

CHAPTER II

LITERATURE REVIEWS

B.1 Theoretical Framework

In this study, the theoretical framework is initiated with an introduction to the short story *The Black Cat* and *A Rose for Emily*, first published in 1843. The research is grounded in the application of Sigmund Freud's theory of defense mechanisms, which is examined through a psychological approach.

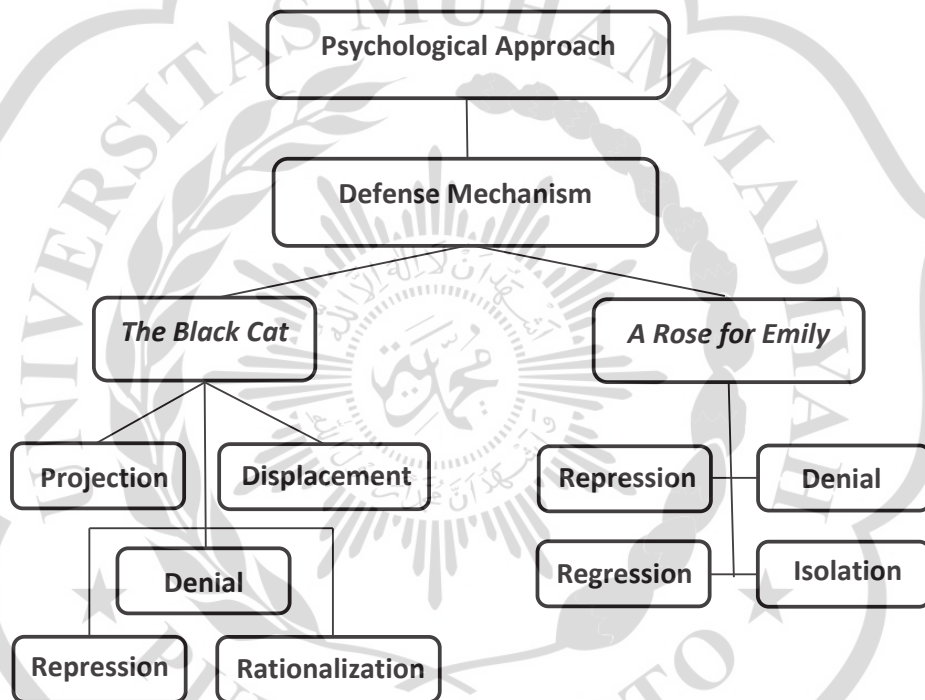


Diagram 1 Theoretical Framework: Freud's Defense Mechanism in *The Black Cat* and *A Rose for Emily*

B.1.1 Psychological

In Edgar Allan Poe's *The Black Cat* and William Faulkner's *A Rose for Emily*, the main characters are portrayed in ways that mirror their psychological and situational realities. Both narratives reveal how anxiety, fear, and other distressing emotions shape the characters' behaviors and responses. When confronted with

emotional turmoil that exceeds their coping abilities, these characters resort to various psychological defense mechanisms to protect themselves. This suggests a strong link between the characters' inner psychological states and their outward actions, highlighting the profound influence of the human psyche on behavior.

Literary works are frequently analyzed using psychological methods. Human behavior, which is closely related to human struggle, is the focus of psychology. Sigmund Freud is one of the specialists in the psychological approach. Freud established a foundation that demonstrates the workings of human minds (Rezaei, 2013). The conscious and unconscious levels are the two levels of the human mind. People's awareness of their surroundings, including their feelings and experiences, is referred to as their conscious level. Meanwhile, the unconscious mind is the part of the mind that holds hidden thoughts, desires, and memories that influence behavior without our awareness. Through the cooperation of the conscious and unconscious minds, people adapt to their surroundings. People's actions, thoughts, and emotions are significantly influenced by their unconscious level. Unbeknownst to the individual, the unconscious mind may hold suppressed emotions, ideas, memories, and reaction patterns.

