

CHAPTER II

THEORETICAL FRAMEWORK AND METHODS OF RESEARCH

2.1 Theoretical Framework

This chapter discusses the theories which are adopted by the writer to analyze Robert Louis Stevenson's *The Strange Case Of Dr. Jekyll And Mr. Hyde*. The intrinsic elements which will be discussed are character and characterization, conflict, and setting. The extrinsic element which will be discussed is the psychoanalytic framework of the defense mechanism (repression, isolation, projection, reaction formation, and turning against the self) developed by Anna Freud.

2.1.1 Intrinsic Element

2.1.1.1 Character and Characterization

Characters and characterization are essential elements of fiction because they bring the narrative to life and enable readers to understand the plot, conflicts, and themes through the characters presented in the story. According to Stanton, the term character has two meanings: it "designates the individuals who appear in the story... and refers to the mixture of interests, desires, emotions, and moral principles that makes up each of these individuals" (Stanton, 1965:17). Thus, a character is understood not only as an individual appearing in the story but also as the representation of the traits, emotions, desires, and moral principles that shape the character's personality.

In a work of fiction, each character serves a different function in the

development of the story. Based on Stanton's explanation, characters can be understood as having different levels of importance according to their contribution to the narrative. Characters who drive the plot and conflicts occupy a more central role, while others support the narrative and help reveal the personalities of the central characters. This is consistent with Stanton's statement that "A third type of evidence is provided by the other characters in a story, even the minor ones. Obviously, their attitudes toward a major character are important" (Stanton, 1965:18). Based on this explanation, the central character may be understood as the major character, whereas supporting characters may be understood as minor characters. The distinction between them lies in their respective narrative functions in developing the story.

Meanwhile, characterization refers to the way an author reveals and develops a character's personality throughout the story. Stanton states that "through our knowledge of the characters, we understand their actions; through their actions, we understand the characters" (Stanton, 1965:18). This statement highlights the reciprocal relationship between personality and action, in which a character's personality influences his or her actions, while those actions help readers understand the character.

Furthermore, Stanton emphasizes that "The most important evidence of all is the character's own dialogue and behavior. In good fiction, every speech, every action is not only a step in the plot, but also a manifestation of character" (Stanton, 1965:18). This statement indicates that a character's personality is revealed through the evidence presented in the narrative, particularly through

dialogue and behavior. Based on Stanton's explanation, characterization may be understood as occurring through both explicit and implicit presentation. In literary studies, these are commonly referred to as direct characterization and indirect characterization. Direct characterization presents a character's traits explicitly through the author's description, whereas indirect characterization requires readers to infer those traits from dialogue, actions, and other narrative evidence. Therefore, characterization enables readers to understand a character's personality, motivations, and psychological condition through the evidence presented throughout the story.

2.1.1.2 Conflict

Conflict is a vital element in a story which drives the narrative and gives it a sense of direction. According to Stanton, conflict occurs when there is a "pair of forces each of which is attempting to conquer the other or resisting being conquered by it" (Stanton, 1965:16). Through conflict, readers can observe the various struggles experienced by characters and understand the factors that influence their actions and decisions. Stanton states that every work of fiction contains both internal and external conflict. Internal conflict is a clash between two desires within a single character. This conflict arises when a character experiences conflicting urges or desires, leading to inner tension. Conversely, external conflict occurs between a character and forces outside themselves, such as other characters or the environment surrounding them (Stanton, 1965:16). Furthermore, Stanton explains that these various conflicts are usually related to

the central conflict, which can take the form of an internal conflict, an external conflict, or a combination of both. Therefore, conflict plays a crucial role in shaping the plot while also revealing the character's development in a literary work.

2.1.1.3 Setting

Setting is an important element of fiction because it provides the context in which the events of a story take place. According to Stanton, setting is the "environment of its events, the immediate world in which they occur" (Stanton, 1965:18). It includes various elements, such as the place where the events occur, the time period, climatic conditions, and the historical background. Simultaneously, these elements establish the world in which the characters live, interact, and experience the events of the story.

Beyond serving as the backdrop of the narrative, setting also contributes to the development of the story. Stanton explains that, in some literary works, setting directly influences the characters' experiences and behavior. In addition, setting reinforces the story's theme by supporting the ideas the author intends to convey. Therefore, setting functions not only as the physical context of the events but also as an element that contributes to the development and meaning of the story.

