

## **Chapter II**

### **Character, Characterization, and Psychoanalysis Theory**

In this chapter, various theories related to the research focus will be presented. The brief information about the character, characterization, literary psychology, and relation between literature and psychology will be used as a material to conduct this research. The psychoanalysis theory by Sigmund Freud will be used in this chapter to prove that the conflict itself has a relation with the theory.

#### **2.1 Literature**

Eagleton (1996:1) stated there have been various attempts to define literature. You can define it, for example, as 'imaginative' writing in the sense of fiction – writing which is not literally true. But even the briefest reflection on what people commonly include under the heading of literature suggests that this will not do. From the statement mentioned, literature is a kind of imaginative expression for various aspects of human life. It contains beautiful writing, beautiful sentences that can arouse the heart of the reader, also contains the result of the imagination of the writer based on his experience and appreciation of life.

Roberts and Henry (1987 : 1) define literature refers to composition that tell stories, dramatize situation, express emotion, an analyze and advocate ideas. Bonn (2010: 93) also says that literature includes poetry, drama, fiction and many of non-fiction writing, as well as oral, dramatic and broadcast compositions, not necessarily preserved in a written format such as films and television programs. Literary work is a result of human being thinking which tells about life deal with feeling, ideas, and problem.

## **2.2 Novel**

A novel is a work of fiction and is a kind of prose that is part of literary genres. A novel contains life of the character from the beginning to the end. Abrams (1981: 190) describes the term novel is now applied to a great variety of writings that have in common only the attribute of being extended works of fiction written in prose. It shows that a novel deals with the real-life of society. A novel is like a glass that reflects the condition and situation of the human in real life. Illustrated by the writer of the novel in a written form. According to Reeve (1785: 59) novel is a picture of real manner and of the time in which it was written. It shows that novel deals with the real life of society.

A novel as one of the literary works certainly contains many aspects that depicted based on human real life. This aspect commonly concerns with emotion, feeling, problems, conflicts, etc. Nowadays, a novel is often read for entertainment, although many can also be informative. According to Tarigan (1991: 164-165), novel or often referred to as romance is a fictional prose story in a certain length, depicting characters, movements, and real scenes that are represented in a plot or a place that is more difficult or tangled. The novel has a characteristic of the character, presented more than one impression, presented more than one effect, presented more than one transformation.

## **2.3 Plot**

According to Abrams (1981: 224), the plot in a dramatic or narrative work is constituted by its events and actions, as these are rendered and ordered toward achieving particular artistic and emotional effects. A plot is an event shown in a

story that not simply because the writer arranges those events based on causality relationships. The plot is also known as the foundation of a novel or story in which the characters and settings are built around.

Plot is a series of events in a literary work to achieve a certain effect. Plot is an order of events or events in a story that are connected by causation. Plot can also be interpreted as events in a story that have an emphasis on causality. Plot is also referred to as sequences of events in a story. This is in accordance with the opinion of Stanton (1965: 14) in Nurgiyantoro (2010: 113) that is, the plot is a story that contains a sequence of events, but each event is only related to cause and effect, one event caused or caused another event.

## **2.4 Setting**

According to Abrams in Nurgiyantoro (2010: 216) says the setting is the understanding of place, time relations, and social environment in which events are told. Meanwhile, Ratna (2009: 182) says setting is the time and place of an event that occurred in a story. Based on the definitions above, it is concluded that understanding from the setting is the physical environment in which the story takes place. Setting is also separated into three segments, place settings, time settings, and social settings.

The function of setting itself is to provide a clear picture so those events that occur in literary works can provide clear information about the situation in a story. According to Hudson (1960: 158) setting is a whole environment of the story, including the custom and tradition, habits and the characters way of life. The social setting explains the character's social status or social behavior that

occurs in the surrounding environment. It includes the culture that the individual lives in. While the cultural setting includes a scheme of behavior and beliefs that dominate the society in which the characters live. Family relationships, moral values, class structures, and gender roles are all part of the cultural environment.

The background depicts in a novel has a crucial role in supporting the facts of the story. It makes the story seem real and alive in the reader's mind. The background always associates with the storyline. The term background refers to the point of time and space of the events in the plot taking place.

