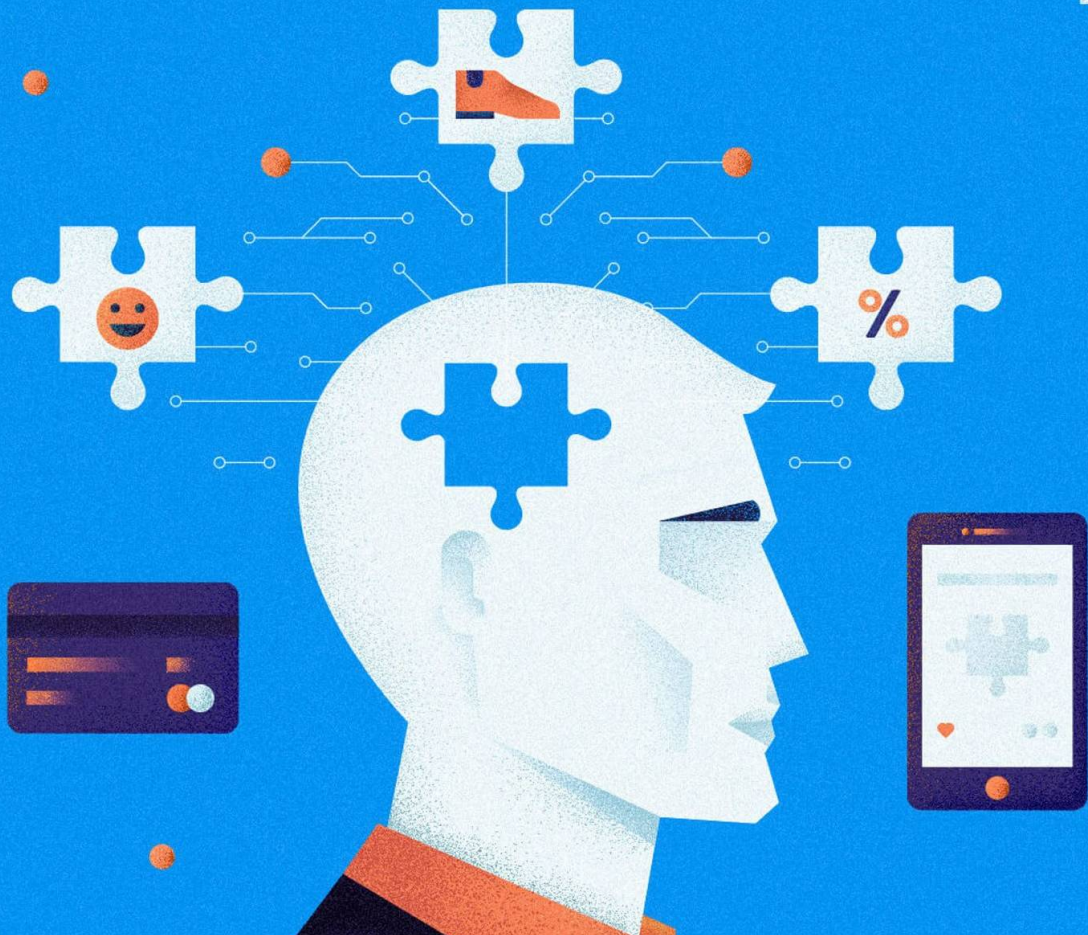




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CHAPTER I

INTRODUCTION

Literature which intertwines within such fields as history, philosophy, sociology, psychology and so on is a discipline wherein language is used as a medium of expression so as to interpret man, existence and culture, personality and individual differences which have always been studied and discussed by writers, philosophers, artists, psychologists and psychiatrists. There is a very strong correlation between literature and psychology for the fact that both of them deal with human beings and their reactions, perceptions of the world, miseries, wishes, desires, fears, conflicts and reconciliations; individual and social concerns, by means of varied concepts, methods, and approaches. An author represents life according to his/her objectives, perceptions, ideologies, and value judgments and opens the doors of the unknown and invisible worlds to readers not only by arousing feelings and emotions but also by helping them to discover the meaning of life and existence. Clearly, literature enables individuals to know and question their identities by raising consciousness and awareness. It is to be noted that man and existence have always been fundamental elements in most scientific studies, fine arts and literature.

Considering this salient correlation between literature and psychology, first of all the question, “what is literature?” should be answered. David Lodge in his work titled *Consciousness and the Novel Connected Essays* explains the meaning of literature as follows: “... literature is a record of human consciousness, the richest and most comprehensive we have. Lyric poetry is arguably man’s most successful effort to describe qualia. The novel is arguably man’s most successful effort to describe the experience of individual human beings moving through space and time” (2002:10). To Noam Chomsky, literature is one of the most significant means to obtain knowledge, concerning man and his life, his unique experiences and the idiosyncratic values: “... we will always learn more about human life and personality from novels than from scientific psychology” (Lodge, 2002:10). This acquisition of knowledge is due to the fact that “... science tries to

formulate general explanatory laws which apply universally, which were in operation before they were discovered, and which would have been discovered sooner or later by somebody. Works of literature describe in the guise of fiction the dense specificity of personal experience, which is always unique, because each of us has a slightly or very different personal history, modifying every new experience we have; and the creation of literary texts recapitulates this uniqueness ...” (Lodge, 2002:10-11).

Joseph Conrad in the preface of *The Nigger of the Narcissus*, comments on the significance of the writers and the written texts in human life: “My task which I am trying to achieve is by the power of written word to make you hear, to make you feel- it is before all, to make you see. That and no more, and it is everything” (Preface). Personal history is actually one of the major elements that the reader learns through literature. As for the personalistic knowledge literature provides, it is claimed that “... Even when the ostensible subject of fiction is science itself, it is always a personalistic kind of knowledge that we obtain from it” (Lodge, 2002:16).

It is also asserted that literature is a means for cultural and social value transmission and expression: “Literature is a social institution using as its medium language, a social creation ... literature represents life, and life is, in large measure, a social reality, even though the natural world or and the inner or subjective world of the individual have also been objects of literary imitation. The poet himself is a member of society, possesses of a specific social status ...” (Wellek & Warren, 1963:94). Further to this, social and cultural milieu is of vital importance in the process of writing. Ideological and cultural issues or the debates of the age might be reflected in the works to a certain extent: “The writer is not only influenced by society; he influences it. Art not merely reproduces life but also shapes it ... Used as a social document, literature can be made to yield the outlines of social history ... But literature is no substitute for sociology or politics. It has its own justification and aim” (Wellek & Warren, 1963: 102, 103, 109). Literature is an invaluable means to gain insight into human experience. In the words of Trilling, “... only literature and its study would allow us to glimpse anything like the

‘whole’ of human experience, the ‘whole’ a person- the rational, emotional, sacred, and profane dimensions of being human” (Davis & Schleifer, 1998:7-8). Sartre comments on the function of literature and thus the objective of the author as follows: “... It is the writer’s mission to dispel inertia, ignorance, prejudice and false emotion” (Sartre, 1967: ix).

On the other hand, although it is a very complicated term to define, psychology can be described as “the science that systematically studies and attempts to explain observable behavior and its relationship to the unseen mental processes that go on inside the organism and to external events in the environment”(Kagan & Havemann, 1968:13).

As for the origins of psychology, it could be stated that, “The earliest origins of psychology are found in the writings of the ancient Greek philosophers about the nature of life, particularly in the work of Aristotle” who “used the term psyche to refer to the essence of life. This term is translated from ancient Greek to mean ‘mind,’ but it is closely linked in meaning to the word ‘breath”” (Lahey, 2009:1,2). Keeping the ongoing debates in the field of psychology, dating back to Aristotle, in mind, it can be pointed out that “... Modern psychologists study the same actions, thoughts, and feelings that fascinated Aristotle. Indeed, the term psychology comes from Aristotle’s word psyche plus the Greek word logos, which means ‘the study of”” (Lahey, 2009:2). The meaning of psychology in literature is explained by Wellek and Warren (1963: 81) as follows: “By ‘psychology of literature’, we may mean the psychological study of the writer, as type and as individual, or the study of the creative process, or the study of the psychological types and laws present within works of literature, or, finally, the effects of literature upon its readers (audience psychology)”.

Differing in their methods and approaches and perceptions, psychoanalytical theorists basically employ crucial concepts and terms, methods and classifications in Freudian psychoanalysis:

Freudian criticism or classical psychoanalytical criticism ... is concerned with the quest for and discovery of (and the subsequent analysis of) connections between the artists (creators, artificers) themselves and what they actually create

(novels, poems, paintings, sculpture, buildings, music, etc.). As far as literature is concerned it analyses characters 'invented' by authors, the language they use and what is known as 'Freudian imagery.' Thus, in the Freudian method a literary character is treated as if a living human being... (Cuddon, 1999:332).

Focusing on the methods of Freudian psychoanalysis, psychoanalytical critics reflect not only the author's mind and personality but also deal with the author's works as the products or texts of the power of imagination which is of supreme importance for the individuals including artists and authors, in particular, in the process of creation. Within this frame, it is essential to point out that both literature and psychology appeal to imagination and feelings. Psychology has a noteworthy place in the analysis of literary works, and each field puts the individual at the centre of their studies and analyses. In this respect, it might be necessary to draw the reader's attention to the Psychological novel, "which is for the most part concerned with the spiritual, emotional and mental lives of the characters and with the analysis of character rather than with the plot and the action ..." (Cuddon, 1999: 709-10). Literature which is a quest to find the meaning of man and existence is also a source of inspiration for many people and professionals, for example, Sigmund Freud, the pioneering figure in psychoanalytical criticism, analysed a great deal of literary texts including Shakespeare's works.

Psychoanalytical criticism deals with the characters, who serve as the symbols of the world and existence to be presented as exemplary figures to expose the meaning of life. Readers might identify themselves with the characters, who might be regarded as real people as well: "People may model their lives upon the patterns of fictional heroes and heroines" (Wellek & Warren, 1963:102). Thus, the analysis of the characters and their attitudes is a psychological treatment for each character asserts a unique personality and individual differences. As for the characterization in literary works, it could be emphasized that, "The creation of characters may be supposed to blend, in varying degrees, inherited literary types, persons observed, and the self ... Characters in plays and novels are judged by us to be 'psychologically' true. Situations are praised and plots accepted because of

this same quality. Sometimes a psychological theory, held either consciously or dimly by an author, seems to fit a figure or a situation” (Wellek & Warren, 1963: 89-91).

In the psychological approach, the author’s perceptions, dreams, conscious or unconscious mind, the differences between the personality of the author and the author in the text are also taken into consideration. For example, “I am Madame Bovary” says Flaubert (Wellek & Warren, 1963: 90). Most themes, represented by the authors might be the signs of their own personality traits. In the words of Wellek and Warren, “... writers often document their own cases, turning their maladies into their thematic material” (1963: 81). In this context, personality, the key element in both psychology and literature might be described “as the total pattern of characteristic ways of behaving and thinking that constitute the individual’s unique and distinctive method of adjusting to his environment” (Kagan & Havemann, 1968:422). As psychology is actually related to psychoanalysis in literature, in addition to the characters, the author and the writing process, are also subjected to psychoanalytical approaches. To reveal the relationship between literature and psychology, it is widely held that psychology enriches the power of creation and production process: “For some conscious artists, psychology may have tightened their sense of reality, sharpened their powers of observation or allowed them to fall into hitherto undiscovered patterns. But, in itself, psychology is only preparatory to the act of creation; and in the work itself, psychological truth is an artistic value only if it enhances coherence and complexity- if in short, it is art” (Wellek & Warren, 1963: 93).

Considering the creation process of the author, it is argued that, “The processes of his creation are the legitimate object of the psychologists’ investigative curiosity. They can classify the poet according to physiological and psychological types; they can describe his mental ills; they may even explore his subconscious mind. The evidence of the psychologist may come from unliterary documents or it may be drawn from the works themselves” (Wellek & Warren, 1963: 90). The artist is undoubtedly an extraordinary person, who recreates, reshapes, revises, rewrites, reorganizes, re-evaluates and re-examines, who is

eager to produce to be independent and to achieve immortality. The artist is endowed with considerable qualities that an ordinary person might lack: For Jung, one of the most eminent psychiatrists "... the artist is an especially interesting case for the psychologist who uses an analytical method. The artist's life cannot be otherwise than full of conflicts, for two forces are at war within him- on the one hand the common human longing for happiness, satisfaction and security in life, and on the other a ruthless passion for creation which may go so far as to override every personal desire" (1990:229-230). On the other hand, "The work in process becomes the poet's fate and determines his psychic development" (Jung, 1990:230). Jung also claims that "... the personal life of the poet cannot be held essential to his art- but at most a help or hindrance to his creative task. He may go the way of a Philistine, a good citizen, a neurotic, a fool or a criminal. His personal career may be inevitable and interesting, but it does not explain a poet" (1990: 231-232). According to Freud, "the artist ... with his special gifts ... moulds his phantasies into a new kind of reality, and men concede them a justification as valuable reflections of actual life. Thus, by a certain path he actually becomes the hero, king, creator, favourite he desired to be ..." (Wellek & Warren, 1963: 82). Within this frame, "the literary man is a specialist in association (wit), dissociation (judgement), re-combination (making a new whole out of elements separately experienced). He uses words as his medium" (Wellek & Warren, 1963: 89).

Jung in his well-known work titled *Psychology and Literature* states that "It is obvious enough that psychology, being the study of psychic processes, can be brought to bear upon the study of literature, for the human psyche is the womb of all sciences and arts" (1990:217). Jung describes the work of art as the outcome of the artist's psychic process of creation and postulates that "In the case of the work of art we have to deal with a product of complicated psychic activities ... In the case of the artist we must deal with the psychic apparatus itself. In the first instance we must attempt the psychological analysis of a definitely circumscribed and concrete artistic achievement, while in the second we must analyse the living and creative human being as a unique personality" (1990:217). Jung also argues

that the hints related to the authors might be detected from their works: “It is of course possible to draw inferences about the artist from the work of art, and vice versa, but these inferences are never conclusive” (1990:217-218). In spite of their distinctive nature, and specific principles and terms, both psychology and literature benefit from each other in the process of explaining, interpreting, discussing the issues related to male-female relationships, man’s place in the society, his desires, failures, achievements and so on. Jung discusses the relationship between psychology and art by dwelling on their relative principles: “Psychology and the study of art will always have to turn to one another for help, and the one will not invalidate the other ... Both principles are valid in spite of their relativity” (1990:218).

CHAPTER II

PSYCHOLOGY AND LITERATURE

Literature is a product of human thought. It can be influenced by the environment of the author; even it may contain the author's way of life. Whilst, most people consider that literary works are mirror of human life. In other words, literary works are used by authors for telling what they feel and see and what they face in the social life involving human activities. Literary works are known by people in the written form, those are novel, poetry, and also play (Sangidu, 2004:2).

Literature is also called as work of art. Mostly literary works are created by the imagination of the authors. They are arranged with the authors' style as the authors are acquitted to write their works in their style."It makes the literary works to have artistic point and uniqueness. That is why; literary works are always appreciated by people around the world in looking at the artistic side and looking for the interesting issues. Many messages can be found from those works, but these messages can be known usually by reading and comprehending the works. It cannot be caught easily and directly. Even, the style of the authors itself in writing should be understood so the main theme and important information can be found by the readers. It is about the background of the writer and the setting of place and time that should be known to support the comprehension of certain works.