Another important aspect of setting is its ability to create atmosphere. Stanton explains that setting often evokes a particular emotional quality surrounding the events of the story, which he refers to as "atmosphere" (Stanton, 1965:19). Atmosphere may create feelings of peace, mystery, tension, or fear,

influencing the way readers perceive the characters and interpret the events of the story. As a result, atmosphere strengthens the emotional impact of the setting and deepens readers' understanding of the story.

2.1.2 Extrinsic Elements

2.1.2.1 Defense Mechanism's Trigger

When these conditions cause anxiety, the ego responds by employing defense mechanisms to reduce the resulting psychological tension. Therefore, anxiety serves as the primary trigger that prompts the emergence of various defense mechanisms as the ego's attempt to maintain its psychological balance. Within the framework of Anna Freud's theory, individuals may be aware of the conflicts or anxiety they are experiencing, but the defense mechanisms the ego uses to cope with that anxiety generally work unconsciously.

2.1.2.1.1 Superego Anxiety in Adult Neuroses

Superego anxiety is a form of anxiety that arises when an instinctual impulse conflicts with the moral standards represented by the superego. According to Anna Freud, the ego does not initially regard such a drive as dangerous. The drive becomes dangerous because its gratification is prohibited by the superego. Anna Freud explains that:

“the instinct is regarded as dangerous because the superego prohibits its gratification and, if it achieves its aim, it will certainly stir up trouble between the ego and the superego. Hence the ego of the adult neurotic fears the instincts because it fears the superego. Its defense is motivated by superego anxiety” (Freud, 1954:58-59).

This statement shows that the relationship between the superego and anxiety lies

in the superego's role as the individual's moral authority. The ego is not afraid of the instinctual impulse itself, but rather fears the conflict that will arise if the impulse is acted upon and conflicts with the superego's moral demands. In other words, the ego anticipates the emergence of guilt, regret, or condemnation from the superego and thus experiences anxiety. As a result, the ego employs defense mechanisms to reduce the anxiety caused by the conflict between instinctual impulses and the moral demands of the superego. Anna Freud also emphasized that, "the ego itself does not regard the impulse which it is fighting as in the least dangerous. The motive which prompts the defence is not originally its own." (Freud, 1954:58). This means that ego defenses are not motivated by the danger inherent in the impulse itself, but by the fear of the superego's moral judgment. For example, a person may unconsciously repress a desire because fulfilling it is considered to conflict with the moral values they hold.

2.1.2.1.2 Instinctual Anxiety

Instinctual anxiety is a form of anxiety experienced by the ego when instinctual impulses become so strong that they are difficult to control. Unlike superego anxiety, this anxiety does not arise from moral prohibitions but rather from the intensity of the instinct itself. Anna Freud explains that "the effect of the anxiety experienced by the ego because of the strength of the instincts is the same as that produced by the superego anxiety or the objective anxiety which so far we have been studying." (Freud, 1954:64). This statement indicates that although the sources of anxiety differ, the resulting effect remains the same: the ego activates defense mechanisms to protect itself. When an instinctual impulse becomes too

strong, the ego perceives it as a threat to its ability to maintain control and psychological balance. Therefore, the ego attempts to reduce this anxiety through various forms of defense. In this situation, what is considered dangerous is not the moral prohibition of the superego, but rather the strength of the instinctual impulse itself. For example, a person may experience an impulse so strong that they find it difficult to control. In such a situation, the ego may unconsciously suppress or transform that impulse to reduce the anxiety it causes.

2.1.2.1.3 The Ego's Need for Synthesis

The ego's need for synthesis refers to the ego's tendency to maintain harmony and consistency among the various drives present in an individual's personality. Anna Freud stated that "the adult ego requires some sort of harmony between its impulses, and so there arises a series of conflicts" (Freud, 1954:64). This statement indicates that the ego has a tendency to maintain harmony and consistency among the various drives present in an individual's personality. However, conflict arises when two conflicting drives are present simultaneously and cannot be satisfied at the same time. In such situations, the ego experiences tension because satisfying one drive may hinder the satisfaction of the other. To reduce this tension and restore psychological balance, the ego may employ defense mechanisms against one of the conflicting drives. Thus, defense mechanisms help the ego maintain the unity and stability of its psychological life. For example, a person may have a desire to maintain a respectable self-image while simultaneously having a desire for personal gratification that conflicts with that image. The conflict between these two drives may prompt the ego to suppress

one of them in order to maintain self-consistency.

