function; abnormalities of personality including psychoses, neuroses, psychosomatic disorders, character disorders, mental deficiencies, etc.

As an objective science, abnormal psychology uses biological, physiological, behavioral, psychodynamic, sociocultural and other experimental and observational approaches to statistically unusual or deviant behavior. It is related to diagnostic and therapeutic psychiatry, clinical psychology and other scientific approaches to mental health, in which subjective and artistic methods are included or integrated.

Development Psychology: Developmental psychology is the study of the remarkable changes in behavior which happen as people grow older. These changes have been charted from the first moments in life, and though most of the current information about developmental changes concerns children, it is also about the changes that take place during adulthood, since no doubt exists that in many ways older people think and behave differently from younger ones. Broadly speaking, developmental psychology has two independent aims. The first is to describe what developments there are. The second aim is to discover the causes of development difference.

Comparative Psychology: Scientists studying human behavior in increasing numbers are making use of docile non-human species in order to make credible comparisons with problems of human organization and conduct. They do so in order to increase the comfort of man. The use of animal subjects to further understanding about human beings falls in the domain of comparative psychology. Though the animals are unable to communicate via language, this is compensated for by elaborate investigatory methodologies, which give credence to conclusions derived from these experiments. Comparative psychology has been used in the field of learning, memory, emotions and many other areas of psychology. The results obtained have been generalized and shown considerable resemblance with human behavior under various experimental condition.

Experimental Psychology: Experimental psychology was first concerned mainly with problems of perception and reaction time. Today, the field of experimental psychology is not defined in terms of subject matter alone. The particular way in which to study behavior characterizes experimental psychology. Experimental psychology attempts to apply the rules of scientific method for the study of sensory processes, memory, learning, etc. and to discover the lawful relationships that govern behavior. The behavior may be simple or complex, experimental psychologists search for the determinants of such behavior with respect to the organism and its environment.

Physiological Psychology: In its most general form, this field of psychology is concerned with the theory of relations between physical and mental (psychic) processes, including all attempts to reveal such relationships. It has, as its object, the scientific investigation of the mechanisms by which the nerve cells of

Abnormal Psychology

SEVENTH EDITION

Ronald J. Comer



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Printing and Binding: R.R. Donnelley

We are grateful to the following artists for providing the illustrations on the chapter opening pages: Wieslaw Walkuski, pp. xviii, 202, 508; Elizabeth Lada, p. 26; Philippe Landy, p. 48; Brian Stauffe, p. 88; Jean Francois Podevin, p. 120; James Steinberg, p. 162; Jordan Isp, p. 240; John Dinet, p. 274; Anthony Terrasaglia, p. 306; Diane Fenster, p. 340; Simon G. Phelipot, p. 372; Thomas Ehrenmann, p. 414; Anita Kunz, pp. 452, 618; Richard Hess, p. 480; Greg Spalenka, p. 548; James Fryer, p. 592.

Credits for timeline photos, inside front cover (by date): 1893, Sigmund Freud Copyrights/Everett Collection; 1901, W. H. Freeman and Company; 1907, Stéphane Audras/REA/Redux; 1929, Joe McNally, Sygma; 1964, Greg Baker/AP Photo; 1981, Pallavi Bagla/Corbis; 2001, AP Photo/Ernesto Mora; 2006, Pool photo by Getty Images.

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Library of Congress Control Number: 2008911149

ISBN-13 978-1-4292-1631-9

ISBN-10 1-4292-1631-X

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Printed in the United States of America
First Printing

Worth Publishers
41 Madison Avenue
New York, NY 10017
www.worthpublishers.com

to cry themselves to sleep each night, hate the world, wish themselves dead, or obey voices that no one else hears.

In short, behavior, thoughts, and emotions are deemed abnormal when they differ markedly from a society's ideas about proper functioning. Each society establishes **norms**—explicit and implicit rules for proper conduct. Behavior that breaks legal norms is considered to be criminal. Behavior, thoughts, and emotions that break norms of psychological functioning are considered to be abnormal.

Judgments of abnormality vary from society to society. A society's norms grow from its particular **culture**—its history, values, institutions, habits, skills, technology, and arts. A society that values competition and assertiveness may accept aggressive behavior, whereas one that emphasizes cooperation and gentleness may consider aggressive behavior unacceptable and even abnormal. A society's values may also change over time, causing its views of what is psychologically abnormal to change as well. In Western society, for example, a woman's participation in the business world was widely considered inappropriate and strange a hundred years ago. Today the same behavior is valued.

Judgments of abnormality depend on *specific circumstances* as well as on cultural norms. What if, for example, we were to learn that the hopelessness and desperate unhappiness of Alisha were in fact occurring in the days, weeks, and months following Hurricane Katrina, the deadly storm that struck New Orleans in the summer of 2005—a storm whose aftermath destroyed her home, deprived her of all of her earthly possessions, and shattered her community, scattering neighbors, friends, and family members who had lived together for generations. The flood and its immediate impact had been a nightmare, but the weeks and months that followed were even worse, as Alisha came to appreciate that help was not coming, that she and her daughters would never be returning to their home in their old community, and that she would probably not be reunited with the friends and neighbors who had once given her life so much meaning. As she and her daughters moved from one temporary run-down location to another throughout Louisiana and Mississippi, Alisha gradually gave up all hope that her life would ever return to normal. The modest but happy life she and her daughters had once known was now gone, seemingly forever. In this light, Alisha's reactions do not seem quite so inappropriate. If anything is abnormal here, it is her situation. Many human experiences produce intense reactions—large-scale catastrophes and disasters, rape, child abuse, war, terminal illness, chronic pain (Miller, 2007). Is there an “appropriate” way to react to such things? Should we ever call reactions to such experiences abnormal?

Distress

Even functioning that is considered unusual does not necessarily qualify as abnormal. According to many clinical theorists, behavior, ideas, or emotions usually have to cause *distress* before they can be labeled abnormal. Consider the Ice Breakers, a group of people in Michigan who go swimming in lakes throughout the state every weekend from November through February. The colder the weather, the better they like it. One man, a member of the group for 17 years, says he loves the challenge of man against the elements. A 37-year-old lawyer believes that the weekly shock is good for her health.

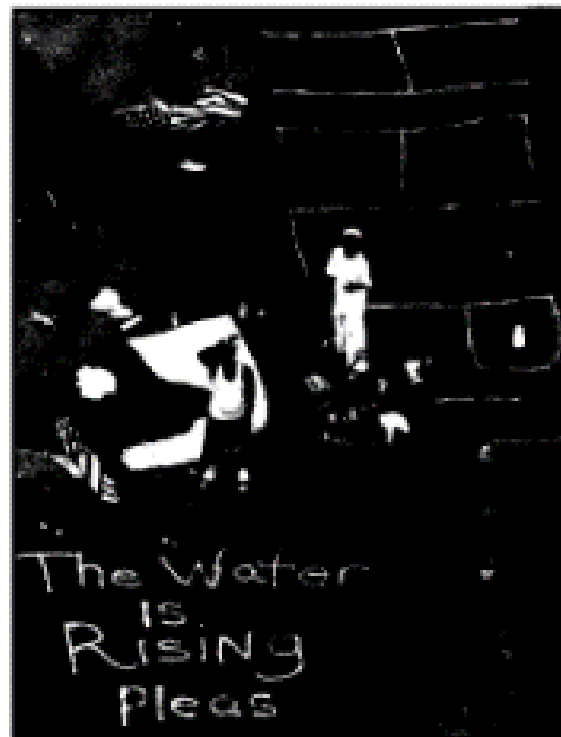


Photo © Paul D. Miller/Reuters/Corbis

Context is key

On the morning after Hurricane Katrina, desperate residents stand fearfully on the roof of an apartment house hoping to be evacuated from the floodwaters. Panic, anxiety, and even profound depression were common, seemingly normal reactions in the wake of this extraordinary disaster, rather than being clear symptoms of psychopathology.

• **abnormal psychology**—The scientific study of abnormal behavior in an effort to describe, predict, explain, and change abnormal patterns of functioning.

• **norms**—A society's stated and unstated rules for proper conduct.

• **culture**—A people's common history, values, institutions, habits, skills, technology, and arts.

Figure 5-1

Does anxiety beget anxiety? People with one anxiety disorder usually experience another as well, either simultaneously or at another point in their lives. Studies of people with anxiety disorders have found that 81 percent actually suffer from multiple disorders. (Adapted from Ruscio et al., 2007; Rodriguez et al., 2004; Hunt & Andrews, 1995.)

One anxiety disorder only (19%)

Two or more independent anxiety disorders (24%)

Two or more anxiety disorders, one caused by the other (55%)

as if you expected something unpleasant to happen. The vague sense of being in danger is usually called **anxiety**, and it has the same features—the same increase in breathing, muscular tension, perspiration, and so forth—as fear.

Although everyday experiences of fear and anxiety are not pleasant, they often have an adaptive function: they prepare us for action—for “fight or flight”—when danger threatens. They may lead us to drive more cautiously in a storm, keep up with our reading assignments, treat our dates more sensitively, and work harder at our jobs. Unfortunately, some people suffer such disabling fear and anxiety that they cannot lead normal lives (Koury & Rapaport, 2007). Their discomfort is too severe or too frequent, lasts too long, or is triggered too easily. These people are said to have an *anxiety disorder* or a related kind of disorder.

Anxiety disorders are the most common mental disorders in the United States. In any given year 18.1 percent of the adult population suffer from one or another of the six anxiety disorders identified by DSM-IV-TR, while close to 29 percent of all people develop one of the disorders at some point in their lives (Koury & Rapaport, 2007; Kessler et al., 2005). Only around one-fifth of these individuals seek treatment (Wang et al., 2005). The disorders cost society at least \$42 billion each year in health care expenses, lost wages, and lost productivity (Dozois & Westra, 2004).

People with *generalized anxiety disorder* experience general and persistent feelings of worry and anxiety. People with *phobias* experience a persistent and irrational fear of a specific object, activity, or situation. Individuals with *panic disorder* have recurrent attacks of terror. Those with *obsessive-compulsive disorder* feel overrun by recurrent thoughts that cause anxiety or by the need to perform repetitive actions to reduce anxiety. And those with *acute stress disorder* and *posttraumatic stress disorder* are tormented by fear and related symptoms well after a traumatic event (for example, military combat, rape, torture) has ended. Most individuals with one anxiety disorder suffer from a second one as well (Angst et al., 2005) (see Figure 5-1). Bob Donaldson, for example, experiences the excessive worry found in generalized anxiety disorder and the repeated attacks of terror that mark panic disorder. In addition, more than 90 percent of people with one of the anxiety disorders also experience a different kind of psychological disorder at some point in their lives (Garrett, 2009; Doughty et al., 2004; Kaufman & Charney, 2006). An overlap with mood disorders is strongest. As many as 60 percent of people with major depression also experience an anxiety disorder during their lives, and 16 percent of individuals with bipolar disorder also display a panic disorder at some point.

This chapter looks at generalized anxiety disorder, phobia, panic disorder, and obsessive-compulsive disorder. The other anxiety disorders—acute and posttraumatic stress disorders—will be examined in the next chapter, which considers the effects that particularly intense or ongoing stress have on both our psychological and physical functioning.

Generalized Anxiety Disorder

People with **generalized anxiety disorder** experience excessive anxiety under most circumstances and worry about practically anything. In fact, their problem is sometimes described as *free-floating anxiety*. Like the young carpenter Bob Donaldson, they typically feel restless, keyed up, or on edge; tire easily; have difficulty concentrating; suffer from muscle tension; and have sleep problems (Neckelmann et al., 2007) (see Table 5-1). The symptoms last at least six months. Nevertheless, most people with the disorder are able, although with some difficulty, to carry on social relationships and job activities.

Generalized anxiety disorder is common in Western society. Surveys suggest that around 3 percent of the U.S. population have the symptoms of this disorder in any given year, a rate that holds across Canada, Britain, and other Western countries (Ruscio et al., 2007; Kessler et al., 2005). Altogether, close to 6 percent of all people develop generalized anxiety disorder sometime during their lives. It may emerge at any age, but usually it first appears in childhood or adolescence. Women diagnosed with the disorder

The book cover features a series of horizontal, wavy bands in shades of blue and orange. The top band is a dark teal, followed by a medium blue, a dark blue, an orange, a reddish-orange, a teal, a dark blue, and a reddish-orange at the bottom.

The
meaning
of anxiety

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the face of the danger. The nature of anxiety can be understood when we ask *what* is threatened in the experience which produces anxiety.

Let us say that I am a college student walking to the dentist's office to have a tooth pulled. On the way I meet a revered professor whose class I have been in this term and whom I have seen in his office. He does not speak to me nor nod nor give me any greeting whatever. After I pass him I feel a diffuse gnawing "in my breast." *Am I not worth noticing? Am I nobody—nothing?* When the dentist picks up his pincers to pull my tooth, I feel a fear much more intense than the anxiety on the street. But the fear is forgotten as soon as I'm out of the dentist's chair. The anxiety, with its gnawing, stays with me all day long and may even appear in my dreams that night.

The threat, thus, in anxiety is not necessarily more intense than fear. Rather, it attacks us on a deeper level. The threat must be to something in the "core" or "essence" of the personality. My self-esteem, my experience of myself as a person, my feeling of being of worth—all of these are imperfect descriptions of what is threatened.

I propose the following definition: *Anxiety is the apprehension cued off by a threat to some value that the individual holds essential to his existence as a personality.* The threat may be to physical life (the threat of death), or to psychological existence (the loss of freedom, meaninglessness). Or the threat may be to some other value which one identifies with one's existence: (patriotism, the love of another person, "success," etc.). Nancy, whom we will discuss below (p. 262), illustrates the identification of the love of another person with her existence when she said, speaking of her fiancé, "If anything went wrong with his love for me, I'd break down completely." Her security as a self depended upon this other person's love and acceptance of her.

The identification of a value with one's existence as a personality is dramatized in the remark of Tom¹ in his anxiety over whether he would be retained in his job or be forced to resort again to government relief: "If I couldn't support my family, I'd as soon jump off the end of the dock." He thus tells us that if he could not preserve the self-respecting position of being the responsible wage-earner, his whole life would have no meaning and he might as well not exist. This he would confirm by snuffing out his own life—committing suicide. The occasions of anxiety will vary with different people as widely as the values on which they depend vary. But

INSTINCTUAL FEAR V. ANXIETY DISORDER

Instinctual fear and anxiety are a normal part of life that can protect and even stimulate you, whether it's a feeling of nervousness before giving a speech or a shiver of fear as you walk down a dark street. But more than 19 million Americans experience far more than just normal anxiety. Instead, their lives are filled with crippling anxiety and fear.

So what's the difference between normal instinctual fear and an anxiety disorder? *Instinctual fear* is a reaction to an actual danger signal. It involves physical and mental tension that helps you spring into action to protect yourself from something scary or dangerous that's about to happen. Once the danger has passed, the fear goes away. The body's reaction to danger is called the *fight-or-flight* response. When you're scared, you can feel your heart start to pound, your stomach tightens, and you breathe faster. All these changes are designed to help you meet a deadly challenge by either fighting or running away. Your heart beats faster so it can pump more blood to your muscles and brain. Your lungs breathe in air more quickly to supply your body with oxygen. The pupils in your eyes widen so you can see better. And your digestive system slows down so you can concentrate on the danger. It's a response that developed in humans thousands of years ago when physical dangers were a constant threat. The caveman who was able to outrun or outfight a saber-toothed tiger lived to tell the tale and pass on his superior fight-or-flight genes to his descendants.

The physical and mental tension of *anxiety* is similar to fear, but with anxiety, there isn't usually any actual danger to trigger the feeling. The feeling comes from the anticipation of future danger—the concern that something bad could happen—and the worry that one doesn't have what it takes to deal with it. Usually your body switches into fight-or-flight mode only when there's something to fear. When you feel scared without real danger, that's called anxiety.

Here's the difference: If a bully takes a swing at you and you feel a burst of energy as you jump back out of the way, that's instinctual fear. If you see a classmate in the distance and your heart starts to pound and waves of terror sweep over you because he looks like someone who might be a bully, that's anxiety.

Psychologists have defined the boundaries between ordinary instinctual fear and anxiety disorders, and this book will help you understand that difference. Although each anxiety disorder has unique features, all anxiety disorders are united by a common theme of excessive fear and dread in the absence of evidence of clear danger. If you have developed a pattern of experiencing too

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Distributed in Canada by Raincoast Books

Copyright © 2010 by Edmund J. Bourne
New Harbinger Publications, Inc.
5674 Shattuck Avenue
Oakland, CA 94609
www.newharbinger.com

Cover design by Amy Shoup
Text design by Tracy Marie Carlson
Acquired by Catharine Sutker
Edited by Jean Blomquist

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Library of Congress Cataloging-in-Publication Data

Bourne, Edmund J.

The anxiety and phobia workbook / Edmund J. Bourne. -- 5th ed.

p. cm.

title: Anxiety & phobia workbook

Includes bibliographical references.

ISBN 978-1-57224-891-5 (pbk.) -- ISBN 978-1-57224-892-2 (pdf ebook) 1. Anxiety disorders--Popular works. 2. Phobias--Popular works. I. Title. II. Title: Anxiety & phobia workbook.

RC531.B67 2010

616.85'22--dc22

2010040275

their lives. Susan's sleep is disrupted. Cindy and Steve may lose their jobs. And Mike has lost the ability to drive in an efficient and timely manner.

The examples of Susan, Cindy, Steve, and Mike illustrate four types of anxiety disorder: panic disorder, agoraphobia, social phobia, and obsessive-compulsive disorder. Later in this chapter, you can find detailed descriptions of the characteristics of each specific anxiety disorder. But I would first like you to consider the common theme that runs through them all. What is the nature of anxiety itself?

What Is Anxiety?

You can better understand the nature of anxiety by looking at both what it is and what it is not. For example, anxiety can be distinguished from fear in several ways. When you are afraid, your fear is usually directed toward some concrete external object or situation. The event that you fear usually is within the bounds of possibility. You might fear not meeting a deadline, failing an exam, being unable to pay your bills, or being rejected by someone you want to please. When you experience anxiety, on the other hand, you often can't specify what it is you're anxious about. The focus of anxiety is more internal than external. It seems to be a response to a vague, distant, or even unrecognized danger. You might be anxious about "losing control" of yourself or some situation. Or you might feel a vague anxiety about "something bad happening."

Anxiety affects your whole being. It is a physiological, behavioral, and psychological reaction all at once. On a physiological level, anxiety may include bodily reactions such as rapid heartbeat, muscle tension, queasiness, dry mouth, or sweating. On a behavioral level, it can sabotage your ability to act, express yourself, or deal with certain everyday situations.

Psychologically, anxiety is a subjective state of apprehension and uneasiness. In its most extreme form, it can cause you to feel detached from yourself and even fearful of dying or going crazy.

The fact that anxiety can affect you on a physiological, behavioral, and psychological level has important implications for your attempts to recover. A complete program of recovery from an anxiety disorder must intervene at all three levels to

1. Reduce physiological reactivity
2. Eliminate avoidance behavior
3. Change subjective interpretations (or "self-talk") which perpetuate a state of apprehension and worry

Anxiety can appear in different forms and at different levels of intensity. It can range in severity from a mere twinge of uneasiness to a full-blown panic attack marked by heart palpitations, disorientation, and terror. Anxiety that is not connected with any particular situation, that comes "out of the blue," is called free-floating anxiety or, in more severe instances, a *spontaneous panic attack*. The difference between an episode of free-floating anxiety and a spontaneous panic attack can be defined by whether you experience four or more of the following symptoms at the same time (the occurrence of four or more symptoms defines a panic attack):

DIAGNOSTIC AND STATISTICAL
MANUAL OF
MENTAL DISORDERS

FIFTH EDITION

DSM-5™

AMERICAN PSYCHIATRIC ASSOCIATION

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Manufactured in the United States of America on acid-free paper.

ISBN 978-0-89042-554-1 (Hardcover) 2nd printing June 2013

ISBN 978-0-89042-555-8 (Paperback) 2nd printing June 2013

American Psychiatric Association
1000 Wilson Boulevard
Arlington, VA 22209-3901
www.psych.org

The correct citation for this book is American Psychiatric Association: Diagnostic and Statistical Manual of Mental Disorders, Fifth Edition. Arlington, VA, American Psychiatric Association, 2013.

Library of Congress Cataloging-in-Publication Data

Diagnostic and statistical manual of mental disorders : DSM-5. — 5th ed.

p. ; cm.

DSM-5

DSM-V

Includes index.

ISBN 978-0-89042-554-1 (hardcover : alk. paper) — ISBN 978-0-89042-555-8 (pbk. : alk. paper)

I. American Psychiatric Association. II. American Psychiatric Association. DSM-5 Task Force.

III. Title: DSM-5. IV. Title: DSM-V.

[DNLM: 1. Diagnostic and statistical manual of mental disorders. 5th ed. 2. Mental Disorders—classification. 3. Mental Disorders—diagnosis. WM 15]

RC455.2.C4

616.89'075—dc23

2013011061

British Library Cataloguing in Publication Data

A CIP record is available from the British Library.

Text Design—Tammy J. Cordova

Manufacturing—R. R. Donnelley

mania, depression, anxiety, substance intoxication, or neurocognitive symptoms—so that an “unspecified” disorder in that category is identified until a fuller differential diagnosis is possible.

Definition of a Mental Disorder

Each disorder identified in Section II of the manual (excluding those in the chapters entitled “Medication-Induced Movement Disorders and Other Adverse Effects of Medication” and “Other Conditions That May Be a Focus of Clinical Attention”) must meet the definition of a mental disorder. Although no definition can capture all aspects of all disorders in the range contained in DSM-5, the following elements are required:

A mental disorder is a syndrome characterized by clinically significant disturbance in an individual’s cognition, emotion regulation, or behavior that reflects a dysfunction in the psychological, biological, or developmental processes underlying mental functioning. Mental disorders are usually associated with significant distress or disability in social, occupational, or other important activities. An expectable or culturally approved response to a common stressor or loss, such as the death of a loved one, is not a mental disorder. Socially deviant behavior (e.g., political, religious, or sexual) and conflicts that are primarily between the individual and society are not mental disorders unless the deviance or conflict results from a dysfunction in the individual, as described above.

The diagnosis of a mental disorder should have clinical utility: it should help clinicians to determine prognosis, treatment plans, and potential treatment outcomes for their patients. However, the diagnosis of a mental disorder is not equivalent to a need for treatment. Need for treatment is a complex clinical decision that takes into consideration symptom severity, symptom salience (e.g., the presence of suicidal ideation), the patient’s distress (mental pain) associated with the symptom(s), disability related to the patient’s symptoms, risks and benefits of available treatments, and other factors (e.g., psychiatric symptoms complicating other illness). Clinicians may thus encounter individuals whose symptoms do not meet full criteria for a mental disorder but who demonstrate a clear need for treatment or care. The fact that some individuals do not show all symptoms indicative of a diagnosis should not be used to justify limiting their access to appropriate care.

Approaches to validating diagnostic criteria for discrete categorical mental disorders have included the following types of evidence: antecedent validators (similar genetic markers, family traits, temperament, and environmental exposure), concurrent validators (similar neural substrates, biomarkers, emotional and cognitive processing, and symptom similarity), and predictive validators (similar clinical course and treatment response). In DSM-5, we recognize that the current diagnostic criteria for any single disorder will not necessarily identify a homogeneous group of patients who can be characterized reliably with all of these validators. Available evidence shows that these validators cross existing diagnostic boundaries but tend to congregate more frequently within and across adjacent DSM-5 chapter groups. Until incontrovertible etiological or pathophysiological mechanisms are identified to fully validate specific disorders or disorder spectra, the most important standard for the DSM-5 disorder criteria will be their clinical utility for the assessment of clinical course and treatment response of individuals grouped by a given set of diagnostic criteria.

This definition of mental disorder was developed for clinical, public health, and research purposes. Additional information is usually required beyond that contained in the DSM-5 diagnostic criteria in order to make legal judgments on such issues as criminal responsibility, eligibility for disability compensation, and competency (see “Cautionary Statement for Forensic Use of DSM-5” elsewhere in this manual).

GEJALA DAN TANDA GANGGUAN PSIKIATRI



Dr. dr. Elmeida Effendy, M.Ked(KJ)., Sp.KJ(K)



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Hak cipta dilindungi undang-undang

Penulis:

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Sarah A. Mardhiyah

Perupa dan tata letak:

Al-Hayat / Muchsin, SE

ISBN:

v, 125 p.; illus.: 20 cm

Cetakan Pertama, Januari 2021

Penerbit:

Yayasan Al-Hayat

Jl. Cenderawasih No. 82-A Kec. Medan Sunggal

Medan, Sumatera Utara

Email: penerbit.alhayat@gmail.com

Sanksi Pelanggaran Pasal 44:

Undang-Undang Nomor 19 Tahun 2002 tentang HAK CIPTA, sebagaimana telah diubah dengan Undang-Undang No. 7 Tahun 1987 jo. Undang-Undang No. 12 Tahun 1997, bahwa:

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BAB I

PENGANTAR GEJALA DAN TANDA GANGGUAN PSIKIATRI

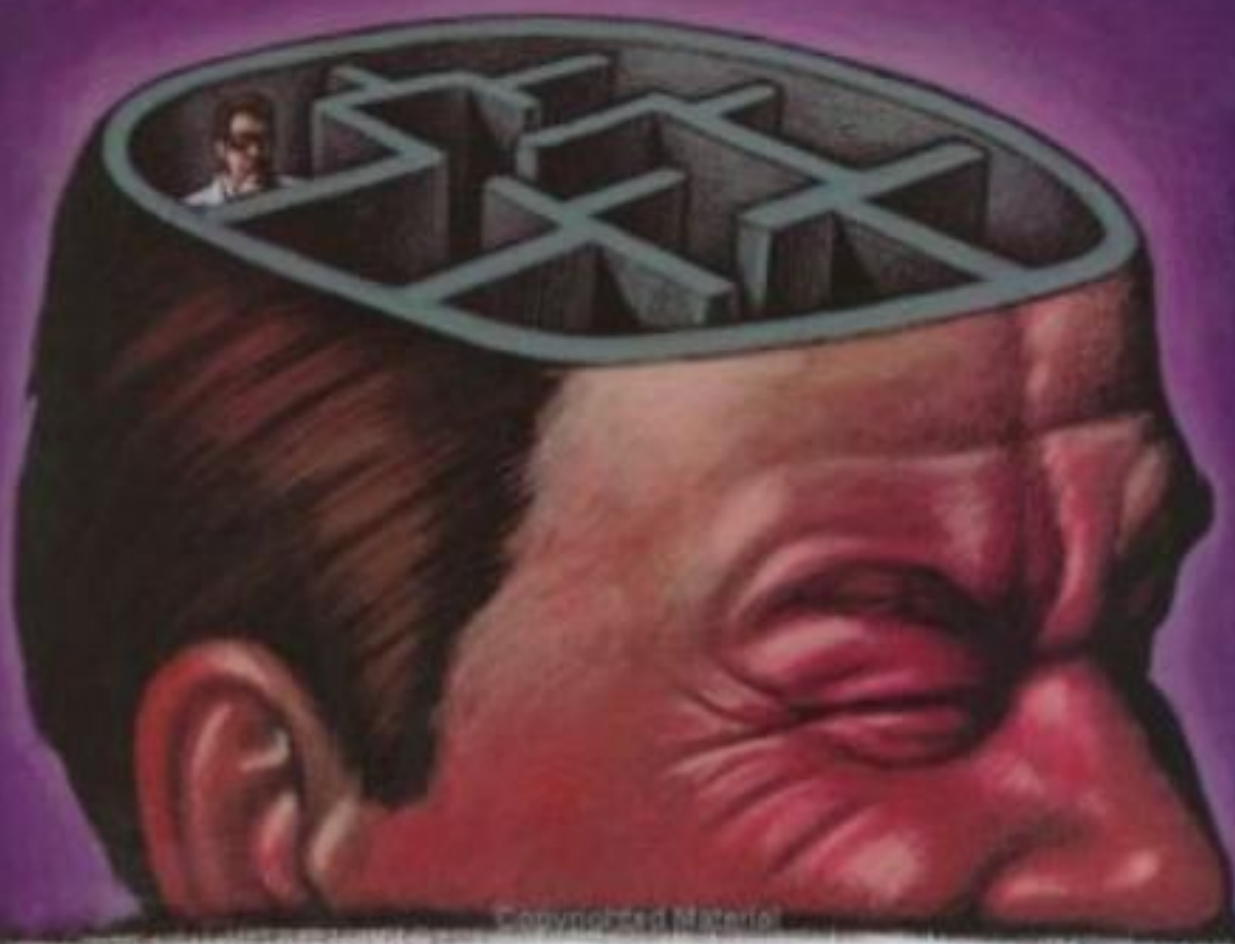
Tujuan Instruksional Umum (TIU)	Pada akhir pembelajaran, mahasiswa/ pembaca diharapkan mampu memahami gejala-gejala awal dan tanda-tanda adanya gangguan jiwa serta mampu untuk melakukan komunikasi yang baik dengan pasien.
Tujuan Instruksional Khusus (TIK)	Pada akhir pembelajaran mahasiswa/ pembaca diharapkan mampu memahami penyebab-penyebab utama timbulnya gangguan-gangguan jiwa, memahami pembagian dan penatalaksanaan tindak lanjut pasien-pasien gangguan psikiatri

Gangguan jiwa atau gangguan mental adalah pola perilaku, atau psikologik seseorang, yang secara klinik cukup bermakna, dan secara khas berkaitan dengan suatu gejala orang dengan gangguan (*distress*) atau hendaya (*impairment / disability*) di dalam satu atau lebih fungsi yang penting dari manusia. Sebagai tambahan bahwa disfungsi itu adalah disfungsi dari segi perilaku, psikologik, biologik, dan gangguan itu tidak semata-mata terletak dalam hubungan antara orang itu dengan masyarakat. Gangguan jiwa atau gangguan mental juga dapat diartikan sebagai gangguan performa dalam peran sosial dan pekerjaan tidak digunakan sebagai komponen esensial untuk diagnosis gangguan jiwa, oleh karena ini berkaitan dengan variasi sosial-budaya yang sangat luas. Keterbatasan atau berkurangnya kemampuan untuk melakukan suatu aktivitas pada tingkat personal, diartikan dalam hal melakukan aktivitas hidup sehari-hari yang biasa dan dilakukan untuk perawatan diri dan keberlangsungan hidup (mandi, berpakaian, makan, kebersihan diri, buang air besar dan kecil).