## **2.5 Character and Characterization**

The term character points to the actor in a story, whereas characterization is how a writer shows the nature of a character. Characterization also can be called a description of someone who is featured in a story. Abrams (1981: 20) in Nurgiyantoro (2010: 165) suggests that a character is a person who is shown in a narrative work, or drama, which the reader interprets having certain moral values and tendencies as expressed in words and what is done in action.

Abrams (1981: 32) also says a character is a person represent in a narrative work, interpreted by the reader as a person who is given moral quality, intellectual, and emotional qualities by conclusions from what the person says and his specific ways of saying it and from what a person do. The term characterization has a deep meaning because it inserts a view of a character, how the characterization is, how the placement and description are in a story so that it is able to give an explicit illustration to the readers.

According to Kennedy (1983: 45), he states that a character is presumably an imagined person who inhabits a story – although that simple definition may admit to a few exceptions. But usually, we recognize it in the main characters of a story, human personalities that are familiar to us. Brooks and Warren (1959: 168) also states that every character in fiction must resemble ourselves, it must be recognized as human as even as we are as human.

According to Nurgiyantoro (2010: 176-178, the characters in a fiction can be distinguished based on several things, which are:

### **2.5.1 Main Character and Peripheral Character**

Based on the role and level of importance, there is an essential character being appeared continuously. It seems to dominate the story which called the main character. The main character is called the Hero or heroic. The term ‘hero’ does not mean someone who is brave or noble but it means may be good or evil, low or high born. The main character appears in most of the story, either as a subject or object.

On the contrary, the appearance of the peripheral character in a story is less, not significant, and will appear if there is a relation with the main character directly or not. The peripheral character is a character that exists as a complement. The peripheral character supports the main character and held an important role also in the story of a novel.

### **2.5.2 Protagonist and Antagonist**

Based on the function appearance of the character, it is categorized into a protagonist and antagonist character. The protagonist character is a character that admires by the readers. The protagonist character shows something appropriate with the reader's expectation.

Antagonist character usually opposites to protagonist character directly or not. Because a fiction must contain conflicts, especially faced by the protagonist character. The conflicts are caused by the antagonist character. Conflict is not only caused by antagonist character, but also other things beyond individual activities, such as: disaster, accident, environment and society, social rules, moral value, higher power and strength, etc.

### **2.5.3 Simple Character and Complex Character**

Based on characterization, it is divided into simple character and round character (complex character). The simple character is a character that has only one personality and one characteristic. As a human character, he does not reveal all sides of his life. He does not have attitude and behavior that be able to startle the reader. His attitude and behavior are flat, only reflects one characteristic.

While the round character is a figure that has complexity expressed from various possible sides of his life, personality, and identity. He also can show kinds of attitudes and behaviors even opposite and difficult to guess. Generally, this characteristic is difficult to describe.

#### **2.5.4 Static Character and Developing Character**

Based on the development character, it is divided into static character and developing character. Static character has no change character as the result of events happen. This character looks less involve and not affects any change of environment for having communication.

While developing character has change and development of character for developing and changing events and plot. He interacts in the environment actively, and everything will affect his attitude, character, and behavior. Thus, developing character will get change in the beginning, middle, and ending story depends on the story of the novel itself.

#### **2.5.5 Typical Character and Neutral Character**

Based on the reflection of the character of humans in real life, it is divided into typical character and neutral character. Typical character is a real character who lives in the real world. On the other hand, neutral character exists for the story. He is really imaginative character who just lives and exists in fiction work. His presence just for the story, or even he is the owner of the story.

### **2.6 Psychoanalysis Theory**

The relationship between literature and psychology show by the term of literary psychology. What means by literary psychology is psychological studies applied in literary work. One of the genres in psychology is the concept of personality. This concept eventually interprets by many experts with diverse

definitions, one of which is the meaning of the personality concept from the psychoanalysis genre.

Psychoanalysis theory attempts to explain the nature and development of personality. Prioritize elements in this theory are motivation, emotions, and other internal aspects. This theory assumes that personality develops when conflicts occur from those psychological aspects, which generally occur in children or at an early age.