2.1.2.1.4 Defense Against Painful Affects

Defense against painful affects refers to the ego's efforts to protect itself from emotional experiences that cause psychological distress and are associated with instinctual drives. According to Anna Freud, the reasons that prompt the ego to defend itself against instinctual drives also prompt it to defend itself against the effects associated with those drives. She stated that "precisely the same reasons as prompt the ego's defense against the instincts underlie its defense against affects" (Freud, 1954:65). This indicates that when the ego attempts to resist an instinctual impulse, it must often also resist the emotion associated with that impulse. Anna Freud further explains that "whenever it seeks to defend itself against instinctual impulses arising from one of the motives I have indicated, it is obliged to ward off also the affect associated with the instinctual process" (Freud, 1954:65). Thus, defense mechanisms serve not only to control instinctual impulses but also to regulate emotional experiences perceived as threatening the ego's balance. When an emotion is perceived as too painful or disturbing, the ego may employ defense mechanisms to push that emotion out of consciousness. For example, a person may suppress feelings of sadness associated with a particular experience so that those emotions are no longer fully recognized.

2.1.2.2 The Defense Mechanism

According to Anna Freud, defense mechanisms are unconscious psychological strategies used by the ego to protect itself from anxiety and

psychological tension. These mechanisms help the ego cope with conflicts arising from instinctual drives, moral demands, or painful emotional experiences. In *The Ego and the Mechanisms of Defense*, Anna Freud discusses various defense mechanisms that function in different ways but share the same goal: to reduce anxiety and maintain the ego's balance. This research focuses on the five defense mechanisms most relevant to Dr. Henry Jekyll's psychological condition: repression, isolation, projection, reaction formation, and turning against the self.

2.1.2.2.1 Repression

According to Anna Freud, repression is one of the most fundamental and powerful defense mechanisms. This mechanism works by unconsciously removing unacceptable impulses, desires, thoughts, or feelings from consciousness. Through repression, the ego prevents the emergence of psychological contents that could cause anxiety, so that the individual remains unaware of the existence of these impulses. However, repressed impulses do not truly disappear; rather, they remain in the unconscious and can indirectly influence thoughts, feelings, and behavior. Anna Freud emphasized the importance of this mechanism by stating that "Repression is not only the most efficacious, it is also the most dangerous mechanism" (Freud, 1954:54). This statement indicates that repression is highly effective in protecting the ego from anxiety that arises directly. However, this effectiveness also has psychological consequences. Because repressed impulses remain active in the unconscious, the ego must constantly expend psychic energy to keep them from returning to consciousness. As a result, excessive use of repression can hinder emotional

development, disrupt personality functioning, and contribute to the emergence of neurotic symptoms. For example, a person may unconsciously suppress desires that conflict with their moral values, so that while these desires remain unconscious, they still indirectly influence their behavior.

2.1.2.2.2 Isolation

Anna Freud identified isolation as a defense mechanism commonly found in obsessive neurosis. Unlike repression, which removes an idea from consciousness, isolation retains the idea in consciousness but separates it from the emotions associated with it. Anna Freud explains that in isolation, the ego “simply removes the instinctual impulse from its context, while retaining it in consciousness” (Freud, 1954:37-38). Therefore, a person can still recall or discuss an experience but no longer feels the emotions typically associated with that experience. The primary function of isolation is to reduce anxiety by severing the connection between disturbing thoughts and emotions. Through this separation, the ego gains a temporary sense of security because the individual does not have to directly confront the emotional impact of the experience. However, the underlying conflict remains unresolved because only the emotional connection is removed, not the source of the conflict. As a result, psychological tension can persist even though the individual appears emotionally calm. For example, a person may recount a traumatic experience in detail without showing sadness, fear, or other emotions that typically arise when discussing such an experience.

2.1.2.2.3 Projection

Projection is a defense mechanism in which the ego copes with

unacceptable impulses, desires, or feelings by projecting them onto others or the external environment. Through this mechanism, impulses that cause anxiety are no longer viewed as originating from within the self, but are instead perceived as coming from an external source. Anna Freud explains that through projection, the ego becomes capable of “projecting its prohibited impulses outward” (Freud, 1954:128). In other words, individuals unconsciously move unacceptable impulses from within themselves onto others so that these impulses appear to originate from an external source. In this way, the ego reduces anxiety because these unacceptable impulses are no longer viewed as part of the self. By attributing these impulses to others, the individual can avoid the guilt, discomfort, or inner conflict that might arise if the impulses were acknowledged as their own. As a result, the ego can avoid self-criticism and maintain a sense of psychological security. However, excessive use of projection can lead to a distortion of reality and cause difficulties in social relationships. For example, a person who unconsciously harbors feelings of hostility toward another person may believe that the other person is hostile toward them. Through projection, the unacceptable feeling is perceived as coming from someone else rather than from oneself.

