

## CHAPTER 2

### LITERATURE REVIEW

#### 2.1 Theoretical Framework

In this section, the writer presents a set of theories in two parts. The first part is the life's background of the main character, consisting of only character and characterization. And the second part is psychoanalysis theory of Sigmund Freud, including personality structure, focus on unconscious thing, such as Id, Ego, and Superego, traumatic experience, definition of Neurotic Anxiety, focus on Neurotic Anxiety and aspects of Neurotic, and defence mechanism, focus on displacement and sublimation. After that, the writer presents the review of the related studies by other writers.

This thesis discusses about *Charlie and The Chocolate Factory*, one of the children's novel by Roald Dahl. This novel consists of conflict of the main character, Willy Wonka and the traumatic experience of the past. This thesis also analyzes the novel through Freudian Personality Structure based on Psychoanalysis Theory. Then, several concepts of Freud will be involved, such as defence mechanism.

##### 2.1.1 Character and Characterization

Intrinsic component in a literary work is a few sections that serve as a foundation for the literary work. According to Semi (35) in his book *Kritik Sastra*, intrinsic component include theme, plot, setting, characters, characterization, and

language style. The writer only focuses on the character and characterization. The character in the novel is a picture of a living being, behaviour, nature, and circumstances which are portrayed as the same as living beings in general.

Therefore, the author of a novel is supposed to make his work as a story of living things, which is supported by the Card's statement (4):

“The characters in your fiction are people. Human beings, yes I know you make them up. But readers want your character to seem like real people, whole and alive, believable and worth caring about. Readers want to get to know your characters as well as they know their own friends, their own family. As well as they know themselves” (Card 4).

From the above statement, it is clear that a novelist should make characters in the novel which have the same properties as living beings. Therefore, it will be easier for the readers to imagine the works of the author which further helps the readers to see the characters in the novel like humans in the real world. It will also help the readers to analyze and assess the characters in the novel like other human characters. The character of each individual both in real life and in a novel have different motives to each other, and of these motives appear the moral values of individual actions.

“Motive is what gives moral value to a character's act. What a character does, no matter how awful or how good, is never morally absolute: What seemed to be murder may turn out to have been self-defense, madness, or illusion; what seemed to be a kiss may turn out to have been betrayal, deception, or irony” (Card 5).

The explanation above shows that each individual action is always based on the motives that have been planned to perform an action, good or bad motives. It is not easy to find out whether the motive is in good or bad actions without having some questions and getting explanations from other individuals. It is different from a novel because the novel has a fictional nature in which the reader will be able to easily find out the characters' motives by reading the plot thoroughly.

“We never fully understand other people's motives in real life. In fiction, however, we can help our readers understand our character's motives with clarity, sometimes even certainty. This is one of the reasons why people read fiction to come to some understanding of why other people act the way they do” (Card 6).

The statement above shows that it is impossible if someone knows the motives of an act committed by others. However, in the story of a novel, a reader will very easily figure out the motives of the characters in the characterizations of the work because there is a detailed depiction in the story that may help the reader to find a motive behind an action.

According to Murfin and Ray in their book *The Bedford Glossary of Critical and Literary Terms*, the term characterization refers to the various means by which an author describes and develops the characters in a literary work (245). They state that there are eight methods of characterization: physical description, name analysis, attitude or appearance, thoughts (how the characters think and what the characters do), dialogues, reactions of others, actions or incidents, physical or emotional setting.

### 2.1.2 Psychoanalysis Theory

This theory is considered as the most ancient theory, raised since nineteenth century. There are some things that become the basis of the discovery of the psychoanalytical theory. Max Milner in his book *et l'intrepretation de la literature* (13-16) assumes that Freud has a historical relationship with Wilhelm Flies, an Ear, Nose, and Throat specialist from Berlin. Freud makes Flies as the basis of his psychoanalytic theory construction. Several theories were proposed by Flies, namely the theory of reflex nasal neuroses result (cardiac abnormalities due to neurotic symptoms) and the theory of the period (a period of cyclical changes in the physical of male or female).