Sigmund Freud is the founder of psychoanalytic theory. Freud believes that behavior and personality derive from the constant and unique interaction of conflicting psychological aspects, which operate at three different levels of awareness: preconscious, conscious, unconscious. He believes that each of these parts of the mind plays an important role in influencing behavior.

According to Freud (1960: 7), human personality is a complex and has more than a single component. Sigmund Freud's three elements of personality known as the *Id*, the *Ego*, and the *Superego*. Certain aspects of our personality place great importance on how conflicts among the parts of the mind create behavior and personality. These conflicts are mostly unconscious. Certain aspects of human personality are more primal and might pressure human to act upon their most basic urges. Other parts of human personality work to counteract these urges and strive to make them conform to the demands of reality.

a. The *Id*

Freud (1960: 15) made the analogy of the *Id* being a horse while the *Ego* is the rider. The *Ego* is like a man on horseback, who has to hold in check the superior strength of the horse. In the psychoanalytic theory of

personality, Freud asserts that the *Id* is the personality component made up of unconscious psychic energy that works to satisfy basic urges, needs, and desires. All energy comes from the *Id*. The *Id* is the only component of personality that is present from birth. The most primitive of the three structures and the most basic part of the personality. It also represents our most animalistic urges, like the desire for food, sleep, or sex. The *Id* seeks an instant way for our wants and needs. If these needs are not satisfied immediately, a person can become tense, anxious, or angry. The *Id* is the source of all psychic energy, making it the primary component of personality.

Most of the *Id* is unconscious and unorganized. Logical laws of thought do not apply to the *Id*. It does think only about desires and acts in a very immature way. The *Id* is the spoiled brat of the personality, selfishly demanding its own need satisfaction. The *Id* is blind, demanding, insistent, and amoral. The source of all psychic energy, the *Id* is the blind king of the personality who has absolute power and authority. A person is fully controlled by the *Id* at birth, and all energy for life comes from the *Id* even in the adult. According to Freud, the *Id* tries to resolve the tension created by the pleasure principle through the primary process, which involves forming a mental image of the desire objects as a way of satisfying the need.

b. The *Ego*

According to Freud (1960: 25), the *Ego* is part of the personality that mediates the demands of the *Id* and the *Superego*. The *Ego* prevents us from acting on our basic urges created by the *Id*, and also works to achieve a balance with our moral and idealistic standards created by the *Superego*.

The *Ego* operates based on the reality principle, which strives to satisfy the *Id*'s desire in realistic and socially appropriate ways. The *Ego* deals with reality, trying to meet the desires of the *Id* in a way that is socially acceptable in the world. The *Ego* recognizes that other people have needs and wants too, and being selfish is not good.

The *Ego* is the “mediator” between inner demand and external reality. The goal of the *Ego* is to make decisions as to what to do that will maximize the pleasure of the *Id* while avoiding punishment and guilt of the *Superego*. The *Ego* responds to the “reality principle” and decides what will you do. The *Ego* uses conscious rational thought and formulates plans of action to satisfy needs. The *Ego* constructs a rational plan to obtain pleasure consistent with moral codes, leading to feelings of pride and self-love while avoiding feelings of guilt and inferiority.

c. The *Superego*

Freud (1960: 32) said the *Superego* provides guidelines for making judgments, about right and wrong, good and bad. It operates according to the morality principle. Even though the *Superego* and the *Ego* may reach

the same decision about something, the *Superego's* reason for that decision is based on moral values, while the *Ego's* decision is based more on what others will think or what the consequences of an action could be on the individual.

The *Superego* is emerged by two influential sources, the conscience and the *Ego-ideal*. Both the conscience and the *Ego* ideal standards are approved by parental and other authority figures such as teacher and leader. The conscience is the part of the *Superego* that includes ideologies, doctrines, norms, and information about things that are viewed as bad by parents and society. These behaviors are often forbidden and lead to bad consequences, punishments, or feelings of guilt and remorse. All ideologies, doctrines, norms, and information form the individual's *Ego-ideals* as a righteous and devout man. It leads to feelings of pride, value, and accomplishment.