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Popular Psychology

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Library of Congress Cataloging-in-Publication Data

Cordón, Luis A.

Popular psychology: an encyclopedia / Luis A. Cordón.

p. cm.

Includes bibliographical references and index.

ISBN 0-313-32457-3 (alk. paper)

1. Psychology—Encyclopedias. I. Title.

BF31.C715 2005

150.3—dc22 2004017426

British Library Cataloguing in Publication Data is available.

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Library of Congress Catalog Card Number: 2004017426

ISBN: 0-313-32457-3

First published in 2005

Greenwood Press, 88 Post Road West, Westport, CT 06881

An imprint of Greenwood Publishing Group, Inc.

www.greenwood.com

Printed in the United States of America



The paper used in this book complies with the Permanent Paper Standard issued by the National Information Standards Organization (Z39.48-1984).

10 9 8 7 6 5 4 3 2 1

disorders, this one occurs only in females. This may be for genetic reasons—a large proportion of girls with this syndrome have a mutation in the X chromosome.

Also in the Pervasive Developmental Disorder category is childhood disintegrative disorder, so called because the affected child begins life with at least two years of apparently normal development, including verbal and nonverbal communication, social and adaptive skills, and play habits. Before the age of ten, however, the child experiences a significant loss of skills in at least two areas, including language, social skills, adaptive behavior, bowel/bladder control, play, or motor skills, with the result that the child appears to be autistic. When a child has a severe, pervasive impairment in social interaction, verbal/nonverbal communication, or shows stereotyped behavior, but doesn't meet the diagnostic criteria for any of the other disorders in this category, the diagnosis given is "pervasive developmental disorder not otherwise specified."

Further Reading: American Psychiatric Association. *DSM-IV-TR: Diagnostic and Statistical Manual of Mental Disorders*. 4th ed. Text revision. Washington, DC: American Psychiatric Association, 2000.

PET SCAN See **BRAIN IMAGING TECHNIQUES**

PHENOMENOLOGICAL PSYCHOLOGY See **HUMANISTIC PSYCHOLOGY**

PHOBIAS A phobia, or phobic disorder, is an irrational or excessive fear of a particular object or situation. The *DSM-IV* lists three varieties of phobic disorder: social phobia, specific phobias, and agoraphobia, all of which are classified as anxiety disorders. People with social phobia have intense fears of social interactions, such as meeting others, dating, or public speaking. People with agoraphobia (literally "fear of the marketplace") fear venturing out into open spaces or going out in public. Specific phobias, the kind most people associate with the term, are fears of specific situations or objects. Phobias affect people of all ages, from all walks of life, and in every part of the country. The National Institutes of Mental Health report that 5.1 to 12.5 percent of Americans have phobias. They are the most common psychiatric illness among women of all ages and are the second most common among men older than twenty-five.

Phobias are manifested as emotional and physical reactions that can interfere with going about a daily routine. Symptoms include feelings of panic and dread, rapid heartbeat, shortness of breath, trembling, and an overwhelming desire to flee the situation. Fear of this reaction leads to avoidance of the feared situation or object, which can interfere with the ability to work, socialize, or care for one's personal needs.

People with agoraphobia avoid public places, especially busy streets or crowded places such as theatres, shopping malls, or churches. Some people with agoraphobia become so fearful that they remain housebound, leaving their homes only with great distress or when accompanied by a trusted friend or

Cognitive
Therapy
of Anxiety
Disorders

Science and Practice

DAVID A. CLARK

AARON T. BECK

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A Division of Guilford Publications, Inc.
72 Spring Street, New York, NY 10012
www.guilford.com

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Printed in the United States of America

This book is printed on acid-free paper.

Last digit is print number: 9 8 7 6 5 4 3 2 1

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Library of Congress Cataloging-in-Publication Data

Clark, David A., 1954-

Cognitive therapy of anxiety disorders: science and practice / David A. Clark and Aaron T. Beck.

p. ; cm.

Includes bibliographical references and index.

ISBN 978-1-60623-434-1 (hardcover: alk. paper)

1. Anxiety disorders—Treatment. 2. Cognitive therapy. I. Beck, Aaron T. II. Title.

[DNLN: 1. Anxiety Disorders—therapy. 2. Cognitive Therapy—methods.

WM 172 C.592c 2010]

RC.531.C.535 2010

616.85'22—dc22

2009027597

heightened attention to the symptoms of anxiety will intensify one's subjective apprehension. Second, the presence of anxiety can impair performance in certain threatening situations, such as when the speech-anxious person goes blank or starts to perspire profusely. Attention to these symptoms could easily interfere with the person's ability to deliver the speech.

In the final analysis the anxious person interprets the presence of anxiety itself as a highly threatening development that must be reduced as quickly as possible in order to minimize or avoid its "catastrophic effects." In this case the person literally becomes "anxious about being anxious." D. M. Clark and colleagues have developed cognitive models and interventions for panic, social phobia, and PTSD that emphasize the deleterious effects of misinterpreting the presence of anxious symptoms in a catastrophic (or at least highly negative) manner (D. M. Clark, 1996, 2001; D. M. Clark & Ehlers, 2004). This self-perpetuating characteristic of anxiety, then, indicates that any intervention designed to interrupt the cycle must deal with any threat-related appraisals of anxious symptoms themselves.

Clinician Guideline 2.8

Correcting misinterpretations of anxious symptoms is another important component of cognitive therapy for anxiety disorders.

Cognitive Primacy

The cognitive model asserts that the central problem in anxiety disorders is the activation of hypervalent threat schemas that present an overly dangerous perspective on reality and the self as weak, helpless, and vulnerable (Beck et al., 1985, 2005). From a cognitive perspective, an initial rapid and involuntary stimulus evaluation of threat occurs in the early phase of anxiety. It is within this framework that we view cognition as primary in the acquisition and maintenance of fear responses. Furthermore, because of the primacy or importance of cognition, we propose that some shift in the cognitive conceptualization of threat is needed before any reduction in anxiety can be expected. Without treatment, the repeated appraisal and reappraisal of threat and vulnerability will lead to a generalization of the anxiety program so that it encompasses a broader array of eliciting situations.

Clinician Guideline 2.9

Changing the cognitive evaluation of threat and vulnerability is necessary to reverse the generalization and persistence of anxiety.

Cognitive Vulnerability to Anxiety

There are individual differences in susceptibility or risk for anxiety disorders. Individuals are at increased risk for anxiety because of certain genetic, neurophysiological,



LIVING
with
ANXIETY
DISORDERS

Allen R. Miller, Ph.D.

Living with Anxiety Disorders

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Facts On File, Inc.
An imprint of Infobase Publishing
132 West 31st Street
New York NY 10001

Library of Congress Cataloging-in-Publication Data

Miller, Allen R.

Living with anxiety disorders / by Allen R. Miller.

p. cm.—(Teen's guides)

Includes index.

ISBN-13: 978-0-8160-6344-4

ISBN-10: 0-8160-6344-3

1. Anxiety in adolescence. 2. Anxiety disorders. I. Title.

RJ506.A58M55 2007

618.92'8522—dc22 2007000553

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Text design by Annie O'Donnell

Cover design by Joo Young An

Printed in the United States of America

Sheridan CGI 10 9 8 7 6 5 4 3 2 1

This book is printed on acid-free paper.

much anxiety on a daily basis, you may be diagnosed with an anxiety disorder.

Tormented by panic attacks, obsessive thoughts, flashbacks of traumatic events, nightmares, or frightening physical symptoms, teens with anxiety disorders may become overwhelmed by their anxieties and eventually feel so frightened that they can't leave the house. You may know someone with an anxiety disorder, or perhaps you're struggling with this problem yourself.

If you are, you're not alone. Anxiety disorders affect as many as one of every eight teens of every age, color, religion, and economic status. They also affect more girls than guys. In fact, anxiety disorders are the most common mental health problem in the United States.

There are six types of anxiety disorders, and many of their symptoms overlap. They include

- ▶ **generalized anxiety disorder (GAD):** This problem causes constant, exaggerated worrisome thoughts and tension about everyday life events and activities. With GAD, you may almost always anticipate the worst although there is little reason to expect it; there also may be physical symptoms such as fatigue, trembling, muscle tension, headache, or nausea.
- ▶ **post-traumatic stress disorder (PTSD):** Experiencing a traumatic event such as an assault, a car accident, or a natural disaster can later trigger a series of symptoms, including irritability, numbed or lack of emotions, nightmares, flashbacks, depression, or anger. Family members of victims also can develop this disorder.
- ▶ **panic disorder:** This problem causes repeated episodes of intense fear that strike often and without warning. Physical symptoms include chest pain, heart palpitations, shortness of breath, dizziness, abdominal distress, feelings of unreality, and fear of dying.
- ▶ **social phobia:** This causes an overwhelming and disabling fear of scrutiny, embarrassment, or humiliation in social situations that can be so anxiety-producing you may avoid potentially enjoyable activities.
- ▶ **specific phobias:** People with a specific phobia experience extreme, disabling, and irrational fear of something that poses little or no actual danger; the fear leads to avoiding the objects or situations and can cause people to limit their lives unnecessarily.
- ▶ **obsessive-compulsive disorder (OCD):** This problem involves repeated unwanted thoughts or compulsive behaviors that seem impossible to stop or control.



INTERNATIONAL DICTIONARY OF

PSYCHOANALYSIS

PSYCHOANALYSIS



ALAIN de MIJOLLA
Editor in Chief



INTERNATIONAL DICTIONARY OF PSYCHOANALYSIS
DICTIONNAIRE INTERNATIONAL DE LA PSYCHANALYSE

Editor in Chief
Alain de Mijolla

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Originally published as
Dictionnaire international de la psychanalyse
© 2002, Editions Calmann-Lévy

This book was published with the support of the French Ministry of Culture—National Book Center. Cet ouvrage a été publié avec l'assistance du Ministère chargé de la culture—Centre National du Livre.

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LIBRARY OF CONGRESS CATALOGING-IN-PUBLICATION DATA

Dictionnaire international de la psychanalyse. English.
International dictionary of psychoanalysis = Dictionnaire international de la psychanalyse / Alain de Mijolla, editor in chief.
p. ; cm.
Enhanced version of the 2002 French edition.
Includes bibliographical references and index.
ISBN 0-02-865924-4 (set hardcover : alk. paper) - ISBN 0-02-865925-2 (v. 1) - ISBN 0-02-865926-0 (v. 2) - ISBN 0-02-865927-9 (v. 3)
I. Psychoanalysis—Encyclopedias. I. Mijolla, A. de. II. Title. III. Title:
Dictionnaire international de la psychanalyse.
[DNLM: 1. Psychoanalysis—Encyclopedias—English. WM 13 D5555
2005a]
RCS01.4.D4313 2005
616.89'17'03—dc22

2005014307

This title is also available as an e-book
ISBN 0-02-865994-5 (set)

Contact your Thomson Gale sales representative for ordering information.

Printed in the United States of America
10 9 8 7 6 5 4 3 2 1

concept more akin to the concept of resistance) or to a psychic impulse that seeks to avoid anxiety and unpleasure in the quest to adapt and achieve a state of equilibrium. As a result, the function of defense as a mechanism necessary for psychic growth is often overlooked.

ELSA SCHMID-KITSIKIS

See also: Actual neurosis/defense neurosis; Autistic defenses; Conflict; Defense mechanisms; Ego; *Ego and the Mechanisms of Defense, The*; Manic defenses; Narcissistic defenses; Negation; Neurotic defenses; Paranoid-schizoid position; Psychoneurosis (or neuro-psychosis) of defense; Psychotic defenses; Repression; "Splitting of the Ego in the Process of Defence, The."

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DEFENSE MECHANISMS

Defense mechanisms are psychic processes that are generally attributed to the organized ego. They organize and maintain optimal psychic conditions in a way that helps the subject's ego both to confront and avoid anxiety and psychic disturbance. They are therefore among the attempts to work through psychic conflict but if they are deployed in an excessive or inappropriate way they can compromise psychic growth.

There is no clear distinction in Sigmund Freud's work between a defense and a defense mechanism, (the latter referring to the unconscious processes by which the defense operates). The concept of defense first appeared in his article "The Neuro-Psychoses of Defence" (1894a) and was next discussed in "Further Remarks on the Neuro-Psychoses of Defence" (1896b) and "The Aetiology of Hysteria" (1896c). Finally, in the text entitled "Instincts and their Vicissitudes" (1915c), turning against the self and reversal into the opposite were identified as defense mechanisms, in addition to repression and sublimation.

For Freud, the concept of defense refers to the ego's attempts at psychic transformation in response to representations and affects that are painful, intolerable, or unacceptable.

He abandoned the concept of defense for a period in favor of the concept of repression. He then re-introduced it in "Neurotic Mechanisms in Jealousy, Paranoia and Homosexuality" (1922b [1921]). Freud

FILM STUDIES THE BASICS

Amy Villarejo

 **Routledge**
Taylor & Francis Group

First published 2007
by Routledge
2 Park Square, Milton Park, Abingdon, Oxon, OX14 4RN

Simultaneously published in the USA and Canada
by Routledge
270 Madison Ave, New York, NY 10016

Routledge is an imprint of the Taylor & Francis Group, an informa business

© 2007 Amy Villarejo

This edition published in the Taylor & Francis e-Library, 2006.

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British Library Cataloguing in Publication Data
A catalogue record for this book is available from the British Library

Library of Congress Cataloging in Publication Data
A catalog record for this book has been requested

ISBN10: 0-415-36138-9 ISBN13: 978-0-415-36138-5 (hbk)
ISBN10: 0-415-36139-7 ISBN13: 978-0-415-36139-2 (pbk)
ISBN10: 0-203-01203-8 ISBN13: 978-0-203-01203-1 (ebk)

which many academics and college / university courses rely regularly are David Bordwell and Kristin Thompson, *Film Art: An Introduction* (1993), and Timothy Corrigan and Patricia White, *The Film Experience* (2004). Both texts multiply the number of terms I present here, and both acknowledge the paradoxical, if not impossible, nature of any taxonomy of film. In giving names to what we see and hear, that is, we necessarily translate; we represent, in the medium of written language, the sensory experience of watching and listening. (The still images sprinkled throughout this text and others repeat the problem on another register, insofar as they finesse the phenomenon of duration and exemplify in their stillness all that cinema sought to overcome in its illusion of motion. Would that the web overcame the hurdles of copyright so that you could read this with “live” streams.) This summary means, then, to spur you toward more watching, more listening, more reading, more thinking about what you see and hear. That said, there is no other chapter-length summary like it. It moves quickly and might function nicely as a reference to which you may wish to return.

FILM ANALYSIS, THE BASICS: *MISE-EN-SCÈNE*

We start with *mise-en-scène*. From the French – not a bad language to sharpen if you’re drawn to cinema studies – in its initial use it meant the theatrical process of staging. In film study it retains the theatrical overtones, meaning to “put into the scene” and designating all that encompassed by the **frame** (the bounded axes of the image, discussed in the section on “Cinematography;” see pp. 36–42). In the study of *auteurs*, you will recall, it was in *mise-en-scène* that the French intellectuals found the evidence for authorial signatures and individual genius, but it is also in *mise-en-scène* that we often find a palpable manifestation of what we might call in the vernacular the “world of the film,” its feel, its attitude toward detail, its sense of its own reality against which we can measure its representations. It thus provides a useful starting point for describing what you’re seeing. If viewers of Edward D. Wood, Jr.’s *Plan 9 From Outer Space* (1959) observe gleefully that the “flying saucer” is in reality a metal pie plate suspended by a visible string, Wood’s earnest world of zombies and space travel, like many of the

RICHARD BARSAM

DAVE MONAHAN



LOOKING AT MOVIES

AN INTRODUCTION TO FILM

FIFTH EDITION

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Printed in the United States of America.
Fifth Edition

Editor: Spencer Richardson-Jones
Editorial assistant: Rachel Taylor
Project editor: Sujin Hong
Production manager: Andy Ensor
Design director: Bibina Yeh
Book and cover designer: Anna Reich
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Permissions manager: Megan Jackson
Composition: Achorn International
Digital art file manipulation: Jay's Publishers Services
Manufacturing: Quad/Graphics Versailles
Development Editor for the First Edition: Kurt Wildermuth
Authors photograph taken by Joshua Curry

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Library of Congress Cataloging-in-Publication Data

Barsam, Richard Meran.
Looking at movies : an introduction to film / Richard Barsam & Dave Monahan.—5th Edition.
pages cm
Includes bibliographical references and index.

ISBN 978-0-393-26519-4 (pbk. : alk. paper)

1. Motion pictures. 2. Cinematography. I. Monahan, Dave. II. Title.

PN1994.B313 2015

791.43—dc23

2015032210

W. W. Norton & Company, Inc., 500 Fifth Avenue, New York, N.Y. 10110
www.norton.com

W. W. Norton & Company Ltd., Castle House, 75/76 Wells Street, London W1T 3QT

1 2 3 4 5 6 7 8 9 0

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

performance, and production-design stylings that subvert audience expectations as only an experimental film can.

We've already discussed the importance of narrative to many documentary films. A growing number of narrative feature films that incorporate documentary techniques demonstrate that the borrowing works in both directions. Contemporary directors such as Jean-Pierre and Luc Dardenne (*Two Days, One Night*, 2014), Lance Hammer (*Ballast*, 2008), Benh Zeitlen (*Beasts of the Southern Wild*, 2012), Ryan Coogler (*Fruitvale Station*, 2013), and Kelly Reichardt (*Night Moves*, 2014) use small crews, natural lighting, handheld cameras, and nonactors (alongside deglamorized professionals) to lend their gritty narrative films the sense of authentic realism associated with documentary aesthetics and techniques.³

Genre

Our brief survey of documentary and experimental cinema demonstrates that both of these primary types of movies can be further divided into defined subcategories. These distinctions are both useful and inevitable. Any art form practiced by ambitious innovators and consumed by a diverse and evolving culture can't help developing in multiple directions. When filmmakers and their audiences recognize and value particular approaches to both form and content, these documentary or experimental subcategories are further differentiated and defined. And the moment such a distinction is accepted, filmmakers and viewers will begin again to refine, revise, and recombine the elements that defined the new categorization in the first place.

Genre refers to the categorization of narrative films by the stories they tell and the ways they tell them. Commonly recognized movie genres include the Western, horror, science fiction, musical, and gangster film. But this is far from a complete list. The film industry continues to make action movies, biographies (biopics), melodramas, thrillers, romances, romantic comedies, fantasy films, and many others that fall within some genre or subgenre category.



Cinema of ideas

All cinema is about ideas—many about the idea of cinema itself—and there are many ways to make a film. Some filmmakers find nothing more challenging than making a movie about an idea for its own sake. With *The Tree of Life* (2011), writer/director Terrence Malick gently deals with such abstract ideas as life and death, love, family, joy and sorrow, the flow of time, and whether eternity exists. Its visual impact, produced by vivid images of our natural world, creates an overlaying structure. Under that he gently tucks a beautifully realized account of one family's life in the 1950s American Southwest, thus letting us experience the universe and the individual. But its principal purpose, like that of all cinema, is to make us see and help us understand its ideas.

A long list like that may lead you to believe that all films are genre movies. Not so. A quick scan of the movies in theaters during a single week in 2014 reveals many narrative films that tell stories and employ styles that don't fit neatly into any existing genre template. The nongenre titles filling out the top fifteen box office leaders during the last weekend in 2014, for example, included *Night at the Museum: Secret of the Tomb* (Shawn Levy), *The Gambler* (Rupert Wyatt), *Wild* (Jean-Marc Vallée), and *Top Five* (Chris Rock), as well as *The Hunger Games: Mockingjay—Part 1* (Francis Lawrence), which borrows from a number of genres but doesn't land directly in any.

Genre is certainly not the only way that narrative movies are classified. The film industry breaks down films according to studio of origin, budget, target audience, and distribution patterns. Moviegoers often make viewing decisions according to the directors and/or stars of the films available. Film scholars may categorize and analyze a movie based on a wide range of criteria, including its specific aesthetic style, the artists who created it,

3. Many thanks to Dr. James Krual and University of North Carolina Wilmington professors Shannon Silva, Andre Silva, and Dr. J. Carlos Kase for some of the ideas in this analysis.

Press **Esc** to exit full screen



AN INTRODUCTION TO TELEVISION STUDIES **3RD EDITION**

JONATHAN BIGNELL



Third edition published 2013
by Routledge
2 Park Square, Milton Park, Abingdon, Oxon OX14 4RN

Simultaneously published in the USA and Canada
by Routledge
711 Third Avenue, New York, NY 10017

Routledge is an imprint of the Taylor & Francis Group, an informa business

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First edition published by Routledge 2004
Second edition published by Routledge 2008

British Library Cataloguing in Publication Data

A catalogue record for this book is available from the British Library

Library of Congress Cataloging-in-Publication Data

Bignell, Jonathan.

An introduction to television studies / Jonathan Bignell. – 3rd ed.

p. cm.

Includes bibliographical references and index.

1. Television broadcasting. 2. Television. I. Title.

PN1992.5.B48 2012

791.45–dc23

2012018128

ISBN: 978-0-415-59816-3 (hbk)

ISBN: 978-0-415-59817-0 (pbk)

ISBN: 978-0-203-13495-5 (ebk)

Typeset in Janson and Akzidenz Grotesk
by Keystroke, Station Road, Codsall, Wolverhampton

- semiotics** the study of signs and their meanings, initially developed for the study of spoken language, and now used also to study the visual and aural 'languages' of other media such as television.
- serial** a television form where a developing narrative unfolds across a sequence of separate episodes.
- series** a television form where each programme in the series has a different story or topic, though settings, main characters or performers remain the same.
- set-top box** the electronic decoding equipment connected to home television sets that allows access to digital television signals.
- shooting ratio** the number of minutes of film used to film a scene or complete programme as compared to the screen-time of the finished scene or programme.
- shot-reverse-shot** the convention of alternating a shot of one character and a shot of another character in a scene, producing a back-and-forth movement which represents their interaction visually.
- sign** in semiotics, something which communicates meaning, such as a word, an image or a sound.
- simulation** a representation that mirrors an aspect of reality so perfectly that it takes the place of the reality it aims to reproduce.
- slot** the position in a television schedule where a programme is shown.
- soap opera** a continuing drama serial involving a large number of characters in a specific location, focusing on relationships, emotions and reversals of fortune.
- sociology** the academic study of society, aiming to describe and explain aspects of life in that society.
- spectacle** a fascinating image which draws attention to its immediate surface meanings and offers visual pleasure for its own sake.
- spin-off** a product, television programme, book, etc. that is created to exploit the reputation, meaning or commercial success of a previous one, often in a different medium from the original.
- sponsorship** the funding of programmes or channels by businesses, whose name is usually prominently displayed in the programme or channel as a means of advertising.
- status quo** a Latin term meaning the ways that culture and society are currently organised.
- storyboard** a sequence of drawn images showing the shots to be used in a programme.
- strand** a linked series of programmes, sharing a common title.
- stripping** in television scheduling, placing a programme or genre of programme at the same time on several days of each week.
- structure of feeling** the assumptions, attitudes and ideas prevalent in a society, arising from the ideologies underpinning that society.

Types of Drama

Drama usually occurs in one of three forms: the stand-alone drama, the drama series, and the drama serial.

The Stand-alone Drama

A stand-alone drama is complete in one showing. Like the average movie, the stand-alone drama is typically 60–90 minutes long and contains one major plot.

The Drama Series

The drama series is a collection of short dramas (typically, each drama in the series is 20 or 30 minutes long) broadcast on a weekly basis. The same main characters appear in each program of the series, but they are engaged in a separate and complete plot (story) every week. The drama series can be compared to a regular newspaper comic strip: the same characters appear every week, but they are involved in a different activity each time they appear. (The Design Document sample that is given in Appendix B was created for a drama series.)

The Serial Drama

A serial drama is an ongoing story divided into episodes (much like the chapters of a novel) that are shown on air regularly: day by day or week by week for a period of six months, a year or even more. At the end of each episode the story is left incomplete, closing on a question or a note of suspense so that viewers are encouraged to watch the following episode to find out what will happen next. Typically, the E-E drama is shown at the rate of one episode per week for 6–12 months. In some cases, the drama is extended and becomes a part of regular entertainment for viewers. The famous, award-winning South African series *Soul City* has been on the air since 1994 with once-a-week TV serial. In the last few years, the social change efforts of this series have been enhanced by a radio drama that is aired every day, and the addition of a children's television and radio series, *Soul Buddyz*.*

Any of these drama formats—the stand-alone drama, the drama series, or the drama serial—can be comic, tragic, mysterious, adventurous, or can combine two or more of these emotions. The serial drama, which usually contains three or more separate plots, can represent a number of emotions so that it can be, for example, tragic in one plot, amusing in another (which might also contain a love story), and frightening in yet a third plot. Similarly, these separate plots can be designed to appeal to different audiences (adolescents, rural workers, and city dwellers) but subtly blended in a way that gives the message universal relevance.

* The Soul City Institute for Health and Development, led by its founder, Garth Japhet, is a non-governmental organization based in Johannesburg, South Africa. Known generally as Soul City, the institute was established in 1992 to employ mass media—especially Entertainment-Education dramas—for health improvement and social development. Details of the program types and the remarkable success of Soul City can be found on www.soulcity.org.