Besides, Freud has a sad past as a child, he lost his beloved father figure. From here, he found the case where a child wants the confidence of his own character, which is usually called the auto-analyzer (Freud in Milner 17). Freud himself ever once experienced past trauma that leads him to be neurotic. He stores all the memories when his father treated him in stubborn manner since his childhood and the death of his father. Freud feels sorry because not all of his wishes were fulfilled by his father until his death.

Psychoanalysis is not equated with psychology. Psychology is the mother of several theories which are summarized into a single unit, ranging from psychoanalysis and psychiatry. Psychiatry is part of medical science in terms of

psychology. Psychoanalysis is the forerunner of the birth of psychology theories that were also found by Freud (Freud in Parker 113-114). However, psychoanalysis is only a theory to understand the workings of the human mind without giving any detection or providing any therapeutic methods.

### **2.1.2.1 Personality Structure**

According to Bocock in his book *Sigmund Freud* (49), the unconscious is the root structure that representing when there is oppression in which each person's psychological condition is being problematic, fully vindicated in Freud's view in the light of his use and development of it in therapeutic work.

Freud tries to make a diagram which shows how the condition of human thought and instinct work in accordance with their respective functions, *topographical concepts* that is formed into a permanent pattern which is composed of three main components, namely id (*Das Es*), ego (*Das Ich*) and superego that (*Ueber Das Ich*) which causes each person to have the unique behaviour (Freud in Feist 13). Each individual has their own function, nature, components, working principle, dynamism, and mechanism, but they interact with each other.

Id already exists when someone is born. It is the area from which internal feelings and desires emerge, usually called instinct. The Id operates in the level of unconscious and not just repressed material. The function of The Id as a way of resolving the problems associated with the word unconscious and cannot avoid increasing tension of undesirable energy, so that The Id has a way to reduce the

tension called pleasure principle, for example when someone wants to play rather than do his or her homework (Bocock 54).

The Ego develops as a result of contact with the external world, both physical and sociocultural, from the fantasy to reality. The ego deals with reality principle and works accordance secondary process, which is responsible for reality testing, that is for rational thinking, and for checking what it is safe to do in a given physical and social environment. However, the ego seeks to bring the influence of the external world to bear upon The Id and its tendencies, and endeavours to substitute the reality principle for the pleasure principle, someone tends to be very good at reality testing anything he or she seriously consider buying or doing (Bocock 55).

The Superego stands like a parent or other figure in relation to a child compelling the ego to obey. The Superego offers reward for who has good behaviour and gives punishment who has bad behaviour. The superego manifests itself in criticism of the ego, which results in the person feeling guilty because the main attention of The Superego is become decision maker whether something is wrong or right, i.e. someone tends to blame others and reject it when others blame him or her, after that he or she tends to focus a lot on what is good or bad and right or wrong (Bocock 55).

Human behaviour in personality structure illustrates a collaboration of the three components and it is supported by Thomas in his book *The Matrix of the Mind*.

“Freud posited structure or functions of the personality. These are the id, the ego, and the superego. In the mature personality, the three

functions operate in balance and allow the individual to interact with the environment in ways that produce need of satisfaction and acceptable social relations” (Thomas 84).

The quotation above shows that personality can be said to be a form of accumulated ways of individuals to perform interactions and react to any other individual. At last, personality leads to different characteristics generally inherent in every individual.