We need the *Superego* to control our animalistic and selfish drives. A psychopath is raw *Id*, seeking selfish pleasure, uncontrolled by conscience and guilt. The *Superego* is learned. Antisocial personalities have simply not learned a sense of morality and literally may not have a conscience. We need our *Superego* to rein our lustful, selfish *Id*.

*Superego* is the sociological aspect of personality. It is the representation of traditional values and society ideas as how interpreted by parents to their children who be learned by many kinds of the command and the prohibition. The *Superego* is more as the perfection of pleasure. Therefore, the *Superego* also can be considered as the moral

aspect, which is for determining what something is right or wrong, proper or not, moral or immoral. Thus, the personality can be act agree with the moral of society.

If the *Ego* can sufficiently moderate between the demands of reality, the *Id*, and the *Superego*, a healthy and well-adjusted personality appears. An individual with an overly dominant *Id*, for example, might become impulsive, uncontrollable, or even criminal. This individual acts upon his or her most basic urges with no concern for whether the behavior is appropriate, acceptable, or legal.

An overly dominant *Superego*, on the other hand, might lead to a personality that is extremely moralistic and possibly judgmental. This person may be very unable to accept anything or anyone that he or she perceives as "bad" or "immoral." An excessively dominant *Ego* can also result in problems. An individual with this type of personality might be so tied to reality, rules, and appropriateness. This individual may seem very concrete and rigid, incapable of accepting change and lacking an internal sense of right from wrong.

Freud believes that the *Id*, *Ego*, and *Superego* are in constant conflict and that adult personality and behavior are rooted in the results of these internal struggles throughout childhood. He believes that a person who has a strong *Ego* has a healthy personality and that imbalances in this system can lead to anxiety, depression, and unhealthy behaviors.

## **2.7 Synopsis of *Harry Potter and the Half-Blood Prince***

When Harry enters his sixth year at Hogwarts School of Witchcraft and Wizardry, the world is in chaos. Voldemort's army is gaining force and

momentum, and tragedies are everyday occurrences. The Muggle world is experiencing great loss and devastation as well, and fear abounds. The Prime Minister of the Muggle world meets with both the former and current Ministers of Magic, and the news is not good. It would seem that a war is at hand, and even Hogwarts is not entirely safe

After seeing Draco Malfoy conduct sketchy business at Borgin and Burkes at the beginning of the school year (while on a school supply shopping trip with the Weasleys in Diagon Alley), Harry is convinced that Draco now works for Voldemort and is plotting something big. Harry proceeds to spend his year at Hogwarts following Draco's actions carefully. However, few believe Harry's theory that Draco has become a Death Eater.

The sixth year homework load is intense, and everyone (including Hermione) seems to struggle under the weight and difficulty of the work assigned. Professor Snape has assumed the illustrious role of Professor of the Defense Against the Dark Arts, and he proceeds to make Harry's life miserable, making sure to give him detention whenever possible. Professor Horace Slughorn joins the Hogwarts faculty as the new Potions teacher, and he finds Harry to be a Potions superstar (thanks to a mysteriously helpful used textbook Harry finds, which once belonged to a former student known as the Half-Blood Prince). To Hermione's frustration, Harry follows the Half-Blood Prince's tips and effortlessly excels in Potions. The sixth year is also the year in which Harry and his friends begin to learn how to Apparate, or to travel from one place to another magically.

Dumbledore decides at the beginning of this school year that he should take a bigger role in Harry's education, and he arranges for Harry to have private lessons

with him every so often. Harry, elated by this news, soon discovers that these private lessons involve traveling into the memories of those who knew Voldemort once upon a time. Over the course of several visits, Harry and Dumbledore venture into precious memories, gathering essential information about Voldemort's family, his childhood, his schooling at Hogwarts, and how he came to be the Dark Lord. The final memory is one that Dumbledore needs most but is unable to procure as it belongs to Professor Slughorn, who has intentionally erased it using complicated magic. Dumbledore implores Harry to convince Slughorn to give him this memory, a task that proves almost impossible, as Slughorn will stop at nothing to avoid Harry once he knows what Harry is after.

As luck would have it, Harry possesses a good luck potion, Felix Felicis, which he earned for winning a contest in Potions class (thanks, Half-Blood Prince). One day, when Harry is all out of ideas about how to get the memory from Slughorn, he drinks part of the potion and, through a string of very lucky instances, is able to get the memory from Slughorn.