2.1.2.2.4 Reaction Formation

Anna Freud identified reaction formation as a defense mechanism that occurs when the ego encounters drives, feelings, or desires it deems unacceptable, and then transforms them into attitudes or behaviors that are directly opposite. Through this mechanism, the real impulse is not eliminated but is covered by an

opposite expression so that it no longer appears in its original form. Anna Freud explains that “Again, in securing repressions by means of reaction-formation, the ego avails itself of the instinct’s capacity for reversal” (Freud, 1954:192). This statement shows that the ego utilizes the ability of an impulse to turn into its opposite as a means of maintaining repression. In other words, an anxiety-provoking impulse is not only repressed but also replaced by an opposing attitude, so that the individual does not have to confront the impulse directly. In this way, the ego can reduce the anxiety arising from impulses that are perceived as threatening or inconsistent with moral and social demands. However, the continuous use of this mechanism can lead to a rigid personality, as the individual constantly strives to maintain behavior that contradicts their true feelings. For example, someone who unconsciously harbors dislike toward another person may show excessive attention, friendliness, or affection toward that person.

2.1.2.2.5 Turning Against the Self

Anna Freud identified turning against the self as a defense mechanism in which impulses or feelings originally directed toward others are redirected toward oneself. In this mechanism, the impulses are not repressed or eliminated; rather, they are retained but their target is shifted. Anna Freud explained this process by stating that “It turned inward the hatred, which hitherto had related exclusively to other people” (Freud, 1954:49). This quote shows that feelings initially directed toward others can be redirected toward oneself when direct expression toward the original object is considered too threatening or unacceptable. Thus, the ego reduces anxiety by redirecting impulses originally intended for others toward the

self, thereby avoiding conflict with external parties. However, because these impulses remain and are not truly resolved, individuals often direct anger, hatred, or aggression toward themselves. Consequently, this mechanism can lead to excessive self-criticism, feelings of inferiority, or a tendency to blame oneself. For example, someone who feels angry at another person but is unable to express it may direct that anger toward themselves through excessive self-criticism or persistent feelings of guilt.

2.1.2.3 The Impacts of Defense Mechanisms

Although defense mechanisms serve to protect the ego from anxiety and psychological conflict, long-term use of these mechanisms can also lead to various consequences. According to Anna Freud, defense mechanisms can become an integral part of an individual's personality, limiting ego development, perpetuating psychological tension, and affecting the individual's relationships with others. Consequently, defense mechanisms not only serve as a means of protection but can also have a long-term impact on a person's psychological development.

2.1.2.3.1 Permanent Character Traits and "Armor-Plating"

One of the significant effects of defense mechanisms is the formation of stable personality traits. According to Anna Freud, defense mechanisms that were initially used to cope with specific conflicts can be maintained over time until they eventually become a permanent part of a person's personality. Anna Freud explains that:

"bodily attitudes such as stiffness and rigidity, personal peculiarities such as a fixed smile, contemptuous, ironical, and arrogant behavior, all these are residues of very vigorous defensive processes in the past, which have become dissociated from their original situations (conflicts with instincts or affects) and have developed into permanent character traits, the 'armor-plating of character'" (Anna Freud, 1954:35).

This quote shows that various attitudes and behaviors that appear to be part of a person's personality may actually stem from defense mechanisms repeatedly used in the past. Over time, these mechanisms are no longer directly related to the conflicts that triggered them but have become ingrained patterns of behavior. Anna Freud referred to this condition as the "armor-plating of character" because these psychological defenses function like a protective layer attached to an individual's personality. As a result, a person may continue to exhibit certain behaviors even though the situation that originally triggered those defenses no longer exists. For example, someone who consistently adopts a cold and rigid attitude to protect themselves from painful emotional experiences may develop into a person who appears stiff and finds it difficult to express their feelings in daily life.

2.1.2.3.2 Distortion and Impoverishment of the Ego

Distortion and impoverishment of the ego refer to a condition in which the continuous use of defense mechanisms limits the ego's development and reduces its ability to adapt to various life experiences. Anna Freud explains that:

when the ego is young and plastic, its withdrawal from one field of activity is sometimes compensated for by excellence in another... But, when it has become rigid ... such withdrawal is punished by impaired development. By abandoning one position after another it becomes one-sided, loses too many interests, and can show but a meager achievement" (Freud, 1954:111)

This quote shows that an ego that constantly avoids situations that cause discomfort will increasingly limit itself. At first, this avoidance may not have a significant impact because the individual can still develop abilities in other areas. However, if this pattern continues, the ego's development becomes stunted. The individual tends to lose interest in many aspects of life and becomes increasingly narrow in both thought and action. Thus, the defense mechanism that initially served to protect the ego can actually hinder its psychological growth. For example, someone who always avoids social situations for fear of failure may miss opportunities to develop social relationships and interpersonal skills.