Psychology and literature has deep connection in human life. Both deals with the human behaviors, expression, thought, and motivation. Kartono describes psychology as the science of human behavior (Kartono, 1980:94). "Psychology, broadly defined, is the scientific study of behavior, both external observable action and internal thought (Wortman,et.al., 1999:4)

Psychology can be used to explore and explain things and phenomena of human life by applying the principle of psychology in the literary work. For some conscious artist, psychology may have tightened their sense of reality,

sharpened their powers of observation or allowed them to fall into hitherto undiscovered patterns. However, in itself, psychology is only preparatory to the act of creation, and in the work itself, psychological truth is an artistic value only if it enhances coherence complexity, in short; it is art (Wellek & Warren, 1977:92-93).

Literature art can be defined by knowing the psychological background of an expression of the writer. The expression is influenced by the feeling of the writer when he is writing it. This feeling is formed by the situation around the writer and the writer's individual experience. Psychology always connected with the human life. People cannot separate psychology from their life. Psychology explains and describes the basic thing that moves human next life that is motivation. Motivation is the most important thing in achieving and continuing the life that people expected. All things that people already achieve and will achieve are derived from motivation (Guerin, 1979:12).

Whether realized or not, our everyday life is very complex but it is explainable. Man can understand the problem that they face and solve the problem by using psychological theory. By using theory of psychology, the complexity of problems can be made simpler. Psychology can shape people's mind to recognize the problem as a challenge not as a destiny. All things human face are not as complicated as they imagine. People can solve all the problems if they see them from the positive way. In this case, psychology has an important role to create a positive way of thinking.

Like psychology, literature especially novel also has a relationship with human life. Novels are works of art that contain value in life. This is the feeling of encouragement and expression of the author. Novels have a real-life relationship. Typically, authors take events in real life as a basic idea to express their feelings in a novel. The novel is a representation or mirror of life, then psychology has a deep connection with the novel. Psychology can be used to understand more deeply about message, characterization and other elements of the novel. Psychology can help reveal the reasons for character behavior. It reveals the basis of human behavior and motivation (Guerin, 1979:1).

There is a close relationship between literature and psychology. Cohen (1971:348) thought that psychology helps to clarify some literary problems, and literature presents insights to psychology. To gain deeper understanding, literature can be studied by various approach includes psychological approach. Conversely, Cohen (1971:351) assumes that the psychologist's manner of conceiving and representing the personality is supported by the intuitive representations made by novelists, dramatists, and other creative writers. It can be seen that there is mutual relationship between literature and psychology.

Psychological approach reflects the effect that modern psychology has had upon both literature and literary criticism. Fundamental figures in psychological criticism include Sigmund Freud, whose psychoanalytic theories changed our notions of human behavior by exploring new or controversial areas like wish-fulfillment, sexuality, the unconscious, and repression as well as expanding our understanding of how language and symbols operate by demonstrating their ability to reflect unconscious fears or desires. Psychological criticism has a number of approaches, but in general, it usually employs one (or more) of three approaches: (1) An investigation of the creative process of the artist: what is the nature of literary genius and how does it relate to normal mental functions?; (2) The psychological study of a particular artist, usually noting how an author's biographical circumstances affect or influence their motivations and/or behavior; and (3) The analysis of fictional characters using the language and methods of psychology.

The aim of psychological study folds in three natures. Foremost, the objective of understanding behavior, that is by defining factors that combine the development and expression of behavior. Secondly, the psychologist striving to develop procedure for the accurate prediction of behavior. Thirdly, psychology aims at developing techniques that will permit the control of behavior that is, way of shaping or course of psychological development through manipulating those basic factors to the growth and the expression of behavior.

The psychological approach leads most directly to the substantial amplification of the meaning of literary works. Discussing psychology and its

place in literary works, is studying the author's imagination. Since all literary works are based on some kind of experience, and since all writers are human, we need to be caught up in a wide spectrum of emotional problems (caused by experience). Not all psychological paths in the analysis of literary works are done to arrive at the understanding of literary works, to some extent.

Literature contains several phenomena related to the human soul. The author reflects the phenomenon through characters in literary works. It makes literature can be analyzed using psychological theories that also find the human soul in real life. Literary psychology is defined as a discipline that views literary works that contain some events of human life played by imaginary characters or even factual characters (as quoted in Sangidu, 2004:30). Wellek and Warren (1977:81), in *Theory of Literature*, explain that there are several definitions of literary psychology based on the subject of research, they

1. Psychology of literature that studies the psychology of the author as an individual. It means that a writer is a human being who cannot be separated from the nature that has the desire and emotion. Based on his passion and emotional background he can create literary works.
2. Psychology of literature psychology that studies the creative process. It means that this study looks at how the process of a work can be made into a whole literary work.
3. Psychology of literature that studies the types and principles of psychology applied to literary works. It means that this study looks at how topics and cases in psychology are applied in the character of literary works.
4. Psychology of literature that studies the influence of literary works on the reader. It means that this study sees the influence of literary work on the reader, whether it affects the way of thinking and the way of life of the reader or not.

This study is kind of the third research. It studies the types and principle of psychology which is applied in *The Martian*.

Theory of Individual Psychology by Alfred Adler

Alfred Adler was born on February 7, 1870 in a suburb of Vienna. Adler and the other nine members founded The Society for Individual Psychology in 1912. He examined the personality around the same time as Carl Jung and Sigmund Freud. His most famous works are *The Practice and Theory of Individual Psychology* (1923).

Adler's theory is focused on individual personality theories. The theory can be used to express the basic motivations that drive other motivations. His theory of the six key concepts in personality can reveal the reasons and effects of why people do things. Adler has a tendency to change his theory of personality throughout his life but he ultimately believes that people focus on maintaining control over their lives. He believes in a "boost" or motivates the power behind our behavior, claiming that our desire to fulfill our potential becomes closer and closer to our ideals. Adler makes awareness a center of

personality. Man is a conscious being; he is usually aware of the reasons for his behavior. He is aware of his inferiority and is aware of the goals he is striving for. Moreover, he is a self-conscious individual who is able to plan and guide his actions with full awareness of his meaning for his own realization (Lindzey and Hall 1978: 118).

Alfred Adler postulates a single "drive" or motivational force behind all our behaviors and experiences. By the time his theory has turned into his most mature form, he mentions that motivating forces force for superiority or perfection. It is our desire to fulfill our potential, to be closer and closer to our deal. While striving for superiority does refer to the desire to be better, it also contains the idea that we want to be better than others, rather than better in our own right. The use of this phrase reflects one of the philosophical roots of his ideas: Friederich Nietzsche developed a philosophy that considered the will to move the basic motives of human life (Adler in Lindzey and Hall, 1978: 118-120).

Adler studied various types of people and he came to this conclusion.

There are four main types of people, three out of four are negative. The powerful type tries to control others. Getting types tend to be very passive and in line with other people's ideas, rarely inventive. Avoid types try to isolate themselves to avoid defeat. They are usually very cold. The socially useful types, values that have control over their lives and strive to do good things for the sake of society. There are six main concepts of personality theory according to Alfred Adler:

1. Inferiority Feeling

Everyone suffers from inferiority in one form or another. Adler begins his theoretical work by considering the inferiority of organs, namely the fact that each of us has a weaker, more powerful, part of anatomy or physiology. Adler notes that many people respond to this organic inferiority with compensation. They make up for their shortcomings in different ways. Under normal circumstances, a feeling of inferiority or a sense of incompleteness is the great driving force of mankind. In other words, Humans are driven by the need to overcome their inferiority and are attracted by the desire to be superior (Adler in Lindzey and Hall 1978: 121- 122).

Feelings of inferiority can be used as a stimulus to fight or as a blockade of sense and reason for not trying. A person who feels blocked from achievement in one area can cross into another and compensate or compensate for low self-esteem. According to Adler, feelings of inferiority are formed from early childhood. Our childhood experiences are very important in shaping the development of our next life. The situation that we live in and find in us is very important in our development. A significant childhood experience in personality development (Burger, 1987:79). Weaknesses, small, helpless and dependent on children are the factors that make up the inferiority feelings. These factors are the product of children's situations that are too burdensome and under stressful children's situations. Situations that burden childhood are provoked by sibling rivalry, poverty, depreciation, neglect, rejection, disability, harassment and domination. While under the situation of infant childbearing is provoked by pampering and overprotection conditions.

Adler states there are five types of inferiority feeling. The first is a

feeling of physical inferiority that comes from physical weaknesses such as organ deficiency, physical disability, deformity, ugliness, weakness, height or abnormal weight and disease. As compensation usually someone will strive for strength, beauty, athletic ability, good health, sensual pleasure, sexual satisfaction and physical closeness.

Second is psychological inferiority feeling. The characteristics of negative characters are real or imagined, feeling or acting crazy, not liking or hating, self-embarrassment, feeling bad or guilty are some of the situations that provoke psychological inferiority feelings. This kind of low self-esteem will form a person who strives for a positive character, prides himself, is liked by others, admired by others, loved by someone and self-actualizes.

Next is a feeling of intellectual inferiority formed by ignorance, illiteracy, feeling ignorant, lack of skills, learning difficulties and boredom. Someone in this situation will strive for knowledge, understanding, skills, artistic ability, academic success, musical enjoyment, art, drama, and literature.

Fourth is the social inferiority feeling. It happens when a person experiences a situation of being alone, isolated, excluded, uninvited, abandoned, socially awkward and non-existent in society. This kind of people will seek to relate to others, membership in organizations, identify with groups, socially adept, social acceptance, social consent and self-existence in society. Last is the feeling of inferiority that is economically provoked by poverty, financial difficulties, underpayment for work and not following the norm. The compensation is wealth, getting rich, good income, financial security, etc.

2. Fictional Finalism

According to Adler, human is motivated more by his future expectations compared to past experiences (Adler in Hall and Lindzey, 1978: 119). All the partial and realistic goals a person undertakes are always on that line, in that direction and toward that goal. And because that is the purpose that determines one's thoughts, feelings, desires, and actions. A normal person can free himself from the effects of these fictions and face reality when necessity is needed, something that neurotics cannot do (Adler in Hall And Lindzey, 1978:120).

3. Striving for Superiority

Adler's first basic assumption is that life is the ultimate movement and that he must continue to strive for better adaptation to the environment. The drive to achieve a better adaptation never ends. In this case, this becomes the basis for the concept of struggle to master, striving to overcome, striving for superiority. For Adler, everything that people do is designed to overcome feelings of inferiority and build a sense of superiority (Hjelle and Ziegler, 1992:143).

Striving for superiority strives for a perfect finish. This is an "great upward drive". The effort for superiority is innate, it is a part of life. The struggle for superiority can manifest itself in a thousand different ways, and that everyone has his own concrete way of attaining or trying to achieve perfection (Adler in Hall And Lindzey, 1978:120-121).

The striving for superiority always indicate that all psychological phenomena contain movements that start from feeling inferiority and reaching up. The Theory of Individual Psychology about psychological compensation states that the stronger the feeling of inferiority, the higher the goal for personal power.

The purpose of personal superiority is one in which the individual seeks to overcome and be above the other. This type of purpose is pushed further and further so that the person cannot be defeated again. All these goals are heading in the same direction. They are superiority over others, saving face, domination and prestige. All the aims of personal superiority are objectives that cannot be attained, fictitious, and similar to God, perfection and absoluteness.

4. Creative Self

Creative self is something that intervenes between the stimuli acting on the person and the response he makes to this stimulus. The doctrine of the creative self affirms that man has his own personality. He built it out of the heredity of raw materials and experience. Creative self gives meaning to life; it creates goals and means toward the goal. This creative self can be seen in different views, in the power of evolution, in the power of life, in forces that

achieve the ideal goal of completion to overcome adversity (Adler in Hall and Lindzey 1978:124-125).

5. Style of Life

Adler believed that personality is formed within the first 5 or 6 years of life, and often the personality of the child is formed in direct response to the family situation. A child tries very hard to please the parents and avoids feelings of inferiority. Certain behavior patterns "work" in the context of a particular society or family, but the others do not. For example, some children always get their way by being nice, and this can establish into a friendly lifestyle. Other children may learn to be hard and do not care. Adler will say these patterns are formed in childhood will carry over to the properties of the adult personality. Adler calls the individual habits approach to someone else's lifestyle. For Adler, lifestyle is the key to all one's behavior (Anbacher and Anbacher, 1956:56).

Currently the word lifestyle refers to one's surroundings and activities, such as living in Palm Beach, owning two cars, or going jogging every day. However, what Adler meant by lifestyle is the social orientation of habits. Lifestyle, for Adler, is the way a person reacts to other people and social situations. A child who twists, does bad things then tries to speak for himself out of trouble, may preserve that orientation in adulthood. Lifestyle can also be positive. Some children are consistently kind and helpful. This results in social reinforcement for them in childhood, and (as a result, Adler will say) they tend to maintain social orientation in adulthood. Adler thinks life styles tend to be consistent, reflected in various ways throughout one's life.

Adler gives special emphasis on what is translated from German as "spoiled" children. These are people who learn in childhood to manipulate caregivers to do their wishes by whining and complaining and making a fuss until they get their way. If the parents give up, this pattern can be locked into place as a lifestyle, according to Adler. Adler thinks that spoiled children turn into adults who feel "entitled," as we say today. Someone with this attitude thinks good things should be provided by others, without obligation, and if things do not go well, the best tactic is to make a scene until someone fixes the

problem.

6. Social Interest

As a social animal, we do not exist, let alone develop, without others, and even the most resilient human haters form hatred in a social context. Social interests are made up of individuals who help people to achieve the goals of a perfect society. "Social interests are the true and inevitable compensation for all the natural weaknesses of individual human beings." Adler feels that social concern is not only born, not just studied, but a combination of both: It is based on an innate disposition, but has Fertilized to survive. On the other hand, the lack of social concern is, for Adler, the very definition of mental illness (Adler in Hall and Lindzey, 1978: 122).

In this study, researchers did not use all six major humanistic concepts in personality. Researchers use five personality concepts. They feel inferior, struggling for superiority, creative self, fictional finalism, and lifestyle. Researchers also use Adler's motivational theory. It states that a "drive" or motivational force behind all our behaviors and experiences. The strength of this motivation is the struggle for excellence or perfection.

CHAPTER III

PSYCHOLOGY OF LITERATURE

Psychology and Literature: An Interdisciplinary Relationship

By understanding interdisciplinarity as the proximity established by fields of knowledge with one another in order to exceed the discursive principles of one field in the intersection with the theoretical perspectives and functioning modes of the other, it can be seen that interdisciplinarity is opportune for the break of the specialized character of the disciplines, a break that can be verified on different levels and in different degrees (Pombo, 2005). This opportunity arises, of course, without detracting from any of the advances that interdisciplinary studies have made possible for mankind, but rather in an attempt to reverse the situation of modern man, and of specialists in particular, whereby one understands increasingly more about increasingly less, especially at present, when in general the new open access media make available to everybody, without distinction, all the world knowledge with a simple touch on a liquid crystal screen. Within this context, what is the proximity of Psychology, which deals with specificities such as knowing and interpreting human beings and the world, to Literature, which deals with the possibility of imagination freeing itself from rules?

Psychology values logic, a situation that is substantially opposed to Literature, even though the latter may be based on likelihood. According to Russel (1964: 551) , “Psychologists prefer observations that can be replicated, whereas a serious writer deals with analogy, metaphor, and perhaps intentional ambiguity”. Nevertheless, both share the objective of understanding the development of their subjects, real/fictional characters, respectively, through the conflicts and problems they face in life or in the plot. This quality, again according to Russel, leads to the fact that knowledge of one field can contribute to the other in at least four categories: the psychology of the writer, the psychology of the creative process, the study of behavior, and the responses to literature.

