

CHAPTER II

THEORETICAL FRAMEWORK

This chapter provides the Kenney theory of intrinsic elements. These intrinsic elements consist of character, characterization, setting, and conflict. Meanwhile, the theoretical framework guiding this research is Anna Freud's theory of defense mechanisms and adolescence. These intrinsic elements have an important role in examining the defense mechanism and adolescence of the narrative main character in the novel.

2.1 Character and Characterization

Character and characterization became the important elements in this research. Kenney (1933) stated, "And most of us tend to expect the people—or 'characters'—in fiction to be similar to the people in life" (p. 24). A character can be understood as an imaginary figure who in a narrative is deliberately made to resemble a real-life human being. This indicates that characters are generally inspired by the personality and behavior of real-life humans to make it easier for readers to understand their role in the story.

Meanwhile, characterization is "The author must choose not only what kind of characters he will present, but also by what methods he will present them" (p. 34). Characterization becomes a method used by the writer to describe each character created in the text to the reader. Characterization becomes a method used by writers to describe each character in a text to the reader. It implies that

characterization is a required element in literary work to help readers understand each character's role and personality.

Kenney (1933) also divides characterization into direct and indirect characterization. Direct characterization is "The author who chooses the discursive method simply tells us about his characters" (p. 34), and it means that the existence of characters in the text can be shown directly by the writer through their narration. While indirect characterization is "The principal alternative to the discursive method is the dramatic method, the method of showing rather than telling" (p. 35), it demonstrates that the character is explicitly shown to the reader through role and personality without being told directly by the writer. These two types of characterization show that there are different methods that writers can choose to convey the characters they create in a story.

These elements demonstrate how the main character's personality develops throughout the story. It can help readers understand the different roles of each character in a story. Character and characterization become important in this research because they function as a basis for recognizing Holden Caulfield through the way he is presented in the text. By knowing Holden's personality and behavior, analysis of his defense mechanisms can be carried out more thoroughly.

2.2 Setting

Setting is the element that frames the experiences and interactions of characters in a story. In this research, the setting provides the situational context

that surrounds Holden Caulfield's existence in the novel. Kenney (1933) defines "Everything that happens happens somewhere at some time. That element of fiction which reveals to us the where and when of events we call setting" (p. 38). Setting contains of place and time that surround the characters in the story and also function as an element that shapes the context of the characters' experiences.

Kenney (1933) categorizes settings into three types: place, time, and atmosphere. "The actual geographical location, including topography, scenery, and even the details of a room's interior" (p. 40). It indicates that the setting of place functions as the physical location where an event in the story occurs. The setting of time is "The time in which the action takes place, e.g., historical period, season of the year" (p. 40). Time settings such as date, day, month, and year serve to provide information about when the event was carried out by a character in the story. It shows that this aspect functions as a chronological sequence that provides information about when the event occurred.

In addition to setting of place and time, atmosphere refers to "It is a kind of mood or emotional aura suggested primarily by the setting and helping to establish the reader's expectations" (p. 41). The atmosphere setting is related to the feelings or mood experienced by the characters in each narrative. It suggests that the emotional states appear with the aim of allowing the reader to be carried away by the feelings experienced by the character. These settings appear as intrinsic elements to support the readers in understanding the sequence of events in the story. Then, setting becomes crucial in J.D. Salinger's *The Catcher in the Rye* because it's

where and when Holden Caulfield experiences various events that lead him to psychological distress and trigger his defense mechanisms.

2.3 Conflict

Conflict is an aspect that exposes the issues faced by the characters. Kenney stated that “We move from the end of the beginning to the beginning of the middle as the elements tending towards instability in the initial situation group themselves into what we recognize as a pattern of conflict” (1933, p. 17-18). Conflict can be understood as the situation where everything was initially fine, but then an argument arises as a problem that must be resolved before the story ends. Therefore, conflict serves as a driving force for the plot and as a means of displaying the tension experienced by the characters.

Kenney (1933) classifies conflict into two main categories: internal conflict and external conflict. Internal conflict refers to “A story may deal with a conflict within a single man (e.g., desire vs. duty),” showing that it is related to problems with oneself. Meanwhile, external conflict is “A conflict between man and society, between man and nature, and so on” (p. 19), implying that the conflict occurs between individuals and other things, such as other people and surrounding conditions. In this research, this classification is used as a basis for understanding the types of conflict faced by Holden Caulfield, both those arising from his inner turmoil and those arising from his relationship with his social environment.

2.4 Ego Defense Mechanism

Defense mechanisms are the main focus of this research. This theory is used to explain the psychological responses that arise when Holden Caulfield faces pressure and emotional conflict in J.D. Salinger's *The Catcher in the Rye*. In the text, Holden describes, as an adolescent, experiences with stress, loneliness, and a tendency to escape from reality. Later, to avoid this difficult condition, he used Anna Freud's theory of defense mechanisms as a strategy for self-protection.

