

CHAPTER II

THEORY AND METHOD

2.1 Theoretical Framework

The theoretical framework is a structured set of concepts and propositions that explain or predict phenomena by outlining relationships among variables within a study (Creswell, 2009: 41). The writer will discuss intrinsic and extrinsic elements. Intrinsic elements—using the main theory from M. H. Abrams. The extrinsic elements through Robert McCrae and Paul Costa’s Five-Factor Model and Theory are used to analyse Mara’s personality traits and their causes.

2.1.1 Intrinsic elements

Intrinsic elements are the internal features of a literary work analyzed as part of a self-contained whole, without reference to external context (Abrams, 1999: 52). However, in this research, the writer will only focus on the character, characterization, external and internal conflict, and setting of the place.

2.1.1.1 Character

According to Abrams (1999: 32), in the framework of a story, characters are the living representations of persons in real life with a more complex perspective of people to emphasise their unique moral, intellectual, and emotional traits. There are two types of characters: flat and round characters. A flat character is a relatively simple figure constructed around a single dominant trait or idea,

which can be succinctly described in a brief phrase. In contrast, a round character is complex in temperament and motivation, resembling real individuals in depth and unpredictability, and is therefore more difficult to describe with precision.

Additionally, Holman (1972: 92) stated that characters are divided into two: dynamic and static characters. A static character undergoes little or no internal change, and if there is apparent change, it may simply reflect the reader's growing understanding. In contrast, a dynamic character experiences significant internal change due to events in the narrative, a trait common in protagonists of major novels and dramas, while short stories more often feature static characters.

2.1.1.2 Characterization

According to Abrams (1999: 33–34), characterization is the process of defining and establishing a character's unique traits. He identifies two methods: direct characterization, where the story's narrator explicitly describes traits, and indirect characterization, where traits are revealed through actions, speech, and interactions

Holman (1972: 91) adds that there are three main methods of characterization in fiction. First is the explicit presentation of a character through direct exposition, either in an opening description or gradually throughout the work, often supported by illustrative actions. Second is the presentation through action, in which the author offers little or no direct comment, allowing the reader to infer the character's traits from their behavior. Third is the representation from within, portraying the effects of actions and emotions on the character's inner life

without authorial comment, enabling the reader to understand the character through their internal responses.

2.1.1.3 Settings

Abrams (1999: 284-285) explains that the setting is the time, place, and social environment where a story unfolds. It can refer to both the broader world of the narrative and the specific locations of individual scenes. The setting is a fundamental aspect of storytelling, commonly analysed in prose fiction but relevant across genres to define the location, time, and social context where the narrative takes place (Klarer, 2004: 25).

The thesis focuses specifically on the setting of place—how space is represented in a text. The setting of the place in literature refers to the physical and cultural environment where a story unfolds, including location, landscape, and spatial details. It shapes the atmosphere, influences characters, and contributes to the overall meaning of the story (Holman, 1972: 491).

2.1.1.4 Conflict

Conflict, according to Abrams (1999: 225), is a struggle between opposing forces that shapes the narrative of a literary work. Conflicts can be external, such as struggles between characters or with outside forces like fate or difficult situations. They can also be internal, where a character faces opposing desires, emotions, or values within themselves. Some modern stories even explore non-traditional main characters, adding depth to both types of conflict.

Holman (1972: 118) adds the outlines of five main types of conflict faced by main characters: (1) against nature, (2) against another person, (3) against society, (4) against mastery or control over everything, and (5) against fate or destiny.

2.1.2 Extrinsic Elements

Extrinsic elements refer to the external factors that influence a literary work, such as the author's background, historical context, cultural values, politics, and societal norms (Wellek & Warren, 1949: 65-66). The writer will use Robert McCrae and Paul Costa's *Personality in Adulthood: A Five-Factor Theory Perspective (2nd ed.)* as the main reference. This study employs the Five-Factor Model to examine the main character's personality traits and applies the Five-Factor Theory to explore the causes behind those traits.