In the psychology of the writer there is the presence of the psychological interpretation of biographies and autobiographies of other writers, which help him learn about the authors. In turn, the psychology of the creative process focuses both on the personality of the writer and of his characters regarding how the latter function (i.e., whether they are corrected, rewritten and and reelaborated according to the change of the way of being of their creator). Psychological studies of the process of creation of literary works usually involve the stages that all creative processes go through, respecting the peculiar variations in the style of each author. Within this context, based on psychological logic, the study of the behavior described seeks to delineate the character and the registration of the attitudes that human subjects make explicit or leave implied when performing them. Similarly, the readers also respond, in their own way, to what they read, a fact that renders the responses to literature “effects” that determined plots have on the readers.

On an interdisciplinary basis, Psychology, as is the case for the perspective of related disciplines such as History, Linguistics, Communication, Social Sciences, Philosophy, Education, and Arts (Visual Arts, Music, Theater, Cinema), among others, in an attempt to establish the degree of relationship between a work of art and what surrounds it in order to provide human enlightenment, permits the extrinsic study of literature (i.e., a study whose perspective or focus is not directed at literary essence, but rather at a point outside it through which it is contextualized and interpreted). In this endeavor, those who study this topic, such as Leite (2003) and Wellek and Warren (1949), in an attempt to contribute to the understanding of this relationship, have tried to clarify what the relationship between psychology and literature deals with, describing its reach and its fragilities.

René Wellek and Austin Warren (1949:95) have defined the expression “psychology of literature” as (a) the psychological study of the writer as a type and an individual, (b) the study of the creative process, (c) the study of the types and laws that are present in literary works, and (d) the study of the effects of literature on the readers. According to these authors, the psychological study of a

writer as an individual and a type, as well as the study of his creative process, is an action of interest for the Psychology of Art, an area of Psychology that describes and explains the psychological experience of a being in the behaviors related to art, either by appreciating, creating and executing it or by interacting with the public and listening to their criticisms.

Psychology of Literature

The Psychological Study of the Writer as a Type and an Individual

The study of how people think, act, influence and relate to each other is part of the context of Social Psychology, a branch of Psychology that, in the 20th century, has been devoted to an attempt to dialogue with the Social Sciences, also dealing with the social experience acquired by the individuals who participate in different social movements. Within the first context, Krech and Crutchfield (1973:13) stated that denominations of the following type: “man-who-perceives”, “man-who-needs” and “man-who-solves-problems” only represent a tripartition that acts as a didactic artifice for the study of man. In other words, according to the author, in psychology “there exists only one individual - who perceives and struggles and thinks” (i.e., an individual who is characterized by having a “pattern of perceptions, motives, emotions and adaptive behaviors” that “is unlike the pattern of anybody else”). Within this context, the writer, as an individual, is a unique being highlighted in the uniqueness that conjugates the human ensemble of individuals. His world is made up of what he perceives, feels, sees, thinks and imagines in a manner that cannot be identically reproduced by any other person. The world, perceived in this manner, precedes the writer's linguistic creation, primarily making him think with his senses. As a consequence, the individual perception of a writer is his thought, his invention, an observation about what is perceived.

In turn, as a type, a writer has his personality taken into considerations (i.e., his traits, skills, beliefs, attitudes, values, motives, forms of adjustment and temperament, his outer aspect), the way he is perceived by others and influences them, are analyzed and often generalized as a “scheme of understanding”, used here as an expression by Eduard Spranger (1928). The traits are in the person; the

types in an external viewpoint. Thus, for example, according to the particularities of each classification, there are philistines versus bohemians, apollineans versus dyonisiacs, and rationalists versus empiricists. Spranger, when focusing his analysis on fundamental human values, admits theoretical, aesthetic, social, political, and religious types. It is not that a person fully belongs to one of these types, but rather we may understand a person by examining his values through these denominations.

It should be emphasized that, as abstractions created to support these schemes of understanding, none of these typologies explains the individual as a whole. There are authors who advocate the use of ideal types (derived from rational methods such as those of Spranger), and authors who advocate the use of empirical types (which presume to cover a broad area of personality of many persons, extremes of a continuum, such as introverted versus extroverted individuals); cultural types (influenced by their participation in groups, whether typical or dissident, such as a trader, a farmer, a barber, a priest, a politician, etc.) and propedeutic types (who introduce basic knowledge about a topic, such as constitutional, perceptual, cognitive, maturity and immaturity types etc.). However, although being a type who is part of a social group, a personality is regulated by traits (i.e., by its active nature which resides inside the individual and not in his profession).

When dealing with the question of types in Psychology, Allport (1969: 35-36) clarifies that this “is a partial approach to individuality” which often seeks generality and amplitude, (i.e., the possibility of classifying a type as a “liberal, narcissistic, cerebrotonic, or authoritarian” person, among others), in order to find an “ample and valid categorization of human beings”. However, still according to the author (p. 438), “starting from types, researchers often reach useful information about complex traits and nothing more than that”.

The Study of the Creative Process

In the Houaiss and Villar dictionary (2001: 868), the term “creation” is defined, among other meanings, as the process or effect of conceiving, inventing and generating by means of a human, divine or similar superior force what does not exist, and to give a new form and a new use and to improve something that already exists. An intellectual product par excellence since it requires the exercise of reasoning and of the skills needed to execute complex tasks, creation, according to Sartre (1996: 150), utilizes the imagining of types of consciousness which, united in a logical sequence, “will produce a sort of life for the object as an image”, appearing in one aspect or another according to what man perceives through his senses:

Judging that a coachman whose face we represent in an obscure manner has mustaches is seeing his face appear with mustaches... . If, in the imagining mode, we think of individual objects, these will be the same objects that will appear to our consciousness... . Actually, it is rare for us to think of an isolated class. Most of the time our thoughts are the establishment of relationships between classes. (Sartre, 1996:150-151)

In Sartre's conception, therefore, the descriptions of types, environments, sensations and emotions detectable in literary texts place us in front of a symbolic system whose understanding is a movement that is never concluded but in which the symbolologies are continuously sought for the progress of knowledge. However, this imaginary conceived by common sense differs from the collective imaginary, in which it is the subjectivity of a person that is presented to the unconscious, and differs from the personal imaginary in which the images of a people and of a culture are presented to the reader. In turn, the collection of subjectivities and cultural images of a people is conceived by Durand (2001) as a response to the human anguish in the face of the finitude of life (i.e., man needs to delineate an anthropological path that will constantly reaffirm for him his ability to create and perceive realities).

The E-Dictionary of Carlos Ceia (n.d) states that the “imagination” entry derives from the Latin *imaginatio*, which in turn replaces the Greek *phantasia*. According to Ceia, imagination, as early as stated by Aristoteles (trans. 2006) in

the *De Anima* (428a 1-4), consists of the mental process through which we conceive an image (*phantasma*) since, according to Aristoteles, the human mind is unable to think without images, representing with them what does not exist in our immediate world. As explained by Ceia, the original Greek meaning of the concept, maintained in the German term *Phantasie*, refers to what is present in the first great theoreticians of the subconscious, Freud and Jung, corresponding to how they always used the term. In turn, literary studies of the 18th century emphasized the creative power of imagination as an essential activity of artistic creation, in clear opposition to its meaning in Antiquity (i.e., an exercise considered similar to feelings of melancholia, nostalgia, fear, and boredom). This idea that it is necessary to feel to be able to imagine will not represent for Plato a way to achieve knowledge, but rather a way to obtain a sort of second-hand copy of reality. This argument was taken up again by Descartes (1986:31-32) in his *Discourse of the Method*, when he stated that “neither the imagination nor the feelings could ever permit us to certify anything without the intervention of the understanding”.

With the European romanticism, which attributed to imagination the status of a subjective alternative in order to achieve less pragmatic forms of knowledge, and with the questions raised by Kant, which admitted imagination as the synthesis of human perceptions to which the images that represent them are proposed, a new theory of imagination was established, whereby imagination was proposed as a privileged pathway towards subjective knowledge at the expense of pragmatic knowledge. Within this context, Coleridge, one of the creators of romanticism in England, by admitting that the full vitality of the senses can be experienced only through imagination, elevated the latter to the creative power of God. This opinion was shared by the German philosopher Schlegel, who understood imagination as the ability to associate images at the consciousness level, in contrast to fantasy, which appears to operate with images arising from the frontier with the unconscious. The 20th century, however, revealed a greater interest in the product originating from the creative imagination, highly approximated to personal experience, than in its theorization.

According to the German psychologist Rudolf Arnheim (1974), it is the task of creative imagination to enable man to translate the physical appearance of objects into appropriate forms for given contexts, this being due to the psychological reason that, in the human perception and thinking, the similarity is not based on a meticulous identity, but rather on the correspondence of essential structural characteristics. However, according to the author, something new is only valid up to the point it serves to interpret a universal topic of human experience. Using works of art as examples of what can be perceived by man through his vision, the behaviorist Arnheim (1974) conceived that, since it is dynamic and not static, an image does not represent arrangements but rather interactions of its own tensions, leading to the reasoning that it is not the eye that constructs the interaction of objects in a visual field, but rather that it is the dynamics of shapes that determines how this visual field is perceived. On this basis, defining a work of art as an expressive form created for our perception through the senses or the imagination expressing human feeling, as done by Susan Langer (1957), is highly acceptable on the horizon of literary studies.

Regarding the creative process in the literature, Wellek and Warren (1949) proposes that modern studies may be closer to the relative role played by the conscious and the unconscious, since a writer is a specialist in the association (ingenuity), dissociation (judgment) and recombination (creating a new whole from elements experienced separately) of words, which he considers to be valuable symbols of themselves or in terms of what they represent. In this case, assuming that the creation of characters consists of a fusion of inherited types, observed types and the type represented by the author himself indicates that only the “ego(s)” as potential material for literary creation can become complex characters. Nevertheless, psychology can also study the various methods of composition, correction and rewriting practiced by writers. The usefulness of this? To discover gaps that will permit the writer to probe what occurs in his laboratory of artistic production and to inhibit inconsistencies and distortions in the work of art he intends to create, although always being aware of the fact that, even though

these are practices of creation, they do not belong to a work of art, but rather to its elaboration.

It is definitely possible to state that fictional characters appear to be psychologically true, especially in cases in which the author has sought in psychology the figures and interpersonal relations he has used in his work of art. But these characteristics overlap so constantly that the complex situations in which they are involved and on which they act deserve more acute observations than the possibility of fitting them into a specific social type. An example of this is represented by works constructed using the stream of consciousness technique. In these works, a faithful reproduction of the mental processes presented is less relevant than the possibility of dramatization offered by the technique used. In other words, it is not the psychological truth, regardless of the emphasis on the notion of the reality of creation, that will give artistic value to a work of art, but rather the way this truth was manipulated to underscore coherence and complexity so that something really new is obtained.

The Study of the Types and Laws Present in Literary Works

The Study of Types. In literary studies, the type is investigated as one of the possibilities of a character to be created. A schematic configuration both in a physical and psychic meaning, projected as a “real” fully determined individual, as well as one of the three essential structural elements of a novel, the type, according to Forster (1974), is one of the characterizations of plane, linear characters defined by a single trait that does not change throughout the work. A common practice in historical novels, the presence of the type, according to Kaufman (1991), is justified by the necessity of the existence of representatives of a given milieu or social class in whose fictional destinies are reflected important trends and historical changes.

By representing society or a specific social group, their literary construction becomes possible, among other aspects, thanks to the attention placed by the author on the meaning of his words and to the practice of orality established by this attention between locutors and interlocutors in the plot of the text, which guarantees the important linguistic and imaging representation for the

insertion of the characters in the universe of a determined epoch. As plane characters, their role is tied to a specific situation or to a generalized conduct, a characteristic that also distances them from caricature, which involves a unique quality or idea taken to the extreme, so that such distortion purposefully evokes a satire. Thus, identified by their profession, behavior and social class (i.e., by a distinctive trait common to all the individuals of a same category, the characters would represent, for example, the good man who defends social values, the evil man who defends evil deeds, the older man who knows how to give advice, and so on, all of them having in common an interiorized competence).

The Study of Laws. It is certainly possible to use psychology to clarify the interpretation and valuation of literary works, and it is also possible to proceed in the same manner regarding sociology, philosophy, history and other disciplines which, supported by their theoretical constructs, can help the reader to understand the fundamental concepts that may have been used to elaborate a literary plot. Mario Valdes (2004), favorable to the existence of a limited field of interpretations at a given point in the narrative, believes that the interpretation mediated by the diversity of the fields of knowledge should highlight the meaning of the text and communicate this meaning in relation to others, transposing it from the subjective domain to the intersubjective domain. It is by attracting a language that is appropriate for the production of meaning that a literary work, as it exercises the principle of synthesis, provides a communicable language and becomes able to be mimetic

Jean Bessiere, a French scholar studying literary facts (1995), recognizes that in the literature, regardless of the kind and form it adopts, there is the ability to represent a content that cannot be dissociated from the world or from history, or from their respective corresponding elements in the world of imaginary references. However, Wellek and Warren (1949) alerts to the danger of directing one's investigative interests at drafts, rejected versions, exclusions and other original cuts made by the authors: despite the stylistic understanding we may acquire about their author, these products no longer belong to the work of art under analysis, nor do they value what is concrete in what was literarily created.

Specifically used to deal with what one or more criteria cause something to be considered literature, the term *literality*, defined as a fictitious discourse or the imitation of daily language acts and in relation to certain properties of language (Culler, 1995), has theoretically and methodologically relevant aspects of the literary object. By representing reality or by self-representation, a literary work may show realistic intentions, with a character being identified as a social individual; conventional semantic intentions with the text acting as a mediator of the instances that occur in the narrative; simulation intentions, in which what can be said or not said is always indirect; and social symbolization intentions, with the narrative involving a consideration of the manner how society symbolizes itself.

According to Proenca (2001), the relationship between literature and specificity, as well as questions involving complexity, multisignificance, the predominance of connotation, the freedom of creation, the emphasis on the significant and the variability, for example, are characteristics of the literary discourse that guide this study universe in a peculiar manner, accounting, as rules, for the modes of literature creation as prose and as verse. This presentation of fundamentals for a theory of artistic production, however, deserves a specific discussion, such as that performed by Bordieu (1996), which is beyond the purposes of the present study.

The Study of the Effects of Literature on the Readers. In his work “*The Act of Reading*” (1996), originally published in 1976, Wolfgang Iser conducted an important study of the interaction between the reader and the text focusing on how, and under which conditions, a text has a meaning for the reader. Since the traditional interpretation intended to elucidate hidden meanings, Iser wanted to see the meaning as the result of an interaction between text and reader, as an effect that is felt by the reader and not as a message that must be found in the text. In other words, according to Iser, the texts, in general, contain statements that can be understood by the reader mixed with other statements that require from the reader a complementation of meaning, a filling of their “gaps” (i.e., of what they do not state explicitly). This active complementation by the reader causes him to wonder at any instant whether the formulation of the meaning he is performing is

adequate for the reading he is carrying out. And it is by means of this condition that the interaction of the text with the reader occurs, something quite different from reading the text looking for a hidden message or based on a unique interpretation.

Roman Ingarden (1979) provided a useful explanation for this investigation, stating that the aesthetic object is constructed only through the act of cognition by the reader. By adopting this precept of Ingarden, Iser (1979) exchanges the focus of the text as an object with the text in potential, born from the results of the act of reading. In order to examine the interaction between the text and the reader, Iser looks for those qualities of the text that render it legible, deserving to be read, or that influence our reading, as well as the characteristics of the reading process that are essential for the comprehension of the text. In his initial work in particular he adopts the term “implicit reader” in order to encompass both functions. This resides in the structure of the act and in the textual structure. Later, with a more in-depth dependence on the terminology of Ingarden, he differentiates text, concretization of the text and work of art. The first differentiator between the text and a work of art is the artistic aspect, which is located here by the author for us to read, and which must be better conceived as a potential expected achievement. The concretization of the text, in contrast, refers to the product of our own productive activity; it is the realization of the text in the thinking of the reader, achieved by filling out the blanks or openings in order to eliminate what is indeterminate.