MEMAHAMI FILM

HIMAWAN
PRATIESTA



Memahami Film

Penulis : Himawan Pratista

Editor : Esthi Damayati

Design Cover : Hannaniel Lidia

Ilustrator: Eka Prasetya Hendrawan, ST., MT.

Layout: Sutopo

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Ukuran 15,5cm X 23,5cm

Diterbitkan oleh

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ISBN 978-979-17454-2-0

Cetakan 1, 2008

Cetakan 2, 2017

Hak cipta dilindungi oleh Undang-undang. Dilarang mengutip atau memperbanyak sebagian atau seluruh isi buku tanpa izin tertulis dari Penerbit

musikal, *western* dan sebagainya. Genre secara umum membagi film berdasarkan jenis dan latar ceritanya. Masing-masing memiliki karakteristik khas yang membedakan satu genre dengan genre lainnya. Bab ini secara khusus akan membahas lebih jauh tentang klasifikasi film berdasarkan genre.

BAB III.1. Definisi dan Fungsi Genre

Istilah genre berasal dari bahasa Perancis yang bermakna "bentuk" atau "tipe". Kata genre sendiri mengacu pada istilah Biologi yakni, *genus*, sebuah klasifikasi flora dan fauna yang tingkatannya berada di atas *spesies* dan di bawah *family*. *Genus* mengelompokkan beberapa *spesies* yang memiliki kesamaan ciri-ciri fisik tertentu. Dalam film, genre dapat didefinisikan sebagai jenis atau klasifikasi dari sekelompok film yang memiliki karakter atau pola sama (khas) seperti *setting*, isi dan subyek cerita, tema, struktur cerita, aksi atau peristiwa, periode, gaya, situasi, ikon, *mood*, serta karakter. Klasifikasi tersebut menghasilkan genre-genre populer seperti aksi, petualangan, drama, komedi, horor, *western*, *thriller*, *film noir*, roman, dan sebagainya.

Contoh sederhana adalah genre *western*. Genre ini memiliki cerita, karakter, serta *setting* yang lazim digunakan. Cerita filmnya sering kali berkisah tentang seorang koboi pengembara jago tembak yang suka membantu kaum lemah yang ditinda oleh seorang tuan tanah jahat. Di akhir kisah sang jagoan berduel dengan musuhnya, menang, dan kembali pergi mengembara. *Western* juga memiliki karakter-karakter dengan penampilan fisik yang khas, seperti koboi dengan kostumnya, topi, sepatu, pistol, sabuk kulit, dan lainnya. *Setting* biasanya berupa kota kecil di tengah padang, bar, *ranch*, padang tandus, sungai dan sebagainya. Aksi berkuda, tembak-menembak, duel senjata, perkelahian tangan kosong, perampokan bank adalah hal-hal yang sering kita jumpai dalam film *western*. Seperti halnya *western*, genre lainnya juga memiliki karakteristiknya masing-masing.

Fungsi utama genre adalah untuk memudahkan klasifikasi sebuah film. Film yang diproduksi sejak awal perkembangan sinema hingga kini mungkin telah jutaan lebih jumlahnya. Genre membantu kita memilah film-film tersebut sesuai dengan spesifikasinya. Industri film sendiri sering menggunakannya sebagai strategi marketing. Genre apa yang kini sedang menjadi tren menjadi tolak ukur film yang akan diproduksi. Selain untuk klasifikasi, genre juga dapat berfungsi sebagai antisipasi penonton terhadap film yang akan ditonton.

Jika seorang penonton telah memutuskan untuk melihat sebuah genre tertentu maka sebelumnya ia telah mendapatkan gambaran utuh (ide) di kepalanya tentang film yang akan ia tonton. Misalnya jika kita ingin mendapat hiburan ringan, umumnya kita akan memilih film bergenre aksi atau komedi.

BAB III.2. Klasifikasi Genre

Dari masa ke masa film semakin berkembang demikian pula genre. Sebuah genre biasanya ditetapkan setelah beberapa film yang mewakili genre tersebut sukses dan berkembang menjadi tren. Hampir semua genre besar mengalami pasang-surut dalam perkembangannya dan tidak selalu populer sepanjang masa. Contohnya seperti film-film musikal kini tidak sepopuler dan sesukses masa keemasan di era 1940-an. Pada era tersebut film-film terlaris didominasi oleh jenis film musikal, namun kini tercatat hanya beberapa film saja yang sukses. Contoh lainnya adalah genre horor yang amat sukses dan populer di era 1930-an, baru bangkit kembali di era 1970-an melalui film-film horor supernatural. Film-film bencana sejak era 1990-an hingga kini masih sangat populer namun sebenarnya genre ini telah mengalami masa keemasan pada era 1970-an.

Variasi genre sendiri jumlahnya bisa mencapai ratusan. Tiap periode dan wilayah (negara) masing-masing juga memiliki genre khasnya. Di Jepang dikenal genre-genre populer seperti, *chambara* (aksi pedang), *ahamono* (ibu/keluarga), serta *sarariman* (pekerja kantor); di Jerman juga dikenal *Heimatfilm* sebuah film tentang kehidupan di kota kecil serta *kammerspiel* sebuah film drama yang memiliki setting cerita (ruang) yang terbatas; di Italia sempat dikenal *white telephone*, yakni film yang berkisah tentang kehidupan masyarakat atas, serta *spaghetti western* (*western* produksi Italia); di India kita kenal dengan genre musikal khasnya; dan lain sebagainya.

Patut kita catat bahwa kebanyakan film merupakan kombinasi dari beberapa genre sekaligus. Kombinasi genre dalam sebuah film sering diistilahkan genre *hibrida* (campuran). Walaupun begitu biasanya sebuah film tetap memiliki satu atau dua genre yang dominan. Sebagai contoh seri film populer James Bond, secara umum dapat kita kategorikan sebagai genre spionase. Namun jika kita amati lebih jauh lagi film-film James Bond juga merupakan campuran dari genre aksi, petualangan, *thriller*, fiksi-ilmiah, roman,

komedi, politik, dan lain sebagainya. Adapun kombinasi genre yang populer saat ini seperti komedi-fantasi, *thriller*-kriminal serta aksi-fiksi ilmiah. Perlu dicatat pula bahwa klasifikasi film berdasarkan genre hanyalah merupakan suatu konvensi umum yang sifatnya dinamis. Karakteristik sebuah genre boleh jadi tidak mengacu pada satu masa tertentu namun terus berkembang setiap saat. Faktor-faktor inilah yang menyebabkan mengapa studi terhadap genre begitu sulit dilakukan.

Genre juga terdapat pada berbagai jenis serta bentuk film. Film dokumenter misalnya, bisa kita kelompokkan menjadi beberapa genre, seperti perang, flora, fauna, ekspedisi, politik, budaya, agama, dan sebagainya. Bentuk film animasi juga memiliki genre walaupun umumnya diproduksi untuk konsumsi keluarga dan anak-anak. Film-film animasi populer, seperti *The Little Mermaid*, *The Beauty and the Beast*, *Alladin*, memiliki perpaduan antara genre roman, fantasi, serta musikal. Sementara *The Iron Giant* merupakan perpaduan genre drama dan fiksi ilmiah. Film animasi produksi Jepang, *Princess Mononoke* merupakan perpaduan genre petualangan dan fantasi. Bahkan hingga genre seperti epik sejarah tampak dalam film animasi seperti *Prince of Egypt*.

Hollywood sebagai industri film terbesar di dunia sejak awal dijadikan sebagai titik tolak perkembangan genre-genre besar dan berpengaruh. Genre-genre besar ini jumlahnya hingga kini telah mencapai puluhan. Untuk memudahkan pembahasan, genre-genre besar ini akan kita bagi berdasarkan pengaruh dan sejarah perkembangannya. Genre-genre besar ini akan kita bagi menjadi dua kelompok, yakni genre induk primer dan genre induk sekunder. Genre-genre induk ini merupakan landasan utama bagi pengembangan genre-genre kecil (khusus) dibawahnya. Masing-masing genre tersebut memiliki karakteristik serta pola dasar yang berbeda-beda. Perlu dicatat pula bahwa setiap film cerita setidaknya memiliki satu genre induk. Dalam pembahasan selanjutnya kita dapat mengetahui gambaran umum mengenai karakteristik tiap genre induk.

Skema Genre Induk Primer dan Sekunder

<i>Genre Induk Primer</i>	<i>Genre Induk Sekunder</i>
Aksi	Bencana
Drama	Biografi
Epik Sejarah	Detektif
Fantasi	<i>Film noir</i>
Fiksi-ilmiah	Melodrama
Horor	Olahraga
Komedi	Perjalanan
Kriminal dan Gangster	Roman
Musikal	<i>Superhero</i>
Petualangan	Supernatural
Perang	Spionase
<i>Western</i>	<i>Thriller</i>

BAB III.2.1 Genre Induk Primer

Genre induk primer merupakan genre-genre pokok yang telah ada dan populer sejak awal perkembangan sinema era 1900-an hingga 1930-an. Bisa kita katakan bahwa setiap film pasti mengandung setidaknya satu unsur genre induk primer namun lazimnya sebuah film adalah kombinasi dari beberapa genre induk sekaligus. Tidak semua genre induk primer populer dan sukses dari masa ke masa. Genre-genre seperti aksi, drama, komedi, horor, fantasi, serta fiksi ilmiah, relatif masih populer hingga kini. Namun genre-genre seperti musikal, epik sejarah, perang, serta *western* jauh lebih populer dan sukses pada era silam (klasik).

Aksi

Film-film aksi berhubungan dengan adegan-adegan aksi fisik seru, menegangkan, berbahaya, nonstop dengan tempo cerita yang cepat. Film-film aksi umumnya berisi adegan aksi kejar-mengejar, perkelahian, tembakan-menembak, balapan, berpacu dengan waktu, ledakan, serta aksi-aksi fisik lainnya. Aksi kejar-mengejar sering kali menggunakan berbagai cara dan moda transportasi seperti berlari, berkuda, sepeda, mobil, motor, truk, kereta api, kapal, helikopter, pesawat, dan sebagainya. Film-film aksi juga umumnya

memiliki karakter protagonis dan antagonis yang jelas serta konflik berupa konfrontasi fisik. Tokoh protagonis biasanya mahir dalam pertempuran senjata maupun tangan kosong. Biasanya tokoh protagonis adalah seorang penegak hukum seperti polisi, detektif, agen pemerintah, tentara, veteran perang, dan sebagainya. Dalam cerita film umumnya pihak protagonis selalu terancam jiwanya dan selalu berada di bawah tekanan pihak antagonis. Film aksi umumnya menggunakan karakter laki-laki sebagai tokoh utama dan sasaran penonton pun biasanya ditujukan untuk kaum pria.

Genre aksi adalah salah satu genre yang paling adaptif dengan genre lainnya. Genre ini mampu berkombinasi dengan semua genre induk, seperti, petualangan, *thriller*, kriminal, fiksi-ilmiah, drama, komedi, perang, fantasi, dan bencana. Film-film aksi sering kali menghabiskan biaya produksi besar karena menggunakan bintang-bintang populer serta adegan aksi yang spektakuler. Aktor-aktor besar yang identik dengan jenis film aksi adalah Arnold Schwarzenegger, Sylvester Stallone, Bruce Willis, Steven Seagal, Jean Claude Van Damme, Chuck Norris, Steve McQueen, Charles Bronson, Mel Gibson, Jet Li, serta Jacky Chan. Film aksi sering kali sukses di pasaran walaupun kualitasnya masih sering dipertanyakan.

Drama

Film drama bisa jadi merupakan genre yang paling banyak diproduksi karena jangkauan ceritanya yang sangat luas. Film-film drama umumnya berhubungan dengan tema, cerita, *setting*, karakter, serta suasana yang memotret kehidupan nyata. Konflik bisa dipicu oleh lingkungan, diri sendiri, maupun alam. Kisahnya sering kali menggugah emosi, dramatik, dan mampu menguras air mata penontonnya. Tema umumnya mengangkat isu-isu sosial baik skala besar (masyarakat) maupun skala kecil (keluarga) seperti ketidakadilan, kekerasan, diskriminasi, rasialisme, ketidakharmonisan, masalah kejiwaan, penyakit, kemiskinan, politik, kekuasaan, dan sebagainya. Film-film drama umumnya tidak terfokus pada aksi fisik atau komedi dan jarang sekali menggunakan efek visual. Kisahnya sering kali diadaptasi dari pertunjukan, karya sastra, novel, puisi, catatan harian, dan sebagainya.

Seperti halnya film aksi, genre drama mampu berkombinasi dengan genre apapun seperti komedi, *thriller*, fiksi-ilmiah, *western*, kriminal, fantasi, horor, serta perang. Genre roman, melodrama, biografi merupakan pengembangan langsung dari genre drama. Film film drama umumnya bisa

ditonton oleh semua kalangan namun sering kali juga membidik kalangan penonton tertentu seperti keluarga, remaja, dan anak-anak. Tidak seperti genre aksi, film-film drama kadang kurang berhasil di pasaran namun sering kali mendapat pengakuan tinggi dari para pengamat film. Film-film yang mampu memenangkan penghargaan film terbaik pada berbagai ajang festival umumnya adalah film ber-genre drama beserta pengembangannya.

Epik Sejarah

Genre ini umumnya mengambil tema periode masa silam (sejarah) dengan latar sebuah kerajaan, peristiwa atau tokoh besar yang menjadi mitos, legenda atau kisah biblikal. Film berskala besar (kolosal) ini sering kali menggunakan *setting* mewah dan megah, ratusan hingga ribuan figuran, variasi kostum dengan asesori yang unik, serta variasi perlengkapan perang seperti pedang, tameng, tombak, helm, kereta kuda, panah, dan sebagainya. Film epik sejarah juga sering menyajikan aksi pertempuran skala besar yang berlangsung lama. Tokoh utama biasanya merupakan sosok heroik yang gagah berani dan disegani oleh semua lawannya. Genre biografi merupakan pengembangan dari genre epik sejarah. Namun tidak seperti biografi, tingkat keakuratan cerita dalam film epik sejarah sering kali dikorbankan. Adapun contoh film-film epik sejarah yang sukses antara lain, *The Ten Commandments*, *Benhur*, *Cleopatra*, *Spartacus*, *The Last Emperor*, *Braveheart*, *Gladiator*, *Troy*, *Kingdom of Heaven*, serta 2000.

Fantasi

Film fantasi berhubungan dengan tempat, peristiwa, serta karakter yang tidak nyata. Film fantasi berhubungan dengan unsur magis, mitos, negeri dongeng, imajinasi, halusinasi, serta alam mimpi. Film-film fantasi berhubungan dengan pedang dan mantera gaib, naga, kuda terbang, karpet terbang, dewa-dewi, penyihir, jin, serta peri. Film fantasi juga terkadang berhubungan dengan aspek religi, seperti Tuhan atau malaikat yang turun ke bumi, campur tangan kekuatan Ilahi, surga dan neraka, dan lain sebagainya. Film-film fantasi sering kali mengadaptasi kisah 1001 Malam serta mitos dewa-dewi Yunani. Genre fantasi biasanya juga bersinggungan dengan fiksi ilmiah, petualangan, supernatural, dan horor. Film-film fantasi yang populer antara lain, *It's a Wonderful Life*, *The Wizard of Oz*, trilogi *The Lord of The Rings*, serta seri *Harry Potter*. Film-film fantasi juga sering diproduksi

menggunakan teknik animasi oleh studio *Walt Disney*, seperti *The Little Mermaid*, *The Beauty and The Beast*, dan *Aladdin*. Seri populer *Star Wars* merupakan kombinasi antara genre fantasi dan petualangan. Film fantasi umumnya ditujukan untuk penonton remaja dan anak-anak namun kadang juga mampu menarik kalangan dewasa.

Fiksi Ilmiah

Film fiksi ilmiah berhubungan dengan masa depan, perjalanan angkasa luar, percobaan ilmiah, penjelajahan waktu, invasi, atau kehancuran bumi. Fiksi ilmiah sering kali berhubungan dengan teknologi serta kekuatan yang berada di luar jangkauan teknologi masa kini. Film fiksi ilmiah biasanya berhubungan dengan karakter non-manusia atau artifisial, seperti makhluk asing, robot, monster, hewan purba, dan sebagainya. Film fiksi ilmiah mengalami masa emas pada era 1950-an dan hingga kini pun masih sangat populer. Film-film fiksi ilmiah umumnya kaya akan efek visual sehingga menghabiskan biaya produksi yang sangat besar. Genre fiksi ilmiah juga mampu berkombinasi dengan genre apapun seperti aksi, petualangan, fantasi, drama, horor, *film noir*, *western*, dan komedi. Sasaran penonton pun sangat bervariasi, namun genre ini umumnya lebih disukai kaum pria. Film-film fiksi ilmiah yang populer dan sukses antara lain, *2001: Space Odyssey*, *E.T.*, *Star Trek*, *Alien*, *The Terminator*, *Time Machine*, *Planet of the Apes*, *Jurassic Park*, *Independence Day*, serta *The Matrix*.

Horor

Film horor memiliki tujuan utama memberikan efek rasa takut, kejutan, serta teror yang mendalam, bagi penontonnya. Plot film horor umumnya sederhana, yakni bagaimana usaha manusia untuk melawan kekuatan jahat dan biasanya berhubungan dengan dimensi supernatural atau sisi gelap manusia. Film horor umumnya menggunakan karakter-karakter antagonis non-manusia yang berwujud fisik menyeramkan. Pelaku teror bisa berwujud manusia, makhluk gaib, monster, hingga makhluk asing. Film horor biasanya berkombinasi dengan genre supernatural (melibatkan makhluk supernatural atau gaib, seperti hantu, *vampire*, atau *werewolf*), fiksi-ilmiah (melibatkan makhluk angkasa luar atau hasil uji coba ilmiah, seperti *alien*, *zombie*, atau mutan), serta *thriller* (melibatkan seorang psikopat atau pembunuh serial). Film horor umumnya memiliki suasana *setting* gelap dengan dukungan

ilustrasi musik yang mencekam. Sasaran film horor biasanya ditujukan untuk kalangan penonton remaja dan dewasa. Film-film horor yang populer diantaranya, *Frankenstein*, *The Exorcist*, *Dracula*, *Nightmare on Elm Street*, *Night of the Living Dead*, *Friday The 13th*, *The Omen*, dan *Scream*.

Komedi

Komedi boleh jadi merupakan genre yang paling populer di antara semua genre lainnya sejak era silam. Komedi adalah jenis film yang tujuan utamanya memancing tawa penontonnya. Film komedi biasanya berupa drama ringan yang melebih-lebihkan aksi, situasi, bahasa, hingga karakternya. Film komedi juga biasanya selalu berakhir dengan penyelesaian cerita yang memuaskan penontonnya (*happy ending*). Film komedi secara umum dibagi menjadi dua jenis yakni, komedi situasi (unsur komedi menyatu dengan cerita) serta komedi lawakan (unsur komedi bergantung pada figur komedian). Kedua jenis komedi ini juga sering berkombinasi. Genre komedi secara khusus dapat dipecah menjadi beberapa jenis dan bentuk, yakni *slapstick* (menekankan aksi konyol), komedi verbal (menekankan dialog), *screwball comedy* (komedi tim berpasangan dan populer di era 40-an), komedi hitam (mengangkat tema gelap seperti, perang, kematian, kriminal), serta parodi atau satir (imitasi film-film populer).

Genre komedi sering berkombinasi dengan genre aksi, drama, musikal, serta roman. Sasaran film komedi umumnya ditujukan untuk penonton remaja, keluarga, dan anak-anak. Beberapa figur tokoh dan tim komedian besar di era klasik adalah Charlie Chaplin, Buster Keaton, Marx Brothers, Laurel & Hardy, Abbot & Castello, Mr. Hulot, serta grup Monty Phyton. Sementara figur komedian yang populer di era kini antara lain, Allen, Steve Martin, Eddie Murphy, Martin Lawrence, Robin Williams, Mike Myers, Rowan Atkinson, serta Jim Carrey. Adapun contoh film-film komedi yang populer berdasarkan jenisnya, seperti *Mr. Bean Holiday* dan *Ace Ventura* (*slapstick*), *Annie Hall* (verbal), *Bringing Up Baby* dan *His Girl Friday* (*screwball*), *Dr. Strangelove* (komedi hitam), serta *Scarry Movie* dan *Austin Powers* (parodi).

Kriminal dan *Gangster*

Film-film kriminal dan *gangster* berhubungan dengan aksi-aksi kriminal seperti, perampokan bank, pencurian, pemerasan, perjudian, pembunuhan, persaingan antar kelompok, serta aksi kelompok bawah tanah yang bekerja

di luar sistem hukum. Sering kali film jenis ini mengambil kisah kehidupan tokoh kriminal besar yang diinspirasi dari kisah nyata. Genre ini juga sering menampilkan perseteruan antara pelaku kriminal dengan penegak hukum seperti, detektif swasta, polisi, pengacara, atau agen rahasia. Tidak seperti genre aksi, film-film kriminal dan *gangster* sering menampilkan adegan aksi keketasan yang lebih tidak manusiawi (sadis). Ciri khas adegan aksinya adalah menggunakan tongkat pemukul, senapan mesin, serta bom mobil.

Tokoh kriminal biasanya adalah sosok laki-laki ambisius, materialis, sadis, imoral, dan menggunakan cara apa pun untuk mencapai tujuannya. Sebaliknya sosok penegak hukum biasanya adalah sosok yang taat hukum, keras, serta menggunakan caranya sendiri untuk menangkap buruannya. Cerita film umumnya mengambil latar kota besar dengan penduduk yang padat. Dalam sejarah perkembangannya genre ini berkembang menjadi detektif (misteri), *film noir*, serta film penjara atau narapidana. Genre ini sangat populer di era 1930-an dan bangkit kembali di era 1970-an. Adapun film-film kriminal dan *gangster* yang populer antara lain *The Godfather*, *The French Connection*, *Dirty Harry*, *Scarface*, *A Dog Day Afternoon*, *Heat*, *Goodfellas*, *Casino*, *Road to Perdition*, *Ocean Eleven*, serta *The Departed*.

Musikal

Genre musikal adalah film yang mengkombinasi unsur musik, lagu, tari (dansa), serta gerak (koreografi). Lagu-lagu dan tarian biasanya mendominasi sepanjang film dan biasanya menyatu dengan cerita. Penggunaan musik dan lagu bersama liriknya biasanya mendukung jalannya alur cerita. Cerita film-film musikal umumnya berkisah ringan seperti percintaan, kesuksesan, serta popularitas. Saaran film musikal lebih ditujukan untuk penonton keluarga, remaja, dan anak-anak. Film-film musikal berskala besar mengalami masa emas di era 1940-an hingga 1960-an melalui film-film populer seperti, *Singin' in the Rain*, *The Sound of Music*, serta *West Side Story*. Pada era 1970-an film musikal masih menyisakan sukses melalui *Saturday Night Fever* dan *Grease*. Pada era sekarang ini film musikal telah jarang diproduksi. Studio Walt Disney mendominasi produksi film animasi-musikal, seperti *The Beauty & Beast*, *Aladdin*, dan *The Lion King*. Sementara film-film musikal non-animasi yang menonjol pada dua dekade belakangan ini tercatat hanya *Frita*, *Moulin Rouge*, *Chicago*, serta *Dreamgirls*.

Petualangan

Film petualangan berkisah tentang perjalanan, eksplorasi, atau ekspedisi ke suatu wilayah asing yang belum pernah tersentuh. Film-film petualangan selalu menyajikan panorama alam eksotis seperti hutan rimba, pegunungan, savana, gurun pasir, lautan, serta pulau terpencil. Plot film umumnya seputar pencarian sesuatu yang bernilai seperti, harta karun, artefak, kota yang hilang, mineral (emas & berlian), dan sebagainya; atau usaha penyelamatan diri dari suatu wilayah tak dikenal; atau bisa pula usaha penaklukan sebuah wilayah. Film-film petualangan sering kali berkombinasi dengan genre aksi, epik sejarah, fantasi, fiksi ilmiah, serta perang. Sasaran penonton film petualangan biasanya ditujukan untuk semua umur. Adegan-adegan aksinya biasanya juga lebih halus daripada film-film aksi yang selalu mengumbar kekerasan. Film petualangan terutama di era klasik kadang juga melibatkan tokoh-tokoh pahlawan seperti *Tarzan*, *Robin Hood*, *Sinbad*, dan *Zorro*. Film-film petualangan biasanya menghabiskan biaya produksi yang sangat besar namun suksesnya luar biasa di pasaran. Film-film petualangan yang populer contohnya trilogi *Indiana Jones*, *Congo*, trilogi *Pirates of the Caribbean*, *The Mummy*, serta *King Kong*.

Perang

Genre perang mengangkat tema kengerian serta teror yang ditimbulkan oleh aksi perang. Film-film perang umumnya menampilkan adegan pertempuran seru baik di darat, laut, maupun udara. Film-film perang biasanya memperlihatkan kegigihan, perjuangan, dan pengorbanan para tentara dalam melawan musuh-musuh mereka. Tidak seperti epik sejarah, film perang umumnya menampilkan adegan pertempuran dengan kostum, peralatan, perlengkapan, serta strategi yang relatif modern, mulai dari seragam, topi, sepatu bot, pistol, senapan mesin, granat, meriam, tank, helikopter, rudal, torpedo, pesawat jet, kapal tempur, kapal selam, dan lain sebagainya. Film-film perang sering kali mengambil latar periode perang sipil di Amerika dan Rusia, perang dunia pertama dan kedua, perang Vietnam, perang Teluk, serta konflik di Timur Tengah.

Film-film bertema kamp tahanan perang, *holocaust*, kamp pelatihan perang, serta veteran perang, merupakan pengembangan dari genre ini. Genre perang sangat mudah berkombinasi dengan genre drama, fiksi ilmiah, *western*, petualangan, roman, *thriller*, komedi, serta epik sejarah. Film-film

perang juga kadang digunakan sebagai media propaganda anti perang melalui isu-isu seputar moral serta kehancuran akibat perang. Film-film perang yang populer antara lain, *The Bridge is Too Far*, *The Alamo*, *Appocalypse Now*, *The Deer Hunter*, *Das Boot*, *Platoon*, *Top Gun*, *Saving Private Ryan*, *Black Hawk Dawn*, *U-571*, serta *Pearl Harbour*. Contoh film-film kombinasinya seperti *Predator* (fiksi ilmiah), *The English Patient* (roman), *The Pianist* (biografi), *The Last Mohicans* (western), serta *Stalag 17* (komedi).

Western

Western adalah sebuah genre orisinal milik Amerika. Tidak seperti genre-genre sebelumnya *western* memiliki beberapa ciri karakter tema serta fisik yang sangat spesifik. Tema film *western* umumnya seputar konflik antara pihak baik dan jahat. *Setting* sering kali menampilkan kota kecil, bar, padang gersang, sungai, rel kereta api, pohon kaktus, *ranch* atau peternakan, serta perkampungan suku indian. *Western* juga memiliki karakter-karakter yang khas, yakni koboi, indian, kavaleri, *sheriff*, deputi; juga binatang seperti kuda, sapi, keledai, ular dik, burung bangkai, dan sebagainya. Film *western* umumnya berisi aksi tembak-menembak, aksi berkuda, lempar tali (*lasso*), serta yang menjadi *trademark* yakni, aksi duel. Karakter-karakternya memiliki perlengkapan serta kostum yang khas seperti, pistol, senapan, jaket kulit, sabuk, topi, sepatu bot hingga aksen (dialog) yang khas.