Freud's psychological theory emphasizes the role of the unconscious mind as the primary force driving human behavior, thought, and emotion. He proposed a structural model of the psyche composed of the id, ego, and superego, each representing different aspects of mental functioning. The id operates on instinctual desires and the pleasure principle, the superego embodies moral values

and societal rules, while the ego functions to mediate between both forces and external reality. According to Sobel (2024), these internal components are in constant dynamic tension, which contributes to psychological distress when unresolved. Freud viewed psychological symptoms not as isolated issues but as manifestations of deeper, unconscious conflicts. Henriques (2024) reinforces that although some elements of Freud's theory have been revised, the concept of unconscious motivation remains fundamental to understanding human psychology. Contemporary interpretations continue to recognize the importance of internal psychological structures and early childhood experiences in shaping personality and behavior throughout life.

B.1.2 Defense Mechanism

According to Sigmund Freud, defense mechanism protects the individual by pushing anxiety, fear, unpleasant thoughts, and traumatic memories into the unconscious mind (Masykuroh, 2017). Freud also introduced a structural model of the psyche, which consists of three key components: the id, ego, and superego. The **id** represents the innate, instinctual part of personality present from birth. It operates entirely in the unconscious and seeks immediate gratification of basic drives and desires. In other words, the id is the primal source of human impulses, uninfluenced by external reality or social norms. As stated by Freud in Rudianto (2015), the id functions as "the reservoir of libido," containing the essential psychic energy necessary to fulfill the fundamental life instincts. The id represents the instinctual component of the human psyche, driven by the pleasure principle and the desire for immediate satisfaction. If not regulated, the id's impulses can

potentially lead to destructive or socially unacceptable behavior. The ego, emerging from the id, is shaped by interactions with the external world and operates based on the reality principle. It serves as the rational and executive aspect of the mind, mediating between the unrealistic demands of the id and the constraints of reality. The ego employs logical reasoning and defense mechanisms to fulfill the id's desires in a socially appropriate manner. In contrast, the superego embodies the internalized moral standards and ethical values acquired through socialization, particularly from parents and authoritative figures. It functions as the moral conscience, suppressing the urges of the id and guiding the ego toward morally acceptable behavior. When conflict arises between the id and the superego, the ego is responsible for negotiating a compromise that ensures psychological equilibrium and maintains the individual's sense of self.

In psychological assessment, understanding defense mechanisms is crucial, as they provide insight into how individuals cope with stress and maintain emotional balance. These unconscious strategies often reveal underlying psychological conflicts, allowing clinicians to better comprehend a patient's internal struggles and support the development of healthier coping patterns. As noted by Bowins (2010), "Defense mechanisms function as a vital part of personality organization, enabling individuals to manage internal and external demands effectively." Consequently, the identification and interpretation of defense mechanisms play a significant role not only in psychoanalytic theory but also in broader clinical psychological approaches.

Freud categorized several types of defense mechanisms that individuals tend to use when dealing with anxiety and fear.

1. Repression

Repression is a defense mechanism used to eliminate traumatic experiences from one's past by unconsciously pushing them out of conscious awareness. It is considered a fundamental form of denial, wherein distressing emotions or memories are buried within the unconscious mind. According to Kiatpattananon (2017), individuals tend to retain and recall pleasant experiences more readily than unpleasant or traumatic ones. However, these repressed memories can continue to influence an individual's thoughts and behavior in the present. This psychological process serves to protect the individual from emotional discomfort by keeping painful experiences inaccessible to consciousness. Furthermore, repression is often regarded as the foundational mechanism upon which other defense mechanisms are built.

2. Denial

Denial is a psychological defense mechanism in which an individual is unable or unwilling to accept reality or truth. In this state, the person consciously rejects facts or events that have occurred, often as a means of avoiding emotional distress. Denial is one of the most commonly observed defense mechanisms in everyday life. Individuals engaging in denial may act as though the event never happened, displaying behaviors that can appear irrational or inappropriate to others. For instance, a child may refuse to admit lying to their parents, despite

clear evidence to the contrary. This mechanism functions to shield the ego from realities that may threaten one's self-image or sense of pride.