Finally, a work of art is not a text or a concretization, but is something between them. It occurs at the point of convergence between the text and the reader, a point that is never fully defined. A work of art is characterized by its virtual nature and consists of various overlapping procedures. One of them involves the dialectic of protention and retention, two terms borrowed from the phenomenologic theory of Husserl (1986). Protention is understood as the state of expectation that prepares the reproduction of a memory (i.e., the pre-memory, and retention is understood as the primary memory brought to us by the text we have

read). It is through projection and retention that the texts duplicate, moving from the original texts to new works in the present. Iser (1979) applies them to our activity of reading successive sentences. When facing a text, we constantly project expectations that can be satisfied or disappointed; at the same time our reading is conditioned by the renunciation of sentences and concretizations. Because our reading is determined by this dialectic, the basic activity of the reader, according to Iser, resides in the constitution of the meaning stimulated by the text, with this meaning taking shape through the connection of the constitutive elements of the text and of its articulation and combinations responsible for its coherence and cohesion. According to Iser, it is by filling out the gaps and the blanks of a text that the reader will reach its meaning. The gaps and blanks should be understood as everything that was not said explicitly in the text but was only tacitly suggested. This involvement with the text is seen as a type of tangle in which what is strange will be understood and assimilated. Iser's (1979) viewpoint is that the reader's activity is similar to an ongoing experience.

The same author states that, by filling these “gaps” (i.e., by attributing meanings to what we are Reading), we simultaneously reconstruct ourselves as long as our meeting with literature is part of a process of understanding the other and ourselves in a more complete manner:

“As the gaps indicate a potential relation, they free the space of the positions denoted by the text toward the acts of projection... of the reader. Thus, when this relationship takes place the gaps disappear” (Iser, 1979:106)

However, Iser (1976/1996) does not rule out the possibility of failure of communication and dialogue (i.e., if equilibrium becomes possible by filling the gaps through the projections of the reader, this interaction may fail or the projections of the reader impose themselves regardless of the text). Thus, Iser (1976/1996) believes that the basic activity of the reader resides in the constitution of a meaning stimulated by the text, which comes from the connection of its constitutive elements, of the articulations and of the necessities of combination, responsible for the cohesion of the text by the filling of its gaps. The gaps also

interrupt a good continuation (i.e. the desirable continuation), supporting the activity of composition of the reader. The reader must recur to his imaginative activity in order to establish the meaningful coherence of the text.

Constructed in this manner, the horizon of expectations of the reader undergoes additions of new reading expectations through the reader's interpretation of the text he is reading. However, if the reader refuses these interpretations of the text on the basis of the ideological positions he may hold, he will have difficulty in identifying what it has been agreed to call, in the Aesthetic of Reception, the implicit reader (i.e. the addressee considered by the text as a strategy). Thus, Iser (1976/1996) develops a theory of the aesthetic effect which leads to the constitution of a meaning on the part of the reader based on transformation processes, describing fiction as a structure for communication. The fictional repertory, the textual strategies, the variants of reading, the implicit reader and the gaps of the text are processes that complete the perspective of the text in itself and its reception by the reader, whose space is guaranteed in the studies of his critical successors.

By considering that a major work of art always includes a vision of the world that, whether discussed or denied, is an integral part of its meaning (2003), Dante Moreira Leite seeks to present some questions about literary works for which contemporary psychology has its own perspective, differing from the perspectives of other sciences and of literary criticism itself, such as imitation, suggestion, the perception of shapes, the description of characters, the learning of taste, among others, although without aspiring to the presentation of a general or total solution for its analysis. What is the legitimacy of this process? According to the author (2003), it is the necessity to explain art based on the characteristics of an individual once the loss of social belief in the supernatural is recognized, as well as the loss of belief in the hereditary determination of individual characteristics and in sociological explanations as the origin of these differences. And, starting from Romanticism, a more marked subjective tendency towards artistic themes and towards interest in criticism is added to these facts.

CHAPTER IV

PSYCHOLOGY IN LITERATURE

Psychology as a Perspective for the Reception of Literature

Leite (2003) believes that, in the creation of a work of art, the author goes beyond the superficial and apparent aspects of everyday life reached from a historical and sociological perspective in the search of what, by being expressed about the human psychological condition, will continue to be valid in highly diverse situations. Within this context, significant contributions of contemporary psychology such as the description of the behavior and inner experience of an individual as a spontaneous activity, the continuity between the different degrees of problem solving and of the creative capacity and the attempt to interpret the unconscious life through dynamic forces are relevant resources in the attempt to explain the creation and permanence of a literary work.

However, the application of psychological concepts to an analysis of a work of art should be guided by the possibilities of the explanations that such concepts have for this task (i.e., by the applicability of these concepts as resources for the understanding of productive thought, without forgetting their limitations). Considering the organism-environment relationship, the relationship between affective life and intellectual life and the relationship between unconscious processes, Leite (2003) reflects about fundamental concepts of the theories of Freud, Jung and the gestaltists in order to clarify to what extent these concepts are useful for the description of processes of productive thinking and/or the analysis of texts and readers.

Based on the definition of libido by Freud as mental life characterized by the search for pleasure, for love (Eros) and distancing from pain and death (Thanatos), and of the “Id” as the most profound and primitive part of the personality and “Ego” as the part of personality in contact with reality, Leite (2003) indicates these concepts as a framework for the focalization on literary analyses between organism and environment. In this case, the permanence of childhood feelings or events in the mental and behavioral life of adults, as well as

the evolution of emotional and affective conflicts in historical continuity, with repression of instincts in proportion to neurotic intensification, are relevant aspects for the approach to individual histories and cultural histories, respectively.

In agreement with Freudian theory, these manifestations in literature are only “different forms of equal conflicts” in a civilization in which “neurosis” is often an alternative way of expressing creative conflicts which, if barred, become distorted as abnormalities and conflicts of expression. For example, Edgar Allan Poe (1974), adopted together with his siblings by prosperous Baltimore merchants, by manifesting interest in productive thought at the expense of business profitability, elicited the displeasure of his adoptive father, who wanted him to continue the prosperity of the family. Thus, he grew up feeling that he was rejected as a writer, a fact that not infrequently had a direct influence on his obsession for the subject of suffering caused by death. In turn, Kaufhold (2008), in a study analyzing fact and fiction regarding Poe's sanity, pointed out psychological, biological and sociocultural human disorders such as anxiety, somatization and dissociation, among others, which, being detected in all cultures and in the most different times, although with different names, permit the readers to observe that they are increasingly able to repress instincts, a fact known to anthropologists and sociologists in their studies of civilizatory processes of adjustment.

However, the fact that Freudian theory rests on the interdependence between affective or emotional life and rational life, a characteristic that contradicts current beliefs which assume continuity between the two, and on the rationalization of the problems presented by man in his environment in order to show the emotional and conflicting origin of the processes of human thinking, unmask and destroys the human illusions, whether religious, sentimental or artistic, a fact that limits this theory regarding the analysis of creative thinking. Within the context of this theory, the concept of “unconscious”, dynamically and continuously linked to conscience in a cause-effect relationship, and the Freudian attempt to translate it into intelligible terms have been considered to be one the

most significant contributions of psychology to literature, especially for those who, like the German romanticists, were concerned about “the nocturnal and sick aspects of the human personality”. However, as the experimental confirmation of this concept continued to reach increasingly scientific criteria of verification, being more accepted by scientists, its tendency to identify the same conflicts in all works of art rendered it reductionist and less accepted by writers and art critics.

Jung, considering the Freudian concept of “libido” to be a sort of vital internal “energy” for existence, raised the proposal that libido may take two innate directions corresponding to the subjective-objective and internal-external dichotomies that would respectively result in the introversion and extroversion of being. In addition, he proposed new concepts for the description of the individual, who he called “I”, such as “external world”/“interior world”, “personal conscience” (life experience)/“collective unconscious” (ancestral experience), “archetypes” (symbols or images existing in the collective unconscious which represent the structures of all things that exist), “persona” (superficial part developed as a response to environmental requirements), “animus” (male soul existing in the intimate part of every woman), “anima” (female soul existing in the intimate part of every man), “ego” (the conscious part of the personality, i.e., our `I-`we`), and “shadow” (qualities and tendencies that, refused by an individual as being his become parts of the individual unconscious).

The value placed on mysticism and religiosity and the recognition of unconscious forces that project into the external world and generate rich and significant ideas in productive thought caused Jungian theory to become a fertile ground for the development of the diversity of works of art, considered by artists to be a more profound and revealing horizon than the technique and knowledge of the external world provided by Freudianism. In “*Capitães da Areia*” (*Captains of the Sands*) a novel by Jorge Amado (1944) that tells the story of a group of abandoned boys left to their own devices in the city of Salvador, each member of the groups has a highly symbolic identity directly proportional to the Jungian notion of archetype (i.e., the innocence/perversity dichotomy, the heroism of the

“child-hero”/divinity and of the “child-god”, protection/abandonment, fragility/invincibility, past/future, among others). All of them to be added to the author's considerations about the four intellectual functions such as thinking, feeling, perception and intuition, that can be characterized according to their appearance in introverted and extroverted subjects.

In turn, the gestaltists, in their perceptual studies that admit behavior as the result of an organism-environment interaction, opt to work with fields of force acting in various directions, able to organize and reorganize themselves continuously, alternating resting states (organized) with search states (reorganized) in order to reach an objective which, once ceased, redirects the subject towards new focalizations. The advantage of this type of analysis? It is the ability of the analyst, starting from successive states of balance and imbalance, to be able to study the organism exactly at a given moment, being concerned with the history of this organism only if this history is identified as an active force at the time under consideration.

What is the difference between the gestaltists and Freud and Jung? The opposition of the mechanical model based on “energy” of the latter to the electricity model based on “force fields” of the former. Also, the gestaltists, in contrast to the psychoanalysts, study cases in which behavior is directed by the environment and not by the impulses of the organism, although without isolating behavior and experience, a fact that would render this study inviable. In other words, according to Leite (2003:36), while Freud and Jung “assume that man is a being impelled by unconscious forces of an affective character”, for the gestaltists “behavior seems to be fundamentally determined by an “intelligent” contact with the environment”, leading to the following:

“psychoanalysts endeavor to discover or reveal the irrational aspects underlying an apparently rational behavior, while gestaltists try to detect characteristics of rationality or adequate perception even in emotional behavior” (Leite, 2003:37)

This difference becomes more explicit during an analysis of productive thought in the literature, with psychoanalysts being able to do it in art, but not in science or technique, whereas the gestaltists explain the creative thought in science but, when focusing on art, they emphasize aspects linked to perception and not to literary art. What is responsible for this? The fact that the gestaltists, in contrast to the psychoanalysts, have not reserved a place, understood as an energy reservoir, for the unconscious.

Finally, even though a group of psychologists, among them the German psychologist Hans Jürgen Eysenck, believing that the singularity of personality is equal to that of other objects and that the description of an individual is nothing more than a peculiar combination of characteristics shared by everybody, denied the necessity of a theory of personality, such theory arose. This theory emphasizes that the singularity of an individual (i.e., what distinguishes him from any mode of being human other than his own), permits the discussion of questions that are still currently debated such as whether the personality exists “in” an individual rather than in something that at a given time the analyst will be able to describe and which is stable in time and space. In the first case, while, according to some, the “unit” of an individual is something to be sought, according to others, several personalistic systems may exist as long as their descriptions are scientifically useful. In the second, with the organism-environment relationship taken to its extreme, the concept of personality would be that, as a set of characteristics, personality does not depend on the context in which an individual is inserted.

In general, Leite (2003) clarifies that, with the exception of pathological personalities locked up in their own worlds and of depersonalized individuals, who reflect the conditions in which they find themselves, eliminating the importance of the context for personality elicits a reducing focalization on it, without considering, for example, individuals who are able to adjust or to react in a realistic manner without being changed by the reality of the environment in which they are inserted and exist. Also (Leite, 2003: 39) personality is the concept of “unit” that manifests in all aspects of an individual's behavior and experience...

which permits us to identify and describe a person among all others". The refinement of the descriptions of personalities, according to Leite, is often based on literary descriptions or on descriptions of persons who, not yet described by specialists in psychology, add much value and content to the studies of these specialists. In parallel, heredity has been superimposed on previous or temporary experience, causing behavior to be understood as the result of an interaction with the environment. Skinner and Watson, behaviorist psychologists who tend to explain all behaviors through learning, are examples of this.

Considering that the behavior results from this organism-environment interaction, Leite (2003) proposed that current psychology should have resources that will explain two forms of behavior that are of direct interest to literature (i.e., creative thought and the reading of a literary work). If we examine the adequacy of psychology to explain these two behaviors, we will clarify the occurrence and concretization of the attempt of the psychologist and the fiction writer to present a convincing description of a person and of a character.

The Creative Process: Reception and Response to the Environment

According to Dante Moreira Leite (2003), traditional psychology used to understand human behavior as something resulting from mental life. Within this context, there would be a causal relation between conscience and behavior (i.e., a behavior would be considered to be determined by what man is thinking). However, contemporary psychology proposes that conscience should be understood as an intermediate link between environment and behavior (i.e., man is influenced by the environment and by his own idiosyncrasies when emitting a response to his milieu). On this basis, various psychological theories utilize different schemes in order to explain behavior. The simplest among these psychological theories seems to be the behavioral theory, whereby the response results from the environment (i.e. from stimuli, and the model that explains it is the conditioned reflex through which the stimulus-response linkage occurs). This theory is identified by the E-R model (i.e., the stimulus-response theory). With behavior being the result of this organism-environment interaction, Leite believes that current psychology should have the resources for explaining two forms of

behavior that are of direct interest to Literature (i.e., the creative thought and the reading of a literary work). Since the interest of the present study is in the behavior elicited by the reading of a literary work, we shall try to relate below a scheme of the E-R theory to the study proposed by us.

CHAPTER V

AN OVERVIEW OF SIGMUND FREUD'S THEORIES

Students of psychology spend a fair amount of time learning about Sigmund Freud's theories. Even people who are relatively unfamiliar with psychology have some awareness of psychoanalysis, the school of thought created by Sigmund Freud.

While you may have some passing knowledge of key concepts in psychoanalysis like the unconscious, fixations, defense mechanisms, and dream symbolism, you might wonder exactly how these ideas fit in together and what influence they really have on contemporary psychologists.

Sigmund Freud's Key Theories

In this brief overview of Freudian theory, learn more about some of the major ideas proposed by Sigmund Freud.

Talk Therapy

One of Freud's greatest contributions to psychology was talk therapy, the notion that simply talking about our problems can help alleviate them. It was through his association with his close friend and colleague Josef Breuer that Freud became aware of a woman known in the case history as Anna O.

The young woman's real name was Bertha Pappenheim. She became a patient of Breuer's after suffering a bout of what was then known as hysteria. Symptoms included blurred vision, hallucinations, and partial paralysis. Breuer observed that discussing her experiences provided some relief from her symptoms. It was Pappenheim herself who began referring to the treatment as the "talking cure."

While Anna O. is often described as one of Freud's patients, the two never actually met.¹ Freud often discussed her case with Breuer, however, and the two collaborated on an 1895 book based on her treatment titled *Studies in Hysteria*.