Kisah film-film *western* seringkali merujuk pada tokoh-tokoh besar, seperti Wyatt Earp, Buffalo Bill, dan Billy the Kid. Sementara beberapa aktor-aktor besar yang menjadi ikon *western* antara lain, John Wayne, Gary Cooper, dan Clint Eastwood. Sineas-sineas besar seperti, John Ford, Sergio Leone, serta Sam Peckinpah juga mendapat julukan sineas spesialis *western*. Film-film *Western* juga sering berkombinasi dengan genre drama, perang, dan petualangan. *Spaghetti western* adalah satu contoh genre pengembangan *western* produksi Italia pada era 1960-an. Adapun film-film *western* yang populer antara lain, *High Noon*, *Stagecoach*, *The Searchers*, *The Good The Bad and The Ugly*, *The Wild Bunch*, dan *Once Upon a Time in the West*. Setelah era 1970-an film film *western* makin jarang diproduksi namun beberapa diantaranya sangat sukses seperti *Dances with Wolves* serta *Unforgiven*. Contoh variasi genre *western* yakni *Blazing Saddles* (komedi), *Shanghai Noon* (komedi), serta *Back to the Future III* (fiksi ilmiah).

BAB III.2.2 Genre Induk Sekunder

Genre induk sekunder adalah genre-gente besar dan populer yang merupakan pengembangan atau turunan dari genre induk primer. Genre induk sekunder memiliki ciri-ciri karakter yang lebih khusus dibandingkan dengan genre induk primer. Seperti halnya genre induk primer, beberapa genre induk sekunder masih populer hingga kini. Genre-gente seperti detektif, *film noir*, serta perjalanan, jauh lebih populer di era silam. Sementara genre-gente seperti *thriller*, bencana, *superhero*, serta spionase masih berjaya pada dua dekade belakangan ini.

Bencana

Film-film bencana (*disaster*) berhubungan dengan tragedi atau musibah baik skala besar maupun kecil yang mengancam jiwa banyak manusia. Secara umum film bencana dibagi dalam dua jenis, bencana alam dan bencana buatan manusia. Bencana alam adalah aksi bencana yang melibatkan kekuatan alam yang merusak dalam skala besar seperti angin topan, tornado, gunung meletus, banjir, gempa bumi, meteor, efek pemanasan global; serta serangan hewan atau binatang seperti virus, lebah, ular, burung, kelelawar, ikan hiu, dan sebagainya. Bencana buatan manusia umumnya berhubungan dengan tindak kriminal atau faktor ketidaksengajaan manusia, seperti aksi terorisme, kecelakaan pesawat terbang, kebocoran reaktor nuklir, kebakaran gedung, malafungsi komputer, kapal karam, dan sebagainya.

Film bencana umumnya menghabiskan biaya produksi yang sangat besar karena skala filmnya yang sangat luas serta penggunaan efek visual yang begitu intensif. Adapun film-film bencana alam yang populer dan sukses, seperti *Earthquake*, *Posidon Adventure*, *Dante's Peak*, *Twister*, *Armageddon*, *The Perfect Storm*, *The Day After Tomorrow*, serta *Jaws*. Sementara film-film bencana buatan manusia yang populer antara lain *The Towering Inferno*, *Airport*, serta *Apollo 13*. Film bencana juga dapat bersinggungan dengan fiksi ilmiah yakni akibat invasi makhluk luar angkasa, seperti *The War of the Worlds* dan *The Independence Day*. Seperti halnya film-film fiksi ilmiah dan *superhero*, film-film bencana pada dua dekade belakangan ini biasanya menjadi jaminan suksesnya sebuah film di pasaran.

Biografi

Biografi (sering diistilahkan *biopic:biography picture*) secara umum merupakan pengembangan dari genre drama dan epik sejarah. Film biografi menceritakan penggalan kisah nyata atau kisah hidup seorang tokoh berpengaruh di masa lalu maupun kini. Film biografi umumnya mengambil kisah berupa suka duka perjalanan hidup sang tokoh sebelum ia menjadi orang besar atau keterlibatan sang tokoh dalam sebuah peristiwa besar. Dalam perkembangannya film-film biografi dapat berkolaborasi dengan genre lain yang lebih spesifik sesuai dengan latar belakang sang tokoh seperti panlawan perang, spiritualis, kriminal, penyanyi atau kelompok musik, pelukis, komposer, peneliti, penulis, presiden, dokter, atlet, petualang dan sebagainya. Film-film biografi sering kali juga mendapat pengakuan terhormat dari para pengamat film. Film-film biografi yang populer antara lain, *Patton, Lawrence of Arabia, Amadeus, Malcolm X, Gandhi, JFK, Schindler's List, Ali, Capote,* serta *Walk the Line*.

Detektif

Genre detektif merupakan pengembangan dari genre kriminal dan gangster dan lebih populer pada era klasik daripada kini. Inti cerita umumnya berpusat pada sebuah kasus kriminal pelik yang belum terselesaikan. Sang tokoh biasanya seorang detektif atau polisi yang menelusuri kembali jejak kasus tersebut dengan merangkai semua bukti, mencari bukti baru, menginterogasi saksi, dan sebagainya. Alur ceritanya sulit diduga serta penuh dengan misteri. Pada akhir cerita tokoh utama biasanya menemukan bukti konkret yang memberatkan seorang tersangka. Pelaku kejahatan biasanya adalah orang yang sama sekali tidak diduga sebelumnya dan pada klimaks cerita sering kali terjadi konfrontasi fisik dengan tokoh utama. Film-film detektif yang populer di era 1930-an dan 1940-an antara lain, seri *Sherlock Holmes*, seri *Charlie Chan*, seri *The Thin Man*, serta adaptasi novel detektif Agatha Christie seperti *The ABC Murders* dan *Murders on the Orient Express*. Film-film detektif di era modern sering berkolaborasi dengan genre aksi dan *thriller* seperti, seri *Dirty Harry*, seri *Lethal Weapon, Seven, Zodiac*, juga komedi seperti, *The Pink Panthers* dan *Rush Hour*.

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Gadjah Mada University Press

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Cetakan pertama 1995

Cetakan kedua Maret 1998

956.05.02.98

Diterbitkan dan dicetak oleh:
GADJAH MADA UNIVERSITY PRESS
Anggota IKAPI
9801012-C2E

ISBN 979-420-340-8

ialah satu bagian dari totalitas itu, salah satu unsur pembangun cerita itu, salah satu subsistem organisme itu. Kata inilah yang menyebabkan novel, juga sastra pada umumnya, menjadi berwujud. Pembicaraan unsur fiksi berikut dilakukan menurut pandangan tradisional dan diikuti pandangan menurut Stanton (1965) dan Chapman (1980).

a. Intrinsik dan Ekstrinsik

Unsur-unsur pembangun sebuah novel—yang kemudian secara bersama membentuk sebuah totalitas itu— di samping unsur formal bahasa, masih banyak lagi macamnya. Namun, secara garis besar berbagai macam unsur tersebut secara tradisional dapat dikelompokkan menjadi dua bagian, walau pembagian ini tidak benar-benar pilah. Pembagian unsur yang dimaksud adalah unsur *intrinsik* dan *ekstrinsik*. Kedua unsur inilah yang sering banyak disebut para kritikus dalam rangka mengkaji dan atau membicarakan novel atau karya sastra pada umumnya.

Unsur intrinsik (*intrinsic*) adalah unsur-unsur yang membangun karya sastra itu sendiri. Unsur-unsur inilah yang menyebabkan karya sastra hadir sebagai karya sastra, unsur-unsur yang secara faktual akan dijumpai jika orang membaca karya sastra. Unsur intrinsik sebuah novel adalah unsur-unsur yang (secara langsung) turut serta membangun cerita. Kepaduan antarberbagai unsur intrinsik inilah yang membuat sebuah novel berwujud. Atau, sebaliknya, jika dilihat dari sudut kita pembaca, unsur-unsur (cerita) inilah yang akan dijumpai jika kita membaca sebuah novel. Unsur yang dimaksud, untuk menyebut sebagian saja, misalnya, peristiwa, cerita, plot, penokohan, tema, latar, sudut pandang penceritaan, bahasa atau gaya bahasa, dan lain-lain.

Di pihak lain, unsur ekstrinsik (*extrinsic*) adalah unsur-unsur yang berada di luar karya sastra itu, tetapi secara tidak langsung mempengaruhi bangunan atau sistem organisme karya sastra. Atau, secara lebih khusus ia dapat dikatakan sebagai unsur-unsur yang mempengaruhi bangun cerita sebuah karya sastra, namun sendiri tidak ikut menjadi bagian di dalamnya. Walau demikian, unsur ekstrinsik cukup berpengaruh (untuk tidak dikatakan: cukup menentukan)

Secara teoretis plot dapat diurutkan atau dikembangkan ke dalam tahap-tahap tertentu secara kronologis. Namun, dalam praktiknya, dalam langkah "operasional" yang dilakukan pengarang tak selamanya tunduk pada teori itu. Secara teoretis-kronologis tahap-tahap pengembangan, atau lengkapnya: struktur plot, dikemukakan sebagai berikut.

a. Tahapan Plot: Awal-Tengah-Akhir

Plot sebuah cerita haruslah bersifat padu, *unity*. Antara peristiwa yang satu dengan yang lain, antara peristiwa yang diceritakan lebih dahulu dengan yang kemudian, ada hubungan, ada sifat saling keterkaitan. Kaitan antarperistiwa tersebut hendaklah jelas, logis, dapat dikenali hubungan kewaktuannya lepas dari tempatnya dalam teks cerita yang mungkin di awal, tengah atau akhir. Plot yang memiliki sifat keutuhan dan kepaduan, tentu saja, akan menyuguhkan cerita yang bersifat utuh dan padu pula.

Untuk memperoleh keutuhan sebuah plot cerita, Aristoteles mengemukakan bahwa sebuah plot haruslah terdiri dari tahap awal (*beginning*), tahap tengah (*middle*), dan tahap akhir (*end*) (Abrams, 1981: 138). Ketiga tahap tersebut penting untuk dikenali, terutama jika kita bermaksud menelaah plot karya fiksi yang bersangkutan.

Tahap Awal. Tahap awal sebuah cerita biasanya disebut sebagai tahap pengenalan. Tahap pengenalan pada umumnya berisi sejumlah informasi penting yang berkaitan dengan berbagai hal yang akan dikisahkan pada tahap-tahap berikutnya. Ia misalnya, berupa penunjukkan dan pengenalan latar, seperti nama-nama tempat, suasana alam, waktu kejadiannya (misalnya ada kaitannya dengan waktu sejarah), dan lain-lain, yang pada garis besarnya berupa deskripsi *setting*. Selain itu, tahap awal juga sering dipergunakan untuk pengenalan tokoh(-tokoh) cerita, mungkin berwujud deskripsi fisik, bahkan mungkin juga telah disinggung (walau secara implisit) perwatakannya.

Fungsi pokok tahap awal (atau: pembukaan) sebuah cerita adalah untuk memberikan informasi dan penjelasan seperlunya khususnya yang berkaitan dengan pelataran dan penokohan. Pengarang tertentu

yang pandai dan teliti melukiskan suasana alam, latar, biasanya mengisi tahap awal cerita yang ditulisnya dengan deskripsi latar yang relatif panjang. Dengan membaca pelukisan latar yang hidup itu, pembaca yang berpengalaman sudah akan dapat "menilai" gaya, kejelian, ketelitian, dan kepekaan pengarang terhadap keadaan latar yang dilukiskan tersebut—suatu hal, misalnya, yang sering tak menjadi bahan perhatian bagi kebanyakan orang. Berikut ini dicontohkan tahap awal dari dua novel Ahmad Tohari yang berkaitan dengan unsur jelataran,

Sepasang burung bangau melayang meniti angin berputar-putar tinggi di langit. Tanpa sekalipun mengepak sayap, mereka mengapung berjam-jam lamanya. Suaranya melengking seperti keluhan panjang. Air. Kedua unggas itu telah melayang beratus-ratus kilometer mencari genangan air. Telah lama mereka merindukan amparan lumpur tempat mereka mencari mangsa, katak, ikan, udang atau serangga air lainnya.

(*Ronggeng Dukuh Paruk*, 1985: 5)

Dukuh Paruk masih diam meskipun beberapa jenis satwanya sudah terjaga oleh pertanda datangnya pagi. Kambing-kambing mulai gelisah dalam kandangnya. Kokok ayam jantan terdengar satu-satu, makin lama makin sering. Burung *sikatan* mencecet-cecet dari tempat persembunyiannya. Dia siap melesat bila terlihat serangga pertama melintas dalam sudut pandangnya. Dari sarungnya di pohon aren keluar seekor bajing karena tercium bau lawan jenisnya. Mereka berkejaran. Dahan-dahan bergoyangan. Tetes-tetes embun jatuh menimbulkan suara serempak. Seekor codot melintas di atas pohon pisang. Tepat di atas daun yang masih kuncup, binatang mengirap itu mendadak menghentikan kecepatannya. Tubuh yang ringan jatuh begitu saja ke dalam lubang kuncup daun pisang itu.

(*Lintang Kemukus Dini Hari*, 1985: 7)

Pada dasarnya setiap adegan cerita membutuhkan pembukaan, baik ia berada di awal maupun di tengah cerita. Oleh karena itu, deskripsi latar seperti contoh di atas dapat berkali-kali dijumpai dalam sebuah karya (novel), mungkin pada setiap bab, atau mungkin bahkan

juga disisipkan di bagian tengah bab(-bab) tertentu. Untuk yang disebutkan yang terakhir, tentu saja deskripsi latar tersebut bukan merupakan pembukaan cerita, melainkan berfungsi lain. Misalnya, ia berfungsi sebagai pemberi informasi, penunjukkan suasana saat berlangsungnya cerita untuk memperkuat efek tertentu, atau mungkin justru untuk mengendorkan ketegangan, atau beberapa fungsi itu sekaligus. Berikut ini dicontohkan tahap awal yang berupa pengenalan tokoh cerita novel Y.B. Mangunwijaya.

Pernah dengan "anak kolong"? Nah, dulu aku inilah salah satu modelnya. Asli totok. Garnisun divisi II Magelang (ucapkan MaKHelang). Bukan divisi TNI dong. Kan aku sudah bilang: totok. Jadi KNIL jelas kolonial, mana bisa tidak. Papiku *loitenant* keluaran Akademi Breda Holland, Jawa! Dan Keraton! Semula tergabung dalam Legiun Mangkunegara. Tetapi Papi minta agar dimasukkan ke dalam slogorde langsung di bawah Sri Baginda *Neerlandia* saja; Ratu Wilhelmina kala itu. Tidak usah dibawah raja Jawa. Terus terang Papi tidak suka raja-raja Inlander, walaupun konon salah seorang nenek *canggih* atau *gantung siswar* berkedudukan *selir* Keraton Mangkunegaran. Soalnya, Papi suka hidup bebas model Eropa dan barangkali itulah sebabnya juga, ibu kandungku seorang nyonya yang, menurut babu-babu pengasuhku, totok Belanda *Vaderland* sana. Tetapi sudah pagi-pagi aku tidak percaya.

(*Burung-burung Manyar*, 1981: 3)

Tahap awal yang berupa pengenalan tokoh akan membawa pembaca untuk segera berkenalan (atau: mengenali) dengan tokoh yang akan dikisahkan. Dengan cara ini kita pembaca segera mengetahui tentang "siapa dan bagaimana"-nya tokoh-tokoh itu, khususnya yang berhubungan dengan jati diri tokoh-tokoh tersebut. Dengan bekal itu kita "secara lebih siap" masuk ke dalam cerita. Namun, dewasa ini tak kurang novel yang menghadirkan tokoh cerita langsung dan sekaligus dengan konflik yang dihadapinya. Artinya, tidak ada deskripsi khusus yang berupa pengenalan jati diri tokoh tersebut. Lukisan-lukisan yang ada, yang mungkin hanya bersifat sepotong-sepotong, dapat saja muncul di sana-sini bilamana diperlukan untuk memberi efek tertentu.

Pada tahap awal cerita, di samping untuk memperkenalkan situasi latar dan tokoh-tokoh cerita sebagaimana dicontohkan di atas, konflik sedikit demi sedikit juga sudah mulai dimunculkan. Masalah(-masalah) yang dihadapi tokoh yang menyulut terjadinya konflik, pertentangan-pertentangan, dan lain-lain yang akan memuncak di bagian tengah cerita, klimaks, mulai dihadirkan dan diurai. Tentang kapan dan di mana berakhirnya tahap perkenalan sebuah cerita, atau sebaliknya kapan dan di mana dimulainya tahap tengah, tentu saja, hal itu sulit atau bahkan mungkin tak dapat ditentukan, atau hal itu memang tidak perlu dilakukan.

Tahap Tengah. Tahap tengah cerita yang dapat juga disebut sebagai tahap pertikaian, menampilkan pertentangan dan atau konflik yang sudah mulai dimunculkan pada tahap sebelumnya, menjadi semakin meningkat, semakin menegangkan. Konflik yang dikisahkan, seperti telah dikemukakan di atas, dapat berupa konflik internal, konflik yang terjadi dalam diri seorang tokoh, konflik eksternal, konflik atau pertentangan yang terjadi antartokoh cerita, antara tokoh(-tokoh) protagonis dengan tokoh(-tokoh; dan kekuatan) antagonis, atau keduanya sekaligus. Dalam tahap tengah inilah klimaks ditampilkan, yaitu ketika konflik (utama) telah mencapai titik intensitas tertinggi (tentang konflik dan klimaks dapat dilihat kembali pada pembicaraan sebelumnya).

Bagian tengah cerita merupakan bagian terpanjang dan terpenting dari karya fiksi yang bersangkutan. Pada bagian inilah inti cerita disajikan: tokoh-tokoh memainkan peran, peristiwa-peristiwa penting-fungsional dikisahkan, konflik berkembang semakin meruncing, menegangkan, dan mencapai klimaks, dan pada umumnya tema pokok, makna pokok cerita diungkapkan. Untuk mengidentifikasi apa konflik utama, mana peristiwa-fungsional-klimaks, dan apa tema dan atau makna utama cerita, diperlukan kajian yang jeli dan kritis. Singkatnya, pada bagian inilah terutama pembaca memperoleh "cerita", memperoleh sesuatu dari kegiatan pembacaannya.

Tahap Akhir. Tahap akhir sebuah cerita, atau dapat juga disebut sebagai tahap pelaraian, menampilkan adegan tertentu sebagai akibat klimaks. Jadi, bagian ini misalnya (antara lain) berisi bagaimana

kesudahan cerita, atau menyaran pada hal bagaimanakah akhir sebuah cerita. Membaca sebuah karya cerita yang menegangkan, yang tinggi kadar *suspense*-nya, kita sering mempertanyakan: bagaimanakah kelanjutannya, dan bagaimanakah pula akhirnya (pengakhirannya, dalam hal ini biasanya dikaitkan dengan bagaimana "nasib" tokoh-tokoh). Bagaimana bentuk penyelesaian sebuah cerita, dalam banyak hal ditentukan (atau: dipengaruhi) oleh hubungan antartokoh dan konflik (termasuk klimaks) yang dimunculkan.

Dalam teori klasik yang berasal dari Aristoteles, penyelesaian cerita dibedakan ke dalam dua macam kemungkinan: **kebahagiaan** (*happy end*) dan **kesedihan** (*sad end*). Perbedaan itu lebih didasarkan pada kenyataan karya-karya yang telah ada pada waktu itu, misalnya buku-buku drama tragedi karya Sophocles. Kedua jenis penyelesaian tersebut juga banyak dijumpai dalam novel-novel Indonesia pada awal pertumbuhannya. Penyelesaian cerita yang dapat dikategorikan sebagai berakhir dengan kebahagiaan misalnya berupa perkawinan dua anak manusia yang saling mencintai seperti pada novel *Pertemuan Jodoh*, *Asmara Jaya*, *Salah Pilih*, dan juga *Layar Terkembang*. Sebaliknya, penyelesaian cerita yang berakhir dengan kesedihan, misalnya yang berupa kematian tokoh-tokoh utamanya, dapat ditemui pada novel-novel seperti *Azab dan Sengsara*, *Sitti Nurbaya*, dan *Si Cebol Rindukan Bulan*.

Jika membaca secara kritis berbagai novel yang ada dalam kesastraan Indonesia, dengan mendasarkan pada dua jenis penyelesaian cerita seperti di atas, barangkali kita akan lebih sering merasa kerepotan untuk menentukan apakah sebuah novel berakhir dengan kebahagiaan atau kesedihan. Bahkan lebih dari itu, kita pun sudah merasakan kesulitan untuk mengatakan apakah novel itu memang sudah berakhir. Kata "berakhir" tersebut tentu saja dalam kaitannya dengan logika cerita, artinya cerita memang sudah selesai. Novel-novel seperti *Belenggu*, *Pada Sebuah Kapal*, *Kemelut Hidup*, *Burung-burung Manyar*, *Burung-burung Rantau*, dan lain-lain adalah contoh-contoh yang merepotkan itu. Apakah *Belenggu* berakhir dengan kebahagiaan? Tetapi, bukankah Tono ditinggalkan istri dan teman wanitanya? Ataukah ia berakhir dengan kesedihan? Tetapi, bukankah Tono justru

terbebas dari belenggu jiwanya dan bertekad berkompensasi secara positif? Cerita *Belenggu* memang telah diakhiri, telah mengandung penyelesaian. Namun, benarkah ceritanya telah benar-benar berakhir, habis, tak ada lagi kelanjutannya? Bukankah ia masih potensial untuk dilanjutkan, masih berupa penyelesaian yang belum selesai. Hal yang demikian juga terlebih lagi terlihat pada keempat novel lain yang disebut di atas.

Penyelesaian cerita yang masih "menggantung", masih menimbulkan tanda tanya, tak jarang menimbulkan rasa penasaran, atau bahkan rasa ketakpuasan, pembaca. Hal itu terutama terjadi jika harapan pembaca belum (atau: tidak) terpenuhi. Tidak sedikit pembaca trilogi *Ronggeng Dukuh Paruk*, *Lintang Kemukus Dini Hari*, dan *Jantera Bianglala*, yang merasa penasaran karena akhir cerita itu masih menimbulkan tanda tanya: bagaimanakah akhir hubungan antara Srintil dengan Rasmus (harapan pembaca barangkali adalah terjadinya perkawinan, atau paling tidak janji kesediaan hidup bersama antara keduanya, terutama dari Rasmus. Dan, itu diceritakan secara eksplisit). Bahkan, konon ada pembaca yang meminta kepada Ahmad Tohari, si empunya cerita itu, untuk melanjutkan cerita tersebut menjadi caturlogi. Namun, konon pula, Tohari menolak "permintaan" itu karena baginya cerita itu sudah selesai.

Hal tersebut sebenarnya berkaitan dengan realitas kehidupan manusia. Selama manusia masih hidup, mereka pasti akan mempunyai berbagai masalah, baik masalah itu bersifat dramatik (yang "laku-layak" diceritakan) maupun yang tidak. Setelah sebuah masalah diselesaikan, pasti akan muncul masalah(-masalah) yang lain, bahkan barangkali lebih dramatik-sensasional. Hanya orang yang telah meninggal saja kiranya yang tak lagi memiliki permasalahan di dunia, walau ia pun dapat juga mewariskan permasalahan bagi yang hidup. Misalnya, masalah yang timbul karena warisan (ingat: kasus warisan pelukis Basuki Abdullah).

Dengan melihat model-model tahap akhir berbagai karya fiksi yang ada sampai dewasa ini seperti terlihat dalam pembicaraan di atas, tampaknya penyelesaian sebuah cerita dapat dikategorikan ke dalam dua golongan: **penyelesaian tertutup** dan **penyelesaian terbuka**.

BAB 6

PENOKOHAN

I. UNSUR PENOKOHAN DALAM FIKSI

Sama halnya dengan unsur plot dan pemplotan, tokoh dan penokohan merupakan unsur yang penting dalam karya naratif. Plot boleh saja dipandang orang sebagai tulang punggung cerita, namun kita pun dapat mempersoalkan: siapa yang diceritakan itu? Siapa yang melakukan sesuatu dan dikenai sesuatu, "sesuatu" yang dalam plot disebut sebagai peristiwa, siapa pembuat konflik, dan lain-lain adalah urusan tokoh dan penokohan. Pembicaraan mengenai tokoh dengan segala perwatakan dengan berbagai citra jati dirinya, dalam banyak hal, lebih menarik perhatian orang daripada berurusan dengan pemplotannya. Namun, hal itu tak berarti unsur plot dapat diabaikan begitu saja karena kejelasan mengenai tokoh dan penokohan dalam banyak hal tergantung pada pemplotannya.

a. Pengertian dan Hakikat Penokohan

Dalam pembicaraan sebuah fiksi, sering dipergunakan istilah-istilah seperti tokoh dan penokohan, watak dan perwatakan, atau karakter dan karakterisasi secara bergantian dengan menunjuk pengertian yang hampir sama. Istilah-istilah tersebut, sebenarnya, tak menyaran pada pengertian yang persis sama, atau paling tidak dalam

Penokohan dan pengaluran memang tak hanya ditentukan oleh latar, namun setidaknya peranan latar harus diperhitungkan. Jika terjadi ketidakseimbangan antara latar dengan penokohan, cerita menjadi kurang wajar, kurang meyakinkan. Pembaca yang kritis, barangkali, akan menganggap hal semacam ini sebagai kelemahan karya fiksi yang bersangkutan. Dalam novel *Harimau-Harimau*, misalnya, kita berhadapan dengan tokoh-tokoh pendamar yang lebih banyak hidup di hutan, kelas sosial rendah, namun mereka mampu berpikir dan berdialog sesuatu yang agak berbau politik. Hal itu menyebabkan penokohan, terutama dalam kaitannya dengan latar, kurang wajar, terasa terlalu dipaksakan sekadar untuk menyampaikan pesan.

Latar dalam kaitannya dengan hubungan waktu, langsung tak langsung, akan berpengaruh terhadap cerita dan pengaluran, khususnya waktu yang dikaitkan dengan unsur kesejarahan. Peristiwa-peristiwa yang diceritakan dalam sebuah novel, jika ada hubungannya dengan peristiwa sejarah, harus tidak bertentangan dengan kenyataan sejarah itu. Hal ini penting sebab pembaca akan menjadi sangat kritis terhadap masalah yang demikian. Jika ternyata terjadi tidak adanya kesesuaian, cerita menjadi tidak masuk akal, dan terjadilah apa yang disebut **anakronisme**. Misalnya, diceritakan bahwa pada tahun 1960-an banyak pelajar dan mahasiswa yang terganggu pelajarannya karena banyak di antara mereka yang turun ke medan tempur menjadi tentara pelajar untuk mengusir penjajah yang mencoba masuk lagi ke Indonesia. Cerita tersebut tidak akan dipercaya orang sebab tak ada peristiwa sejarah seperti itu. Pada tahun 1960-an (tepatnya 1966) memang banyak mahasiswa dan pelajar yang turun ke jalan untuk berdemonstrasi, bukan ke medan tempur di pedalaman, dan bukan pula berjuang untuk mengusir penjajah, melainkan untuk tuntutan yang lain. Atau, cerita itu tak sesuai dengan perkembangan waktu sebab peristiwa itu, pengusiran penjajah itu, terjadi pada pertengahan akhir tahun 40-an, seperti terlihat pada cerpen-cerpen *Hujan Kepagian*-nya Nugroho Notosusanto.

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 menyoroti 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 menyoroti pada tempat tertentu, tetapi pembaca harus memperkirakan sendiri, misalnya kota M, S, T, dan desa B seperti dipergunakan dalam *Bawak*. Latar tempat tanpa nama jelas biasanya hanya berupa penyebutan jenis dan sifat umum tempat-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 realistik dengan yang terdapat di dalam novel, terutama jika pembaca mengenalinya, hal itu akan menyebabkan karya yang bersangkutan kurang meyakinkan. Deskripsi tempat secara teliti dan realistik 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.