3. Displacement

Displacement is a defense mechanism in which an individual redirects threatening or uncomfortable impulses from their original source toward a different, often less threatening, target (Hall, 2019). This mechanism is commonly associated with aggressive responses and is considered one of the more potentially harmful forms of defense. For instance, an employee who is reprimanded by a superior at work may later express their frustration by lashing out at family members. Compared to other defense mechanisms, displacement often manifests in more overtly aggressive and destructive behaviors.

4. Isolation

Isolation is a psychological defense mechanism identified in psychoanalytic theory, particularly by Sigmund Freud. It involves the separation of thoughts or memories from the feelings associated with them. When a person uses isolation as a defense mechanism, they can recall a disturbing or traumatic event in a detached, emotionally neutral way, avoiding the anxiety or emotional distress that would usually accompany such a memory. Isolation is categorized as a neurotic-level defense, reflecting a more complex and less primitive coping strategy than denial or projection, but still indicating a distortion of the relationship between thoughts and feelings (Cramer, 2006).

5. Rationalization

Isolation is a defense mechanism in which an individual separates a thought or memory from the emotional response it typically evokes. While the content of the thought remains consciously accessible, the accompanying emotions are unconsciously suppressed, allowing the person to recall distressing events without being emotionally overwhelmed. This mechanism is often observed in individuals with obsessive-compulsive traits, where emotional detachment serves to maintain control and reduce anxiety (Cramer, 2015). For example, a trauma survivor might describe a highly disturbing event such as a car accident or an assault. According to Di Giuseppe (2021), isolation is part of the obsessional defense level, where individuals often experience cognition without affect as a form of emotional self-protection.

6. Projection

Projection is a defense mechanism in which individuals unconsciously attribute their own unacceptable feelings, thoughts, or impulses to others as a way to avoid inner conflict and protect their self-concept. This mechanism allows the ego to distance itself from distressing emotions by externalizing them. As Cherry (2021) explains, "Projection is a defense mechanism that involves taking one's own unacceptable qualities or feelings and ascribing them to other people". For example, someone who is feeling hostile might accuse others of being aggressive, even when there is no objective evidence. Projection can provide temporary psychological relief, but over time it often leads to interpersonal misunderstandings and emotional isolation.

7. Regression

Regression is a defense mechanism in which an individual reverts to an earlier stage of development when faced with stress, anxiety, or psychological conflict. This mechanism allows a person to retreat to behaviors that were comforting in the past, often during childhood, as a way of avoiding present difficulties. For example, a university student who feels overwhelmed by academic pressure might begin sleeping with a childhood stuffed animal or crying uncontrollably when faced with minor setbacks. Another common case is when a child starts bed-wetting again after the birth of a sibling, due to feeling neglected or anxious. According to Cramer (2015), "regression involves retreating to an earlier developmental level, where the ego functions were less mature and less effective in dealing with reality". This retreat serves as a temporary escape from the challenges of adult responsibilities or emotional discomfort. Although regression may provide short-term relief, it can hinder emotional growth and the ability to cope with current problems in a constructive manner.

B.1.3 Characterization

A literary character might be a person, an animal, or a figure. Every character in a literary work has a unique development and purpose, and there are many different kinds of characters. Character development is the process of demonstrating a character's growth and complexity. Character complexity can be defined as how a character changes from the start to the finish. People might only see one aspect of the character at first, but as time goes on, they will see more of them. Characters serve the purpose of extending the narrative. A literary work

needs a protagonist who will serve as the focal point of the narrative. The story's development will be most impacted by the main character. Numerous stories employ various character types, and there are also methods for classifying the various character types. A single character may use more than one type category.