2.1.2.3.3 Persistent Anxiety and Inner Tension

Persistent anxiety and inner tension refer to a condition in which psychological stress persists even after the ego has employed defense mechanisms. Although defense mechanisms serve to protect the ego from anxiety-inducing impulses and affects, they are not always able to eliminate the conflicts

that are the source of that anxiety. As a result, the ego may continue to experience psychological pressure even after defense mechanisms have been activated. Anna Freud described this condition through a clinical case, stating that: “The three mechanisms she had employed could not prevent her ego from being in a perpetual state of uneasy tension and vigilance, nor relieve it of the exaggerated demands placed upon it and the sense of acute torment from which it suffered” (Freud, 1954:50). This quote indicates that defense mechanisms do not always succeed in fully resolving psychological conflicts. Although defense mechanisms can temporarily reduce anxiety, the ego may still remain in a state of constant tension and vigilance because the source of the conflict persists. As a result, individuals may continue to experience anxiety, emotional distress, and psychological discomfort even though the underlying conflict is no longer fully recognized. For example, a person who unconsciously represses disturbing impulses or feelings may continue to experience prolonged anxiety or emotional tension without clearly understanding the cause.

2.1.2.3.4 Altruistic Surrender and Loss of Self

Altruistic surrender is a condition in which an individual sets aside the fulfillment of their own desires and shifts their attention to fulfilling the desires of others. According to Anna Freud, this pattern is related to a defense mechanism that causes individuals to experience their drives indirectly through other people. She explained that: “she projected her prohibited instinctual impulses onto other people ... The patient did not dissociate herself from her proxies but identified herself with them” (Freud, 1954:136). This quote indicates that the individual no

longer pursues her own desires directly but identifies with others and derives satisfaction from those others' successes or experiences. Anna Freud also added that: "the surrender of her instinctual impulses in favor of other people thus had an egoistic significance, but in her efforts to gratify the impulses of others, her behavior could only be called altruistic" (Freud, 1954:137). Thus, behavior that appears altruistic can actually serve as a defense mechanism that allows individuals to fulfill their desires indirectly. However, the constant use of this pattern can lead to a loss of awareness of one's own needs and identity. For example, a person might constantly strive to fulfill the dreams of others while neglecting their own desires and goals.

2.2 Research Methods

2.2.1 Research Approach

This research uses a psychoanalytic literary approach to analyze the psychological aspects of Dr. Henry Jekyll in *The Strange Case of Dr. Jekyll and Mr. Hyde* by Robert Louis Stevenson, with a primary focus on the dynamics of ego defense mechanisms. Psychoanalytic criticism is a method which focuses on understanding the hidden workings of the human mind and applying that understanding to literature. As Dobie explains, psychoanalytic theories "do not provide an aesthetic theory of literature, which would explain how literature is beautiful or why it is meaningful in and of itself," but "their value lies in giving readers a way to deepen their understanding of themes that have always been present in Western literature, themes of family, authority, and guilt, for example.

In addition, they provide a framework for making more perceptive character analyses" (Dobie, 2011:54). By applying this psychoanalytic approach, this research focuses on Dr. Jekyll's internal world to observe how the ongoing tension between his social reputation and his darker impulses affects his psyche. This framework is specifically used to explore the character's psychological journey through the lens of Anna Freud's defense mechanisms, tracing how the ego attempts to mediate between the demands of the id and the superego.

2.2.2 Method of Data Collection

This research uses library research as its method of data collection. According to Dobie, a research paper is different from other kinds of papers because "its purpose is not simply to convey your interpretation of the work but also to present ideas and data from others," this means library research is the process of gathering information and opinions from other scholars to support and strengthen the researcher's own analysis (Dobie, 2011:7). The data in this research is divided into two types: primary data and secondary data. Dobie explains that a research paper must present "ideas and data from others," and that this material is called a secondary source (Dobie, 2011:7). Based on this understanding, primary data refers to the original literary text being studied which is the main object of analysis, while secondary data refers to outside sources such as books, journal articles, and other academic works that are used to support the analysis. The primary data used in this research is the novel *The Strange Case of Dr. Jekyll and Mr. Hyde* by Robert Louis Stevenson. The secondary data includes books and journal articles related to the theory and the subject of this research.