2.1.2.1 Five-Factor Model

The Five-Factor Model (FFM), developed by Robert McCrae and Paul Costa, is one of the most influential frameworks in personality psychology. FFM used findings from other researchers to decide which personality domains to measure, created scales for those traits, and then used factor analysis to validate the structure of their model. Each trait plays a unique role in shaping behaviour, making the FFM one of the most widely accepted models in modern personality psychology (Matthews et al., 2003: 24). In FFM, each broad personality domain is further divided into six facets, which represent more specific traits within that domain. These facets provide a more detailed and precise description of an

individual's personality by capturing different aspects of the broader trait (McCrae & Costa, 2003: 47).

McCrae and Costa (2003: 3) state that the underlying structure of nearly all personality inventories can be recreated simply by understanding how their traits relate to the five core factors: Openness, Conscientiousness, Extraversion, Agreeableness, and Neuroticism.

2.1.2.1.1 Openness

Openness, according to McCrae and Costa (2003: 46), refers to a person's intellectual curiosity and willingness to engage with new ideas, perspectives, and experiences, rather than simply expressing emotions. Openness is divided into two: high and low openness. People high in openness tend to be creative, enjoy exploring new cultures or philosophies, and are comfortable with abstract or unconventional thinking. Conversely, people low in openness often prefer structure, routine, and practical approaches to life (John et al., 2008: 129).

This model uses a measurement called the facet to measure which is high or low openness in an individual. According to McCrae and Costa (2003: 46-50), Openness to Experience is composed of six distinct facets: Fantasy, Aesthetics, Feelings, Actions, Ideas, and Values. However, for the purpose of this study, the analysis will be limited to four facets that are most representative of Mara's personality traits in *Beauty of the Broken*. They are: (1) Fantasy, which refers to the tendency to have a strong imagination and often get lost in daydreams or creative thoughts; (2) Aesthetics, which refers to the tendency that deeply

appreciate art, music, and beauty, simply because they enjoy the experience of it; (3) Ideas, which refer to an intellectual curiosity marked by enjoyment of new concepts, abstract thinking, and a drive to explore knowledge for its own sake; (4) Value, which is a readiness to reexamine and question social, cultural, or personal values, often resulting in a more liberal and empathetic worldview.

2.1.2.1.2 Conscientiousness

Conscientiousness is one of the Five-Factor personality traits that reflects a person's tendency to be organised, responsible, and goal-driven (McCrae and Costa, 2003: 46). There are two types of conscientiousness, including high and low conscientiousness. Individuals with high conscientiousness are disciplined and self-motivated, often setting high standards for themselves, sometimes to the extent of being labelled "workaholics." On the other hand, people low in conscientiousness are typically more relaxed, spontaneous, and less concerned with structure or achievement. They may prefer flexibility over strict routines and are less driven by external goals (McCrae & Costa, 2003: 46-47). Conscientiousness often aligns with societal expectations, seen in traits like duty, reliability, and a preference for order and structure (Matthews et al., 2003: 208).

McCrae & Costa (2003: 46) stated that conscientiousness consists of six facets: Competence, Order, Dutifulness, Achievement Striving, Self-Discipline, and Deliberation. However, in this analysis of Mara's personality traits in *Beauty of the Broken*, the writer will only use two facets of conscientiousness. The two facets are: (1) Competence, which denotes a belief in one's effectiveness, with

individuals viewing themselves as capable, rational, and well-informed; (2) Dutifulness, which is characterised by a strong sense of moral obligation and responsibility, guiding individuals to act by ethical principles.

2.1.2.1.3 Extraversion

Extraversion is a personality trait that reflects a person's tendency to seek social interaction, stimulation, and lively activity (McCrae & Costa, 2003: 46). High extraversion refers to individuals who are outgoing, energetic, talkative, affectionate, and thrive in social settings. Low Extraversion, or introversion, describes those who are quiet, reserved, emotionally restrained, and prefer solitude and low-stimulation environments (McCrae & Costa, 2003: 4). Extraversion–introversion measures an individual's level of sociability by examining their enjoyment of participation in social activities. These measures help identify whether a person is more inclined toward energetic, outward engagement with others (extraversion) or prefers solitude and low-stimulation environments (introversion) (Matthews et al., 2003: 4).

