

## CHAPTER 2

### LITERATURE REVIEW

Psychoanalysis is a theory established by Sigmund Freud in 1896. His theory has many terms which explain human's behavior related to the human life experience in childhood. The discussion focuses on the anxiety of Nina as the main character. It uses the terms of Freudian psychoanalysis theory such as anxiety, *eros-thanatos*, and defense mechanism. It may give significant influence to the personality development of the main character in the "Black Swan" movie.

#### 2.1 Theoretical Framework

In *Psikologi Kepribadian* book by Drs. Sumadi Suryabrata, BA, MA, Ed.S, Ph.D describes, according to Freud psychoanalysis theory, anxiety is developed by environment.

Environment has a power either to make us satisfied and reducing our nerves, or appearing pain and developing the nerves. Individual reaction to that pain which is not happen yet creates the anxiety. (Suryabrata, 138)

Freud states that he based on the idea that an individual's psychological problems is caused by a conflict between the id, ego and superego (Kosslyn 2). From the three components above, they should be working in a balanced way. There are structure of the personality components and different purposes.

It is the id which is the driving force behind what Freud called the pleasure principle. The ego is the rational part of the mind, the part that reacts to the outside world and allows the individual to adapt

to reality, to acknowledge the 'reality principle.' The superego is the internalized voice of parents, careers and society which provide the individual with the rules and regulations that guide it when it moves beyond primary narcissism (Renninson 39).

### **2.1.1 Personality Development Stage**

Freud divided the personality development into three; infantile stage (0 - 5 years old), latent stage (5 - 12 years old), and genital stage (> 12 years old). The most determinable stage related to personality development is infantile stage which are divided into three; oral stage (0 - 2 years old), anal stage (2 – 4 years old), and phallic stage (4 – 5 years old). Fixation is potential personality problems occur during any of the first three stages; Oral, Anal, Phallic which refers to a Freudian process (Faulds 18). The process of personality development produces a fixation from infantile stage, especially in phallic stage.

Oral stage (Birth - 2 years) is such as nursing, eating, and mouth movement. To the infant, mother's breast is not only source of food and drink, but also represents her love because the child's personality is controlled by the id and therefore demands immediate gratification, responsive nurturing is important (Della 3). Fixation is such adults who continue to engage in oral activities, such as overeating, gum chewing, or smoking; oral activities can be symbolic as well, such as being overly demanding or "mouthing off" (Faulds 19).

Anal stage (2 – 4 years) is such as toilet training (process through which children are taught when, where and how excretion is deemed appropriate by society). Children start to notice pleasure and displeasure associated with bowel movements. Through toilet training, they discover their own ability to control such movements.

Anal Fixation (the “controlling” personality) is divided into two; *Anal-Expulsive Personality*: if parents are too lenient and fail to instill society's rules about bowel movement control, child will derive pleasure and success from expulsion; individuals with a fixation on this mode of gratification are excessively sloppy, disorganized, reckless, careless, and defiant and also *Anal-Retentive Personality*: if child receives excessive pressure and punishment from parents during toilet training, he/she will experience anxiety over bowl movements and take pleasure in being able to withhold such functions; individuals who fail to progress pass this stage are obsessively clean, orderly, and intolerant of those who are not; they may also be very careful, stingy, withholding, obstinate, meticulous, conforming, and passive-aggressive (Della 3).

Phallic stage (4 – 5 years) is such as child's feeling of attraction toward parent of opposite sex, together with envy and fear of same-sex parent; in boys, this situation is called "Oedipus Complex," named after the young man in a Greek myth who killed his father and married his mother, unaware of their true identities. The story of Oedipus comes from Greek mythology. King Laius of Thebes and his wife Jocasta are the parents of Oedipus Rex who the child will grow up to murder his father and marry his mother. Boys do form intense

relationships with their mothers and do resent their fathers (Rennison 37). *Phallic Fixation*; Men: anxiety and guilt feelings about sex fear of castration, and narcissistic personality or Oedipus complex (Della 4). At the age of 5 or 6, near the end of the phallic stage, fixation is such vanity and self centeredness; anxiety and self doubt (Sammons 1). Boys experience the Oedipus complex which is a process of learning to identify with the same gender parent by acting as much like that parent as possible.

The three stages of oral, anal and phallic lead on to the final challenge facing the individual child overcoming the demands of what Freud called the “Oedipus complex”. Transition from stage to stage in this development is not easy and it is only too possible to become ‘fixated’ at any given stage, with consequences ongoing into adulthood (Rennison 37).

Latency stage (6 years old- puberty) happens when sexual feelings are suppressed to allow children to focus their energy on other aspects of life, a time of learning, adjusting to social environment outside of home, absorbing culture, forming beliefs and values, developing same-sex friendships, engaging in sports. Period of sexual latency in which children become capable of reproduction and their sexuality is reawakened (Della 4).