Freud perfects his theory in the later stage of his ideology, proposes in a systematic way and clarifies his famous personality structure theory in details. He puts forward a theory of personality structure and divides the human’s personality structure into three layers: id, ego and super-ego. He believes that personality itself is a dynamic energy system consisting of id, ego, and super-ego. They interact via certain mechanism and impact on the thoughts and behaviours of human under the influences of external environment when they are in a relative stable harmonious state (Freud in Gregory 23-31)

Personality structures as a part of self-defense are included in the well-known process of complete personality. Due to the different influences of id, ego and super-ego, individuals will display diverse personal qualities, thoughts, words and deeds in social range and interpersonal relationship and cause various contradictions and conflicts. However, a harmonious and balanced state will be reached at the end (Freud in Gregory 23-31).

### **2.1.2.2 Traumatic Experience**

Trauma is not just relived in dreams, cognitions, and memories but also in behaviour. Behaviour reflective of traumatic intrusions is called re-enactments. Re-enactments can take many forms, but they are usually unconscious attempts to master or resolve the trauma. Re-enactments can occur in dissociative states or in consciousness (Kolk and Ducey 271). Traumatized individuals are diagnosed as borderline personality disorder, as clinically depressed, anxiety, phobic, or sometimes as personality disorder.

### **2.1.2.3 Definition of Anxiety**

Freud sees anxiety as an important part of the personality system, which has a centre of the runway and behavioural development of neurosis and psychosis. Freud claims that someone who gets broken down from their experience will turn to have an anxiety. Further, it is possible to influence how the people see or perceive issue in their life. This argument is supported by Tyson on his book *Critical Theory Today* (16-17) regarding the relation between behaviour and anxiety, as follows:

“Fear of intimacy is the chronic and overpowering feeling that emotional closeness will seriously hurt. Fear of abandonment means physical and emotional abandonment. Fear of betrayal is the nagging feeling with someone who loves ones who can’t be trusted. Low self-esteem is the belief that people feel less worthy than other people.



Insecure or unstable sense of self is the inability to sustain a feeling of personal identity. And last, Oedipal complex is a dysfunctional bond with a parent of the opposite sex that individual doesn't outgrow in adulthood and doesn't allow to develop mature relationship with his or her peer" (Tyson 16-17).

Tyson argues that behaviours are one of the most important things in creating anxiety. It does not include four negative, such as low self-images. Behavioural issue can be found in in people's life and it can be felt in the conscious level. Anxiety can show someone a good deal because if someone feels anxious, behaviour must be in play (Tyson 16-17). According by Kring from his book *Abnormal Psychology* (120) states:

"Anxiety is defined as apprehension over an anticipated problem. In contrast, fear is defined as a reaction to immediate danger. Psychologists focus on the "immediate" aspect of fear versus the "anticipated" aspect of anxiety" (Kring 120).

Based on the above statement, anxiety is a biological response anticipation experienced by a person against threats that will be faced. Anxiety disorder is a disorder experienced by a person that caused by the events he or she had experienced so he or she has a fear of something that would be considered life threatening.

Psychoanalysis can help to control our anxiety because psychoanalysis is a form of therapy. Defense mechanism can manage us to adopt in a social environment. However, to break down our defense, we must be attractive from our personality. It is

possible to give some impact on the basic performance of the structure of personality while we act (Tyson 18).

#### **2.1.2.4 Definiton of Neurotic Anxiety**

Neurosis (Neurotic Disorder) is a type of psychological disorder. According to Ogden in his book *The Psychoanalytic Theory of Neurosis* (104), the symptoms of neurotic anxiety is blocking or degradation of various ego functions, spells of uncontrollable emotions, especially of anxiety and frequently of rage, occasionally even convulsive attacks, sleeplessness or severe disturbances of sleep with typical dreams in which the trauma is experienced again and again; also mental repetitions, during the day of the traumatic situation in whole or in part in the form of fantasies, thoughts, or feelings, psychoneurotic secondary complications.

Based on the description above, it can be explained that neurotic anxiety is the tendency of maladaptive behaviour which is characterized by symptoms, such as depression, absence of inner conflict and frustration, which happens because individual cannot adapt well and cannot resolve the problem they face. The function of anxiety is to warn the person about any danger in the external world. If ego cannot reduce the anxiety, it will be result in traumatic.