Untuk dapat mendeskripsikan suatu tempat secara meyakinkan, pengarang perlu menguasai medan. Pengarang haruslah menguasai situasi geografis lokasi yang bersangkutan lengkap dengan karakteristik dan sifat khasnya. Tempat-tempat yang berupa desa, kota, jalan, sungai, laut, gubug reot, rumah, hotel, dan lain-lain tentu memiliki ciri-ciri khas yang menandainya. Hal itu belum lagi diperhitungkan adanya ciri khas tertentu untuk tempat tertentu sebab, tentunya tak ada satu pun desa, kota, atau sungai yang sama persis dengan desa, kota atau sungai yang lain. Pelukisan tempat tertentu dengan sifat khasnya secara rinci biasanya menjadi bersifat kedaerahan, atau berupa pengangkatan suasana daerah.

Pengangkatan suasana kedaerahan, sesuatu yang mencerminkan unsur *local color*, akan menyebabkan latar tempat menjadi unsur yang dominan dalam karya yang bersangkutan. Tempat menjadi sesuatu yang bersifat khas, tipikal, dan fungsional. Ia akan mempengaruhi pengaluran dan penokohan, dan karenanya menjadi koheren dengan cerita secara keseluruhan. Namun, perlu ditegaskan bahwa sifat ketipikalitas daerah tak hanya ditentukan oleh rincinya deskripsi lokasi, melainkan terlebih harus didukung oleh sifat kehidupan sosial masyarakat penghuninya. Dengan kata lain, latar sosial, latar spiritual, justru lebih menentukan ketipikalitas latar tempat yang ditunjuk. Pengangkatan lokasi secara demikian, menunjukkan bahwa ia digarap secara teliti oleh pengarang. Hanya pengarang-pengarang yang menguasai medan, latar, baik fisik maupun spiritual, yang dapat melakukannya dengan meyakinkan. Biasanya pengarang itu adalah mereka yang berasal dari daerah yang bersangkutan, misalnya Korrie Layun Rampan dalam *Upacara*, Ahmad Tohari dalam *Ronggeng Dukuh Paruk*, Lintang Kemukus Dini Hari dan Jantera Bianglala, Linus Suryadi dalam *Pengakuan Pariyem*, atau Arswenda dalam *Canting*.

Namun, tidak semua latar tempat digarap secara teliti dalam berbagai fiksi, novel atau cerpen. Dalam sejumlah karya tertentu, penunjukan latar hanya sekedar sebagai latar, lokasi hanya sekedar tempat terjadinya peristiwa-peristiwa, dan kurang mempengaruhi perkembangan alur dan tokoh. Misalnya, nama-nama tempat tertentu sekedar disebut: Jakarta, hotel, Yogyakarta, Malioboro, atau yang lain.

sehingga nama-nama itu dapat diganti dengan nama-nama lain begitu tanpa mempengaruhi perkembangan cerita. Unsur tempat, dengan demikian, menjadi kurang fungsional, kurang koheren dengan unsur-unsur cerita yang lain dan dengan cerita secara keseluruhan. Namun, perlu juga dicatat bahwa kadar fungsionalitas tempat tidaklah terbagi menjadi dua bagian: fungsional dan tak fungsional, melainkan lebih bersifat gradasi.

Penyebutan latar tempat yang tidak ditunjukkan secara jelas namanya, mungkin disebabkan perannya dalam karya yang bersangkutan kurang dominan. Unsur latar sebagai bagian keseluruhan karya dapat jadi dominan dan koherensif, namun hal itu lebih ditentukan oleh unsur latar yang lain. Ketakjelasan penunjukkan tempat dapat juga mengisyaratkan bahwa peristiwa-peristiwa yang diceritakan dapat terjadi di tempat lain sepanjang memiliki sifat khas latar sosial (dan waktu) yang mirip. Namun, jika latar sosial telah menunjuk pada kehidupan sosial masyarakat tertentu, misalnya Jawa, pemilihan latar tempat pun mau tak mau menjadi "terbatas", terbatas pada tempat-tempat yang memiliki kehidupan sosial masyarakat Jawa. Tempat-tempat yang demikian relatif cukup luas dan banyak sehingga penyebutannya dapat saling digantikan tanpa harus mempengaruhi unsur latar yang lain.

Akhirnya perlu dikemukakan bahwa latar tempat dalam sebuah novel biasanya meliputi berbagai lokasi. Ia akan berpindah-pindah dari satu tempat ke tempat lain sejalan dengan perkembangan plot dan tokoh. Dalam *Burung-burung Manyar* di atas misalnya, latar tempat banyak berpindah-pindah, dari Magelang, Surakarta, Jakarta, Semarang, Yogyakarta, masing-masing dengan lokasi tertentu, desa, jalan desa, Juranggede, rumah, rumah sakit, kamar, dan sebagainya. Dari sekian banyak tempat yang disebut tentu saja tak semuanya fungsional dan sama pentingnya. Jika dalam novel tersebut terdapat banyak tempat, dalam karya fiksi yang lain mungkin lebih membatasi diri pada sejumlah tempat tertentu saja. Dalam *Sri Stonarah* dan *Bawuk* misalnya, tempat yang dipergunakan dan disebut relatif lebih sedikit.

Namun, banyak atau sedikitnya latar tempat tak berhubungan

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 kesejajaran 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.

Masalah waktu dalam karya naratif, kata Genette (1980: 33; 35), dapat bermakna ganda: di satu pihak menyoran pada waktu penceritaan, waktu penulisan cerita, dan di pihak lain menunjuk pada waktu dan urutan waktu yang terjadi dan dikisahkan dalam cerita. Kejelasan waktu yang diceritakan amat penting dilihat dari segi waktu penceritaannya. Tanpa kejelasan (urutan) waktu yang diceritakan, orang hampir tak mungkin menulis cerita—khususnya untuk cerita yang ditulis dalam bahasa-bahasa yang mengenal *tenses* seperti bahasa Inggris. Dalam hubungan ini, kejelasan masalah waktu menjadi lebih penting daripada kejelasan unsur tempat (Genette, 1980: 215). Hal itu disebabkan orang masih dapat menulis dengan baik walau unsur tempat tak ditunjukkan secara pasti, namun tidak demikian halnya dengan pemilihan bentuk-bentuk kebahasaan sebagai sarana pengungkapannya.

Latar waktu dalam fiksi dapat menjadi dominan dan fungsional jika digarap secara teliti, terutama jika dihubungkan dengan waktu sejarah. Namun, hal itu membawa juga sebuah konsekuensi: sesuatu yang diceritakan harus sesuai dengan perkembangan sejarah. Segala sesuatu yang menyangkut hubungan waktu, langsung atau tidak langsung, harus berkesesuaian dengan waktu sejarah yang menjadi acuannya. Jika terjadi ketidaksesuaian waktu peristiwa antara yang terjadi di dunia nyata dengan yang terjadi di dalam karya fiksi, hal itu akan menyebabkan cerita tak wajar, bahkan mungkin sekali tak masuk akal, pembaca merasa dibohongi. Hal inilah yang dalam dunia fiksi dikenal dengan sebutan *anakronisme*, tak cocok dengan urutan (perkembangan) waktu (sejarah). Dengan demikian, anakronisme lebih menyoran pada hal-hal yang bersifat negatif (baca: Catatan tentang Anakronisme di belakang).

Pengangkatan unsur sejarah ke dalam karya fiksi akan menyebabkan waktu yang diceritakan menjadi bersifat khas, tipikal, dan dapat menjadi sangat fungsional, sehingga tak dapat diganti dengan waktu yang lain tanpa mempengaruhi perkembangan cerita. Latar waktu menjadi amat koheren dengan unsur cerita yang lain. Ketipikalan unsur waktu dapat menyebabkan unsur tempat menjadi kurang penting, khususnya waktu sejarah yang berskala nasional. Misalnya, pada masa revolusi kemerdekaan banyak tentara pelajar turun ke medan untuk ikut

berjuang. Masalah di mana mereka berjuang sebenarnya tidak penting, dapat di mana pun, di pelosok Yogyakarta, Jawa Tengah, atau Jawa Timur dan Jawa Barat. Namun, masalah kapan mereka berjuang sudah pasti dan tidak dapat diganti waktu lain. Itulah sebabnya cerpen-cerpen Nugroho Notosusanto yang terkumpul dalam *Hujan Kepagian* latar waktu lebih tipikal dan fungsional daripada latar tempat.

Dalam sejumlah karya fiksi lain, latar waktu mungkin justru tampak samar, tidak ditunjukkan secara jelas. Dalam karya yang demikian, yaitu tidak ditonjolkannya unsur waktu, mungkin karena memang tidak penting untuk ditonjolkan dengan kaitan logika ceritanya. Dalam *Harimau-Harimau* misalnya, penekanan waktu yang dominan hanya berupa siang dan malam, walau latar tempat dan sosial dominan. Ketidajelasan waktu sejarah dalam novel itu memang tidak diperlukan. Tokoh-tokoh kelas sosial bawah yang pendamar yang lebih banyak hidup di hutan tidak memerlukan latar sejarah itu. Urusan mereka dengan waktu lebih terpusat pada soal siang dan malam, siang untuk bekerja dan berjalan, malam untuk mengaso. Dalam hubungan cerita itu yang lebih kemudian, malam dipergunakan bersiap-siap menghadapi amukan harimau dan siang untuk meneruskan perjalanan. Dengan demikian, latar waktu yang fungsional dalam kaitannya dengan cerita hanyalah siang dan malam.

Lama Waktu Cerita. Masalah waktu dalam karya fiksi juga sering dihubungkan dengan lamanya waktu yang dipergunakan dalam cerita. Dalam hal ini terdapat variasi pada berbagai novel yang ditulis orang. Ada novel yang membutuhkan waktu sangat panjang, katakanlah (hampir) sepanjang hayat tokoh, misalnya *Sitti Nurbaya* dan *Burung-burung Manyar*, ada yang relatif agak panjang, membutuhkan waktu beberapa tahun, misalnya *Keberangkatan, Maut dan Cinta*, ada pula yang relatif pendek misalnya hanya beberapa hari seperti dalam *Harimau-Harimau* atau bahkan hanya beberapa jam seperti dalam *Bila Malam Bertambah Malam* dan *Perburuan*.

Novel yang membutuhkan waktu cerita panjang tidak berarti menceritakan semua peristiwa yang dialami tokoh, melainkan dipilih peristiwa-peristiwa tertentu yang dramatik-fungsional dan mempunyai pertalian secara plot. Novel yang demikian biasanya tebal. Sebaliknya,

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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.

e. Latar Sosial

Latar sosial menyoran pada hal-hal yang berhubungan dengan perilaku kehidupan sosial masyarakat di suatu tempat yang diceritakan dalam karya fiksi. Tata cara kehidupan 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

seperti dikemukakan sebelumnya. Di samping itu, latar sosial juga berhubungan dengan status sosial tokoh yang bersangkutan, misalnya rendah, menengah, atau atas.

Jika untuk mengangkat latar tempat tertentu ke dalam karya fiksi pengarang perlu menguasai medan, hal itu juga terlebih berlaku untuk latar sosial, tepatnya sosial budaya. Pengertian penguasaan medan lebih menyoal pada penguasaan latar. Jadi, ia mencakup unsur tempat, waktu, dan sosial budaya sekaligus. Di antara ketiganya tampaknya unsur sosial memiliki peranan yang cukup menonjol. Latar sosial berperanan menentukan apakah sebuah latar, khususnya latar tempat, menjadi khas dan tipikal atau sebaliknya bersifat netral. Dengan kata lain, untuk menjadi tipikal dan lebih fungsional, deskripsi latar tempat harus sekaligus disertai deskripsi latar sosial, tingkah laku kehidupan sosial masyarakat di tempat yang bersangkutan.

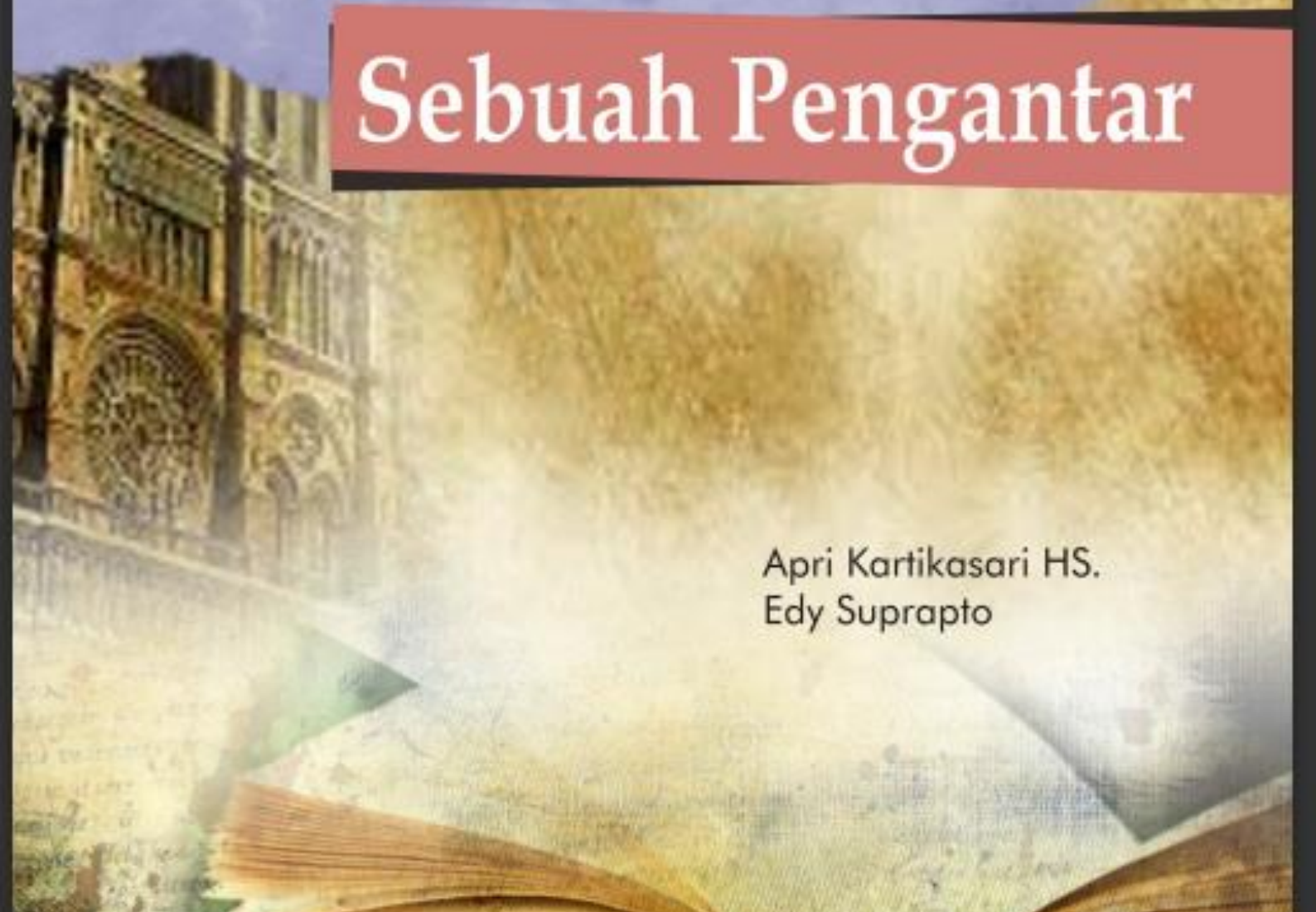
Pembicaraan tersebut dapat dijelaskan melalui novelet *Sri Sumarah* berikut. Latar tempat karya itu hanya diidentifikasi sebagai "kota kecamatan" dan "kota J" yang keduanya berada di Jawa. Kota kecamatan dan J tersebut betul-betul menjadi tipikal tempat-tempat di Jawa—walau kita tak tahu secara pasti kecamatan mana dan J itu inisial kota mana, mungkin Yogyakarta—justru disebabkan oleh latar sosial yang ditunjukkan secara eksplisit, dan bukan oleh nama tempat itu. Kehidupan sosial masyarakat Jawa yang dijalani oleh tokoh Sri yang mencerminkan tingkah laku, pandangan, cara berpikir dan bersikap orang Jawa itulah yang menyebabkan karya itu menjadi tipikal kejawaan. Penunjukan latar tempat yang hanya dengan "kota kecamatan" dan "J" tersebut dapat saja diganti, misalnya dengan "kecamatan M" dan "kota S", dan hal itu tak akan berpengaruh terhadap perkembangan cerita. Namun, hal yang demikian tidak mungkin dilakukan terhadap latar sosial tanpa mengubah logika cerita.

Contoh pembicaraan terhadap *Sri Sumarah* di atas menunjukkan betapa dominan dan fungsionalnya latar sosial (juga: waktu) dalam karya fiksi. Ia digarap secara teliti sehingga cukup meyakinkan pembaca, khususnya pembaca yang memahami kehidupan sosial budaya masyarakat Jawa. Namun, untuk sampai pada deskripsi yang demikian, memang tidak mudah dilakukan oleh pengarang. Untuk itu,



KAJIAN KESUSASTRAAN

Sebuah Pengantar



Apri Kartikasari HS.
Edy Suprpto

KAJIAN KESUSASTRAAN (SEBUAH PENGANTAR)

ISBN: 978-602-6637-26-0

Cetakan ke-1, Oktober 2018

Penulis

Apri Kartikasari HS.

Edy Suprpto

Desain dan Tata Letak

Edi Riyanto

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cerita. Kepaduan antara berbagai unsur intrinsik inilah yang membangun sebuah cerpen berwujud. Unsur-unsur tersebut meliputi: tema, alur atau plot, tokoh dan penokohan, latar atau setting dan sudut pandang.

a. Tema

Jika membaca cerita rekaan (cerpen), sering terasa bahwa pengarang tidak saja menyampaikan sebuah cerita demi sebuah cerita saja. Ada sesuatu yang dibungkusnya dengan cerita, ada suatu konsep sentral yang dikembangkan dalam cerita itu. Alasan pengarang hendak menyajikan cerita itu ialah hendak mengemukakan suatu gagasan. Gagasan, ide atau pikiran utama yang mendasari karya sastra itu yang disebut tema (Panuti Sudjiman, 1992: 50).

Tema ada yang diambil dari khasanah kehidupan sehari-hari dan dimaksudkan pengarang untuk memberikan saksi sejarah atau mungkin sebagai reaksi praktek kehidupan masyarakat yang tidak disetujui. Menurut Budi Darma (dalam Herman J. Waluyo, 2002: 142), tema adalah masalah hakiki manusia, seperti misalnya kisah cinta kasih, ketakutan, kebahagiaan, kesengsaraan, keterbatasan dan sebagainya. Pengarang yang baik mampu mengemukakan tema yang universal dan mempunyai kesanggupan untuk menjabarkan tema tersebut menjadi sub-sub yang menyangkut kehidupan pribadi.

Hal tersebut sejalan dengan pendapat Burhan Nurgiyantoro (2005: 25) yang menyatakan bahwa tema adalah suatu yang mendasari dasar cerita. Ia selalu berkaitan dengan berbagai kehidupan seperti masalah cinta, kasih, rindu, takut, maut, religius, dan sebagainya. Dalam hal tersebut, tema sering disinonimkan dengan ide atau tujuan utama cerita.

Seperti yang dikatakan sebelumnya, tema merupakan makna keseluruhan yang didukung oleh cerita dan unsur-unsur yang lain maka dengan sendirinya

6) Amanat

Sudjiman (1991: 57-58) berpendapat bahwa dari sebuah karya sastra ada kalanya dapat diangkat ajaran moral atau peran yang ingin disampaikan oleh pengarang. Amanat terdapat pada seluruh karya sastra secara implisit ataupun secara eksplisit. Implisit, jika keluar atau ajaran moral itu disiratkan di dalam tingkah laku tokoh menjelang cerita berakhir.

Berdasarkan pendapat tersebut dapat disimpulkan bahwa amanat dalam sebuah karya sastra yaitu pesan yang ingin disampaikan pengarang kepada pembaca. Amanat dapat dipetik oleh pembaca secara langsung, tetapi ada juga yang harus melalui proses pembacaan cerita secara keseluruhan dan menyimpulkannya sendiri karena disampaikan secara eksplisit. Amanat dalam sebuah karya sastra dapat digunakan sebagai teladan bagi kehidupan manusia.

b. Unsur Ekstrinsik


Unsur ekstrinsik adalah unsur-unsur yang berada di luar karya sastra itu, tetapi secara tidak langsung mempengaruhi bangunan atau sistem organisme karya sastra (Nurgiyantoro, 2009: 23-24). Secara lebih khusus dapat dikatakan sebagai unsur-unsur yang mempengaruhi bangunan cerita sebuah karya sastra, namun tidak ikut menjadi bagian di dalamnya. Walau demikian, unsur ekstrinsik cukup berpengaruh (untuk tidak dikatakan: cukup menentukan) terhadap totalitas bangunan cerita yang dihasilkan.

Lebih lanjut, bahwa unsur ekstrinsik berikutnya adalah psikologi, baik yang berupa psikologi pengarang (yang mencakup proses kreatifnya), psikologi pembaca, maupun penerapan prinsip psikologi dalam karya. Keadaan di lingkungan pengarang seperti ekonomi, politik, dan sosial juga akan berpengaruh terhadap karya sastra, dan hal itu merupakan unsur ekstrinsik pula. Unsur ekstrinsik yang lain misalnya pandangan hidup suatu bangsa, berbagai karya seni yang lain, dan sebagainya.

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Prosa Fiksi

Berbasis Kearifan Lokal Makassar



Dr. Haslinda, S.Pd., M.Pd.

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Penulis

Dr. Haslinda, S.Pd., M.Pd.

Editor

Dr. Sitti Aida Azis, M.Pd

Desain Sampul

Azis Thaba, S.Pd., M.Pd.

Tata Letak

Mutmainnah

viii + 338 halaman

14,5 x 21 cm

Cetakan II: 2019

Di Cetak Oleh: CV. Berkah Utami

ISBN: 978-602-8187-87-9

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karya ditampilkan sikap dan tingkah laku tokoh-tokoh yang kurang terpuji, baik mereka berlaku sebagai tokoh antagonis maupun protagonis, tidaklah berarti bahwa pengarang menyarankan kepada pembaca untuk bersikap dan bertindak secara demikian. (Nurgiyantoro, 2009: 232). Dengan demikian, kehadiran unsur moral dalam sebuah cerita fiksi, apalagi fiksi anak merupakan sesuatu yang mesti ada. Sebagai cerita fiksi bacaan komik merupakan jenis bacaan yang digemari pembaca anak-anak tetapi juga orang dewasa. Bacaan komik hadir dengan keunikannya.

6. Konstruksi Sastra

Secara umum prosa fiksi dibentuk melalui dua unsur, yaitu unsur ekstrinsik dan unsur instrinsik. Unsur ekstrinsik adalah unsur yang berada di luar teks cerita yang secara langsung ataupun tidak langsung mempengaruhi penciptaan karya prosa. Yang termasuk ke dalam unsur ekstrinsik prosa fiksi di antaranya biografi pengarang, situasi dan kondisi sosial masyarakat, dan nilai-nilai yang berlaku dalam masyarakat. Nilai-nilai yang dimaksud adalah nilai adat budaya, keagamaan, interaksi sosial, dan politik.

Unsur intrinsik adalah unsur yang membangun karya sastra dari dalam, yaitu hal-hal yang berhubungan dengan struktur karya sastra yang meliputi tema, tokoh dan penokohan, alur, latar, sudut pandang, gaya bahasa, dan amanat.

a. Konstruksi Intrinsik

1) Tema

Secara umum, tema diartikan sebagai inti cerita atau gagasan pokok cerita prosa fiksi. Cerita yang dirangkai melalui peristiwa-peristiwa yang ada dalam prosa fiksi semuanya berpusat pada tema. Definisi tema menurut Stanton dan Kenney (dalam Burhan Nurgiyantoro, 2005: 67) adalah makna yang dikandung oleh sebuah cerita. Makna yang dimaksud dapat berupa makna pokok (tema pokok) prosa fiksi dan

LITERATURE

An Introduction to

Fiction, Poetry, and Drama

Sixth Edition

X. J. Kennedy

Dana Gioia
Wesleyan University

 HarperCollins College Publishers

An Instructor's Manual for *Literature: An Introduction to Fiction, Poetry, and Drama*, Sixth Edition, is available through your local HarperCollins representative or by writing to Literature Acquisitions Editor, HarperCollins College Division, 10 East 53rd Street, New York, NY 10022.

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Literature: An Introduction to Fiction, Poetry, and Drama, Sixth Edition

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Library of Congress Cataloging-in-Publication Data

Literature: an introduction to fiction, poetry, and drama / [compiled by] X. J. Kennedy, Dana Gioia.—6th ed.

p. cm.

Includes bibliographical references and indexes.

ISBN 0-673-52509-0 (student edition)—ISBN 0-673-52281-4 (free copy edition)

I. *Literature*—Collections. I. Kennedy, X. J. II. Gioia, Dana.

PN6014.L58 1995

808—dc20

94-9933
CIP

and without looking round, replied, "I have heard that in the State of Ch'u there is a sacred tortoise, which has been dead three thousand years, and which the prince keeps packed up in a box on the altar in his ancestral shrine. Now do you think that tortoise would rather be dead and have its remains thus honored, or be alive and wagging its tail in the mud?" The two officials answered that no doubt it would rather be alive and wagging its tail in the mud; whereupon Chuang Tzu cried out "Begone! I too elect to remain wagging my tail in the mud."

QUESTIONS

1. What part of this story is the exposition? How many sentences does Chuang Tzu use to set up the dramatic situation?
2. Why does the protagonist change the subject and mention the sacred tortoise? Why doesn't he answer the request directly and immediately? Does it serve any purpose that Chuang Tzu makes the officials answer a question to which he knows the answer?
3. What does this story tell us about the protagonist Chuang Tzu's personality?

PLOT

Like a fable, the Grimm brothers' tale seems stark in its lack of detail and in the swiftness of its telling. Compared with the fully portrayed characters of many modern stories, the characters of father, son, king, princess, and even Death himself seem hardly more than stick figures. It may have been that to draw ample characters would not have contributed to the storytellers' design; that, indeed, to have done so would have been inartistic. Yet "Godfather Death" is a compelling story. By what methods does it arouse and sustain our interest?

From the opening sentence of the tale, we watch the unfolding of a **dramatic situation**: a person is involved in some conflict. First, this character is a poor man with children to feed, in conflict with the world; very soon, we find him in conflict with God and with the Devil besides. Drama in fiction occurs in any clash of wills, desires, or powers—whether it be a conflict of character against character, character against society, character against some natural force, or, as in "Godfather Death," character against some supernatural entity.

Like any shapely tale, "Godfather Death" has a beginning, a middle, and an end. In fact, it is unusual to find a story so clearly displaying the elements of structure that critics have found in many classic works of fiction and drama. The tale begins with an **exposition**: the opening portion that sets the scene (if any), introduces the main characters, tells us what happened before the story opened, and provides any other background information that we need in order to understand and care about the events to follow. In "Godfather Death," the exposition is brief—all in the opening paragraph. The middle section of the story begins with Death's giving the herb to the boy, and his warning not to defy him. This moment introduces a new conflict (a **complication**), and by this time it is clear that the son and not the father is to be the central human character of the story. Death's godson is the principal person who strives: the **protagonist** (a better term than **hero**, for it may apply equally well to a central character who is not especially brave or virtuous).