Genital Stage (Puberty onwards) is marked by renewed sexual interest, desire and pursuit of relationship. Fixations are whether people experience difficulties at this stage; the damage was done in earlier oral, anal, and phallic

stages. These people come into this last stage of development with fixations from earlier stages; such attractions to opposite sex can be a source (Della 5).

This generally reaches its peak when the child is somewhere between three and five years old; with puberty, it stands to be dissolved as the boy begins to make his first adult identifications and choices of love objects (Thwaites 97). The child from three to five years old can be identified to choose the exclusive parents, for example, the boy has a love desire to his mother and he has negative feeling to his father.

For Freud, sexuality is not something which emerges for the first time in puberty: until about the age of four or five, infancy is intensely charged with what he famously characterizes as polymorphously perverse sexual activities: sensual sucking, auto-stimulation of those bodily zones which yield pleasure (the mouth, the genitals, the anus erogenous zones, in short) (Thwaites 62).

However, Freud was insistent that sexual impulses were present in the child from a very early age and that there were, in fact, several stages of infantile sexual development. Between the ages of six and eight these early sexual activities and thoughts entered what Freud called the 'latency period', only re-emerging in puberty (Rennison 36).

The child goes through the psychosexual stages of development which is described by Sigmund Freud. During the first three stages, the child's personality develops as the source of its libido moves around its body and different impulses

come to bear from the parents (Sammons 1). The failure to resolve the conflict can also cause a person to be afraid or incapable of close love; Freud also postulated that fixation could be a root cause of homosexuality (Stevenson 2). The process of personality development produces a fixation of the individual human in his infantile stage, especially in phallic stage.

According to Freud (1909), the behavior is determined by the unconsciousness forces of which are unaware. The latent motives for our behavior reflect our instinctive biological drives and our early experiences, particularly before the age of five. Most particularly, it is the way we are treated by our parents as children that shapes our adult behavior (Sammons 1).

Age	Name	Pleasure source	Conflict	Result of Fixation
0-2	Oral	Mouth: sucking, biting, chewing, swallowing	Weaning away from mother's breast. Ego is created.	Smoking, Nail biting, Dependency, Aggression.
2-4	Anal	Anus: defecating or retaining faeces	Toilet training	Messiness and Generosity or Possessiveness, Tidiness and Meanness.
4-5	Phallic	Genitals: the penis or clitoris. Masturbation.	Oedipus (boys), Electra (girls) Superego and gender identity are created.	Egoism and self-centeredness; anxiety and self-doubt.
6- puberty	Latency	Sexual urges sublimated into sports and hobbies. Same-sex friends also help avoid sexual feelings.	Getting knowledge and understanding of the world.	
puberty onward	Genital	Physical sexual changes reawaken repressed needs. Direct sexual feelings towards others lead to sexual gratification.	Social rules	'Normal' adult personality and sexuality.

**Figure 1.** Freud psychosexual development stage

### 2.1.2 Life instinct (*eros*) and Death instinct (*thanatos*)

Instinct is a psychological energy that somatically pushes a person to do something and it appears since a person was born. Instinct is the only energy for human's attitude (Suryabrata 131). Generally, Freud defines this into two big circles: Life instinct (*eros*), and death instinct (*thanatos*).

#### Life instinct (*eros*)

According to Suryabrata's explanation about Freud's life instinct, it is used to serve individual needs to keep alive with some ways such as eating, drinking, and having sex. The energy used is called "*libido*" (132) In his research, Freud states that sexual need is the most important instinct of all because human are a social creature, so sex is the most important social need (Boeree 36).

This "leisure principle" help us to keep moving and alive, therefore it must be completed or fulfilled to keep it calm and stable (Boeree 37)

#### Death instinct (*thanatos*)

Self-destructive behavior that Freud saw in individual who seems to destroy themselves psychologically if not physically (Tyson 24). Death is seen as the end of all journey of life which humans also see as the end of the fear, guilt, or all their problems (Bouree 37)

### 2.1.3 *Anxiety*

Anxiety is the reaction of every person of the unpleasant threat or that is not happen yet (Suryabrata 138). Freud states there are 3 kind of anxiety:

1. Realistic anxiety

Fear of the danger or unknown threatening outside the world. This is the basic of anxiety which causes another 2 anxieties.

2. Neurotic anxiety

Fear of uncontrolled instinct that causing people to get hurt or to be punished.

3. Moral anxiety

This based on the past life of the person who have been punished before because unmoral attitude, and afraid to be punished again.

### 2.1.4 **Defense Mechanism**

The devices to protect ego from anxiety, dangerous, and pleasure is called defense mechanism (Fodor 43). Sigmund Freud proposed a set of defense mechanisms, in a body of work that has long been influential. His work focused on how the ego defended itself against internal events, specifically, impulses that were regarded by the ego as unacceptable. He emphasized sexual or aggressive desires that would violate the ego's internalized standards, such as if those desires were directed toward one's parents. In his view, the efforts by the self to avoid

recognizing its own sexual and aggressive desires were systematically important in shaping the personality (Baumeister 2).