When Dumbledore and Harry travel into this particular memory, they realize that it shows the moment at which Voldemort first learned about Horcruxes. A Horcrux is a powerful, outlawed kind of Dark Magic that allows the soul to be divided, giving its owner the ability to become immortal. When he was at Hogwarts, Voldemort once convinced Slughorn to give him valuable information about Horcruxes, and what resulted was (Dumbledore supposes) a quest to divide his soul seven times and to hide each piece in various vessels in locations around the world. Using the memories that he has already collected pertaining to Voldemort, Dumbledore can make good guesses about where Voldemort's

Horcruxes might be. The only way to kill Voldemort is to destroy every single Horcrux, which, Harry realizes, will be his ultimate goal and mission in life.

After traveling to retrieve the first Horcrux, a task that proves to be incredibly difficult, dangerous, and scary, Harry and Dumbledore arrive back at Hogwarts only to find that the castle has been invaded by Death Eaters. The Dark Mark (the sign of Voldemort) floats like a cloud over the castle tower. As Dumbledore and Harry fly to the tower over which the Dark Mark lingers, they discover that the Dark Mark is a trap intended to lure Dumbledore to that very tower. Before he is cornered by Death Eaters, Dumbledore is able to use his magic to hide Harry and to make him temporarily immobile and mute, so that the Death Eaters will not discover him.

## **2.8 Author Biography**

Joanne Kathleen Rowling, was born on 31 July 1965, in Yate, Gloucestershire, England is a British novelist, philanthropist, film producer, television producer and screenwriter. She writes under the pen names J. K. Rowling and Robert Galbraith, best known for writing the *Harry Potter* fantasy series. The books have won multiple awards, and sold more than 500 million copies, becoming the best-selling book series in history. The books also have been adopted into film franchise which is the second highest-grossing film series in history.

Rowling was working as a researcher and bilingual secretary for Amnesty International when she conceived the idea for the *Harry Potter* series while on a delayed train from Manchester to London in 1990. The seven-year period that

followed saw the death of her mother, birth of her first child, divorce from her first husband and relative poverty until the first novel in the series, *Harry Potter and the Philosopher's Stone* was published on 1997, followed by six sequels *Harry Potter*.

Rowling has led a “rags to riches” life story, in which she progressed from living on state benefits to multi-millionaire status within five years. She is the United Kingdom's best-selling living author, with sales in excess of £238m. The 2008 *Sunday Times Rich List* estimated Rowling's fortune at £560 million, ranking her as the twelfth richest woman in the United Kingdom. *Forbes* ranked Rowling as the forty-eighth most powerful celebrity of 2007, and *Time* magazine named her as a runner-up for its 2007 Person of the Year, noting the social, moral, and political inspiration she has given her fans (Wikipedia, 2015).

Although she writes under the pen name J. K. Rowling, her name, before her remarriage, was Joanne Rowling. She adopted her pen name, J.K., due to the request of her publishers, who anticipated that the target audience of young boys might not want to read a book written by a woman, and asked her to use two initials instead of her full name. Since she does not have a middle name, she chose “K” (for "Kathleen") as the second initial of her pen name, from her paternal grandmother. She calls herself Jo. She was born to Peter James Rowling, an aircraft engineer, and Anne Rowling, a science technician. She has a younger sister, Dianne.

The family moved to the nearby village Winterbourne when Rowling was four. As a child, Rowling often wrote fantasy stories which she frequently read to her sister. Five years later, Rowling moved to Church Cottage in the

Gloucestershire village of Tutshill, close to Chepstow, Wales. When she was a young teenager, her great-aunt gave her a copy of Jessica Mitford's autobiography, *Hons and Rebels*. Mitford became Rowling's heroine, and Rowling read all of her books. Since her childhood, Rowling had liked to write fantasy stories and collect unique names for her fictional characters.