The **suspense**, the pleasurable anxiety we feel that heightens our attention to the story, inheres in our wondering how it will all turn out. Will the doctor triumph over Death? Even though we suspect, early in the story, that the doctor stands no chance against such a superhuman **antagonist**, we want to see for ourselves the outcome of his defiance. A storyteller can try to incite our anticipation by giving us some **foreshadowing** or indication of events to come. In "Godfather Death" the foreshadowings are apparent in Death's warnings ("but if you ever dare do such a thing again, you put your own head in the noose"). When the doctor defies his godfather for the first time—when he saves the king—we have a **crisis**, a moment of high tension. The tension is momentarily resolved when Death lets him off. Then an even greater crisis—the turning point in the action—occurs with the doctor's second defiance in restoring the princess to life. In the last section of the story, with the doctor in the underworld, events come to a **climax**, the moment of greatest tension at which the outcome is to be decided, when the terrified doctor begs for a new candle. Will Death grant him one? Will he live, become king, and marry the princess? The outcome or **conclusion**—also called the **resolution** or **dénouement** ("the untying of the knot")—quickly follows as Death allows the little candle to go out.

Such a structure of events arising out of a conflict may be called the plot of the story. Like many terms used in literary discussion, *plot* is blessed with several meanings. Sometimes it refers simply to the events in a story. In this book, **plot** will mean the artistic arrangement of those events. Different arrangements of the same material are possible. A writer might decide to tell of the events in chronological order, beginning with the earliest; or he might open his story with the last event, then tell what led up to it. Sometimes a writer chooses to skip rapidly over the exposition and begin **in medias res** (Latin, "in the midst of things"), first presenting some exciting or significant moment, then filling in what happened earlier. This method is by no means a modern invention: Homer begins the *Odyssey* with his hero mysteriously late in returning from war and his son searching for him; John Milton's *Paradise Lost* opens with Satan already defeated in his revolt against the Lord. A device useful to writers for filling in what happened earlier is the **flashback** (or **retrospect**), a scene relived in a character's memory.

To have a plot, a story does not need an intense, sustained conflict such as we find in "Godfather Death," a tale especially economical in its structure of crisis, climax, and conclusion. Although a highly dramatic story may tend to assume such a clearly recognizable structure, many contemporary writers avoid it, considering it too contrived and arbitrary. In commercial fiction, in which exciting conflict is everything and in which the writer has to manufacture all possible suspense, such a structure is often obvious. In popular detective, Western, and adventure novels; in juvenile fiction (the perennial Hardy Boys and Nancy Drew books); and in popular series on television (soap operas, police and hospital dramas, mysteries, and the three *Star Trek* series), it is often easy to recognize crisis, climax, and conclusion. The presence of these elements does not necessarily indicate inferior literature (as "Godfather Death" shows); yet when reduced to parts

4 Setting

By the **setting** of a story, we mean its time and place. The word might remind you of the metal that holds a diamond in a ring, or of a set used in a play—perhaps a bare chair in front of a slab of painted canvas. But often, in an effective short story, setting may figure as more than mere background or underpinning. It can make things happen. It can prompt characters to act, bring them to realizations, or cause them to reveal their inmost natures.

To be sure, the idea of setting includes the physical environment of a story: a house, a street, a city, a landscape, a region. (*Where* a story takes place is sometimes called its **locale**.) Physical places mattered so greatly to French novelist Honoré de Balzac that sometimes, before writing a story set in a town, he would visit that town, select a few houses, and describe them in detail, down to their very smells. "The place in which an event occurred," Henry James admiringly said of him, "was in his view of equal moment with the event itself . . . it had a part to play; it needed to be made as definite as anything else."

But besides place, setting may crucially involve the *time* of the story—hour, year, or century. It might matter greatly that a story takes place at dawn, or on the day of the first moon landing. When we begin to read a historical novel, we are soon made aware that we aren't reading about life in the 1990s. In *The Scarlet Letter*, nineteenth-century author Nathaniel Hawthorne, by a long introduction and a vivid opening scene at a prison door, prepares us to witness events in the Puritan community of Boston in the earlier seventeenth century. This setting, together with scenes of Puritan times we recall from high school history, helps us understand what happens in the novel. We can appreciate the shocked agitation in town when a woman is accused of adultery: she has given illegitimate birth. Such an event might seem more nearly common today, but in the stern, God-fearing New England Puritan community, it was a flagrant defiance of church and state, which were all-powerful (and were all one). That reader will make no sense of *The Scarlet Letter* who ignores its setting—if to ignore the setting is possible, so much attention does Hawthorne pay to it.

M. H. Abrams

Geoffrey Galt Harpham

A Glossary
of
Literary
Terms

Tenth Edition



**A Glossary of Literary Terms,
Tenth Edition**

M. H. Abrams and Geoffrey
Galt Harpham

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Library of Congress Control Number: 2010941195

ISBN-13: 978-0-495-89802-3

ISBN-10: 0-495-89802-3

Wadsworth

20 Channel Center Street,
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Highly elaborated versions of this conception of Platonic love are to be found in Dante, Petrarch, and other writers of the thirteenth and fourteenth centuries, and in many Italian, French, and English authors of sonnets and other love poems during the Renaissance. See, for example, the exposition in Book IV of Castiglione's *The Courtier* (1528), and in Edmund Spenser's "An Hymn in Honor of Beauty." As Spenser wrote in one of the sonnets he called *Amoretti* (1595):

Men call you fayre, and you doe credit it....
 But only that is permanent and free
 From frayle corruption, that doth flesh ensew.
 That is true beautie: that doth argue you
 To be divine and borne of heavenly seed:
 Derived from that fayre spirit, from whom al true
 And perfect beauty did at first proceed.

From this complex religious and philosophical doctrine, the modern notion that Platonic love is simply love that stops short of sexual gratification is a drastic reduction.

The concept of Platonic love fascinated many later poets, especially Shelley; an example is his poem "Epipsychidion" (1821). But his friend Byron took a skeptical view of such lofty claims for the human Eros-impulse. "Oh Plato! Plato!" Byron sighed,

you have paved the way,
 With your confounded fantasies, to more
 Immoral conduct by the fancied sway
 Your system feigns o'er the controlless core
 Of human hearts, than all the long array
 Of poets and romancers....

(*Don Juan*, l. cxvi)

See Plato's *Symposium* and *Phaedrus*, and the exposition of Plato's doctrine of Eros (which Plato applied to male/male relationships) in G. M. A. Grube, *Plato's Thought* (1935), chapter 3. For a cognitive and moral assessment of Plato's doctrines of love and desire, see Martha Craven Nussbaum, *Love's Knowledge: Essays on Philosophy and Literature* (1990), especially chapter 3. Refer to Paul Shorey, *Platonism Ancient and Modern* (1938); George Santayana, "Platonic Love in Some Italian Poets," in *Selected Critical Writings*, ed. Norman Henfrey (2 vols., 1968), I, pp. 41–59. See *courtly love*.

play (drama): 93.

plot: The plot (which Aristotle termed the **mythos**) in a dramatic or narrative work is constituted by its events and actions, as these are rendered and ordered toward achieving particular artistic and emotional effects. This description is deceptively simple, because the actions (including verbal discourse as well as physical actions) are performed by particular characters in a work,

that varieties of poetic license are used to freshen our perceptions both of literary language and of the world it represents, see Victor Erlich, *Russian Formalism* (1965).

poetry happenings: 271.

poetry slam: 271.

point of view: Point of view signifies the way a story gets told—the mode (or modes) established by an author by means of which the reader is presented with the characters, dialogue, actions, setting, and events which constitute the *narrative* in a work of fiction. The question of point of view has always been a practical concern of the novelist, and there have been scattered observations on the matter in critical writings since the emergence of the modern *novel* in the eighteenth century. Henry James' prefaces to his various novels, however—collected as *The Art of the Novel* in 1934—and Percy Lubbock's *The Craft of Fiction* (1926), which codified and expanded upon James' comments, made point of view one of the most prominent and persistent concerns in modern treatments of the art of prose fiction.

Authors have developed many different ways to present a story, and many single works exhibit a diversity of methods. The simplified classification below, however, is widely recognized and can serve as a preliminary frame of reference for analyzing traditional types of narration and for determining the predominant type in mixed narrative modes. It deals first with by far the most widely used modes, first-person and third-person narration. It establishes a broad distinction between these two modes, then divides third-person narratives into subclasses according to the degree and kind of freedom or limitation which the author assumes in getting the story across to the reader. It then goes on to deal briefly with the rarely used mode of second-person narration.

In a **third-person narrative**, the **narrator** is someone outside the story proper who refers to all the characters in the story by name, or as “he,” “she,” “they.” Thus Jane Austen's *Emma* begins: “Emma Woodhouse, handsome, clever, and rich, with a comfortable home and happy disposition, seemed to unite some of the best blessings of existence; and had lived nearly twenty-one years in the world with very little to distress or vex her.” In a **first-person narrative**, the narrator speaks as “I,” and is to a greater or lesser degree a participant in the story, or else is the *protagonist* of the story. J. D. Salinger's *The Catcher in the Rye* (1951), an instance of the latter type, begins: “If you really want to hear about it, the first thing you'll really want to know is where I was born, and what my lousy childhood was like, and how my parents were occupied and all before they had me, and all that David Copperfield kind of crap....”

I. Third-person points of view

- A. **The omniscient point of view.** This is a common term for the many and varied works of fiction written in accord with the *convention* that the narrator knows everything that needs to be known

Kirszner

&

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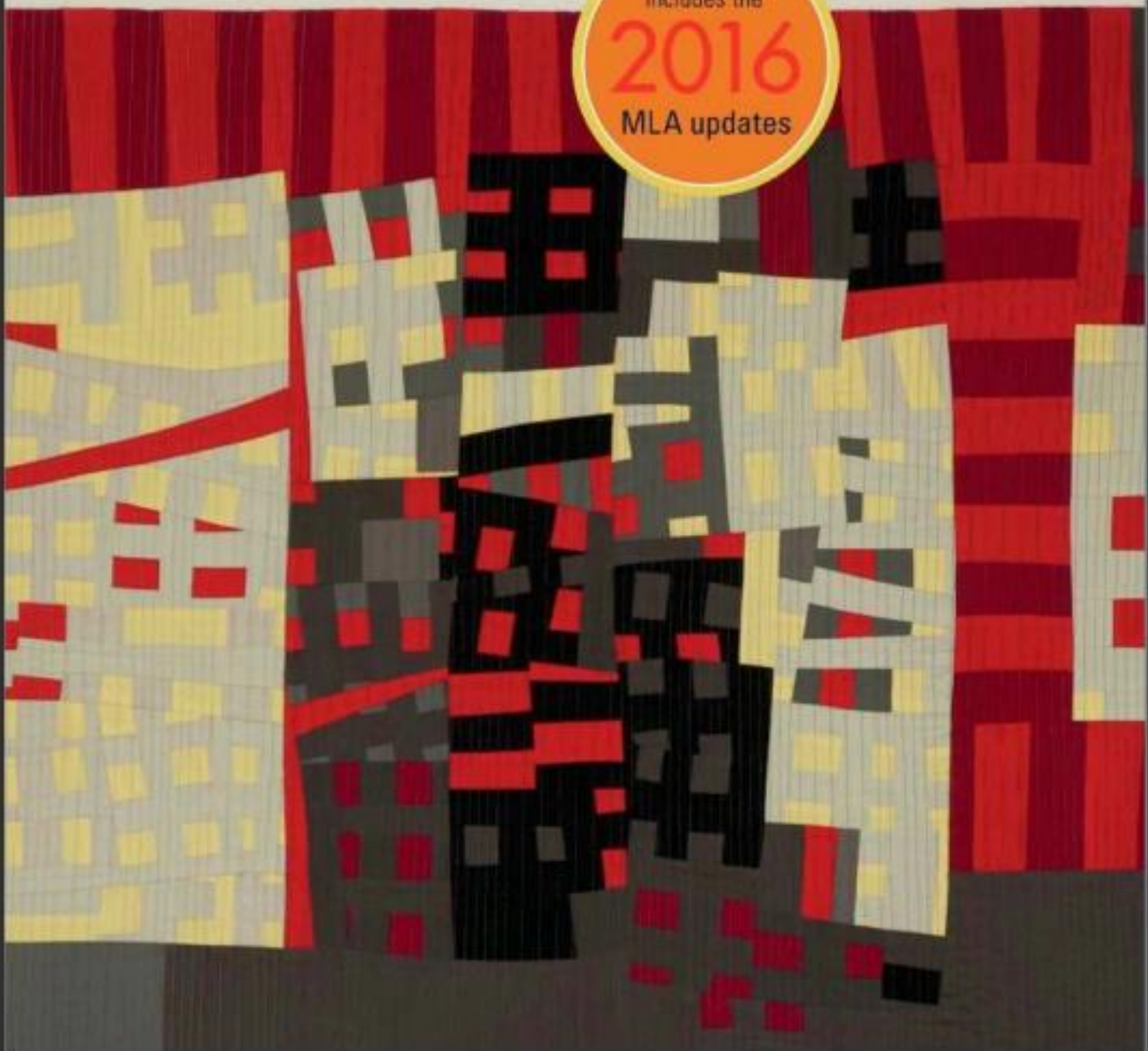
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WCN: 01-100-101

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Library of Congress Control Number: On file

ISBN: 978-1-337-28102-7

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Printed in the United States of America

Print Number: 01

Print Year: 2017

tells readers what he thinks about his job and about the girls who come into the supermarket where he works. He also tells us what various characters look like and describes their actions, attitudes, speech, and gestures. (For more information about first-person narrators, see Chapter 16, "Point of View.")

Alternatively, aspects of a character's personality and beliefs may be revealed through his or her actions, dialogue, or thoughts. For instance, Sammy's vivid fantasies and his disapproval of his customers' lives suggest to readers that he is something of a nonconformist; however, Sammy himself does not actually tell us this.



Round and Flat Characters

In his influential 1927 work *Aspects of the Novel*, English novelist E. M. Forster classifies characters as either **round** (well developed, closely involved in and responsive to the action) or **flat** (barely developed or stereotypical). To a great extent, these categories are still useful today. In an effective story, the major characters are usually complex and fully developed; if they are not, readers will not care what happens to them. Sometimes readers are encouraged to become involved with the characters, even to identify with them, and this empathy is possible only when we know something about the characters—their strengths and weaknesses, their likes and dislikes. In some cases, of course, a story can be effective even when its central characters are not well developed. Sometimes, in fact, a story's effectiveness is enhanced by an *absence* of character development, as in Shirley Jackson's "The Lottery" (p. 419).

Readers often expect characters to behave as "real people" in their situation might behave. Real people are not perfect, and realistic characters cannot be perfect either. The flaws that are revealed as round characters are developed—greed, gullibility, naïveté, shyness, a quick temper, or a lack of insight or judgment or tolerance or even intelligence—make them believable. In modern fiction, the protagonist is seldom if ever the noble "hero"; more often, he or she is at least partly a victim, someone to whom unpleasant things happen and someone who is sometimes ill-equipped to cope with events.

Unlike major characters, minor characters are frequently not well developed. Often they are flat, perhaps acting as *foils* for the protagonist. A *foil* is a supporting character whose role in the story is to highlight a major character by presenting a contrast with him or her. For instance, in "A&P," Stokesie, another young checkout clerk, is a foil for Sammy. Because he is a little older than Sammy and seems to have none of Sammy's imagination, restlessness, or nonconformity, Stokesie suggests what Sammy might become if he were to continue to work at the A&P. Some flat characters are **stock characters**, easily identifiable types who behave so predictably that readers can readily recognize them. The kindly old priest, the tough young bully, the ruthless business executive, and the reckless adventurer are all stock characters. Some flat characters can even be **caricatures**, characterized by a single dominant trait, such as miserliness, or even by one physical trait, such as nearsightedness.



Dynamic and Static Characters

Characters may also be classified as either *dynamic* or *static*. A **dynamic character** grows and changes in the course of a story, developing as he or she reacts to events and to other characters. In "A&P," for instance, Sammy's decision to speak out in defense of the

girls—as well as the events that lead him to do so—changes him. His view of the world has changed at the end of the story, and as a result his position in the world may change too. A **static character** may face the same challenges a dynamic character might face but will remain essentially unchanged: a static character who was selfish and arrogant will remain selfish and arrogant, regardless of the nature of the story's conflict. In the fairy tale "Cinderella," for example, the title character is as sweet and good-natured at the end of the story—despite her mistreatment by her family—as she is at the beginning. Her situation may have changed, but her character has not.

Whereas round characters tend to be dynamic, flat characters tend to be static. But even a very complex, well-developed major character may be static; sometimes, in fact, the point of a story may hinge on a character's inability to change. A familiar example is the title character in William Faulkner's "A Rose for Emily" (p. 224), who lives a wasted, empty life, at least in part because she is unwilling or unable to accept that the world around her and the people in it have changed.

A story's minor characters are often static; their growth is not usually relevant to the story's development. Moreover, we usually do not learn enough about a minor character's traits, thoughts, actions, or motivation to determine whether the character changes significantly.




Motivation

Because round characters are complex, they are not always easy to understand. They may act unpredictably, just as real people do. They wrestle with decisions, resist or succumb to temptation, make mistakes, ask questions, search for answers, hope and dream, rejoice and despair. What is important is not whether we approve of a character's actions but whether those actions are *plausible*—whether the actions make sense in light of what we know about the character. We need to understand a character's **motivation**—the reasons behind his or her behavior—or we will not believe or accept that behavior. In "A&P" for instance, given Sammy's age, his dissatisfaction with his job, and his desire to impress the young woman he calls Queenie, the decision he makes at the end of the story is perfectly plausible. Without having established his motivation, Updike could not have expected readers to accept Sammy's actions.

Of course, even when readers get to know a character, they still are not able to predict how a complex, round character will behave in a given situation; only a flat character is predictable. The tension that develops as readers wait to see how a character will act or react, and thus how a story's conflict will be resolved, is what holds readers' interest and keeps them involved as a story's action unfolds.

✓ CHECKLIST Writing about Character

- Who is the story's main character? Who are the other major characters?
- Who are the minor characters? What roles do they play in the story? How would the story be different without them?



CHAPTER 15

SETTING

Ralph Ellison

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The **setting** of a work of fiction establishes its historical, geographical, and physical context. *Where* a work is set—on a tropical island, in a dungeon, at a crowded party, in the woods— influences our reactions to the story's events and characters. *When* a work takes place— during the French Revolution, during the Vietnam War, today, or in the future—is equally important. Setting, however, is more than just the approximate time and place in which a work is set; setting also encompasses a wide variety of other elements.

Clearly, setting is more important in some works than in others. In some stories, no particular time or place is specified or even suggested, perhaps because the writer does not consider a specific setting to be important or because the writer wishes the story's events to seem timeless and universal. In other stories, a writer may provide only minimal

- Peter Childs
- Roger Fowler

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DICTIONARY
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**Literary
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First published in 1973 as *A Dictionary of Modern Critical Terms*
Revised edition published in 1987
by Routledge & Kegan Paul Ltd

This edition published 2006
by Routledge
2 Park Square, Milton Park, Abingdon, Oxon OX14 4RN

Simultaneously published in the USA and Canada
by Routledge
270 Madison Ave, New York, NY 10016

Routledge is an imprint of the Taylor & Francis Group

© Routledge 1973, 1987, 2006

This edition published in the Taylor & Francis e-Library, 2006.

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British Library Cataloguing in Publication Data
A catalogue record for this book is available
from the British Library

Library of Congress Cataloging in Publication Data

The Routledge dictionary of literary terms / [edited by]
Peter Childs and Roger Fowler.
p. cm.

'Based on *A Dictionary of Modern Critical Terms*, edited by
Roger Fowler.' Rev. ed. of: *A dictionary of modern critical terms*.
Rev. and enl. ed. 1987.

Includes bibliographical references.

1. Literature – Terminology. 2. English language – Terms and
phrases. 3. Literary form – Terminology. 4. Criticism – Terminology.
I. Childs, Peter. II. Fowler, Roger. III. *Dictionary of modern
critical terms*.

PN41.D4794 2005
803–dc22

2005006915

ISBN 0-415-36117-6 (hbk)
ISBN 0-415-34017-9 (pbk)

C

Cacophony See TEXTURE.

Caricature See PARODY.

Carnival See DIALOGIC STRUCTURE.

Catastrophe See DÉNOUEMENT, DRAMA.

Catharsis The most disputed part of Aristotle's definition of tragedy is his statement that it is an action 'through pity and fear effecting a catharsis of these emotions'. Traditionally *catharsis* is rendered as 'purgation' and refers to the psychological effect of tragedy on the audience. Against Plato's condemnation of art for unhealthily stimulating emotions which should be suppressed, Aristotle argues that audiences are not inflamed or depressed by the spectacle of suffering in tragedy, but in some way released. Our subjective, potentially morbid, emotions are extended outward, through pity for the tragic hero, in an enlargement, a leading out, of the soul (*psychogogia*). So tragedy moves us towards psychic harmony. A related, but less psychological, interpretation puts catharsis into the context of Aristotle's argument that the pleasure peculiar to tragedy arises from the fact that our emotion is authorized and released by an intellectually conditioned structure of action. In fiction, unlike reality, we feel the emotion *and* see its place in a sequence of probability and necessity.

Alternatively catharsis may be seen, as by G. Else (*Aristotle's Poetics*, 1957), not as the end result, but as a process operating through the 'structure of events' which purifies, not the audience, but the events themselves. The tragic hero's pollution (typically from the

murder of a blood relation) is shown, through the structure of discovery and recognition, and the hero's subsequent remorse, to be in some measure undeserved. So catharsis is the purification of the hero which enables us to go beyond *fear*, our horror at the events, to *pity* born of understanding; the poet's structure leads our reason to judge our emotion. See also PLOT, TRAGEDY.

See Humphry House, *Aristotle's Poetics* (1956); A. K. Abdulla, *Catharsis in Literature* (1985); Dana F. Sutton, *The Catharsis of Comedy: Greek Studies: Interdisciplinary Approaches* (1994).

PM

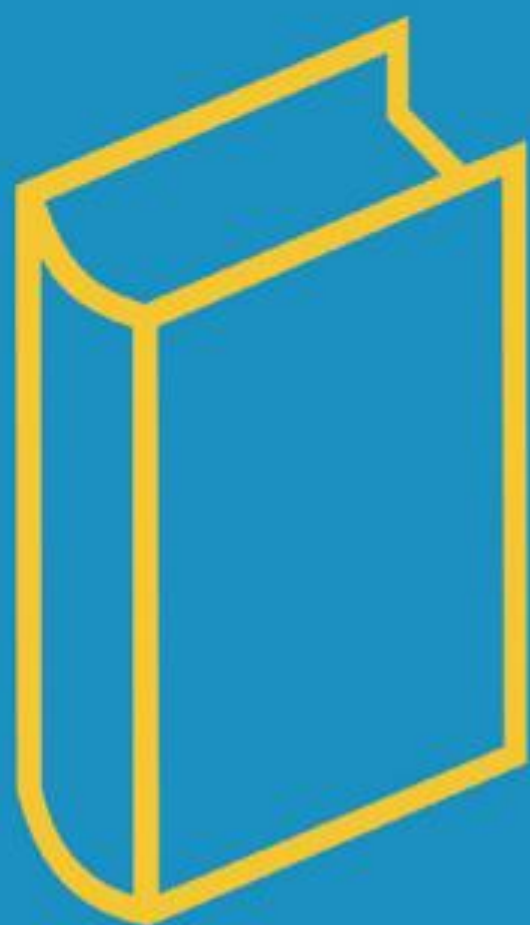
Cento(nism) See PASTICHE.

Character The fictional representation of a person, which is likely to change, both as a presence in literature and as an object of critical attention, much as it changes in society. Ideas of the place of the human in the social order, of human individuality and self-determination, clearly shift historically; and this is often mimed in literature by the relation of characters to actions or webs of story. The idea of character often attaches, therefore, to the personalizing or humanizing dimension of literature; thus naturalism, which tends to create plots in which characters are not self-determining agents but in ironic relationships to larger sequences of force, seems a remarkably impersonal writing. Yet, individual identity is often partly an attribute of social interaction, of the play of the social drama; this too is mimed in the dramatic character of much literature. In plays the paradox is compounded by the fact that

An Introduction to Literary Studies

Second edition

Mario Klarer



Also available as a printed book
see title verso for ISBN details

Published 2004 (fourth revised and expanded edition)
by Wissenschaftliche Buchgesellschaft, Darmstadt
as *Einführung in die anglistisch-amerikanistische
Literaturwissenschaft*

© 2004 Wissenschaftliche Buchgesellschaft, Darmstadt

First published in English in 1999
by Routledge

This edition first published 2004
by Routledge
11 New Fetter Lane, London EC4P 4EE

Simultaneously published in the USA and Canada
by Routledge
29 West 35th Street, New York, NY 10001

Routledge is an imprint of the Taylor & Francis Group

This edition published in the Taylor & Francis e-Library, 2005.

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British Library Cataloguing in Publication Data

A catalogue record for this book is available from the British Library

Library of Congress Cataloging in Publication Data

Klarer, Mario, 1962–

[*Einführung in die anglistisch-amerikanistische Literaturwissenschaft*. English]

An introduction to literary studies/Mario Klarer—2nd ed.

p. cm.

"Published 1998 (3rd revised edition) by Wissenschaftliche
Buchgesellschaft, Darmstadt as *Einführung in die anglistisch-amerikanistische
Literaturwissenschaft*"—T.p. verso.

Includes bibliographical references and index.

1. English literature—History and criticism—Theory, etc. 2. English

the facade of his characters by dwelling solely on exterior aspects of dialogue and actions without further commentary or evaluation. Dramatic presentation, however, only pretends to represent objectively while it always necessarily remains biased and perspectival.

As shown above, one can distinguish between two basic kinds of characters (round or flat), as well as between two general **modes of presentation** (showing or telling):

Kinds of characters

typified character

flat

individualized character

round

Modes of presentation

explanatory method

narration

dramatic method

dialogue—monologue

Similar to typification and individualization, explanatory and dramatic methods hardly ever appear in their pure forms, but rather as hybrids of various degrees, since the narrator often also acts as a character in the text. Questions concerning character presentation are always connected with problems of narrative perspective and are therefore hard to isolate or deal with individually. The following section on point of view thus inevitably touches upon aspects already mentioned.

c)

Point of view

The term **point of view**, or narrative perspective, characterizes the way in which a text presents persons, events, and settings. The subtleties of narrative perspectives developed parallel to the emergence of the novel and can be reduced to three basic positions: the action of a text is either mediated through an exterior, unspecified narrator (omniscient point of view), through a person involved in the action (first-person narration), or presented without additional commentary (figural narrative situation). This tripartite structure can

only summarize the most extreme manifestations which hardly ever occur in their pure form; individual literary works are usually hybrids combining elements of various types of narrative situations.⁵

The most common manifestations of narrative perspectives in prose fiction can, therefore, be structured according to the following pattern:

omniscient point of view

through external narrator who refers to protagonist in the third person

figural narrative situation

through figures acting in the text

first-person narration

by protagonist or by minor character

Texts with an **omniscient point of view** refer to the acting figures in the third person and present the action from an all-knowing, God-like perspective. Sometimes the misleading term *third-person narration* is also applied for this narrative situation. Such disembodiment of the narrative agent, which does away with a narrating persona, easily allows for changes in setting, time, and action, while simultaneously providing various items of information beyond the range and knowledge of the acting figures. Jane Austen (1775–1817), for example, introduces an omniscient narrator of this sort in her novel *Northanger Abbey* (1818):

No one who had ever seen Catherine Moreland in her infancy, would have supposed her born to be a heroine. Her situation in life, the character of her father and mother, her own person and disposition, were equally against her. Her father was a clergyman, without being neglected, or poor, and a very respectable man, though his name was Richard—and he had never been handsome. He had a considerable independence, besides two good livings—and he was not in the least addicted to locking up his daughters. Her mother was a woman of useful plain sense, with a good temper, and, what is more remarkable, with a good constitution.⁶

As evident in this example, an omniscient narrator can go back in time (“Catherine Moreland in her infancy”), look into the future (“to be a heroine”), and possess exact information about different figures of the novel (“Her situation in life [...]. Her father [...]. Her mother [...].”). This omniscient point of view was particularly popular in the traditional epic but also widely used in the early novel.