Freud concluded that her hysteria was the result of childhood sexual abuse, a view that ended up leading to a rift in Freud and Breuer's professional and personal relationship. Anna O. may not have actually been Freud's patient, but her case informed much of Freud's work and later theories on therapy and psychoanalysis.

Personality Driving Forces

According to Freud psychoanalytic theory, all psychic energy is generated by the libido. Freud suggested that our mental states were influenced by two competing forces: cathexis and anticathexis.

Cathexis was described as an investment of mental energy in a person, an idea or an object. If you are hungry, for example, you might create a mental image of a delicious meal that you have been craving. In other cases, the ego might harness some of the id's energy to seek out activities that are related to the desire in order to disperse some of the excess energy from the id. If you can't actually seek out food to appease your hunger, you might instead thumb through a cookbook or browse through your favorite recipe blog.

Anticathexis involves the ego blocking the socially unacceptable needs of the id. Repressing urges and desires is one common form of anticathexis, but it involves a significant investment of energy. According to Freud's theory, there is only so much libidinal energy available. When a lot of energy is devoted to suppressing urges via anticathexis, there is less energy for other processes.

Freud also believed that much of human behavior was motivated by two driving instincts: the life instincts and death instincts. The life instincts are those that relate to a basic need for survival, reproduction, and pleasure. They include such things as the need for food, shelter, love, and sex.

He also suggested that all humans have an unconscious wish for death, which he referred to as the death instincts. Self-destructive behavior, he believed, was one expression of the death drive. However, he believed that these death instincts were largely tempered by life instincts.

The Psyche

In Freudian theory, the human mind is structured into two main parts: the conscious and unconscious mind. The conscious mind includes all the things we are aware of or can easily bring into awareness. The unconscious mind, on the other hand, includes all of the things outside of our awareness—all of the wishes, desires, hopes, urges, and memories that lie outside of awareness yet continue to influence behavior.

Freud compared the mind to an iceberg. The tip of the iceberg that is actually visible above the water represents just a tiny portion of the mind, while the huge expanse of ice hidden underneath the water represents the much larger unconscious.

In addition to these two main components of the mind, the Freudian theory also divides human personality up into three major components: the id, ego, and superego.

- The id is the most primitive part of the personality that is the source of all our most basic urges. This part of the personality is entirely unconscious and serves as the source of all libidinal energy.
- The ego is the component of personality that is charged with dealing with reality and helps ensure that the demands of the id are satisfied in ways that are realistic, safe, and socially acceptable.
- The superego is the part of the personality that holds all of the internalized morals and standards that we acquire from our parents, family, and society at large.

Psychosexual Development

Freudian theory suggests that as children develop, they progress through a series of psychosexual stages. At each stage, the libido's pleasure-seeking energy is focused on a different part of the body.

The five stages of psychosexual development are:

1. The oral stage: The libidinal energies are focused on the mouth.

2. The anal stage: The libidinal energies are focused on the anus.
3. The phallic stage: The libidinal energies are focused on the penis or clitoris.
4. The latent stage: A period of calm in which little libidinal interest is present.
5. The genital stage: The libidinal energies are focused on the genitals.

The successful completion of each stage leads to a healthy personality as an adult. If, however, a conflict remains unresolved at any particular stage, the individual might remain fixated or stuck at that particular point of development.

A fixation can involve an over-dependence or obsession with something related to that phase of development. For example, a person with an "oral fixation" is believed to be stuck at the oral stage of development. Signs of an oral fixation might include excessive reliance on oral behaviors such as smoking, biting fingernails, or eating.

Dream Analysis

The unconscious mind played a critical role in all of Freud's theories, and he considered dreams to be one of the key ways to take a peek into what lies outside of our conscious awareness. He dubbed dreams "the royal road to the unconscious" and believed that by examining dreams, he could see not only how the unconscious mind works but also what it is trying to hide from conscious awareness.

Freud believed the content of dreams could be broken down into two different types. The manifest content of a dream included all of the actual content of the dream—the events, images, and thoughts contained within the dream. The manifest content is essentially what the dreamer remembers upon waking.

The latent content, on the other hand, is all the hidden and symbolic meanings within the dream. Freud believed that dreams were essentially a form of wish-fulfillment. By taking unconscious thoughts, feelings, and desires and

transforming them into less threatening forms, people are able to reduce the ego's anxiety.

He often utilized the analysis of dreams as a starting point in his free association technique. The analyst would focus on a particular dream symbol and then use free association to see what other thoughts and images immediately came to a client's mind.

Defense Mechanisms

Even if you've never studied Freud's theories before, you have probably heard the term "defense mechanisms." When someone seems unwilling to face a painful truth, you might accuse them of being "in denial." When a person tries to look for a logical explanation for unacceptable behavior, you might suggest that they are "rationalizing."

These things represent different types of defense mechanisms or tactics that the ego uses to protect itself from anxiety. Some of the best-known mechanisms of defense include denial, repression, and regression, but there are many more.

Contemporary Views

While Freud's theories have been widely criticized, it is important to remember that his work made important contributions to psychology. His work sparked a major change in how we view mental illness by suggesting that not all psychological problems have physiological causes.

Freud's belief that mental problems could be resolved by actually *talking* about them helped revolutionize psychotherapy.

Many contemporary psychologists do not give credence to Freud's ideas, but the theories remain important. To understand where psychology is today, it is essential to take a look back at where we've been and how we got here. Freud's work provides an insight into an important movement in psychology that helped transform how we think about mental health and how we approach psychological disorders.

By studying these theories and those that came after, you can gain a better understanding of psychology's fascinating history. Many terms such as *defense mechanism*, *Freudian slip*, and *anal retentive* have become a part of our everyday language. By learning about his work and theories, you can understand how these ideas and concepts became woven into the fabric of popular culture.

CHAPTER VI

PSYCHOANALYTIC CRITICISM

Psychoanalytic criticism adopts the methods of "reading" employed by Freud and later theorists to interpret texts. It argues that literary texts, like dreams, express the secret unconscious desires and anxieties of the author, that a literary work is a manifestation of the author's own neuroses. One may psychoanalyze a particular character within a literary work, but it is usually assumed that all such characters are projections of the author's psyche.

One interesting facet of this approach is that it validates the importance of literature, as it is built on a literary key for the decoding. Freud himself wrote, "The dream-thoughts which we first come across as we proceed with our analysis often strike us by the unusual form in which they are expressed; they are not clothed in the prosaic language usually employed by our thoughts, but are on the contrary represented symbolically by means of similes and metaphors, in images resembling those of poetic speech" (26).

Like psychoanalysis itself, this critical endeavor seeks evidence of unresolved emotions, psychological conflicts, guilts, ambivalences, and so forth within what may well be a disunified literary work. The author's own childhood traumas, family life, sexual conflicts, fixations, and such will be traceable within the behavior of the characters in the literary work. But psychological material will be expressed indirectly, disguised, or encoded (as in dreams) through principles such as "symbolism" (the repressed object represented in disguise), "condensation" (several thoughts or persons represented in a single image), and "displacement" (anxiety located onto another image by means of association).

Despite the importance of the author here, psychoanalytic criticism is similar to New Criticism in not concerning itself with "what the author intended." But what the author *never* intended (that is, repressed) is sought. The unconscious material has been distorted by the censoring conscious mind.

Psychoanalytic critics will ask such questions as, "What is Hamlet's problem?" or "Why can't Brontë seem to portray any positive mother figures?"

Sigmund Freud

Psychoanalytic criticism builds on Freudian theories of psychology. While we don't have the room here to discuss all of Freud's work, a general overview is necessary to explain psychoanalytic literary criticism.

The Unconscious, the Desires, and the Defenses

Freud began his psychoanalytic work in the 1880s while attempting to treat behavioral disorders in his Viennese patients. He dubbed the disorders 'hysteria' and began treating them by listening to his patients talk through their problems. Based on this work, Freud asserted that people's behavior is affected by their unconscious: "...the notion that human beings are motivated, even driven, by desires, fears, needs, and conflicts of which they are unaware..." (Tyson 14-15).

Freud believed that our unconscious was influenced by childhood events. Freud organized these events into developmental stages involving relationships with parents and drives of desire and pleasure where children focus "...on different parts of the body...starting with the mouth...shifting to the oral, anal, and phallic phases..." (Richter 1015). These stages reflect base levels of desire, but they also involve fear of loss (loss of genitals, loss of affection from parents, loss of life) and repression: "...the expunging from consciousness of these unhappy psychological events" (Tyson 15).

Tyson reminds us, however, that "...repression doesn't eliminate our painful experiences and emotions...we unconsciously behave in ways that will allow us to 'play out'...our conflicted feelings about the painful experiences and emotions we repress" (15). To keep all of this conflict buried in our unconscious, Freud argued that we develop defenses: selective perception, selective memory, denial, displacement, projection, regression, fear of intimacy, and fear of death, among others.

Id, Ego, and Superego

Freud maintained that our desires and our unconscious conflicts give rise to three areas of the mind that wrestle for dominance as we grow from infancy, to childhood, to adulthood:

- id - "...the location of the drives" or libido
- ego - "...one of the major defenses against the power of the drives..." and home of the defenses listed above
- superego - the area of the unconscious that houses Judgment (of self and others) and "...which begins to form during childhood as a result of the Oedipus complex" (Richter 1015-1016)

Oedipus Complex

Freud believed that the Oedipus complex was "...one of the most powerfully determinative elements in the growth of the child" (Richter 1016). Essentially, the Oedipus complex involves children's need for their parents and the conflict that arises as children mature and realize they are not the absolute focus of their mother's attention: "the Oedipus complex begins in a late phase of infantile sexuality, between the child's third and sixth year, and it takes a different form in males than it does in females" (Richter 1016).

Freud argued that both boys and girls wish to possess their mothers, but as they grow older "...they begin to sense that their claim to exclusive attention is thwarted by the mother's attention to the father..." (1016). Children, Freud maintained, connect this conflict of attention to the intimate relations between mother and father, relations from which the children are excluded. Freud believed that "the result is a murderous rage against the father...and a desire to possess the mother" (1016).

Freud pointed out, however, that "...the Oedipus complex differs in boys and girls...the functioning of the related castration complex" (1016). In short, Freud thought that "...during the Oedipal rivalry [between boys and their fathers], boys fantasized that punishment for their rage will take the form of..." castration (1016). When boys effectively work through this anxiety, Freud argued, "...the

boy learns to identify with the father in the hope of someday possessing a woman like his mother. In girls, the castration complex does not take the form of anxiety...the result is a frustrated rage in which the girl shifts her sexual desire from the mother to the father" (1016).

Freud believed that eventually, the girl's spurned advances toward the father give way to a desire to possess a man like her father later in life. Freud believed that the impact of the unconscious, id, ego, superego, the defenses, and the Oedipus complex was inescapable and that these elements of the mind influence all our behavior (and even our dreams) as adults - of course this behavior involves what we write.

Freud and Literature

So what does all of this psychological business have to do with literature and the study of literature? Put simply, some critics believe that we can "...read psychoanalytically...to see which concepts are operating in the text in such a way as to enrich our understanding of the work and, if we plan to write a paper about it, to yield a meaningful, coherent psychoanalytic interpretation" (Tyson 29). Tyson provides some insightful and applicable questions to help guide our understanding of psychoanalytic criticism.

Typical questions:

- How do the operations of repression structure or inform the work?
- Are there any Oedipal dynamics - or any other family dynamics - at work here?
- How can characters' behavior, narrative events, and/or images be explained in terms of psychoanalytic concepts of any kind (for example, fear or fascination with death, sexuality - which includes love and romance as well as sexual behavior - as a primary indicator of psychological identity or the operations of ego-id-superego)?
- What does the work suggest about the psychological being of its author?

- What might a given interpretation of a literary work suggest about the psychological motives of the reader?
- Are there prominent words in the piece that could have different or hidden meanings? Could there be a subconscious reason for the author using these "problem words"?

CHAPTER VII

FREUDIAN PSYCHOANALYSIS

Psychoanalytic criticism (emerged in the 1960s), the most influential interpretative theory among the series of waves in the post war period is based on the specific premises of the workings of the mind, the instincts and sexuality, developed by the 19th century intellect, Austrian Sigmund Freud (who along with Marx, Darwin and Nietzsche, subverted the centres of Western society by boiling down the human individuality into an animalistic sex drive).

Freud, greatly influenced by the psychiatrists Jean-Martin Charcot (an exponent in hypnosis) and Josef Breuer (pioneer of “talking cure”) proposed his theoretical opus, the notion of the unconscious mind (disseminated in his significant works like *The Ego and the Id*, *Beyond the Pleasure Principle*, *The Interpretation of Dreams*, *Totem and Taboo* etc.), which proved fatal to the Enlightenment ideals, Auguste Comte’s Positivism etc., the pivots of Western rationalism. This stream of criticism has become one of the most exciting and challenging areas of literary and cultural studies today.

The relationship between psychoanalysis and literary criticism which spans much of the 20th century is fundamentally concerned with the articulation of sexuality in language. It has moved through three main emphases in its pursuit of the “literary unconscious” — on the author (and its corollary character), on the reader and on the text. It started with Freud’s analysis of the literary text as a “symptom of the artist”, where the relationship between the author and the text is analogous to dreamers and their dreams.

Later it was remoulded by post-Freudian psychoanalytical Reader Response criticism where the psychological experience of the reader in relation to the text is foregrounded, but contested by CG Jung’s “contra-Freud” archetypal criticism which states that the literary work is not a focus for the writer’s or the reader’s personal psychology, but a representation of the relationship between the personal and the collective unconscious, the images, myths, symbols and archetypes of past cultures.

More recently, this theoretical delineation has been reworked in Poststructuralist context by Jacques Lacan, who coupled the dynamic notion of desire with Structuralist Linguistics; this has been influentially innovative as echoed in the Feminist psychoanalytic criticism. The psychoanalytic impetus which is compatible with contemporary concerns of uncertainties of time, subjectivity and meaning gained a new critical currency in Postcolonial studies, where the interest in destabilized borders and identities is very much evident.

Classical/ Freudian Psychoanalysis

The uniqueness of Freud's explorations lies in his attributing to the unconscious a decisive role in the lives of human beings. The unconscious is the repository of traumatic experiences, emotions, unadmitted desires, fears, libidinal drives, unresolved conflicts etc. This unconscious comes into being at an early age, through the expunging of these unhappy psychic events from the consciousness, a process which Freud terms "repression". Repression is crucial to the operations of the unconscious (an idea later developed by Herbert Marcuse). There has been a consistent interest in contemporary literary studies in the unconscious (eg. Frankfurt School's synthesis of Freud and Marx) and the notion and effects of repression linked often with debates on sexuality (eg. Foucault's rejection of Western belief that history of sexuality has been the history of repression).

However, Repression does not eliminate our fears, agonies and drives, but it gives them force by making them the organizers of our current experience. Through a similar process called Sublimation the repressed material is promoted into something more grand or is disguised as something noble. For instance, sexual urges may be given sublimated expression in the form of intense religious longings. A related neologism is defence mechanism which is a psychic procedure for avoiding painful admission or, recognition.

A well-known example of this is the Freudian slip, which Freud himself called the "parapraxi" whereby repressed material in the unconscious finds an outlet through such everyday phenomena as slips of the tongue, pen or unintended actions. Thus, for psychoanalysis, the unconscious is not passive reservoir of

neutral data; rather it is a dynamic entity that engages us at the deepest level of our being.