The main focus of the neurotic-libido fixation is to have the ego back to the point where libido achieves satisfaction. This is explained by Freud's statement:

"We already know that neurotic is trapped in a past life. We know that past is when libido obtains satisfaction in happy people" (Freud in Ogden 413).

Freud adds that neurotic anxiety often arises from the war on terror; selfish impulse occurs to find protection and interest. The selfish actions do not directly cause the neurotic. However, after the selfish actions are formed, resulting in the condition of terror or psychological trauma, selfish actions will strengthen and sustain the type of anxiety. This reason aims to maintain the ego of the dangers that bring the ego of the source of terror. The selfish actions will help the healing process after a traumatic event occurs (Freud in Ogden 431).

Freud describes the trauma of any action as a form of traumatic event for the ego to form neurotic. In other words, there is a traumatic experience in the process of forming this type of anxiety. Neurotic anxiety shows that fixation of the traumatic moment depends on the cause of the traumatic event. People who are neurotic, often dreaming about traumatic situations they have ever experienced. In cases of the type of attack of hysteria, which is then analyzed, it is known that the attack was a total reproduction of a traumatic situation. This condition shows that as if that person has not been able to deal with this situation, and activities to resolve this issue will never be resolved (Freud in Ogden 301).

Furthermore, Freud explains that the symptoms of neurotic occurs as the result of the conflicts that arise from the process of finding new forms of gratification of the libido. The two opposing forces meet once again in the form of symptoms, and

then are united as a compromise in the symptoms themselves. This is also the reason why symptoms can last, because it is supported through two sides. Almost all patients also know that one side of the conflict is the power of libido dissatisfaction, frustration at the reality, which is now forced to find another way to achieve satisfaction (Freud in Ogden 406).

#### **2.1.2.5 Aspects of Neurotic Anxiety**

Cattel (566-568) suggests guidelines for measuring the tendency of neurotic in adults and adolescents both normal and abnormal, containing aspects which make the neurotic disorder symptoms distinctive. These aspects are *Tender-Mindedness* (the existence of an excessive desire for protection), *Depressiveness* (the presence of symptoms of depression), *Submissiveness* (the presence of afraid of creating problems with others), and *Anxiety* (The physical symptoms in stressful situations, and can even be helpful).

Journal of U.S. Department of Health and Human Services (12) mentions that in *Anxiety*, Freud used GAD (Generalized Anxiety Disorder) an anxiety disorder characterized by someone go through the day filled with exaggerated worry. He or she anticipate disaster and is overly concerned about everyday matters such as health issues, money, death, family problems, friendship problems, interpersonal relationship problems, or work difficulties. For example someone will be anxious when threatened by an aggressive person, or before an important race.

Journal of U.S. Department of Health and Human Services (9) also mentions that in *Anxiety*, Freud used Social Phobia in the nervous context that an anxiety disorder become overwhelmingly anxious (same like anxious context) and worry before a dreaded situation. This fear may become so severe that it interferes with workplace, school, and other ordinary activities. For example someone will be nervous that he or she fears about being with other people are excessive or unreasonable, they are unable to overcome them, and feels uncomfortable moment throughout the encounter.

Journal of U.S. Department of Health and Human Services (3) states that in *Anxiety*, Freud used Panic disorder an anxiety disorder characterized by someone gets a real illness and may be an initial event which causes panic but then the attacks after that are not always predictable. For example someone will be panic that worry about having further attacks or worry about the symptoms that he or she gets during attacks.

#### **2.1.2.6 Defense Mechanism**

Defense mechanism is a method used by the ego to prevent unconscious anxiety or threatening thoughts from entering consciousness.

“Freud defined ego defense mechanisms as a mental strategy used by the individual to defend against open expression of id impulses and opposing superego pressures. He suggested that the ego reacts to the threatened breakthrough of id impulses in either of two ways: (1) by

blocking the impulse from expression in conscious behaviour, or (2) by distorting it to such a degree that the original intensity is markedly reduced or deflected" (Freud in Hjelle and Ziegler 104).