The types of character are as follows:

1. Major Character

The major character is the primary figure within a literary work who holds a central role in the development of the narrative and the resolution of its core conflict. Typically serving as the protagonist, the major character significantly influences the plot's progression and thematic structure.

2. Minor Character

In addition to the major characters, literary works also feature minor characters who serve to support the storyline. Their primary function is to assist the major characters and contribute to the progression of the plot. However, their role is not as central or significant as that of the major characters.

3. Protagonist

The roles of protagonist and antagonist are categorized as major characters within a narrative. The protagonist serves as the central figure who significantly drives the development of the storyline. Typically, the narrative is structured around the experiences and actions of this character. The primary function of the protagonist is to lead the course of the plot while capturing the readers' attention and evoking empathy. In most cases, the protagonist is portrayed as the hero or heroine of the story.

4. Antagonist

The antagonist is a character who stands in opposition to the protagonist and serves as a source of conflict within the narrative. This character is typically depicted as the adversary or villain whom the protagonist must confront. The antagonist plays a crucial role in generating the central tension of the story, often initiating challenges or obstacles that the protagonist is compelled to overcome.

5. Anti-hero

An anti-hero is a major character—often occupying the role of the protagonist—who does not embody traditional heroic traits such as bravery, integrity, or moral righteousness. This character typically grapples with personal values or ideals that deviate from those commonly accepted by mainstream society, positioning them as a complex and unconventional figure within the narrative.

B.1.4 Short Story

A short story is a complete and self-contained narrative that is more concise than a novel but more elaborate than a fable. It is generally intended to be read in a single sitting. Short stories often center on specific events—whether significant or minor—and are crafted to elicit strong emotional responses from the reader. Typically, the plot of a short story involves a limited number of characters. As a form of brief narrative, it is characterized by several essential structural elements, including exposition, complication, crisis, climax, and resolution.

B.2 Review of Related Research

To make this research strong, the researcher has reviewed several related studies before; furthermore, it is necessary to display some related research and show how it differs from any other previous studies. The researcher uses some other researchers' works which have the related discussion with the topic that are going to be discussed as references.

Tenrisanna's (2018) research, titled "Defense Mechanisms in E. A. Poe's Selected Short Stories: The Black Cat & The Tell-Tale Heart," explores the application of Freud's psychoanalytic theory to literary analysis. She defines defense mechanisms as psychological strategies employed by the ego to protect the self from anxiety caused by internal conflicts. The study aimed to examine the types of defense mechanisms manifested in the characters of Poe's *The Tell-Tale Heart* and *The Black Cat*. Through a descriptive qualitative method, Tenrisanna identified six key defense mechanisms present in the stories: denial, repression, reaction formation, rationalization, sublimation, and displacement. Her research underscores how literary characters reflect complex psychological processes, offering deeper insight into the human psyche through fiction.

A similar study is conducted by Nur Laeli Masykuroh (2017) in her research entitled *The Anxiety and Defense Mechanism of Will Hunting in Good Will Hunting* movie. The data were obtained through careful observation of the entire film, focusing specifically on scenes relevant to the research topic. In her analysis, Masykuroh identified three types of defense mechanisms portrayed by the main character: denial, rationalization, and displacement.

The third study, titled *Camouflage Personae: A Case Study of Bapsi Sidhwa's "The Pakistani Bride" by Muhammad Nawaz*, investigates the types of defense mechanisms used by characters to protect themselves from perceived threats. Utilizing Freud's psychoanalytic theory, Nawaz examined how the characters respond to moral anxiety stemming from their familial backgrounds and societal pressures. The study reveals that one of the central characters experiences significant social challenges and demonstrates how she manages internal conflicts and frustration. The defense mechanisms identified in this research include repression and rationalization.