Id, Ego, Superego

Later in his career, Freud suggested a tripartite model of the psyche, dividing it into id, ego and superego. The id, being entirely in the unconscious is the most inaccessible and obscure part of our personality. It is the receptacle of our libido, the primary source of our psychic energy. Its function is to fulfil the primordial life principle, which is the pleasure principle. It is entirely without rationality and has a tremendous amorphous kind of vitality. Ego, governed by the reality principle, is defined as the rational governing force of the psyche. It is mostly conscious and protects the individual from the id. It is the site of reason and introspection. It is the intermediary between the world within (id) and the world outside (superego). The superego, which is another regulatory agent, protects the society from id. It is partly conscious and in moral parlance, can be called as the conscience of the individual. It is governed by the “morality principle” and represses the incestual, sexual passions, aggressiveness etc. Being a repository of pride, self esteem etc., it compels the individual to move towards perfection.

Psychosexual development

Many of Freud’s ideas are concerned with aspects of libido, human sexual drive, which he calls eros and places in opposition to thanatos, the death drive. This is exemplified in his postulate of infantile sexuality. Freud believes that sexuality arrives not at puberty with physical maturing, but in infancy, especially with the infant’s relationship with mother. Drawing from mythology and contemporary ethnography, Freud proposes his theory of psychosexual development (critiqued for its explicit phallogocentrism) in which the infant passes through a series of stages, each defined by an erogenous zone of the body. If the infant is reluctant or unable to move from one stage to another, s/he is said

to be fixated at that stage of development. The stages of psychosexual development include:

1) **Oral Stage:** The first stage of psychosexual development lasts approximately from birth to 2 years. During this stage, the principle source of pleasure for the infant is the mouth and the pleasure is derived through sucking, biting, swallowing etc. A person fixated at this stage will be prone to obsession with oral activities (like eating, drinking, smoking, kissing etc.) and or excessive pessimism, hostility etc. Oral stage ends at the time of weaning and the infant's focus is shifted.

2) **Anal Stage:** Here, anus is the prime source of pleasure. Elimination of faeces gives pleasure to the child, but with the onset of toilet training, s/he is forced to postpone or delay this pleasure. A fixation at this stage is identified as the reason for the development of an "anal retentive" personality described as being stubborn and stingy

3) **Phallic Stage:** Children aged from 4-5 years seem to spend a good deal of time exploring and manipulating the genitals — their own and others. Pleasure is derived from the phallic region, through behaviours such as masturbation and through fantasies. The basic conflict of the phallic stage centres around the unconscious incestuous desire of the child for the parent of the opposite sex, which is corollary with the child's desire to replace or annihilate the parent of the same sex. Out of this conflict, arises one of Freud's theoretical pivots, the Oedipus complex, where the male child conceives the incestuous longing for the mother, and the desire to eliminate the father, his rival. Through both fantasy and overt behaviour, he exhibits his sexual longings for the mother.

The male child's desire to replace his father is accompanied by the fear of his father, which Freud explains in genital terms — Castration anxiety. As his castration fear supersedes his sexual desire for his mother, the latter is repressed, a concept which the psychoanalyst dubs as the "resolution of Oedipal conflict." This resolution incorporates in it, the replacement of the sexual desire for the mother with a more acceptable affection and duping a strong identification with the father, through which he can access a degree of vicarious sexual satisfaction.

One of the significant offshoots of Oedipus complex is the formation of the superego (“the heir of the Oedipus complex”, in Freud’s terminology). Many forms of inter-generational conflict are seen by Freudians as having oedipal overtones, such as professional rivalries, often viewed in Freudian terms as reproducing the competition between siblings for parental favour.

Electra complex, the female version of the phallic conflict (about which Freud was less clear) is more complicated. The girl’s first object of love, like the boy, is her mother, for she is the primary source of food, security and affection in infancy (relates to Queer theorists’ fascination with the idea that, the first sexual experience of the female is the homosexual). During phallic stage, the father becomes the object of her desire, as she identifies that both her mother and herself are castrated and powerless (a severe critique of this Freudian concept is one of the concerns of Feminist psychoanalysts).

The girl child loves her father for his possession of penis and blames the mother, for the “lack” (a concept theorized further by Lacan) of this organ. The daughter’s love for the father is coupled with a feeling of envy, which Freud calls “penis envy“, the counterpart of boy-child’s castration anxiety.

Freud, though not specific about the resolution of electra complex (as the resolution of girl’s phallic conflict is not so urgent as she is not threatened by castration) suggests that the girl identifies with her mother thus represses her desire for the father. Freud further states that the female heteronormative relationships are tinged with a certain degree of penis-envy as she seeks a surrogate father for such bondings.

If a child is fixated at the phallic stage, or if s/he has an unresolved Eedipal/ Electra complex, such a condition will lead to neurosis, and in turn to a more adverse psychosis.

4) Genital Stage: The final stage of psychosexual development begins at the time of puberty. Even though there are social conflicts, they are minimalised through the use of sublimation.

Dream Work

Freud described dreams as the royal road to the unconscious, as they provide a better understanding of the repressed desires in the unconscious. They are considered as the symbolic fulfillment of the wishes of the unconscious. According to him, dreams are symbolic texts which need to be deciphered, since the watchful ego is at work, even when we are dreaming. The ego scrambles and censors the messages as the unconscious itself adds to this obscurity by its peculiar modes of functioning. Thus the latent dream content is not vividly displayed within the manifest one, but is concealed within complex structures and codes, which is called dreamwork in Freudian neologism.

The dream work includes displacement, whereby one person or event is represented by another which is somehow associated with it (perhaps by a similar sounding word or by some form of symbolic substitutions and condensation whereby, a number of people, events and meanings are combined and represented by a single image in the dream).

For instance, the Roman soldier in the dream might represent the father by a process of association (displacement), as the father is associated with ideas of strictness, authority and power in the domestic sphere, and likewise the soldier is linked to these same ideas in the political sphere.

Several meanings may also be condensed into this symbol. If the dreamer is tempted to rebel against the father by entering into a sexual liaison of which the father would certainly disapprove, then the soldier may represent the envisaged lover. Thus both the feared father and the desired lover are condensed into the single dream figure of the Roman soldier.

The purpose of devices like condensation and displacement are two-fold: primarily they disguise the repressed fears and desires contained in the dream, so that they can get passed the censor which normally prevents their surfacing into the conscious mind, and secondly, they fashion this material into something which can be represented in a dream, i.e., images, symbols, metaphors. Freudian interpretation, then, has always been of considerable interest to literary critics as

the unconscious, like a poem/ novel/play, cannot speak explicitly but does so through images, symbols, metaphors, emblems.

The Freudian critics' analysis of Shakespeare's Hamlet is a commendable attempt. Hamlet's procrastination is attributed to his Oedipus complex, i.e., Hamlet is reluctant to avenge his father's murder as he is guilty of wishing to commit the same crime himself. (The critics also make notice of the death of Shakespeare's father in 1601 and of his son Hamnet, a name identical with Hamlet). Another illustration is MW. Rowe's Freudian reading of Harold Pinter's *The Homecoming* (which is considered a Surrealist farce) given in her article *Pinter's Freudian Hoemcoming*, in which she places Oedipal complex, at the centre of the action.

CHAPTER VIII
PSYCHOLOGY AND LITERATURE CARL GUSTAV JUNG
(Part 1)

Carl Gustav Jung (1875 –1961) was a Swiss psychiatrist and psychoanalyst who founded analytical psychology. Jung's work has been influential not only in psychiatry but also in anthropology, archaeology, literature, philosophy and religious studies. Freud wanted him to be his potential heir to carry on his "new science" of psychoanalysis. However, Jung's researches and personal vision were different from Freud's and a breach took place between the two.

Jung created some of the best known psychological concepts like 'synchronicity', 'archetypal phenomena', 'collective unconscious', 'psychological complex', 'extraversion' and 'introversion'. He downplayed the importance of sexual development and focused on the collective unconscious: the part of the unconscious that contains memories and ideas that Jung believed were inherited from ancestors. While he thought that libido was an important source for personal growth, Jung did not believe (unlike Freud) that libido alone was responsible for the formation of the core personality. Jung believed his personal development was influenced by factors unrelated to sexuality.

Jung and Freud

The main disagreement between Freud and Jung was in the nature of libido (the psychic and emotional energy associated with instinctual biological drives, sexual desire, manifestation of the sexual desire etc.)

- Freud thought that the nature of libido was sexual,
- Jung believed that it was more than sexual.

Jung and Collective Unconscious.

(this is his main contribution to psychology)

Jung proposed the existence of a 'collective unconscious'. Collective unconscious is the racial memory inherited by all human beings. This connects the modern man to his primeval roots. Collective unconscious is manifested in the recurrence of certain images, stories, figures, called the 'archetypes –'the psychic residua of numberless experiences of the same type'.

An individual attains Psychological maturity when he/she recognizes and accepts the archetypal elements of his/her own psyche. This psyche is described as a triad—'shadow', 'persona', and 'anima'—which corresponds to Freudian terms, ID, Ego, and Super-ego.

Jung and Literature

Jungian psychology has much more affinity with literature than Freudian psychology. (See the works of writers like Eugene O'Neill, Herman Melville etc. T. S. Eliot's criticism, especially his essay, 'Tradition and Individual Talent has a close affinity with Jung's ideas)

The reasons for this are many.

1. Freud was much more scientifically oriented than Jung. Science was seen as inimical to Literature from the Romantic period onwards.
2. Jung was more a visionary believing in religious and even magical traditions. Needless to say that his beliefs were closer to Literature than Freud's.
3. Jung readily agreed that Literature embodied knowledge. This knowledge was vital to alienated, secularized modern man.
4. Jung's theory of 'collective unconscious tied neatly with the anthropological study of primitive myth and ritual initiated in England by James Frazer in *The Golden Bough*.

5. Out of the fusion of psychology, anthropology and Literature, a kind of literary criticism evolved in which the archetypal patterns became dominant.

Psychology and Literature

Psychology, Jung says, is the study of the psychic process. 'Human psyche is the womb of all sciences and art'.

- Psychological research tries to explain the formation of a work of art. (Creative process)
- It also looks at the factors that make a person an artist. (Creative artist)

A work of art is a complicated product. It is created intentionally and consciously. When we analyze the creative process, we undertake the psychological analysis of a complicated work of art. When we look at the creative artist, we look at the creative human being as a unique personality. It is possible to draw surmises about the artist from the work of art, and vice versa. But these inferences are never conclusive.

The work of art (the creative process)

There is a basic difference between

- The psychologist's examination of a literary work, and
- The literary critic's examination of the same.
- What is important for the psychologist may be irrelevant for the literary critic and vice versa. For example, the 'psychological novel' may not be preferred by the psychologist as he/she has very little to do as the novel explains itself.

'The novels which are most fruitful for the psychologist are those in which the author has not already given a psychological interpretation of his characters, and which therefore leave room for analysis and explanation...'. Jung gives some examples

- The French novels of Pierre Benoit and the English novels of Rider Haggard.
- Conan Doyle's detective fiction, and Melville's Moby Dick, "which I consider the greatest American Novel" (Jung)

An exciting narrative without any psychological explanation is the most interesting thing for the psychologist. Such a work is built upon hidden psychological assumptions. It reveals itself to critical analysis. On the other hand, in the psychological novel, the author himself undertakes psychological exposition and illumination. Such novels are interesting to laymen. But novels with hidden psychological assumptions pose a challenge to the psychologist for he alone can analyze its deeper meaning.

Jung takes Goethe's Faust to explain his point further.

In the first part of the drama, the love tragedy of Gretchen explains itself. The poet has stated everything clearly. The psychologist has nothing more to add. But the picture changes when we come to the second part of the drama. Here nothing is self-explanatory. Every line adds to the difficulty of the reader as he finds it hard to understand without interpretation.

Jung calls the first type of artistic creation psychological. Here everything is explained so clearly that the psychologist has very little task to perform. The second type of artistic creation is called visionary. Here the work is endowed with deeper meaning and the psychologist has to strive hard to decipher the meaning. The reader may miss the significance of the materials unless the psychologist points it out.

The Psychological mode

It deals with materials taken from ordinary human consciousness. The poet raises the material from the commonplace to the poetic. He brings into the reader's consciousness things the latter might have overlooked. The poet's work is an interpretation and illumination of the contents of consciousness. He leaves nothing to the psychologist to explain. No obscurity surrounds the materials as

they fully explain themselves. Such works never exceed the boundaries of psychology. All the experiences pictured in them belong to the realm of the understandable.

The Visionary mode

This mode reverses all the conditions of the former. The experiences are no longer familiar. 'It is a strange something that derives its existence from the hinterland of man's mind...' It is a primordial experience that surpasses man's understanding. Nietzsche calls it 'treason against humanity'. It is 'a disturbing vision of monstrous and meaningless happenings that in every way exceed the grasp of human feeling...' Jung further qualifies this visionary mode as something that 'rend from top to bottom the curtain upon which is painted the picture of an ordered world, and allow a glimpse into the unfathomed abyss of what has not yet become'. We find this vision in Dante, in the second part of Faust, in Nietzsche's Dionysian exuberance, in Wagner's Nibelungen ring, and in the poetry of William Blake. Jung gives further examples and says that the list can be extended.

In the visionary mode of artistic creation we are astonished, taken aback and we demand commentaries and explanations. The experience may be covered with historical facts as in the case of Dante or by mythical events as in Wagner. But the significance of the material is in the VISIONARY EXPERIENCE.

Obscurity of source material in the Visionary mode

This is exactly opposite to what we find in the psychological mode. This obscurity may be intentional.

- We may suppose that some highly personal experience underlies this 'grotesque darkness'.
- The curious images given to explain the vision may be 'cover figures' and they may be an attempt to conceal the basic experience'.

- This might be an experience in love ‘which is morally and aesthetically incompatible with the personality as a whole. The ego of the poet might repress this experience and make it unrecognizable.
- Moreover, the attempt ‘to replace reality with fiction must be repeated in a long series of creative embodiments’. This would explain the ‘proliferation of imaginative forms, all monstrous, demonic, grotesque, and perverse’.

Jung’s views of the visionary

The vision is not a substitute for reality. But if we consider the vision as a personal experience, we take away the primordial quality from it and it becomes a symptom or a psychic disturbance. This in turn prompts us once more to view the world not as chaotic but ordered. The vision, ‘which is a frightening revelation of the abysses that defy the human understanding’ is dismissed as illusion, and the poet is regarded a victim and perpetrator of deception.

- The visionary experience is something unknown to ordinary men. It has an unfortunate suggestion of obscure metaphysics and occultism.
- The vision is sometimes regarded as the fantasy of the poet and is understood as a poetic license.
- Certain poets encourage this view so as to keep a distance between them and their works. Spitteler, for example, stoutly maintained that it was the same for the poet whether he sang of ‘an Olympian Spring or to the theme: ‘May is here!’
- ‘The truth is that poets are human beings, and that what a poet has to say about his work is often far from being the most illuminating word on the subject’. (D. H. Lawrence advises us to trust the tale not the teller).

Jung gives examples for the visionary mode

- The shepherd of Hermas

- The Divine Comedy and
- Faust by Goethe

In these three works we find a personal love episode which is subordinated to the visionary experience. Here the vision is not something derived or secondary and it is not a symptom of something else. It is true symbolic expression—that is the expression of something existent in its own right, but imperfectly known. The subject of the vision falls beyond human passion.

If these secrets are made public, they are deliberately kept back and concealed. They are regarded as mysterious, uncanny and deceptive from very early times. They are hidden from the scrutiny of man. He protects himself with the shield of science and the armor of reason. Human enlightenment [see notes 7] is born out of fear. In the daytime man believes in an ordered cosmos. He tries to maintain faith against the fear of chaos that besets him by night. ‘When we consider the visionary mode of creation, it even seems as if the love episode had served as a mere release—as if the personal experience were nothing but the prelude to the all-important ‘divine comedy’.