Above statement shows defense mechanism as a mental strategy that is used by human to defend themselves in dealing with their surroundings or the problem that individual is facing, for example *Displacement* and *Sublimation*. *Displacement* is altering the target of an impulse. A displacement object rarely gives satisfy or reduce the tension as same as real objects and if the replacement object is different with the real one, it has affected to tension. *Sublimation* involves the alteration or replacement of the impulses of the Id itself. Instinctual energy is diverted to other forms of expression, which is not only socially acceptable, but laudable (Hall and Lindzey 86-90).

Defense mechanism has three functions that commonly help the ego. First, defense mechanism can help the ego to depress the anxiety which comes from the interfering demands of the id, the superego, and external reality. Second, the defense mechanisms operate unconsciously. Third, defense mechanisms help the mind to forget the problems (Gregory 488). Defense mechanism is also responsible for some neurotic behaviour that occurs in a person, as is expressed by Feist in his book *Theories of Personality* (39) that the self-defense mechanism can cause compulsive behaviour, reportedly, also neurotic anxiety.

## 2.2 Review of Related Studies

There are some theses and journal articles related to this research, particularly about Psychoanalysis. The writer quotes from books and articles as the supporting material in order to understand neurotic anxiety by Sigmund Freud. However, this research has differences from previous researches in terms of issue. There are four comparative studies used as related materials to support the explanation which have the same object that is the novel by Roald Dahl *Charlie and the Chocolate Factory*.

First is the thesis by Asmuni, entitled *Analysis of Figurative Language Translation in Roald Dahl's Charlie and the Chocolate Factory*. He discusses types of figurative languages found in the original novel, types of figurative languages translated in the novel, and the procedures used by the translator in translating the figurative language found in the novel. He expects that this paper will be meaningful to anyone who needs to add and enrich his or her knowledge about translation field, most especially, knowledge about the analysis of figurative language translation. He employs descriptive qualitative method to analyze all samples selected as data in order to define, classify, and describe them.

Second is the thesis by Indri Reginasari, entitled *The Analysis of Nominal Groups within the Oompa-Loompas Four Lyrics as the Way to Emphasize the Image of Ill-Behaved Children in Roald Dahl's Charlie and the Chocolate Factory*. She focuses on the issue about the nominal groups in those four lyrics as the way to emphasize the image of ill-behaved children. She argues that nominal groups are used

optimally to strengthen the negative image of ill behaved children in the story. Then, the functional structures of nominal groups in those lyrics are mostly complex. And finally, the image of ill-behaved children here are mostly about characters with non-productive orientation. She uses a method of functional grammar and critical linguistics to analyze her research.

Third is the thesis by Arifatur Rahmania, namely *An Analysis of Conversational Implicature in Roald Dahl's Novel, Charlie and the Chocolate Factory*. She analyzes the conversational implicative of the utterance in the novel. She analyzes this novel by investigating the types of implicative conversations which are produced most frequently in *Charlie and the Chocolate Factory*. She uses pragmatic theory to analyze this research.

The last related studies is a journal article written by Wan Syakira Meor Hissan, *An Analysis of the Children's Character in Roald Dahl's Novel: Charlie and the Chocolate Factory*. She discusses about mature and immature morality by analyzing the children's characters in *Charlie and the Chocolate Factory*. She argues that it is potentially helpful to assist teachers and parents to be aware of the moral values highlighted in children's books. She adopts a textual analysis in order to reveal the children's characters' morality and the moral values in her research.

According to the three theses and a journal mentioned above as the objects of comparison, the writer attempts to show that this work is original because there is no other researchers ever focusing on neurotic issue. The writer of this study focuses on the influence of neurotic anxiety based on trauma experience and how the chocolate