The fourth study, conducted by Brigitta Arsilia Wibiana (2018), is titled *Voldemort's Anxiety and Defense Mechanism in Rowling's Harry Potter and the Half-Blood Prince and Harry Potter and the Deathly Hallows: A Psychoanalysis Study*. This research aims to identify the types and causes of anxiety experienced by the character Voldemort and examine the defense mechanisms he employs to cope with that anxiety. Employing a qualitative approach, Brigitta collected data from Voldemort's expressions of anxiety and psychological defense throughout the narrative. The analysis involved several steps, including reading, describing, categorizing, and interpreting the data. Her findings reveal that Voldemort, despite being portrayed as a villain, experiences multiple forms of anxiety, primarily rooted in his traumatic childhood experiences.

The fifth study, titled *Audrey Turner's Conflicts and Defense Mechanisms in Kinsella's Finding Audrey*, was conducted by M. Aprianto Budie Nugroho (2018). The research aimed to explore the internal conflicts and defense mechanisms

exhibited by the main character, Audrey. Utilizing a qualitative approach with a narrative research design, Nugroho collected and analyzed data through identification, categorization, and interpretation based on psychological theory. The findings indicate that denial is the most frequently employed defense mechanism by the protagonist, serving as a way for her to shield herself from fear and anxiety.

The sixth study, entitled *The Major Characters in Gillian Flynn's Novel "Sharp Objects" (A Psychoanalytic Study Based on Freud)*, was conducted by Banatul Qodariyah (2017). This research applies Sigmund Freud's psychoanalytic theory to analyze the psychological dimensions of the main characters. The findings reveal the presence of two types of psychological conflict within the novel: approach-avoidance conflict and avoidance-avoidance conflict. These conflicts illustrate the internal struggles experienced by the characters, which arise from the inconsistent interplay among the id, ego, and superego.

The seventh study, titled *The Analysis of the Main Character Through Psychoanalytic Theory in the Novel "Wonder" by R. J. Palacio*, was conducted by Marco Wira Gunawan (2020). This research applies Freud's psychoanalytic framework to examine the psychological development of the main character, August. The study finds that August experiences reality anxiety, primarily triggered by his nervousness in adapting to a new environment. Initially driven by the id, August's ego gradually aligns with the superego, reflecting his internal psychological growth. The analysis of the mind's topography further reveals how his behaviors and memories are shaped. To manage his anxiety, August employs

several defense mechanisms, including intellectualization, repression, and sublimation.

The eighth study, titled "A Critique Psychoanalysis of the Novel 'Doctor Noone Loves His Wife More Than Mossadegh' Based on Freud's Defense Mechanisms," was conducted by Shirzad Tayefi. This research explores the psychological complexity of the character Dr. Noone, emphasizing his internal struggles within the socio-political context of the time. Rahimian, the author of the novel, illustrates Dr. Noone's mental conflicts through his interactions with the surrounding environment. The findings of the study reveal that Dr. Noone attempts to cope with his psychological distress by employing various defense mechanisms, including repression, isolation, displacement, rationalization, and denial.

The ninth study, titled "The Structure of Jay Gatsby's Personality in The Great Gatsby Novel," was conducted by Nindita Ratri (2019). Employing a qualitative research method, Ratri analyzed the personality structure and behavioral expressions of the novel's main character, Jay Gatsby. The results of the study indicate that several defense mechanisms namely repression, fixation, and regression are evident in Gatsby's character, reflecting his complex psychological state.

The final study, titled "Anxiety and Defense Mechanism Analysis Based on Sigmund Freud's Theory in the Main Character of The Memory Keeper's Daughter Novel," was conducted by Nurul Apriningsih (2018). Utilizing a qualitative approach, the research presents two primary findings. First, it identifies the types of anxiety

experienced by Dr. David namely reality anxiety, neurotic anxiety, and moral anxiety as conceptualized by Sigmund Freud. These anxieties are portrayed through Dr. David's feelings of guilt stemming from his decision to give his daughter to Caroline and deceive his wife by claiming the child had died at birth. Second, the study highlights the defense mechanisms employed by Dr. David, specifically repression and rationalization, as coping strategies to manage his psychological conflict.