The Night Side of Life

The seers, prophets, leaders, and enlighteners also were familiar with the nocturnal world. Man has known of it from time immemorial. For primitive man it is an unquestionable part of his picture of the cosmos. Only we have repudiated it because of our fear of superstition and metaphysics. We want an ordered world that is safe and manageable. ‘But even in our midst, the poet now and then catches sight of the figures of the night-world. He sees something of the psychic world that strikes terror into the savage and barbarian.

Jung points out that in primitive cultures there were attempts to give expression to the visionary mode. In Rhodesian cliff-drawings, there is a double cross contained in a circle. In Christian churches and Tibetan monasteries, the so-called sun-wheel is visible. We have to remember that this belongs to a time when

nobody has thought of the wheel as a mechanical device. Knowledge about the secrets is handed on to younger men in the rites of initiation.

For the poet the primordial experience is a source of creativeness. Since his poetry cannot exhaust the possibilities of the vision, but falls far short of it in richness of content, the poet must have at his disposal a huge store of materials if he has to communicate even a few of his intimations.

Psychology cannot elucidate the colorful imagery. It can bring together materials for comparison and offer a terminology for its discussion. According to the terminology what appears in the vision is the COLLECTIVE UNCONSCIOUS.

COLLECTIVE UNCONSCIOUS

Jung defines Collective Unconscious thus:

We mean by Collective Unconscious, a certain psychic disposition shaped by the forces of heredity; from it consciousness has developed. In the physical structure of the body we find traces of earlier stages of evolution...It is a fact that in eclipses of consciousness--in dreams, narcotic states, and cases of insanity---there come to the surface psychic products or contents that show all the traits of primitive levels of psychic development.

Jung says that what is of particular importance to the study of literature in these manifestations of the collective unconscious is that they are compensatory to the conscious attitude. They can bring abnormal and dangerous level of consciousness into equilibrium in a purposive way.

Great poetry draws its strength from the life of mankind, and we completely miss its meaning if we try to derive it from personal factors. Whenever the collective unconscious becomes a living experience and is brought to bear upon the conscious outlook of an age, this event is a creative act which is of importance to everyone living in that age.

‘A work of art contains message to generations of men. Faust touches something in the soul of every German. An epoch is like an individual. It has its limitations of conscious outlook. It requires a compensatory adjustment. This is

effected by the collective unconscious in that a poet, a seer, or a leader allows himself to be guided by the unexpressed desire of his times and shows the way, by word or deed, to the attainment of that which everyone blindly craves and expects'.

CHAPTER IX
PSYCHOLOGY AND LITERATURE CARL GUSTAV JUNG
(Part 2)

The Poet

Creativeness contains a secret. ‘Creative man is a riddle that we may try to answer various ways, but always in vain, a truth that has not prevented modern psychology from turning now and again to the question of the artist and his art’.

Freud thought that he had found a key in his procedure of deriving the work of art from the personal experiences of the artist. Jung agrees that a work of art, like neurosis, can be traced back to the knots in psychic life. ‘It was Freud’s great discovery that neuroses have a casual origin in the psychic realm—that they take their rise from emotional states and from real or imagined childhood experiences’. The role of a poet’s psychic disposition in his work of art is undeniable.

Freud and Neurosis

Neurosis is a substitute for gratification. It is something inappropriate—a mistake, an excuse, a ‘voluntary blindness’. Neurosis is an irritating disturbance as it is without any sense or meaning.

- A work of art is close to neurosis as it can be analyzed in terms of the poet’s repressions.
- In that sense it is in the company of religion and philosophy.

But we cannot claim that a work of art is only neurosis. ‘The personal idiosyncrasies that creep into a work of art are not essential, in fact, the more we have to cope with these peculiarities, the less is to a question of art’. A work of art should rise above personal life and speak from the spirit and heart of the poet. The personal aspect is a limitation, and even a sin, in the realm of art. An art which is primarily personal has to be considered neurotic.

There is some truth in the belief of the Freudian school that artists are ‘narcissists’. The term implied that artists are undeveloped personalities with

infantile and auto-erotic qualities. Jung says that this description is valid for the artist as a person. It has nothing to do with the man as an artist. In his capacity as artist he is 'neither auto-erotic, nor hetero-erotic, nor erotic in any sense'. 'He is objective and impersonal—even inhuman—for as an artist he is his work, and not a human being.

Every creative person is a duality of contradictory aptitudes. On the one side he is a human being with a personal life, while on the other side he is an impersonal, creative process. As a human being he may be healthy or morbid. We can only understand him as an artist by looking at his creative achievement.

Jung explains his views of the artist thus:

... the specifically artist disposition involves an overweight of collective psychic life as against the personal. Art is a kind of innate drive that seizes a human being and makes him its instrument. The artist is not a person endowed with free will who seeks his own ends, but one who allows art to realize its purposes through him.

'As a human being the artist may have moods and a will and personal aims, but as an artist he is a man in a higher sense—he is 'collective man'—one who carries and shapes the unconscious, psychic life of mankind. To perform this difficult office it is sometimes necessary for him to sacrifice happiness and everything that makes life worth living for the ordinary human being.'

Two forces are at war in the life of the artist.

1. The common human being longing for happiness, satisfaction, and security in life, and
2. Someone with a ruthless passion for creation which may go so far as to override every personal desire.

Jung believes that an artist has to suffer because of the divine gift of creative fire in him. Each human being is born with a certain capital of energy. The strongest force in them will seize and monopolize this energy, leaving so little for other activities.

The auto-eroticism of the artist resembles that of illegitimate or neglected children. These children have to protect themselves from their tender years from the destructive influence of people who have no love to give them. They develop bad qualities for defence against others and 'maintain an invincible egocentrism by remaining all their lives infantile and helpless or by actively offending against the moral code or the law'. Art explains the artist. The deficiencies and conflicts of his personal life are not at all important for us.

It does not matter whether the artist knows that his work is born, grows and matures with him or that he produces the work from the void. His opinion does not change the fact that his work outgrows him as a child its mother.

'Whenever the creative force predominates, human life is ruled and molded by the unconscious as against the active will, and the conscious ego is swept along on a subterranean current being nothing more than an observer of events. The work in progress becomes the poet's fate and determines his psychic development. It is not Goethe who creates Faust, but Faust which creates Goethe.

Faust is a symbol that lives in the soul of every German. Goethe has helped to bring it to birth. Faust and Also spake Zarathustra play upon something that is there in the German soul. It is a 'primordial image' of the physician or teacher of mankind, the archetypal image of the wise man, the savior or redeemer. It is the archetypal image that lies buried/dormant in man's unconscious since the dawn of civilization. This image is awakened when the human society is committed to a serious error. When people go astray they feel the need of a guide or teacher or even of the physician to restore the psychic equilibrium of the epoch.

Thus the work of a poet meets the spiritual need of the society in which he lives. The work means more to him than his personal fate. He is subordinate to his work. He has given it form and must leave the interpretation to others and to the future. 'A great work of art is like a dream; for all its apparent obviousness it does not explain itself and is never unequivocal'.

Every great work of art is objective and impersonal, but none the less profoundly moves us each and all. And this is also why the personal life of the

poet cannot be held essential to his art—but at most a help or hindrance to his creative task. He may go the way of a Philistine, a good citizen, a neurotic, a fool or a criminal. His personal career may be inevitable and interesting, but it does not explain the poet.

NOTES

1. 'shadow', 'persona', and 'anima'

In Jungian psychology, "shadow" or "shadow aspect" may refer to an unconscious aspect of the personality which the conscious ego does not identify in itself. In short, the shadow is the "dark side".

The persona is how we present ourselves to the world. The word "persona" is derived from a Latin word that literally means "mask." The persona represents the different social masks we wear among various groups and situations. It acts to shield the ego from negative images. According to Jung, the persona may appear in dreams and take different forms.

The anima is a feminine image in the male psyche, and the animus is a male image in the female psyche. The anima/animus represents the "true self" rather than the image we present to others and serves as the primary source of communication with the collective unconscious.

2. Faust, Goethe's great dramatic poem in two parts, is his crowning work. Even though it is based on the medieval legend of a man who sold his soul to the devil, it actually treats modern man's sense of alienation and his need to come to terms with the world in which he lives. Faust was made into a symbol of free thought, anti-clericalism, and opposition to Church dogma.
3. Friedrich Nietzsche (1844-1900) was a consummate and prolific philosopher. While most philosophers warned people of the danger of physical passions, Nietzsche recommended cultivating them as powerful assets. Nietzsche was keenly aware of the unconscious. Spontaneous feelings and emanations from the darker regions of the soul were as important to him as the work of the intellect, and fully experiencing

something like music was nothing less in his eyes than the discoveries of science or the rational mind.

4. Der Ring des Nibelungen (The Ring of the Nibelung), is a cycle of four German-language epic music dramas composed by Richard Wagner. The works are based loosely on characters from the Norse sagas and the Nibelungenlied. The scale and scope of the story is epic. It follows the struggles of gods, heroes, and several mythical creatures over the eponymous magic ring that grants domination over the entire world. Robert Donington in Wagner's Ring And Its Symbols interprets it in terms of Jungian psychology, as an account of the development of unconscious archetypes in the mind, leading towards individuation.
5. 'Symptom' is a term frequently employed by Freud. He defined it thus:
A symptom is a sign of, and a substitute for, an instinctual satisfaction which has remained in abeyance; it is a consequence of repression'.
6. The shepherd of Hermas is a Christian literary work of the 1st or mid 2nd century. It is considered a valuable book by many Christians and considered canonical scripture by some early Church fathers.
7. Human enlightenment—The Enlightenment was an intellectual movement of the 18th century. It advocated reason as a means to establishing an authoritative system of aesthetics, ethics, government, and even religion.
8. The Night Side of Life—Lionel Trilling stated that Freud was committed to the night side of life. The term refers to the dark, irrational aspects of the human mind.

CHAPTER X

LACANIAN PSYCHOANALYSIS

The aura created by the Freudian interpretations reached its zenith when the French Psychoanalyst Jacques Lacan (propelled into this arena by his reading of Freud and Salvador Dali) achieved a place in the literary critical canon. The linguistic, philosophical and political scope of his discourse stirred the Western intelligentsia. His oeuvre reveals a great influence of Parisian figures like the anthropologist Claude Levi-Strauss and the linguists Ferdinand de Saussure and Roman Jakobson.

He suggested a new back- to-Freudianism (Return to Freud) with a novel emphasis on the unconscious, as the nucleus of our being, which is the opus of his *Ecrits*. Lacan's Freudian reading primarily involves the realization that the unconscious is to be understood as intimately tied to the functions and dynamics of language. The central pillar of Lacan's psychoanalytic theory is that "the unconscious is structured like a language", which he substantiates in the essay *The Insistence of the Letter in the Unconscious*.

Lacan draws on Saussure and emphasizes that meaning is a network of differences. As there is a perpetual barrier between the signifier and the signified which is demonstrated with a diagram showing two identical lavatory rooms, one headed "Ladies" and "Gentlemen." This purports to show that same signifier may have different signifieds, so that the correlation between signifiers determine the meanings. Thus Lacan suggests an incessant sliding of the signified under the signifier.

Further he argues that the two dreamwork mechanisms identified by Freud, condensation and displacement correspond to the basic poles of language identified by the linguist Roman Jakobson, i.e, metaphor and metonymy. In metonymy one thing represents another by means of the part standing for the whole (For eg. Twenty sail would mean twenty ships). In Freudian dream interpretation, an element in a dream might stand for something else by

displacement (For eg. A lover who is Italian might be represented by an Alfa Romeo car). Lacan says that this is the same as metonymy, the part standing for the whole. In condensation, several things might be compressed into one symbol, just as a metaphor like, “the ship ploughed the waves” condenses onto a single item, two different images, the ship cutting through the sea, and the plough cutting through the soil. The use of these linguistic means of self-expression by the unconscious, is part of Lacan’s evidence for the claim that the unconscious is structured like a language.

The transition section of the essay moves attention, again from the conscious self, which has always been regarded as the primary self, to the unconscious, as the “kernel of our being.” Lacan reverses the Cartesian statement, “I think, therefore, I am,” as “I am, where I think not” (i.e. true selfhood is in the unconscious), thereby challenging the Western philosophical consciousness.

He insists that the Freudian discovery of the unconscious should be followed to its logical conclusion which is the self’s radical ex-centricity to itself. Thus he deconstructs the liberal humanist notion of unique, individual selfhood and the idea of the subject as a stable amalgamation of consciousness. Lacan’s take on self would reject the conventional view on characterization (as the idea of the character rests on the notion of a unique separate self) and the novelistic characters are seen as “assemblages of signifiers clustering round a proper name.”)

Further, Lacan’s view of language (language as fundamentally detached from any referent in the world) defies literary realism since in realist novels, is that the text figures forth the real world for us. Thus a poststructuralist Lacan would suggest a fragmented, allusive text, where it plays with itself, alludes to other texts etc.

Lacan’s interpretation of Edgar Allan Poe’s *The Purloined Letter* (reprinted as “The Purloined Poe”) in which the unconscious, the process of psychoanalysis, the nature of language etc. come into play, is much pertinent.

Poe's story with no in-depth characterization, the character being suggestive of chess pieces (named as the Queen, King, Minister, Chief of Police and Dupin, the detective) has an archetypal air which lends itself well to psychoanalytical interpretation.

Lacan's foregrounding of the unconscious lends to his speculation of the mechanism whereby an individual emerges into consciousness. Before the sense of self emerges, the young child exists in a realm, which Lacan calls the imaginary (pre-Oedipal), in which there is no distinction between the self and the other and there is an idealized identification with the mother. The child experiences both itself and its environment (in Lacanian terms "innenwelt" and "umwelt" respectively) as a random, fragmented and formless mass.

At some point between six and eight months occurs Mirror Stage (at the formulation of which Lacan was strongly influenced by Heidegger's notions of ex-sistence and "nothingness" and Sartre's distinction between subject and ego (as given in his *Transcendence of Ego*), when the child sees its own reflection in the mirror and begins to conceive itself as being, separate from the rest of the world. Lacan's mirror stage correspond with Freud's stage of primary narcissism, when the subject is in love with its own image and its own body, which precedes the love of others. The infant at the same time identifies with and alienates itself from the mirror image. Thus the sense of a unified self is acquired at the price of this self being other, i.e, the mirror image.

For Lacan, the ego emerges at this moment of alienation and fascination with one's own image. The ego is both formed by and takes its form from the organizing and constituting properties of the image. Lacan insists that the ego is based on an illusory image of the wholeness and mastery (as the child in the mirror stage cannot wholly gain mastery and control over its body, in spite of its sense of bodily anatomy and in that sense still fragmented) and it is the function of the ego to maintain this illusion of coherence and mastery. The function of the

ego is, in other words, one of mis-recognition (meconnaissance) of refusing to accept the truth of fragmentation and alienation.

As the sense of original unity and coherence in the mirror phase is an illusion, there is a fundamental disharmony regarding the ego. The ego is essentially a terrain of conflict and discord, a site of continual struggle. What Lacan refers to as a “lack of being” (which is considered as a cause of desire and is manipulated well by consumer capitalism) is the ontological gap (a notion critiqued by Deleuze and Guattari in their *Anti Oedipus: Capitalism and Schizophrenia*) or the primary loss at the very core of our subjectivity.

The mirror stage played a crucial role in the dissemination of Lacanian ideas in film and cultural studies (formations proposed by Jean Louis Baudry, Christian Metz, Laura Mulvey’s concept of male gaze etc.).