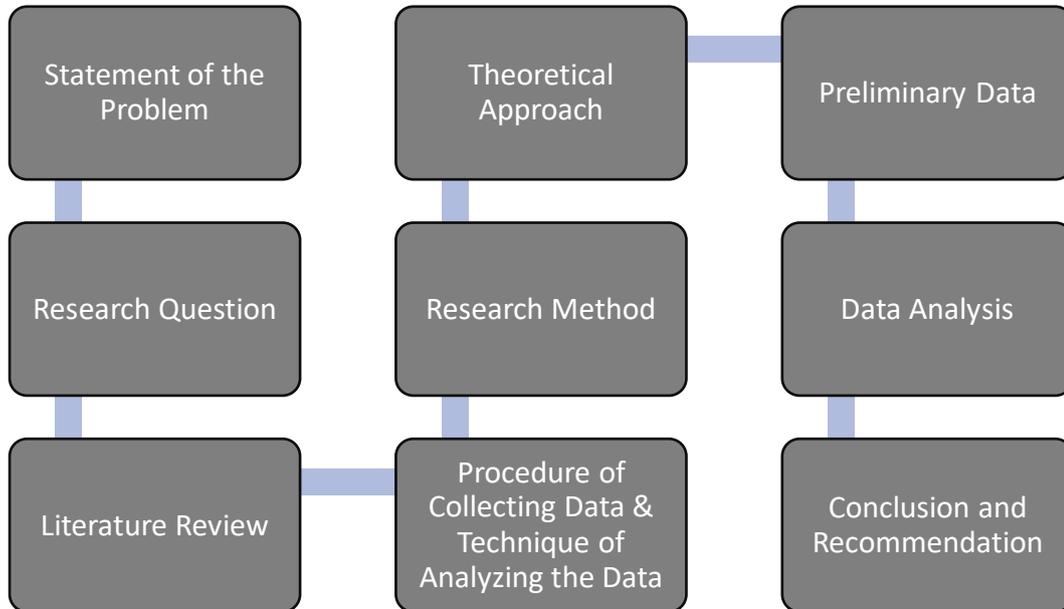
As a child, Rowling attended St Michael's Primary School, a school founded by abolitionist William Wilberforce and education reformer Hannah More. Her headmaster at St Michael's, Alfred Dunn, has been suggested as the inspiration for the *Harry Potter* headmaster Albus Dumbledore. She attended secondary school at Wyedean School and College, where her mother worked in the science department.

In the Wyedean Comprehensive School Joanne found out her interests for the English language. She got very good grades in French, German and English. At the same time she made friends with Sean Harris who became her best friend. Later in an interview she told that the novel figure Ron Weasley resembles Sean. Rowling also said she was very shy and petty bourgeois. So she identifies a little with Hermione Granger, one of Harry Potter's best friends. But later she even became the head girl of the school.

The manuscript of the first book, *Harry Potter and the Philosopher's Stone*, was finished in 1995. The book was submitted to twelve publishing houses, which all of it rejected the manuscript. A year later, Rowling made an agreement with a publishing house in London, Bloomsbury. Finally in 1997 *Harry Potter and the Philosopher's Stone* was published. In 2000 the fourth Harry Potter book

beats all records. Now Joanne K. Rowling is one of the richest women in Great Britain.

## 2.9 Theoretical Framework



At first, the writer states the research problems and obtains research questions. This step is very important s because it will determine where research will be directed. The research question answer will be sought through research. The writer also determines the research objectives that are needed to answer the existing problems.

Then, the writer has added some literature review. This step consists of several stages, such as describing literature, novel, plot, setting, character, and characterization. This theoretical approach attempts to understand the root causes of something and gain knowledge about a particular topic through reading or any other way.

Next, the writer will decide the research method. This step is to identify, select, process, and analyze information about the topic. In a research paper, the method section allows the reader to critically evaluate a study's overall validity and reliability. This method answers how were the data collected and analyzed.

Further, the writer will collect the required data and processing it. This data processing aims to analyze the obtained data and make it easy to conclude. From the results obtained, a conclusion and suggestion can be drawn. And the results of this study might be useful for institutes, readers, and for further researchers.

Furthermore, the theory of psychoanalysis will be examined more deeply because this theory is the key to dissecting the character's personality. To prove how a person's past will greatly affect his future. Rowling grounds her evil incomprehensible human flaws and shows that to defeat evil we not only have to fight it but to try to understand where it comes from in the first place.