First-person narration renders the action as seen through a participating figure, who refers to her- or himself in the first person. First-person narrations can adopt the point of view either of the protagonist or of a minor figure. The majority of novels in first-person narration use, of course, the **protagonist** (main character) as narrator, as for example, Laurence Sterne’s *Tristram Shandy* (1759–67) or Charles Dickens’ *David Copperfield* (1849–50). The opening lines of J.D. Salinger’s (1919–) *The Catcher in the Rye* (1951) also refer to this tradition of first-person narration by the protagonist: “If you really want to hear about it, the first thing you’ll probably want to know is where I was born, and what my lousy childhood was like, and how my parents were occupied and all before they had me, and all that David Copperfield kind of crap, but I don’t feel like going into it.”⁷ These first-person narrations by protagonists aim at a supposedly authentic representation of the subjective experiences and feelings of the narrator.

This proximity to the protagonist can be avoided by introducing a **minor character** as first-person narrator. By depicting events as seen through the eyes of another person, the character of the protagonist remains less transparent. A number of novels which center on a main figure, for instance Herman Melville’s (1819–91) *Moby Dick* (1851) or F.Scott Fitzgerald’s (1896–1940) *The Great Gatsby* (1925), mystify the protagonist by using this particular technique. The opening words of *Moby Dick*, “Call me Ishmael,” are uttered by the minor character Ishmael, who subsequently describes the mysterious protagonist Captain Ahab. In *The Great Gatsby*, Nick relates the events around the enigmatic Gatsby from the periphery of the action. Through this deliberately chosen narrative perspective, the author anticipates thematic aspects of the evolving plot.

In the **figural narrative situation**, the narrator moves into the background, suggesting that the plot is revealed solely through the actions of the characters in the text. This literary technique is a

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



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CV. Pustaka Ilmu Group



Metode Penelitian Kualitatif & Kuantitatif

Penulis:

Hardani, S.Pd.,M.Si.,dkk.

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xvi+ 245 halaman; 15,5 x 23 cm

Hak cipta ada Pada Penulis

ISBN: 978-623-7066-33-0

Editor : Husnu Abadi, A.Md.,AK

Desain Cover : Husnu Abadi, A.Md.,AK

Layouting : Husnu Abadi, A.Md.,AK

Penerbit Pustaka Ilmu

Jl. Wonosari KM. 6.5 No 243 Kalangan

Yogyakarta Telp/Faks: (0274)4435538

E-mail: redaksipintukata@gmail.com

Website: <https://www.pustakailmu.co.id>

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Anggota IKAPI

Cetakan I, Maret 2020

Penerbit dan Agency

CV. Pustaka Ilmu Group Yogyakarta

Jl. Wonosari KM. 6.5 No 243 Kalangan

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dalam kondisi sederajat, yang menjadikan mereka tidak sederajat adalah karena perlakuan yang diberikan oleh peneliti.

Pada penelitian non eksperimen perlakuan sudah diasumsikan terjadi, jadi asumsi equality tidak berlaku. Hasil analisis yang menunjukkan bahwa kelompok yang satu mempunyai karakteristik tertentu, sedangkan kelompok lainnya.

H. Penelitian Kualitatif

Penelitian kualitatif disebut juga *naturalistic inquiry* memandang realitas sosial bersifat unik antara satu dengan lainnya sehingga sulit untuk melakukan generalisasi tentang keseluruhan kalau hanya didasarkan sebagian. Oleh karena itu pemahaman keseluruhan diperlukan pendekatan holistik. Pernyataan tersebut ditentang oleh peneliti kuantitatif dengan argumen walaupun setiap bagian mempunyai keunikan tersendiri akan tetapi ada beberapa karakteristik memiliki kesamaan dan dimungkinkan untuk dilakukan generalisasi. Apabila realitas sosial telah dapat diungkapkan berdasarkan beberapa penelitian mencukupi maka prediksi terhadap suatu fenomena sosial dapat dilakukan dari pada hanya berdasarkan kebetulan.

4
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Qualitative,
Quantitative,
and
Mixed Methods
Approaches

JOHN W. CRESWELL





Los Angeles | London | New Delhi
Singapore | Washington DC

FOR INFORMATION:

SAGE Publications, Inc.
2455 Teller Road
Thousand Oaks, California 91320
E-mail: order@sagepub.com

SAGE Publications Ltd.
1 Oliver's Yard
55 City Road
London EC1Y 1SP
United Kingdom

SAGE Publications India Pvt. Ltd.
B 1/I 1 Mohan Cooperative Industrial Area
Mathura Road, New Delhi 110 044
India

SAGE Publications Asia-Pacific Pte. Ltd.
3 Church Street
#10-04 Samsung Hub
Singapore 049483

Acquisitions Editor: Vicki Knight
Editorial Assistant: Jessica Young
Assistant Editor: Kalie Kosciolak
Production Editor: Brittany Bauhaus
Copy Editor: Megan Markanich
Typesetter: C&M Digitals (P) Ltd.
Proofreader: Rae-Ann Goodwin
Indexer: Gloria Tierney
Cover Designer: Michael Dubowe
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Printed in the United States of America

Library of Congress Cataloging-in-Publication Data

Creswell, John W.

Research design : qualitative, quantitative, and mixed methods approaches / John W. Creswell — 4th ed.

p. cm.

Includes bibliographical references and index.

ISBN 978-1-4522-2609-5 (cloth) —

ISBN 978-1-4522-2610-1 (pbk.)

1. Social sciences—Research—Methodology

2. Social sciences—Statistical methods. I. Title.

H62.C6963 2014

300.72'1—dc23 2012043521

This book is printed on acid-free paper.

13 14 15 16 17 10 9 8 7 6 5 4 3 2 1

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 methods section for a proposal 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 accuracy—or validity—of the data collected. This chapter addresses these important components of writing a good qualitative methods section into a proposal. Table 9.1 presents a checklist for reviewing the qualitative methods section of your proposal to determine whether you have addressed important topics.

Table 9.1 A Checklist of Questions for Designing a Qualitative Procedure

	Are the basic characteristics of qualitative studies mentioned?
	Is the specific type of qualitative design to be used in the study mentioned? Is the history of, a definition of, and applications for the design mentioned?
	Does the reader gain an understanding of the researcher's role in the study (past historical, social, cultural experiences, personal connections to sites and people, steps in gaining entry, and sensitive ethical issues) and how they may shape interpretations made in the study?
	Is the purposeful sampling strategy for sites and individuals identified?
	Are the specific forms of data collection mentioned and a rationale given for their use?
	Are the procedures for recording information during the data collection detailed (such as protocols)?
	Are the data analysis steps identified?
	Is there evidence that the researcher has organized the data for analysis?
	Has the researcher reviewed the data generally to obtain a sense of the information?
	Has the researcher coded the data?
	Have the codes been developed to form a description and/or to identify themes?
	Are the themes interrelated to show a higher level of analysis and abstraction?
	Are the ways that the data will be represented mentioned—such as in tables, graphs, and figures?
	Have the bases for interpreting the analysis been specified (personal experiences, the literature, questions, action agenda)?
	Has the researcher mentioned the outcome of the study (developed a theory, provided a complex picture of themes)?
	Have multiple strategies been cited for validating the findings?

4th
Edition

Introduction to

Qualitative Research Methods

A Guidebook and Resource

Steven J. Taylor
Robert Bogdan
Marjorie L. DeVault

WILEY

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Published by John Wiley & Sons, Inc., Hoboken, New Jersey.

Published simultaneously in Canada.

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Library of Congress Cataloging-in-Publication Data

Taylor, Steven J., 1949–

Introduction to qualitative research methods : a guidebook and resource / Steven J. Taylor, Robert Bogdan, Marjorie L. DeVault. –4th edition.

pages cm

Includes bibliographical references and index.

ISBN 978-1-118-76721-4 (cloth) – ISBN 978-1-118-767306 (epdf) – ISBN 978-1-118-76729-0 (epub)

1. Social sciences—Research—Methodology. 2. Sociology—Research—Methodology. 3. Qualitative research.

I. Bogdan, Robert. II. DeVault, Marjorie L., 1950– III. Title.

H61.T388 2016

001.4'2—dc23

2015013787

Cover design: Wiley

Cover image: ©iStock/urbanow

Printed in the United States of America

10 9 8 7 6 5 4 3 2 1

Paralleling the growing interest in qualitative research in sociology has been an increased acceptance of these methods in other disciplines and applied fields. Such diverse disciplines as geography (DeLyser, Herbert, Aitken, Crang, & McDowell, 2010; Hay, 2010), political science (McNabb, 2004), and psychology (Camic, Rhodes, & Yardley, 2003; Fischer, 2005; *Qualitative Research in Psychology*) have seen the publication of edited books, texts, and journals on qualitative research methods over the past decade and a half. The American Psychological Association started publishing the journal *Qualitative Psychology* in 2014. Qualitative methods have been used for program evaluation and policy research (Bogdan & Taylor, 1990; Guba & Lincoln, 1989; M. Q. Patton 1987, 2008, 2010, 2014; Rist 1994). Journals and texts on qualitative research can be found in such diverse applied areas of inquiry as health care and nursing (Latimer, 2003; Munhall, 2012; Streubert & Carpenter, 2010; *Qualitative Health Research*), mental health, counseling, and psychotherapy (Harper & Thompson, 2011; McLeod, 2011), education (Bogdan & Biklen, 2006; *International Journal of Qualitative Studies in Education*; Lichtman, 2010; *Qualitative Research in Education*), music education (Conway, 2014), public health (Ulin, Robinson, & Tolley, 2005), business (Meyers, 2013), theology (Swinton & Mowat, 2006), disability studies (Ferguson et al., 1992), human development (Daly, 2007; Jessor, Colby, & Shweder, 1996), social work (Sherman & Reid, 1994; *Qualitative Social Work*), and special education (Stainback & Stainback, 1988).

One does not have to be a sociologist or to think sociologically to practice qualitative research. Although we identify with a sociological tradition, qualitative approaches can be used in a broad range of disciplines and fields.

Just as significant as the increasing interest in qualitative research methods has been the proliferation of theoretical perspectives rooted in the phenomenological tradition underlying this form of inquiry. We consider the relationship between theory and methodology more fully later in this chapter.

QUALITATIVE METHODOLOGY

The phrase *qualitative methodology* refers in the broadest sense to research that produces descriptive data—people’s own written or spoken words and observable behavior. As Ray Rist (1977) pointed out, qualitative methodology, like quantitative methodology, is more than a set of data-gathering techniques. It is a way of approaching the empirical world. In this section we present our notion of qualitative research.

1. *Qualitative researchers are concerned with the meaning people attach to things in their lives.* Central to the phenomenological perspective and hence qualitative research is understanding people from their own frames of reference and

Taylor's study of World War II conscientious objectors, or COs, started when a colleague showed him a monograph titled *Out of Sight, Out of Mind* edited by Wright (1947). The monograph contained graphic accounts of institutional abuse and neglect and was published by a group named the National Mental Health Foundation. Although Taylor had studied the history of state institutions for people with psychiatric and intellectual disabilities in America and written about public exposés of these institutions, he was only vaguely familiar with exposés of state mental hospitals and training schools in the 1940s. He had never heard of the National Mental Health Foundation, even though *Out of Sight, Out of Mind* listed a series of prominent national sponsors and supporters, including Eleanor Roosevelt, wife of deceased President FDR; Walter Reuther, labor leader; and Henry Luce, founder of *Time* magazine. The monograph only mentioned in passing that the accounts had been written by COs. Taylor was intrigued that he and colleagues knowledgeable about the history of institutions were unfamiliar with or only vaguely aware of this history.

Historical researchers distinguish between primary and secondary sources. Primary sources are documents or artifacts created during the time under study and can include reports, letters, photos, newsletters, diaries, and similar materials. Secondary sources are secondhand accounts by people attempting to analyze and interpret an activity or event. Some sociologists and others write historical accounts based solely on secondary sources, but primary sources are generally considered essential for sound historical research.

Taylor first searched for secondary sources on World War II COs. He found several books that described the Civilian Public Service, which was established to oversee nonmilitary service conducted by COs who were conscientiously opposed to participation in the military based on religious training and beliefs. Although these books had little to say about COs assigned to state institutions, they helped Taylor understand the religious backgrounds of the COs and the organizations that worked hard to convince the government to permit religious objectors to perform alternative service. Just as important, these secondary sources cited primary sources and listed repositories of archival materials on the World War II COs. Archival researchers can use the same snowball technique employed by participant observers and interviewers: study documents to identify other potentially fruitful sources. One document leads to others, which lead to others, which lead to others. Through this process, Taylor identified two other books that focused on specific aspects of the work of COs at state institutions.

Three major historical peace churches—the Society of Friends (Quakers), the Mennonite Church, and the Church of the Brethren—were the driving forces behind the establishment of the Civilian Public Service and sponsored and paid the living expenses of over 12,000 COs representing over



Dr. J.R. Raco, M.E., M.Sc.

Metode Penelitian **Kualitatif**

Jenis, Karakteristik dan Keunggulannya



PENGANTAR

Prof. Dr. Conny R. Semiawan

**Metode Penelitian Kualitatif
Jenis, Karakteristik, dan Keunggulannya**

© Dr. J.R. Raco, M.E., M.Sc.

GWI 501 0310.0044

Penerbit PT Grasindo, Jalan Palmerah Selatan 22 – 28, Jakarta 10270

Hak cipta dilindungi oleh Undang-Undang

Editor: Arita L

Editor Penyelia: J.B. Soedarmanta

Desain dan ilustrasi cover: Rudi Nalsya

Setter: Iwan Kurniawan

Diterbitkan pertama kali oleh Penerbit PT Grasindo, Anggota IKAPI, Jakarta, 2010

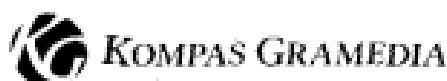
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Undang-Undang Nomor 19 Tahun 2002 tentang Hak Cipta Sebagaimana Telah Diubah dengan Undang-Undang Nomor 7 Tahun 1987.

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mengetahui validitas dan realibilitas. Tidak ada aturan yang *absolute*. Yang ada hanyalah: 'buatlah sebaik mungkin dengan menggunakan akal budimu secara penuh' dan maksimal. Mungkin ada arahan tetapi tujuan akhir adalah unik untuk setiap peneliti.

Setiap studi kualitatif adalah unik. Pendekatan analisisnya juga unik. Hal ini sangat tergantung pada keahlian, *insight*, *training* dan kemampuan peneliti. Faktor kemampuan manusia dari peneliti sangat besar dan sekaligus juga kelemahan yang besar. Hasil penelitiannya boleh jadi sangat baik, karena pengalaman dan pengetahuan luas yang dimiliki oleh peneliti. Tetapi bisa juga hasilnya akan sangat dangkal, karena pengetahuan dan pengalaman peneliti yang sangat kurang dan dangkal.

Metode kualitatif bersifat induktif yaitu mulai dari fakta, realita, gejala, masalah yang diperoleh melalui suatu observasi khusus. Dari realita dan fakta yang khusus ini kemudian peneliti membangun pola-pola umum. Induktif berarti bertitik tolak dari yang khusus ke umum.

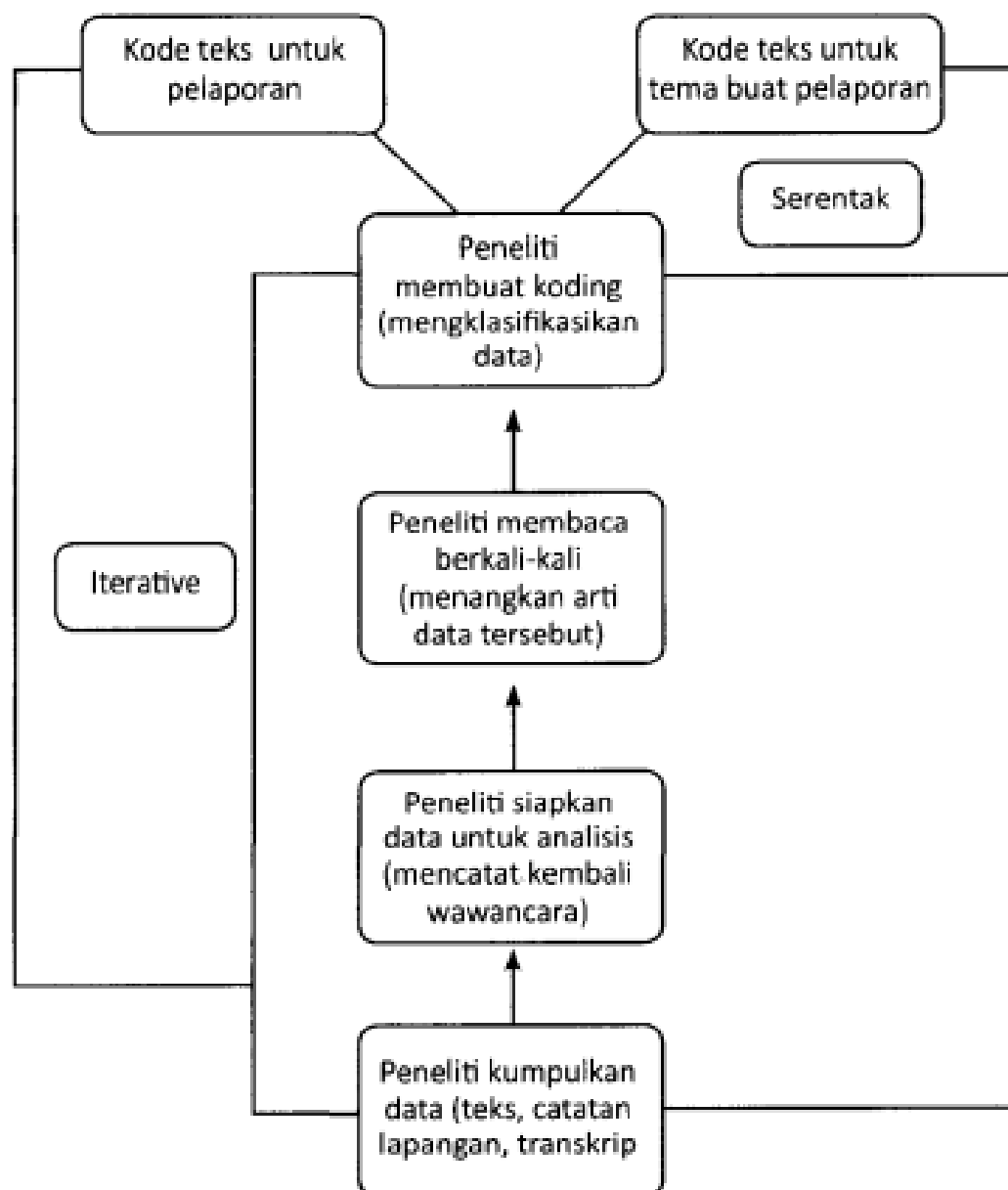
Sifat lain dari metode ini adalah holistik. Peneliti yang menggunakan metode ini berkeinginan untuk memahamai suatu gejala secara menyeluruh, termasuk mendeskripsikan dan menginterpretasikan lingkungan sosial manusia atau organisasi eksternal yang mempengaruhinya.

Analisis data di sini berarti mengatur secara sistematis bahan hasil wawancara dan observasi, menafsirkannya dan menghasilkan suatu pemikiran, pendapat, teori atau gagasan yang baru. Inilah yang disebut hasil temuan atau *findings*. *Findings* dalam analisis kualitatif berarti mencari dan menemukan tema, pola, kosep, *insights* dan *understanding*.

Semuanya diringkas dengan istilah 'penegasan yang memiliki arti' (*statement of meanings*).

Analisis berarti mengolah data, mengorganisir data, memecahkannya dalam unit-unit yang lebih kecil, mencari pola dan tema-tema yang sama. Analisis dan penafsiran selalu berjalan seiring.

Bagan 4.5. Proses Analisis





Daniel Chandler

Semiotics

the basics

Third Edition

ROUTLEDGE



Third edition published 2017
by Routledge
2 Park Square, Milton Park, Abingdon, Oxon OX14 4RN

and by Routledge
711 Third Avenue, New York, NY10017

Routledge is an imprint of the Taylor & Francis Group, an informa business

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*Trademark notice:*Product or corporate names may be trademarks or registered trademarks, and are used only for identification and explanation without intent to infringe.

First edition published by Routledge 2002

Second edition published by Routledge 2007

British Library Cataloguing-in-Publication Data
A catalogue record for this book is available from the British Library

Library of Congress Cataloging-in-Publication Data

Names: Chandler, Daniel.

Title: Semiotics : the basics / by Daniel Chandler.

Description: Third edition. | New York, NY : Routledge,2018. | Includes bibliographical references and index.

Identifiers: LCCN2016058660| ISBN9781138232921 (hardback) | ISBN9781138232938 (pbk.) | ISBN9781315311050 (ebook)

Subjects: LCSH: Semiotics.

Classification: LCC P99 .C4632018 | DDC 302.2—dc23LC record available at <https://lcn.loc.gov/2016058660>

ISBN: 978-1-138-23292-1 (hbk)

ISBN: 978-1-138-23293-8 (pbk)

ISBN: 978-1-315-31105-0 (ebk)

Typeset in Times New Roman and Scala Sans
by Florence Production Ltd, Stoodleigh, Devon, UK

Beyond the most basic definition as ‘the study of signs’, there is considerable variation among leading semioticians as to the scope of semiotics. One of the broadest definitions is that of the late Italian semiotician Umberto Eco (1932–2016), who states that ‘semiotics is concerned with everything that can be taken as a sign’ (1976, 7). A sign is traditionally defined as ‘something which stands for something else’ (in the medieval formula, *aliquid stat pro aliquo*). All meaningful phenomena (including words and images) are signs. To interpret something is to treat it as a sign. All experience is mediated by signs, and communication depends on them. Semioticians study how meanings are made and how reality is represented (and indeed constructed) through signs and sign systems.

Theories of signs (or ‘symbols’) appear throughout the history of philosophy from ancient times onwards. The study of signs as medical symptoms originated with Hippocrates (460–377 BCE) and was developed by Galen (c.129–200 CE). Plato’s *Cratylus* (c.360 BCE) featured a famous dialogue on the conventionality of words and the introductory chapter of Aristotle’s *On Interpretation* (c.350 BCE) proved to be an influential contribution to the theory of signs. The Stoics (c.300 BCE–200 CE) are often considered to have produced the first semiotic theory (Bouissac 1998, 568). However, a general theory of signs (both natural and cultural) is commonly traced back to the medieval theologian and philosopher Augustine of Hippo (354–430 CE), who is consequently claimed by some to be the founder of semiotics.

The two primary traditions in contemporary semiotics stem respectively from the Swiss linguist Ferdinand de Saussure (1857–1913) and the American philosopher Charles Sanders Peirce (pronounced ‘purse’) (1839–1914). They are widely regarded as the co-founders of what is now generally known as *semiotics* – despite the fact that neither of them actually wrote a book on the subject. The first edition of Saussure’s *Course in General Linguistics*, published posthumously in 1916, contains the declaration that he could envisage, and staked a claim for, ‘a science that studies the life of signs within society’), which he called *semiologie*, from the Greek *sēmeion*, ‘sign’ (CLG 33; 16). His use of the term *sémiologie* dates originally from a manuscript of 1894. Although Saussure was a linguist, he saw linguistics as a branch of the ‘general science’ of semiology, which was in turn an offshoot of (social) psychology. Across the Atlantic, to the philosopher Charles Peirce the field of study which he calls



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First published 1980 by Methuen & Co. Ltd

This edition published in the Taylor & Francis e-Library, 2005.

“To purchase your own copy of this or any of Taylor & Francis or
Routledge’s collection of thousands of eBooks please go to
www.eBookstore.tandf.co.uk.”

Simultaneously published in the USA and Canada
by Routledge

29 West 35th Street, New York, NY 10001

This second edition first published 2002

Routledge is an imprint of the Taylor & Francis Group

© 1980, 2002 Keir Elam

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or utilised in any form or by any electronic, mechanical, or other means,
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or in any information storage or retrieval system, without permission in
writing from the publishers.

British Library Cataloguing in Publication Data

A catalogue record for this book is available from the British Library

Library of Congress Cataloging in Publication Data

A catalog record for this book has been requested

ISBN 0-203-42607-X Master e-book ISBN

ISBN 0-203-44074-9 (Adobe eReader Format)

ISBN 0-415-28017-6 (Hbk)

ISBN 0-415-28018-4 (Pbk)

1

PRELIMINARIES: SEMIOTICS AND POETICS

THE SEMIOTIC ENTERPRISE

Of all recent developments in what used to be confidently called the humanities, no event has registered a more radical and widespread impact than the growth of semiotics. There scarcely remains a discipline which has not been opened during the past fifteen years to approaches adopted or adapted from linguistics and the general theory of signs.

Semiotics can best be defined as a science dedicated to the study of the production of meaning in society. As such it is equally concerned with processes of signification and with those of communication, i.e. the means whereby meanings are both generated and exchanged. Its objects are thus at once the different sign-systems and codes at work in society and the actual messages and texts produced thereby. The breadth of the enterprise is such that it cannot be considered simply as a 'discipline', while it is too multifaceted and heterogeneous to be reduced to a 'method'. It is—ideally, at least—a multidisciplinary science whose precise methodological characteristics will necessarily vary from field to field but which is united by a common global concern, the better understanding of our own meaning-bearing behaviour.

Proposed as a comprehensive science of signs almost contemporarily by two great modern thinkers at the beginning of this century, the Swiss linguist Ferdinand de Saussure and the American philosopher Charles Sanders Peirce, semiotics has since had a very uneven career. This has been marked in particular by two periods of intense and wide-based activity: the thirties and forties (with the work of the Czech formalists) and the past two decades (especially in France, Italy, Germany, the Soviet Union and

Studies in Linguistic and Cultural Anthropology

MESSAGES, SIGNS, AND MEANINGS:

A Basic Textbook in Semiotics
and Communication Theory

Third Edition

Marcel Danesi

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Messages, Signs, and Meanings: A Basic Textbook in Semiotics and Communication Theory, 3rd Edition

by Marcel Danesi

First published in 2004 by
Canadian Scholars' Press Inc.
180 Bloor Street West, Suite 801
Toronto, Ontario
M5S 2V6

www.cspi.org

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Every reasonable effort has been made to identify copyright holders. CSPI would be pleased to have any errors or omissions brought to its attention.

CSPI gratefully acknowledges financial support for our publishing activities from the Government of Canada through the Book Publishing Industry Development Program (BPIDP).

National Library of Canada Cataloguing in Publication

Danesi, Marcel, 1946-

Messages and meanings : an introduction to semiotics / by Marcel Danesi.

— [3rd ed.]

(Studies in linguistic and cultural anthropology)

Previously titled: Messages and meanings : sign, thought and culture.

Includes bibliographical references and index.

ISBN 1-55130-250-0 (pbk.)

I. Semiotics. II. Title. III. Series.

P99.D26 2004

302.2

C2003-907010-7

Cover design by Hothouse Canada

Page design and layout by Brad Horning

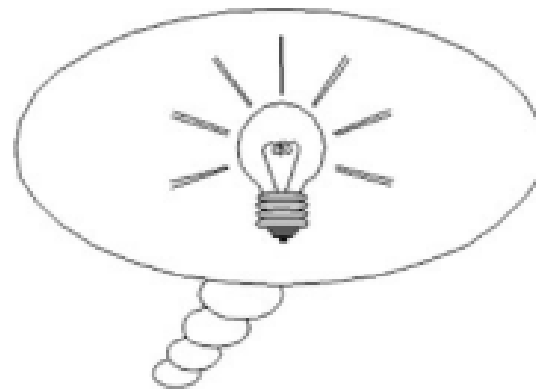
04 05 06 07 08 5 4 3 2 1

Printed and bound in Canada by AGMV Marquis Imprimeur Inc.