According to Anna Freud, "Defense mechanisms are brought into operation against the instincts, with all the familiar results in the formation of neuroses and neurotic characteristics" (1967, p. 59). Defense mechanisms are psychological processes that work unconsciously as an attempt by the ego to protect individuals from anxiety arising from internal conflicts. These mechanisms do not aim to resolve conflicts but rather to reduce the emotional pressure felt by individuals. In this research, this theory is used as a basis for understanding how the main character deals with the emotional pressure arising from the conflict in the story. In relation to Holden Caulfield, this theory provides a reference for categorizing the psychological responses displayed by the character as part of his efforts to defend himself.

Furthermore, to understand the background of the emergence of defense mechanisms, there is a personality structure that underlies this. In J.D. Salinger's *The Catcher in the Rye*, there are the concepts of the id, ego, and superego as the basis for the psychological dynamics of the character Holden Caulfield. According

to Sigmund Freud, the human personality consists of three main structures: id, ego, and superego. Freud (1989) defines “The id which contains the passions” and “The ego represents what may be called reason and common sense” (p. 19). Meanwhile, the superego is “The way in which the super-ego came into being explains how it is that the early conflicts of the ego with the object cathexes of the id can be continued in conflicts with their heir, the super-ego” (p. 35).

Defense mechanisms are formed by the ego as it struggles to balance the reality, instinctual drives, and moral demands faced by an individual. This balancing attempt can cause someone to experience emotional instability which then makes them feel stressed and uncomfortable, lead the needing self-defense. These mechanisms are driven by the interactions within the mind between the id, ego, and superego—in accordance with the psychoanalytic structure proposed by Freud. This research explores how this interplay relates to psychoanalytic constructs that explain the emergence of defense mechanisms when Holden faces emotional stress.

2.4.1 The Factors Influencing Ego Defense Mechanisms

Besides finding the theory about defense mechanisms, Anna Freud (1967) also mentioned the factors that trigger this form of protection. Then, it can function as a basis to analyze Holden’s reasons for carrying out a defense mechanism in *The Catcher in the Rye*. “To these three powerful motives for the defense against instinct (superego anxiety, objective anxiety, anxiety due to the strength of the instincts) ...” (p. 60). This statement suggests that several factors, such as anxiety of conscience, objective, and instinctive contribute to an individual’s self-protection efforts. These

factors can then be used to help analyze what actually occurs before an individual decides to use a defense mechanism.

Furthermore, Anna Freud (1967) classifies these factors in three types—conscience anxiety, objective anxiety, and instinctive anxiety. First, conscience anxiety refers to “Fear of the outside world looms less large and gradually gives place to fear of the new representatives of the old power—to superego anxiety, anxiety of conscience, and the sense of guilt” (p. 145). It suggests the fear that arises from moral demands makes an individual feel anxious and guilty, which then leads to using defense. Second, “Objective anxiety is the anticipation of suffering which may be inflicted on the child as a punishment by outside agents...” (p. 143) and demonstrates that the outside environment can make an individual feel an instinct of threat and prohibition, which then appears as a feeling of fear.

The third factor is instinctive anxiety: “...if the demands of the instinctual impulses become excessive, its mute hostility to instinct is intensified to the point of anxiety” (p. 59). An instinctive urge from within that is too strong can cause an individual to experience feelings of anxiety. It can be known that these three factors each have their own role in influencing the formation of self-defense. In addition, this research also applies these theories as a reference in analyzing the reasons why Holden uses defense mechanisms to protect himself from inner conflict.

2.4.2 Denial and Rationalization in Ego Defense Mechanisms

The main concepts used to analyze the main character’s psychological responses are defense mechanisms, particularly denial and rationalization. The use

of these mechanisms was chosen to define limitations related to the psychological elements examined in this research through the character of Holden Caulfield. Denial and rationalization are forms of defense mechanisms explained by Anna Freud (1967). “The denial of reality also is, of course, one of the many motives underlying children’s play in general” (p. 83). This statement implies that denial serves as a self-defense from situations that cause emotional distress. In this research, denial can be interpreted as the primary response of the main character when coping with a difficult situation.

Meanwhile, rationalization “... easily shuts his eyes to the discrepancies between cause and effect” (p. 21). Rationalization can be understood as an attempt that common adolescents make to justify their decision. It indicates an individual’s attempt to validate feelings and excuses to protect them from their inability to deal with internal conflict. Therefore, denial and rationalization serve as the main focus of this research—considering that these mechanisms establish a defined framework for identifying the psychological responses of the main character. Thereby, an analysis of Holden Caulfield’s defense mechanisms can be conducted, beginning with the denial of reality and continuing with his attempts at self-justification through rational reasoning.

2.5 Adolescence

Adolescence can be defined as the transitional period from childhood to adulthood, which is characterized by changes in emotional, psychological, and social aspects that can potentially lead to internal conflict. Anna Freud stated,

“Adolescence is a period of internal disturbance, marked by increased conflicts, heightened anxiety, and intensified use of defense mechanisms” (1967, p. 136). In this period, adolescents may experience stress, confusion, emotional pressure, or a tendency to escape from reality and then cause self-protection as a solution to avoid these difficult situations. In this research, the concept of adolescence is applied to explain Holden Caulfield’s behavior, which later leads him to using defense mechanisms. Later, this theory is used to complement the understanding of Holden Caulfield’s psychological condition as a teenager facing various pressures and problems around him.