Defense mechanism is also unconscious psychological strategies brought into play by various entities to cope with reality and to maintain self-images. As in “Personality Theories” book written by Dr. C. George Boeree there are so many types of Freudian defense mechanism: denial, repression, asceticism, isolation, displacement, projection, reaction formation, removal, introjection, identification with the attacker, rationalization, and sublimation (39-48). In this thesis, the writer will only focuses on: repression, displacement, asceticism, sublimation, and fixation-regression.

#### **2.1.4.1 Repression**

Inability of someone to remember a frightening moment, or people, and unconsciousness raises it into dream. The effect of repression is *like* that of an internal censorship. It is *as if* there was a censoring agency at the threshold of consciousness, scrutinizing everything which presents itself and determining whether it can be admitted to consciousness (Thwaites 24). Freud state that in repression, painful feelings are conscious initially and then forgotten. However, they are stored in the unconscious, from which, under certain circumstances, they can be retrieved.

Repression happens when our conscious is pushed to see one object that unconsciously cannot be handling yet. It might take way in projection some

unacceptable object to the more acceptable one. This projection must be translated or symbolize in a right object to reduce the nerves or anxiety (Suryabrata 145).

#### **2.1.4.2 Displacement**

According to Tyson in his book, displacement is to place our fear, hurt, frustration, or anger to the person that less threatening than the one who caused us to feel that unpleasant feeling (18). For example: when we feel angry to our boss but we cannot express it directly to him/her, so we just showing our anger to our friend whom less threatening than if we show it to our boss.

#### **2.1.4.3 Asceticism**

Asceticism is rejecting all needs. The word *asceticism* itself is taken from “*ascetic*” life style that means that people who live with that life style is avoiding all pleasure and comfort to his/her life. This kind of life style is the monk/priest’s life style. (Boeree 42)

Freud states that most of girls/women doing diet as a form of denying the sexual development that they feel in their body unconsciously. *Anorexia* and *bulimia disorder* are the concrete forms of it. They thrown out the food they have been eaten, in order to keep their body slim. As we know that hormones in woman are causing some changing shape of the body (Suryabrata 34)

#### **2.1.4.4 Sublimation**

Sublimation is changing the unacceptable desire to the more acceptable form. George Bouree in his book *Personalities Theory* (2008) states that people whom having anxiety might be an organisatorist, entrepreneur, or scientist, while people who has a high sexual desire might be an artist, photographer, or novelist. According to Freud, all the creativity and positive activity are the forms of sublimation, especially the sublimation of sexual desire.

#### **2.1.4.5 Fixation and Regression**

Personality will pass through some clear phases until arrived at the maturity phase. But every step that we take in every phase will cause some frustration and anxiety in a certain level, but if it takes too big it might cause the phase stop for awhile, or forever. (Supratiknya 89)

Regression is the closest type of defense with fixation. Regression is where a person back to the time when he/she is having psychological pressure. When a person faces a difficult situation, this regression makes he/she being a childish or even primitive person (Boeree 48), for example; nails biting when he/she is nerves of something.

## **2.2 Review of Related Studies**

This study uses “Black Swan” film as the object to analyze, and Freudian psychoanalysis theory as the tool. Therefore the writer of the thesis considers that

it is important to give certain work with the same perspective to support the fact that Freudian Psychoanalysis is relevant in doing literary critiques. However, there are several previous researches analysis done discussed which use Psychoanalysis.

The first work is an article that focuses on the double-identity analysis that the main character in “Black Swan” shows written by Steven Clark an award-winning writer and Editor-in-Chief of Spaces Quarterly made in 21<sup>st</sup> January 2011 on his site. He discusses the explicit performances by the main character that showing her double identity.

The second article Adam L. Davis’ (founder of “The Positive Path” website) article made in 14<sup>th</sup> August 2011, titled “The Occult Interpretation of The Movie ‘Black Swan’ And Its Message on Show Business”. This article is more focuses on the symbol used in showing the trauma of Nina as the main character based on mind control.

Those previous mentioned works share similarities with this study in the way the main character deal with personality development in adulthood because of childhood experiences, and the use of symbol as the non-narrative aspect that used in analyzing movie. Both works will be applied as comparative and supporting elements in conducting this study. It also as an evidence that the idea contains in this research is original. The reason of the writer of the thesis chooses this film because there is no academic research discussed it yet in any universities.

This study on “Black Swan” film uses Freudian psychoanalysis as the theory in conducting the analysis of the process of Nina’s anxiety associated by

her mother pressure since she was a child until in this film she is described as a 28<sup>th</sup> years old woman. In addition, this study also tries to find the negotiation to Nina's adulthood life by using Freud's terms *eros-thanatos* (life-death instinct), anxiety, and defense mechanism such as repression, displacement, asceticism, sublimation, and fixation-regression.