McCrae & Costa (2003: 49) note that extraversion is divided into two aspects, the interpersonal and the temperamental aspects. Warmth, Gregariousness, and Assertiveness are the facets of the interpersonal aspect. Whereas, the temperamental aspects are Activity, Excitement-Seeking, and Positive Emotions facets. However, to analyse the main character in *Beauty of the Broken* by Tawni Waters, this research will focus on only two of the Extraversion traits: (1) Warmth, which refers to a person's tendency to form close, affectionate,

and emotionally connected relationships; (2) Assertiveness, which reflects an individual's ability to express themselves confidently and take charge in social situations, with assertive individuals often assuming leadership roles and speaking their minds with ease.

2.1.2.1.4 Agreeableness

McCrae and Costa (2003: 46) stated that agreeableness is a personality trait that reflects an individual's tendency to be compassionate, trusting, and generous toward others. High agreeableness marks people as caring, empathetic, and easy to get along with, while those low in Agreeableness are more critical, tough-minded, and less concerned with others' feelings. Agreeableness is about having a caring and helpful attitude toward others, as opposed to being unfriendly or uncooperative (John et al., 2008: 138).

According to McCrae & Costa (2003: 50), Agreeableness includes six key facets to measure which high or low an individual is in this trait; those facets are: Trust, Straightforwardness, Altruism, Compliance, Modesty, and Tender-mindedness. In this research, the writer will only focus on four facets of agreeableness that relate to the analysis. Those are: (1) Straightforward, characterised by honesty, openness, and sincerity in their interactions, often expressing their thoughts and intentions directly without manipulation or deceit; (2) Altruism, which reflects a selfless concern for the well-being of others, shown through kindness, helpfulness, and consideration; (3) Compliance, which shows a tendency to avoid conflict and yield rather than assert their interests aggressively;

(4) Tender-mindedness, which captures their emotional sensitivity and concern for others, often making them empathetic and supportive in social contexts.

2.1.2.1.5 Neuroticism

Neuroticism refers to the tendency to experience negative emotions such as anxiety, depression, and irritability (McCrae and Costa, 2003: 46). Neuroticism is divided into two types: low and high neuroticism. People low in neuroticism tend to be calm, even-tempered, and better able to handle stress, while people high in neuroticism are typically more prone to worry, self-consciousness, and emotional reactivity (McCrae & Costa, 2003: 4). People high in neuroticism also tend to be sensitive to the everyday stresses and disturbances of life (Matthews et al., 2003: 247).

As stated by McCrae & Costa (2003: 47-48), neuroticism is composed of six facets: Anxiety, Angry Hostility, Depression, Self-Consciousness, and Vulnerability. However, in this research, the writer will only discuss facets that are related to the analysis. They are: (1) Anxiety, which reflects a tendency to feel tense, nervous, and excessively worried about potential threats or failures; (2) Depression is marked by persistent sadness, hopelessness, and low self-esteem, often accompanied by guilt; (3) Impulsiveness, which is the tendency to give in to strong desires and temptations due to limited self-control or the intensity of the urges experienced; (5) Vulnerability, which reflects a low tolerance for stress, with individuals often feeling overwhelmed and dependent on others during crises.

2.1.2.2 Causes of Personality Traits

Five-Factor Theory (FFT) is a comprehensive model of personality that explains how the five major personality traits function and interact. Developed from the research foundation of the Five-Factor Model (FFM), FFT not only accounts for the stability of personality traits over time but also seeks to explain the underlying mechanisms of personality development, structure, and change (McCrae & Costa, 2003: 188). This research identifies three causes of personality traits in analyzing the main character: genetic, environmental, and cultural factors. The FFT explains personality through the five core traits that are biologically based and largely stable over time. While traits remain stable, adaptations shift with experience, and culture supports personal growth and flexibility. This model preserves the stability of traits while acknowledging that values, goals, and habits evolve in response to cultural and environmental influences (McCrae & Costa, 1999: 143-150).