All royalties from the sale of this book will be donated to St. Jude Children's Research Hospital.

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stands for, *how* it manifests itself physically, and *why* it is indicative of certain ailments or conditions is the essence of medical diagnosis. Now, while the goal of semiotics today is to investigate something quite different (a sign such as *red*), it nevertheless has retained the same basic method of inquiry. As a case in point, observe the following figure:



What does it mean? The answer is “a bright idea.” How does it present this meaning? It does so by showing a light bulb inside a bubble. Why is it indicative of this meaning? Answering this last question entails unraveling the cultural roots of each component of the sign. The use of light in the sign is consistent with the general view in our culture of light as an analogue for intellect and intelligence. This can be seen, for instance, in such expressions as “to become *enlightened*,” “to shed *light* on something,” and so on. The use of a “bubble” to enclose the light bulb (the source of light) is derived from the comic book tradition of putting words and thoughts into bubbles. This simple example illustrates the sum and substance of semiotic method. The same triad of questions is used to understand everything from a simple visual figure (such as the one above) to a complex narrative or scientific theory.

The thing to which a sign refers is known, logically, as the *referent*. There are two kinds of referents: (1) a concrete referent, such as the animal designated by the word *cat*, and (2) an abstract referent, such as the “bright idea” concept designated by the light bulb figure above. The former is something that can be shown to exist in the real world—e.g., a “cat” can be indicated by simply pointing to one. The latter is imaginary and cannot be indicated by simply pointing to it—how would you point to a “bright idea” inside the brain? Signs allow us to refer to things and ideas, even though they might not be physically present for our senses to perceive. When we say or hear the word *cat* the image of the animal in question comes instantly to mind, even if the actual animal is not around for us to perceive with our senses.

UNMASKING THE FACE

Paul Ekman and Wallace V. Friesen

A guide to recognizing emotions from facial expressions



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Library of Congress Cataloging in Publication Data
for previous edition is recorded as follows:

Ekman, Paul.

Unmasking the face.

Includes bibliographies.

1. Facial expression. I. Friesen, Wallace V., joint author. II. Title.

BF637.C45E38 152.4'2 74-14544

ISBN 0-13-938183-X

ISBN 0-13-938175-9 (pbk.)

This Major edition ISBN 1-883536-36-7

Printed in the United States of America

V 10 9 8 7 6 5 4 3 2 1

2

why mistakes are made in understanding facial expressions of emotion

The Face as a Multisignal, Multimessage System

The face provides more than one kind of signal to convey more than one kind of message. In trying to follow the emotion messages, you may look at the wrong signal. Or perhaps you don't clearly differentiate the emotion messages from the other messages conveyed by the face. A very familiar example of a multisignal, multimessage system is the system of road signs. It employs three types of signals: shape (triangular, square, circular, rectangular, octagonal), color (red, yellow, blue, green), and inscription (words, drawings, numbers). Road signs utilize these three types of signals to transmit three types of messages: regulations (stop, no U-turn, yield, etc.), warnings (school crossing, two-way traffic, etc.), and information (service area, bike route, camping, etc.). With road signs, as with facial expressions, you must focus on a particular type of signal if you wish to learn a particular type of message. If you want to know if you are approaching a rest area or a place to camp, you can search for the blue or green signs, because it is these colors that give this type of information (yellow signs give warnings, red signs give regulations). The parallel in reading faces is that if you want to know what emotion someone is feeling, you must watch the temporary changes in the face, because it is these rapid facial signals which give information about emotions. (If you were trying to determine someone's age, you would pay attention to more enduring aspects of the face, such as muscle tone or permanent wrinkles.)

The face provides three types of signals: static (such as skin color), slow (such as permanent wrinkles), and rapid (such as raising the eyebrows). The *static* signals include many more or less permanent aspects of

the face—skin pigmentation, the shape of the face, bone structure, cartilage, fatty deposits, and the size, shape, and location of the facial features (brows, eyes, nose, mouth). The *slow* signals include changes in the facial appearance which occur gradually with time. In addition to the development of permanent wrinkles, changes in muscle tone, skin texture, and even skin coloration occur with age, primarily in the later years of adulthood. The *rapid* signals are produced by the movements of the facial muscles, resulting in temporary changes in facial appearance, shifts in the location and shape of the facial features, and temporary wrinkles. These changes flash on the face for a matter of seconds or fractions of a second.

All three types of facial signals can be modified or disguised by personal choice, although it is hardest to modify the static and slow signals. Hair styles are used almost universally to modify these signals. Bangs, for example, can change the apparent size of the forehead, or conceal permanently etched wrinkles. Cosmetics, such facial ornaments as sunglasses and, at the most extreme, plastic surgery can modify the static and slow facial signals so that they broadcast a different set of messages. The rapid facial signals can be modified or disguised by inhibiting the muscle movements that produce them or by masking one expression with another, or by hiding the face with beards or sunglasses. Thus, one can be misled, purposefully or accidentally, by rapid, slow, or static signals.

The face is not just a multisignal system (rapid, slow, static) but also a multmessage system. The face broadcasts messages about emotion, mood, attitudes, character, intelligence, attractiveness, age, sex, race, and probably other matters as well. This book is focused primarily on one type of message and one type of signal—emotion messages transmitted by the rapid signals. When we speak of emotions, we are referring to transitory feelings, such as fear, anger, surprise, etc. When these feelings occur, the facial muscles contract and there are visible changes in the appearance of the face. Wrinkles appear and disappear, the location and/or shape of the eyebrows, eyes, eyelids, nostrils, lips, cheeks, and chin temporarily change. Research has shown that accurate judgments of emotion can be made from the rapid facial signals, and has recently uncovered the particular facial signals—the blueprints—which distinguish each of the primary emotions. Photographs were specially made for this book to reveal and contrast the facial blueprints that distinguish each of the primary emotions and the blends of these emotions.

It is important to note that the emotion messages are not transmitted by either the slow or the static facial signals; however, these may affect the implications of an emotion message. If a person has a thin or fat face, a wrinkled or smooth face, a thin- or thick-lipped face, an old or young face, a male or female face, a Black, Oriental, or Caucasian face, that does not tell you whether the person is happy or angry or sad. But it may affect your

4

surprise

The Experience of Surprise

Surprise is the briefest emotion. It is sudden in its onset. If you have time to think about the event and consider whether or not you are surprised, then you are not. You can never be surprised for long, unless the surprising event unfolds new surprising elements. It doesn't linger. When you cease being surprised, its disappearance is often as sudden as was its onset.

Surprise is triggered both by the *unexpected* and by what might be called the "*misexpected*" event. Suppose a man's wife appears in his office. If she customarily comes at that time to drop off his lunch he will not be surprised. The appearance of his wife is neither unexpected nor misexpected. If his wife rarely comes to his office, but her impending visit is announced by his secretary saying, "I can see your wife coming up the street," he will not be surprised when she arrives, because there will have been time to anticipate and perhaps figure out an explanation for this out-of-the-ordinary event. If his wife walks in unannounced and it is unusual for her to appear at her husband's office, then the event is an *unexpected* surprise—an unusual event which was unanticipated. It is called *unexpected* rather than *misexpected* because at that moment the surprised person was not expecting anything in particular to happen. If, however, the coffee vendor always comes by at that time and always gives a characteristic knock on the door, and it is the man's wife, not the coffee vendor who comes in, the event is a *misexpected* surprise. There was an aroused specific anticipation for something different to happen at that moment. In *misexpected* surprise the event need not be unusual to be surprising; it is the contrast with what is expected at that moment that is surprising. If, at the moment that the coffee vendor was



Figure 11

- The brows are raised, so that they are curved and high.
- The skin below the brow is stretched.
- Horizontal wrinkles go across the forehead.
- The eyelids are opened; the upper lid is raised and the lower lid drawn down; the white of the eye—the sclera—shows above the iris, and often below as well.
- The jaw drops open so that the lips and teeth are parted, but there is no tension or stretching of the mouth.

making faces

Another way to review what you have learned about the surprise facial expressions is actually to construct some of the faces you have seen in this chapter. Cut out the four pieces of the neutral facial expressions of John and Patricia on the back page. Now you have what you need to make some of the different surprise facial expressions.

1. Take the C pieces and place them over the faces in Figure 11. What is the expression? You have seen Patricia's face before, but not John's expression. It is questioning or disbelief (Figure 5).

5

fear

The Experience of Fear

People fear harm. The harm may be physical or psychological, or both. The physical harm may vary from something minor, such as a vaccination puncture, to actual life-endangering injuries. Psychological harm can also vary from minor insults or disappointments to extreme assaults on one's well-being, rejection of one's love, attacks on one's worth. The psychological harm may involve damage (to self-esteem, confidence, sense of security), or loss of love, friendship, possessions, etc. Harm may involve both physical pain and psychological suffering; for example, a teenager being beaten up by a rival in view of his girlfriend may be both physically and psychologically bruised.

Survival depends on learning to avoid or escape from situations that cause severe pain and the likelihood of physical injury. You learn to anticipate danger early. You evaluate what is occurring, alert to the possibility of harm. Very often you feel fear in advance of harm. You fear both real and imagined threats of harm. You fear any event, person, animal, thing, or idea that appears dangerous. If you are told that next week you are going to have to undergo a series of extremely painful rabies injections, you are likely to feel fear well before the pain from the first needle. If you see the boss storm in to work, obviously angry at something and ready to explode, you may well become afraid before his attention turns to you. The fear of danger, the anticipation of even physical pain, can often be more miserable than the pain itself. Often, of course, the fear of danger mobilizes efforts to avoid or diminish the impending harm.

Fear is so often experienced in advance of harm—you are so successful in spotting danger before pain hits—that it is possible to forget that you can

In Figure 21 there is more of a dumbfounded element to Patricia's fear because of the surprise mouth. Compare Patricia's expression in Figure 21 with her expression in 19C. The brows and eyes are the same, but replacing the neutral mouth (Figure 19C) with a surprise mouth (Figure 21) adds an element of fear and changes the apprehensive fear of Figure 19C to a greater but more incredulous fear.

John's expression in Figure 21 shows the last way in which fear and surprise can be blended. In this instance John shows fear only in the eyes. Just the tightening of the lower eyelid changes his expression from surprise to fearful surprise. Compare John's expression in Figure 21 with his expression in Figure 11, in order to see the difference between this fear-surprise blend and the straight surprise expression.

Review

Figure 22 shows two full-face fear expressions. Note each of the distinctive clues to fear.

Figure 22

A



B



—The brows are raised and drawn together.

—The wrinkles in the forehead are in the center, not across the entire forehead.

—The upper eyelid is raised, exposing sclera, and the lower eyelid is tensed and drawn up.

—The mouth is open and the lips are either tensed slightly and drawn back or stretched and drawn back.

making faces

1. Put the C pieces over the faces in Figure 22. What is the expression? You have seen John's expression before in Figure 13, and Patricia's is the same, if a little more subtle. Worry, slight apprehension, controlled fear are the possible messages.
2. Put B over the faces in Figure 22. The expression? Patricia's expression means worry or apprehension (Figure 16B). John's expression may have this meaning, or it may be controlled fear, or if it flashes on and off very quickly, it may be an emblematic fear expression (Figure 17).
3. Put both A and D on the faces in Figure 22. This is a facial expression you weren't shown before but which was discussed on page 52. It has the fear eyes, which might be shown momentarily in a highly controlled fear, or a very slight fear.
4. Take off A. The expression is the same as in the left side of Figure 19—apprehensive fear.
5. Remove D and replace A. This is the expression shown on the right side of Figure 19; it is the more horrified, frozen fear. By interchanging A and D you can best see how the meaning of the expression changes.

flashing faces

Another way to practice what you have learned is to flash some of the photographs before your eyes and try to identify the correct emotion. You can do this, using selected figures from the preceding chapters. The procedure is somewhat complex—but most people find it a useful step to actually become able to spot these facial expressions in real life.

You will need:

1. A partner; your partner will select photos and flash them for you.
2. An L-shaped cardboard mask; your partner will need to cover up other photos that may be on the same page so you will see only the face being flashed.
3. A list of the faces to be flashed and a presentation order; the basic list is given below but your partner will need to re-order this list so you won't know which photo is coming next—and, of course, it's important to know the order of presentation so you can compare your answers later.

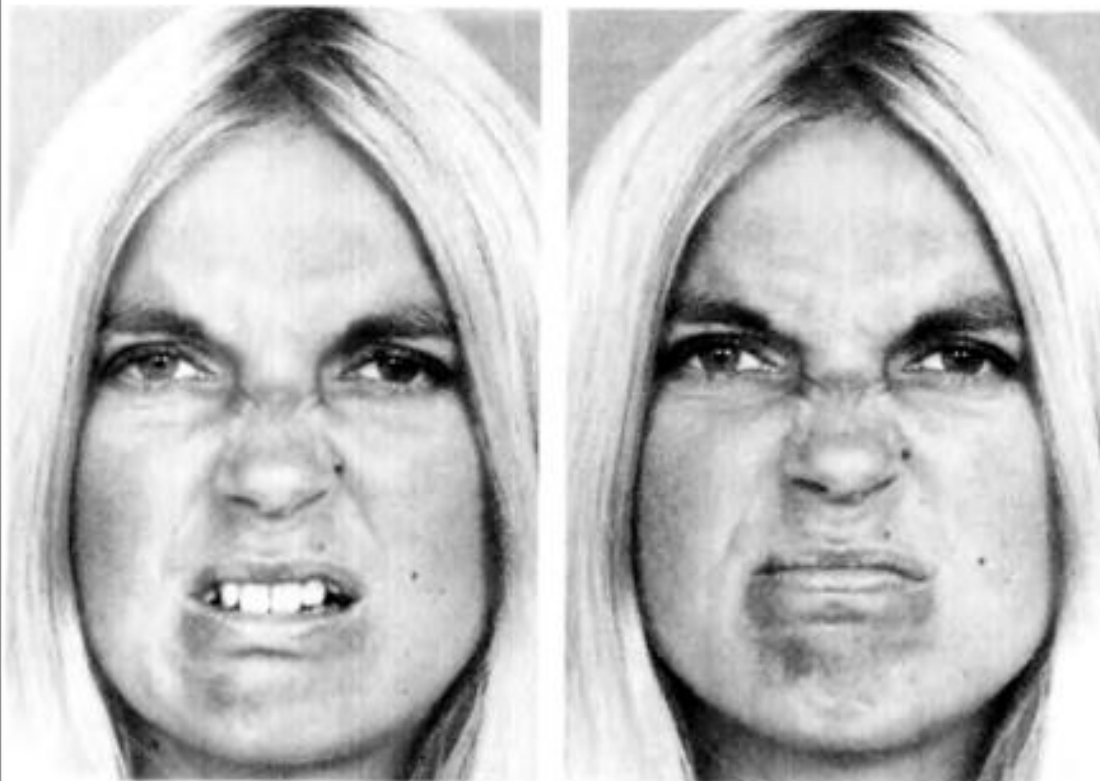
Most often, disgust blends with anger. This will be shown in the next chapter. Disgust-happiness and disgust-sadness blends will be shown in the chapters that explain those emotions.

Review

Disgust is shown primarily in the lower face and in the lower eyelid (Figure 30).

- The upper lip is raised.
- The lower lip is also raised and pushed up to the upper lip, or is lowered and slightly protruding.
- The nose is wrinkled.
- The cheeks are raised.
- Lines show below the lower lid, and the lid is pushed up but not tense.
- The brow is lowered, lowering the upper lid.

Figure 30



7

anger

The Experience of Anger

Anger is probably the most dangerous emotion. When angry, you are most likely to hurt others purposefully. If you know that someone is angry, if you comprehend what made him angry, then his attack is understandable even if you condemn his failure to control himself. It is the person who attacks without known provocation—who doesn't seem to have been angry—whom you judge as bizarre or crazy. Part of the experience of anger is the risk of losing control. When a person says he was angry, that often seems to explain why he did something he now regrets. "I know I shouldn't have said that to him (hit him), but I was furious; I lost my head." Children are specifically taught not to attack their parents or other adults physically when they are angry. They may even be taught to control any visible sign of anger. Boys and girls are usually trained differently about anger, girls being taught not to show anger toward anyone, while boys are encouraged to express anger toward their peers if provoked. Adults are known by how they manage the feeling of anger—"slow-burner," "short-fused," "explosive," "hothead," "cool," etc.

Anger can be aroused in a number of different ways. Frustration resulting from interference with your activity or the pursuit of your goals is one route. The frustration may be specific to a task you are engaged in or more generally to a path or direction in your life. Your anger will be more likely and more intense if you believe that the agent of the interference acted arbitrarily, unfairly, or spitefully. If a person wants to frustrate you, or frustrates you simply because he fails to consider how his actions might affect your activity, you are more likely to be angry than if you think he has no choice. The frustrating obstacle need not be a person. You can become angry at an



Figure 40

to cope with the situation. Figure 41 shows two such anger-fear blends. In 41B and 41C fear is shown in the mouth and anger in the brows and eyes. Again note that the anger part of the blend message is not dominant, but quite weak compared with the fear message. In fact, these two facial expressions, 41B and 41C could occur when there was no anger at all, but instead perplexed fear, or fear in which the person was concentrating. Patricia's expression in 41A has been included because it shows a combination of anger and fear elements (fear brows and eyes and anger mouth), but it is one which we doubt is an actual blend. It is more likely that this combination would occur if Patricia were afraid and attempting to keep from screaming, pressing her lips together in an attempt to control her fear.

Anger can also blend with happiness (Chapter 8) and with sadness (Chapter 9).

Review

Anger is manifested in each of the three facial areas (Figure 42).

- The brows are lowered and drawn together.
- Vertical lines appear between the brows.
- The lower lid is tensed and may or may not be raised.

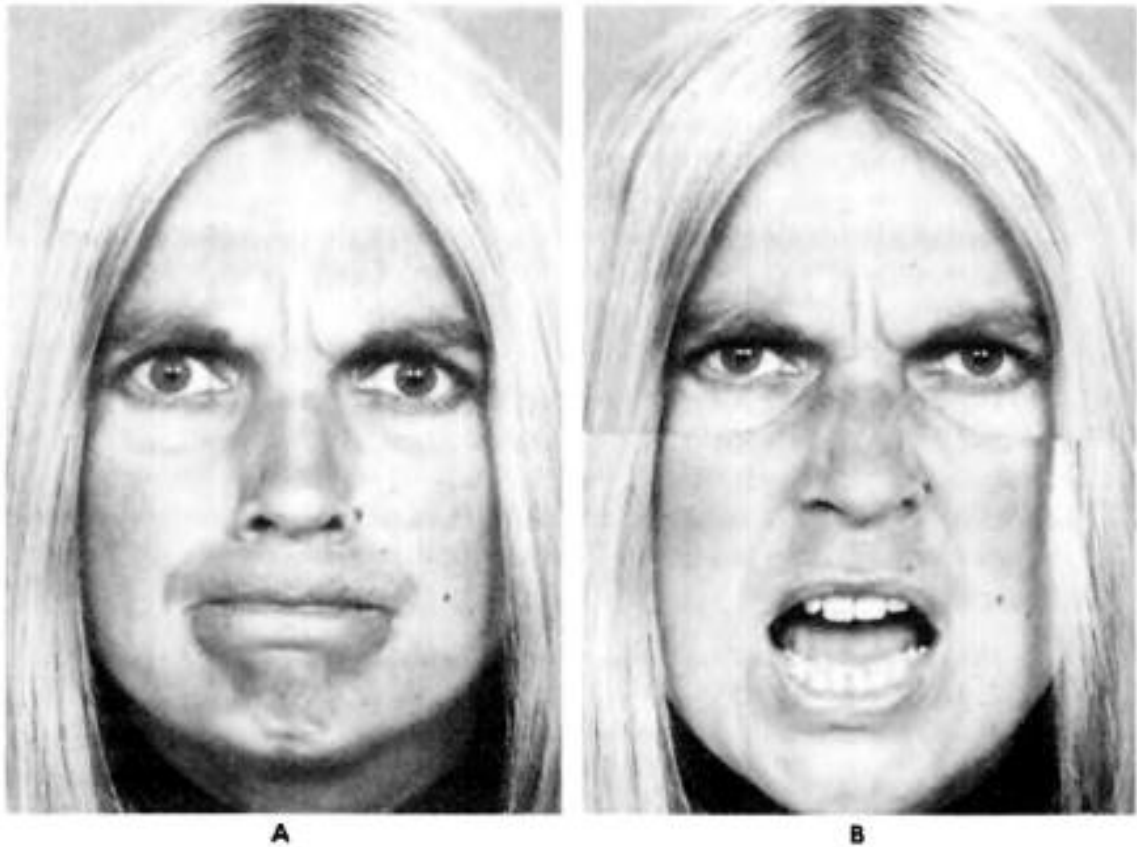


Figure 42

—The upper lid is tense and may or may not be lowered by the action of the brow.

—The eyes have a hard stare and may have a bulging appearance.

—The lips are in either of two basic positions: pressed firmly together, with the corners straight or down; or open, tensed in a squarish shape as if shouting.

—The nostrils may be dilated, but this is not essential to the anger facial expression and may also occur in sadness.

—There is ambiguity unless anger is registered in all three facial areas.

making faces

In these exercises you will be able to make the angry faces become ambiguous.

1. Put the A piece over each of the faces in Figure 42. You have made the same face as in Figure 35, which could be anger or any of the other meanings discussed.
2. Put B over each of the faces in Figure 42. You have created an expression that wasn't shown before, in which anger is registered in just the mouth. This could be controlled anger or slight anger; or it could be muscular exertion, concentration, shouting to someone, or speech.

8

happiness

The Experience of Happiness

Happiness is the emotion most people want to experience. You like being happy. It feels good. You choose situations, if you can, in which you will experience happiness. You may organize your life in order to increase your happy experiences. Happiness is a positive emotion. By comparison fear, anger, disgust, and sadness are negative emotions, and most people do not enjoy them. Surprise is neither positive nor negative. In order to understand the experience of happiness, we need to distinguish it from two closely related states which often occur with happiness—pleasure and excitement.

Although our language assigns almost synonymous meanings to the words *pleasure*, *happiness*, and *enjoyment*, here we want to restrict the term pleasure to refer solely to positive *physical sensations*. This pleasure is the opposite of the physical sensation of pain. Pain hurts, while pleasure is intrinsically good or rewarding in the way it feels. You value, appreciate, and prefer pleasurable sensations. We do not know all the ways that pleasure sensations can be evoked. Certainly tactile stimulation and taste can bring on pleasurable sensations, and so can some sounds and sights. Usually you feel happy when you experience pleasurable sensations, unless you have been punished for having such sensations and feel guilty about them or about your way of obtaining pleasure. Often you feel happy in anticipation of an event which you know will cause pleasurable sensations, or happy, in a contented way, afterward. But you do not need to experience pleasurable sensations to be happy. There are other routes to happiness which don't involve pleasurable sensations.

Excitement is considered by the psychologist Silvan Tomkins to be a



A

B

Figure 50

Review

Happiness is shown in the lower face and lower eyelids (Figure 50).

- Corners of lips are drawn back and up.
- The mouth may or may not be parted, with teeth exposed or not.
- A wrinkle (the naso-labial fold) runs down from the nose to the outer edge beyond the lip corners.
- The cheeks are raised.
- The lower eyelid shows wrinkles below it, and may be raised but not tense.
- Crow's-feet wrinkles go outward from the outer corners of the eyes (covered by hair in Figure 50).

making faces

Because the movements around the mouth and cheeks also change the appearance of the lower eyelids, and because there is no distinctive brow/forehead movement in happiness, you cannot make most of the faces shown in this chapter. You can, however, make a few faces that will demonstrate these points to you.

9

sadness

The Experience of Sadness

In sadness your suffering is muted. You do not cry aloud but more silently endure your distress. Anything can make you sad, but most often you are sad about losses. Loss through death or rejection by a loved one. Loss of an opportunity or reward through your own mistaken effort, or circumstance, or another's disregard. Loss of your health, or of some part of your body through illness or accident. Sadness is rarely a brief feeling. You are usually sad for at least minutes and more typically for hours or even days.

Sadness is a passive, not an active feeling. Darwin wrote of sad persons that

they no longer wish for action, but remain motionless and passive, or may occasionally rock themselves to and fro. The circulation becomes languid; the face pale; the muscles flaccid; the eyelids droop; the head hangs on the contracted chest; the lips, cheeks and lower jaw all sink downward from their own weight. (1965, p. 176) ¹

You suffer in sadness. It is not the suffering of physical pain; it is the suffering of loss, disappointment, or hopelessness. The suffering in sadness can be extreme, but in its extremity it is more tolerable than the suffering of fear. You can endure sadness for longer periods of time and survive.

Sadness is a variation or form of distress, which is the most general negative emotion. Distress is most easily and often aroused by physical pain.

¹ From C. Darwin, *The expression of the emotions in man and animals*. Chicago: University of Chicago Press, 1965. Reproduced by permission of the Publisher.

(56B) for comparison. This facial expression might occur, for example, if Patricia had just approached a reckless driver who had run over her dog. Saddened at the death of her pet, angry at the driver for his carelessness, she might blend the two feelings in this expression. Or Patricia might have been scolded by her mother. Feeling both saddened by the temporary loss of love and angry at her mother, she might blend the two in a sulky anger, or pout. In Figure 57C John shows another blend of sadness (brows/eyes) with anger (mouth), and also full anger (57A) and sadness (57B) expressions for comparison. This sadness-anger blend is most likely the result of attempting to mask or at least control the sad expression with the anger mouth. Or it could be a saddened but determined expression. However, John's masking attempt would not be very convincing; he is quite literally keeping a "stiff upper lip."

Figure 58 shows two examples of sadness (brows/forehead and eyes/upper eyelids) and disgust (mouth and lower eyelids). Viewing a battlefield, John might feel sad about the loss of life and disgusted with mankind for such slaughter.

Figure 59 shows blends of sadness (brows/forehead) with happiness

Figure 58





Figure 59

(mouth); in Patricia's expression the eyelids are sad, in John's the upper eyelids are sad while the lower eyelids are happy. These expressions could occur with nostalgic, bittersweet experiences, or when the happy expression is being used as a mask—"laughing on the outside, crying on the inside, because I'm still in love with you." Or when someone says "cheer up, it's not so bad; let's see a smile."

Review

Figure 60 shows two full sadness expressions. Note each of the distinctive clues to sadness.

- The inner corners of the eyebrows are drawn up.
- The skin below the eyebrow is triangulated, with the inner corner up.
- The upper eyelid inner corner is raised.
- The corners of the lips are down or the lip is trembling.

making faces

1. Take facial piece C and place it over the faces in Figure 60. What does it look like? It should look slightly sad, because you have made



Figure 60

the expression in which sadness is shown only in the brow, as in Figure 51. Note that there is one difference; you are not able to get the sadness upper eyelid to cover the top of the neutral eye as it would appear in sadness (shown in Figure 51). Nevertheless, it still looks sad.

2. Take piece B and put it over the pictures in Figure 60. Now Patricia shows what might be a pout (see Figure 53), but it is a little ambiguous. And John's look is also ambiguous, maybe with the slightest trace of beginning sadness.
3. Take piece D and put it over the pictures in Figure 60. They both look pretty sad, but not as sad as when the mouth is involved. Remove piece D and quickly put it back, so you can see the change.
4. To see a gradation of intensity in sadness, in rapid succession put piece B over the pictures in Figure 60 (slightest sadness), remove B and put piece D over the pictures in Figure 60 (more sadness), and then uncover the pictures in Figure 60 (more sadness).

flashing faces

Check the instructions for Flashing Faces on pages 63-64. Now you can add happy and sad faces, and blends of happiness and sadness with anger, disgust, fear and surprise. First practice the happy, sad faces and blends of these two emotions. When you have them perfect, add the anger, disgust,