2.1.2.2.1 Genetic

The Five-Factor Theory (FFT) emphasises that genetic inheritance is the primary factor determining personality traits. Traits like Neuroticism, Extraversion, and Conscientiousness are regarded as "endogenous basic tendencies" that are largely unaffected by external environmental influences (McCrae & Costa, 2003: 198). Additionally, personality traits are closely linked to neural systems, largely based on evidence from behavioural genetics, which indicates that these traits are heritable and have a biological foundation encoded in DNA (Matthews et al., 2003: 166). While various factors contribute to the

development of personality traits, genetic influences are likely responsible for their initial emergence (McCrae & Costa, 2003: 95).

2.1.2.2.2 Environmental

The Five-Factor Theory (FFT) also acknowledges the significant role of environmental influences, particularly during early life. Theories from psychodynamics and social learning suggest that childhood experiences, parenting styles, and peer influences can all shape personality (McCrae & Costa, 2003: 28).

Environmental influences on personality are categorised into two types: shared and non-shared factors. Shared factors, such as family income or parenting styles, tend to affect all siblings similarly; non-shared factors—like peer groups, personal experiences, or birth order—are unique to each individual (Matthews et al., 2003: 141).

2.1.2.2.3 Cultural

The Five-Factor Theory (FFT) acknowledges culture's role mainly in how personality traits are expressed and understood, rather than how they originate. Personality traits are largely influenced by cultural factors, especially the ways children are raised. Given the wide and striking variations among cultures, it is expected that individuals from different cultural backgrounds would also display markedly different personality traits (McCrae & Costa, 2003: 85). Culture significantly shapes how traits develop and vary across individuals, underscoring the importance of cultural context in personality expression (Triandis and Suh, 2002: 135).

2.1.2.3 Impact of Personality Traits in Relationships

Personality traits play a crucial role in shaping romantic relationships, particularly through the Five-Factor Model. While people often marry partners with similar social or cultural backgrounds, personality similarity is less consistent. Conscientiousness promotes stability through reliability and impulse control, while Agreeableness supports harmony through empathy and cooperation. Extraversion and Openness have mixed effects; differences may cause tension but can also complement one another, depending on the traits involved (McCrae & Costa, 2003: 224-225). The strongest predictor of relationship dissatisfaction and divorce is Neuroticism, as it relates to emotional instability and conflict. Low Conscientiousness, is also linked to marital problems such as infidelity and irresponsibility (Kelly & Conley, 1987: 27-28).

2.2 Research Methods

A research method refers to the specific procedures or techniques used for collecting, analyzing, and interpreting data in a study (Creswell, 2009: 10). The writer will introduce where the data comes from, how the research data is derived, and what approach the writer applies to analyze the data.

2.2.1 Data and Data Source

This research uses both primary and secondary data. According to Salkind (2012: 50-52), primary sources provide direct, specific evidence for supporting arguments, while secondary sources offer scholarly summaries and additional

context. The primary data of this research is the novel *Beauty of the Broken* by Tawni Waters. Secondary data includes books, journal articles, and internet sources.

2.2.2 Method of Data Collection

This study uses library research as the data collection method. George (2008: 6) defines library research as gathering and identifying sources to provide accurate information based on expert or personal insights. Through this method, the novel *Beauty of the Broken* is selected as the main object. The Five-Factor Model by Robert McCrae and Paul Costa serves as the primary theory, supported by other scholarly sources such as books, journals, and articles.

2.2.3 Method of Data Analysis

A psychological approach is used to analyze Mara's personality traits in *Beauty of the Broken*. Holman (1985: 357) describes this method as analyzing characters' actions and intentions in literature. This thesis specifically applies the Five-Factor Model by Robert McCrae & Paul Costa to explore the depiction of personality traits, their causes, and their impact on character relationships in the novel.