At the “symbolic stage” (based, on which, Kristeva formulated her concept of the “semiotic”), the child enters the language system, concerned with lack and separation, since language names what is not present and substitutes a linguistic sign for it. Within the language, the “subject” (employed by Louis Althusser, in *Ideology and Ideological State Apparatuses* and developed later by Pierre Macherey and Slavoj Zizek) vainly tries to represent itself. The subject is an effect of the signifier put into language. This stage also marks the beginning of socialization, with its prohibitions and restraints, associated with the figure of the father (patriarchy), who disrupts the narcissistic balance between the child and the mother.

Thus the phallus in Lacanian theory is not merely the male genital organ, but a privileged signifier (displaced by Judith Butler by the coinage lesbian phallus in *Bodies That Matter*) as it inaugurates the process of signification. The phallus operates in all the three Lacanian registers –the imaginary, the symbolic and the real.

Lacan’s distinction between the symbolic and the imaginary is in corollary with the distinction between the small “other” and the big “Other”. The little or

the semblable other , inscribed in the imaginary order is a reflection and projection of the ego. The mirror stage sets up the image of the ego as an ideal “I” for the subject, and this ideal “I” becomes the “other” within the subject’s experience. This other is both the counterpart or the other people in which the subject perceives a visual likeness and the specular image or the reflection of one’s body in the mirror.

The big “Other” inscribed in the symbolic order designates a radical alterity, an otherness transcending the illusory otherness of the imaginary as it cannot be assimilated through identification. Lacan equates this radical alterity with language and law. The other is then, another subject and also the symbolic order which mediates the relationship with that other subject.

in terms of the literary polarization between the realist and the anti-realist symbolic realm would have to be seen as the one found in realist literature, a world of patriarchal order and logic. By contrast, the anti-realist gestures represents the realm of the imaginary, a world in which language gestures beyond itself, beyond logic and text , rather in the way that language often does. The contrast between the imaginary and the symbolic can be seen as analogous to that between poetry and prose. The Lacanian outlook will involve a preference for the kind of literary text in which there are constant eruptions of the imaginary into the symbolic, as in the kind of ‘metafiction’ or ‘magic realism’ in which the novel undercuts and queries its own realism.

A fine example of this kind of work can be seen in the novels of BS. Johnson, a British writer, whose constant textual inventiveness takes the form, of moments when the characters cross-question the author.

The last stage in the formation of psychic structure according to Lacan is the “real”. It is the world as it exists before the mediation of language. The real there can never be truly grasped or engaged with. It is continually mediated through the imaginary and the symbolic.

Though by the late 1970s, psychoanalytic theory had fallen into disrepute owing to its reductionism (reducing all social and cultural phenomena into psycho-sexual explanations), the force of Lacan's "Return to Freud" proved to be a fresh impetus to a broad spectrum of critical orientations like social theory, queer, cultural and film studies. The continuing relevance of Lacanian psychoanalysis rests in its potential to refuse the ideological closure of a unified, harmonious, conflict-free subject or society as well as to analyse the ways in which desire manifests itself through cultural texts.

CHAPTER XI
A LACANIAN STUDY OF
HEMINGWAY'S THE OLD MAN AND THE SEA

Introduction

Lacan's definition of psychological theory gives a clear picture of the work done by Ernest Hemingway in the novel of *The Old Man and the Sea*. Jacques Lacan argues that the journey (along with the ocean) as portrayed by Ernest Hemingway reflects the attitude, desires and hopes to embrace certain aspects of nature and eventually the return to the initial stage of life. Hemingway adopted the use of nature in his story as an allegory to help achieve the in-depth thinking, feelings and analytical view that he referred to as the fifth dimension. In the novel "The Old Man and the Sea", Hemingway uses various themes to help address issues surrounding individual feeling and nature. As such, the choice of structure, tone and the language by Hemingway plays important role in ensuring that the reader can feel the presence or connection to the scene.

Lacan played a major role in contributing ideas for literary criticism in the field of psychology between 1901 and 1981. As a French sycophant of psychology, he has been associated closely in the development of psychological theories that are used up to date in analyzing the works of literature. According to ("Lacan reinterpretation of Hemingway's the Old Man and the Sea," 2017), psychological theories developed by Lacan constitute the conscious and the unconscious concepts of social engagement. Some of these psychological theories or stages help in the understanding of personal identification, unconsciousness/consciousness, and their desires in life. In recognition of these facts, Lacan is of the view that the concepts are simply production sites that allows an individual to grow mentally ("Lacan reinterpretation of Hemingway's the Old Man and the Sea," 2017). Therefore, Lacan used his main psychological theories/stages in exploring the conscious and unconscious views of Hemingway in *The Old Man and the Sea*.

According to Lacan, the real stage of psychology connects the mother to child. It puts emphasis on the mutual link between the two. The stage is characterized by a sense of dependency and unconsciousness. In this regard, the child feels the aspects of oneness to the mother. Secondly, as the child becomes older, it gains the independent abilities. This stage is described as the mirror stage. At this stage, it is determined that the child has the ability to detach itself from the mother. It can now feel independent and appreciate itself as the other among the rest. Lacan also presents the symbolic stage where the child has the ability to appreciate the society and the language. According to ("Lacan reinterpretation of Hemingway's the Old Man and the Sea," 2017), the symbolic stage tends to encompass all the attributes of nature into human actions and activities. Other studies associate the Lacan symbolic stage with many prohibitions and restraint in the context of authority and power ("Descriptive Language in The Old Man and the Sea | Study.com," 2017). During this stage, the reality of separation and or the absence of the mother daunts heavily on the person. However, Lacan argued that regardless of what one feels or perceive, the effort to go back to the unconscious sense might not be possible. Therefore, one has no option but to appreciate other available means for survival in life.

Lacan used the concept of sub-consciousness in his psychological analysis of Hemingway's novel "Old Man and the Sea". In the psychoanalytic approach, the subconscious involves the frustrations, fears, water, and dreams that are perceived to have greater influence in the personal character and behavior within the novel ("Introduction to Jacques Lacan, Module on the Structure of the Psyche," 2016). The fact that various conscious parameters have their unique connotation and denotation, their effectiveness relies heavily on the choice of language styles. According to the study conducted by Jungman & Tabor (2003) on literature analytical view, the use of subconscious concept metaphorically brings out the idea of unconsciousness that helps in the understanding of the author's main objective in a literary work. In the analysis of The Old Man and the Sea, Lacan interpreted various styles used to help bring out the message.

Discussion

In the novel “The Old Man and the Sea”, Hemingway employed the use of subconsciousness, consciousness and unconsciousness to help address the objective of the story. Additionally, Hemingway adopted the use of metaphors and symbolism to achieve his objectives of cultural and spiritual beliefs. Through his fascinated approach, the concept of the novel shows the author’s ability to retreat in the wild and then back. By the use of this allegory gives Lacan the opportunity to explore the role of faith and beliefs. As such, one would argue that there is an ability to restore individual memory from dilution and mental drainage. In other words, Lacan is of the view that the idea of unconsciousness is temporary and not permanent. This is also justified by the Hemingway’s hope to be part of nature through the state of unconsciousness.

It is clear from the novel that Hemingway was found to nature through his ability to connect the characters, themes and the society. In this regard, Lacan appreciates the role of nature through his rigorous attempt to interpret and analyze the novel. According to (“Descriptive Language in The Old Man and the Sea | Study.com,” 2017), the context of nature with respect to Hemingway’s perception is not only a seductive, mirror, and a “bountiful mother” but also a feminine and tragic that needs understanding. The use of Lacanian phrases such as “bountiful mothers” helps in explaining three sections of Hemingway’s perception reflected in the real stage of psychoanalytical view. According to Lacanian theory, in the context of a “bountiful mothers” the associated infant has the ability to identify and engage with the mother in life (Jungman & Tabor, 2003).

From the Lacan’s view, most of Hemingway’s literary works in The Old Man and the Sea tend to increase the association of creature and human beings. For instance, the beast (marlin) is regarded as human. Santiago in this case places himself in the fish’s position when he pondered “is it hunger that made it desperate or was just frightened something else at night?”(Yang & Zhang, 2014, p. 51). Therefore, according to Lacan, Santiago seeks strategies to overcome him

(the fish). In this view, it is clear that through his mental act of communion, Santiago has established a strong imagination of protection before he is drained into the water by the fish. Similarly, the elements of unconsciousness are also evident in Santiago's dreams where lions are portrayed as friendly rather than the obvious dangerous predators that can cause harm. In the Lacan interpretation of this, Santiago seems to have a strong history and relationship that forms part of his sub-consciousness.

Lacan real stage of psychological development is also evident in the story of the Old Man and the Sea. According to ("Introduction to Jacques Lacan, Module on the Structure of the Psyche," 2016), the real stage of development requires high attachment of a child to the mother. There is a high level of dependency and unconsciousness. In the novel, Hemingway presents the unconscious characters of Santiago that are related to his fishing art. In this case, Santiago has to find out his desires and identity as an angler, which also demands to Hemingway as an author. Santiago seems to have forgotten his art. According to Hemingway, the old man could not catch the fish in 84 days of consistent fishing (Coles Editorial Board, 2004). He was demoralized by the negative views of his friends (Manolin) and other colleagues. However, he had to work hard towards his desires in life regardless of how many days he had to undergo the process to realize his identity. According to ("Lacan reinterpretation of Hemingway's the Old Man and the Sea," 2017), the realization of identity arouses the element of sub-consciousness that helps to prove the existence of inner being. As such, most of the human desires tend to reflect the individual attached recognition. From the novel, Santiago represents the Hemingway's unconscious attitude and conflicting views for recognition and the pain associated with his perpetual failure in his work as a writer.

In the context of *The Old Man and the Sea*, Hemingway appreciates the Lacan stage of the mirror. Similar to Lacan believe, Hemingway links the aspects of nature to the state of oneself. As explained before, during this stage, one starts to have in-depend mind and feeling of being separate from others. In this case, the

story of the old man and the sea, Santiago and the marlin represents a parallel mirror for each other. Their ideologies and beliefs are different. According to Lacan, the old man and the fish are separate entities pursuing a different route. The image presentation between the pursuer and the pursued are oblique and blurred. This is justified by Hemingway when Santiago falls into the water being overpowered by marlin. The fact that the fish line connects the two, one would also wonder whether it acts as a fishing tool or rather a gear to help the old man protect his life. This is true especially when “fish” said to the man, “I have to cling on you until I am lifeless” (Burhans, 1960, p. 78). In other words, it is evident that with Santiago’s effort to catch the fish, he is desperate for his life. In fact, he has to cling onto the line to avoid being dragged by the water. The aspect of a separate entity is portrayed when both the fish and the man starts to be canny against each other. When the fish circled, the water makes the man happy but only to realize that it is playing with him. Besides, they are only predators and pray hence nothing in common. Furthermore, the aspect of “mirror itself” is evident in the story when the man and the fish are circled by the sun and the moon an indication of perpetuity.

Lacan thinks that the great sense of loneliness described by Hemingway brings out the aspect of nature and engagement. Indeed, loneliness has a strong relationship with nature as evidenced by the Hemingway’s work of the Old Man and the Sea. In the story, Santiago as the main character feels intense loneliness after coming out from the sea only to find himself alone “though unavoidable one should never be alone especially at his old age” (Gurko, 1955, p. 29). In fact, the realization of alone becoming even more daunting when his only friend (Manolin) was nowhere to be seen: “he looked across the ocean, he could not see even his boy” (Yang & Zhang, 2014, p. 49). According to Lacan, Santiago becomes conscious of the role the young boy used to play in his life as he continued to travel along the ocean. He realized to have left the human company of civilization behind him. Without the boy’s company, Santiago feels disconnected from the society; he hopes for the connection to come soon. Fortunately, nature became a

glimmer of hope for his worry: “suddenly there was a pool of dark water that was causing disturbance to the calm and driving his attention” (Burhans, 1960, p. 43). There was also a big cloud stretching across the sky. After looking ahead, he saw the wild ducks moving here and there. At this point, Santiago realized that no man was ever alone in the sea. In the Lacan psychological analysis, the aspects of sub-consciousness have been illustrated in form of the large pool of water. In the novel, Santiago’s journey along the ocean is spiritual that enhances a sense of nature. According to Lacan, it was necessary for Santiago to lose himself from the sea for easier connection with nature and the environment. This was very critical for him to gain the consciousness; he was to lose his society and religion first. In reference to Lacan’s term of psychology, to transform back from the symbolic to the real stage, there was a need for Santiago to lose his sense of society and language.

The Lacan theory of symbolism is also clear in the novel “Old Man and the Sea” where Hemingway adopted the use of symbolism to achieve his objectives. According to (Theme of Symbolism in Ernest Hemingway's The Old Man and the Sea," 2015), symbolism portrays images and objects inform of human emotions and feeling. With symbolism, the writer has the ability to pass implicit information to the audience (Coles Editorial Board, 2004). Hemingway used the symbol of a shark to indicate a complex situation and the sea to represent the presence of God. Lacan argues that the aspects of religious symbolism are very clear in the literary work of the old man and the sea a reflection of the desire and ambitions of Hemingway. Santiago’s hands act as a religious symbol that relates to the crucifixion of Jesus Christ. Secondly, Santiago utters words that relate to Jesus Christ statement while on the cross, “that let the line cut him off if he ever cramps again” (Burhans, 1960, p.56). In the two scenarios, Lacan used his theoretical view of analysis to facilitate both symbolic and personification.

Throughout the analysis of the Old Man and the Sea, it is evident that Hemingway explored widely the issues of unconsciousness. Unlike the conscious ideals, Lacan refers to unconsciousness as a point that unifies the nature and the

human being ("Lacan reinterpretation of Hemingway's the Old Man and the Sea," 2017). In this case, the sea is associated with a metaphor that explains the unconscious nature of the story. On the other hand, through the Lacan theoretical analysis, the role of water is real in explaining the inactive ideas of the story. To help justify the unconscious nature of water, Hemingway's narration shows that both unconscious and the water only depict the unforeseen circumstances or places. As Santiago travels far along the sea in search of fish he is unaware of what he will encounter. Lacan, therefore, argues that the old man's journey is purely a psychological one that requires him to prepare for any eventually on the way. In this regard, by the use of the sea as the subconscious element, it is necessary that he overcome his worries and fears alone. According to Hemingway, the old man seems to be in need of the boy; Santiago speaks repeatedly on how he misses the company of the boy (Hemingway, Muller, Recorded Books, & LLC, 2011). However, Lacan asserts that the need for connection is settled through the fishing process. In this case, the fishing line connects the old man to the fish. The man's desire to be closer and have a good relationship with the fish is psychological that manifested through the sea-the spirit of the subconscious. Lacan says that as the old man leaves his society for a journey, it is a temporary move to reevaluate his instincts to encounter his fears and worries. It is also evident that the sea not only represents the old man's unconscious but also the collective nature of unconsciousness in the entire story. According to Hemingway's narration, water in the sea comprises many creatures that include dolphins, turtles, sharks, and organic components. Lacan is of the view that with all constituents of water, there is a strong integration between the old man and nature.

Conclusion

In summary, the Lacan theories of psychology provide a clear analytical view of Ernest Hemingway's work in *The Old Man and the Sea*. Throughout the analysis by Lacan, it is important to note that Hemingway achieved the social concept of admiration, hope and attitude for effective utilization of the environment. In fact, nature played a cohesive role to help the author understand

the themes of the novel. As a French psychologist, Lacan has made an immense contribution to the analysis of literary work from 1901 to 1981. His role through various theories has increased the number of critics and proponents in the world of literature. In the analysis of *The Old Man and the Sea*, Lacan stages of development (theories) helps to explore the desires, subconscious, unconscious and the conscious concept of the narration.

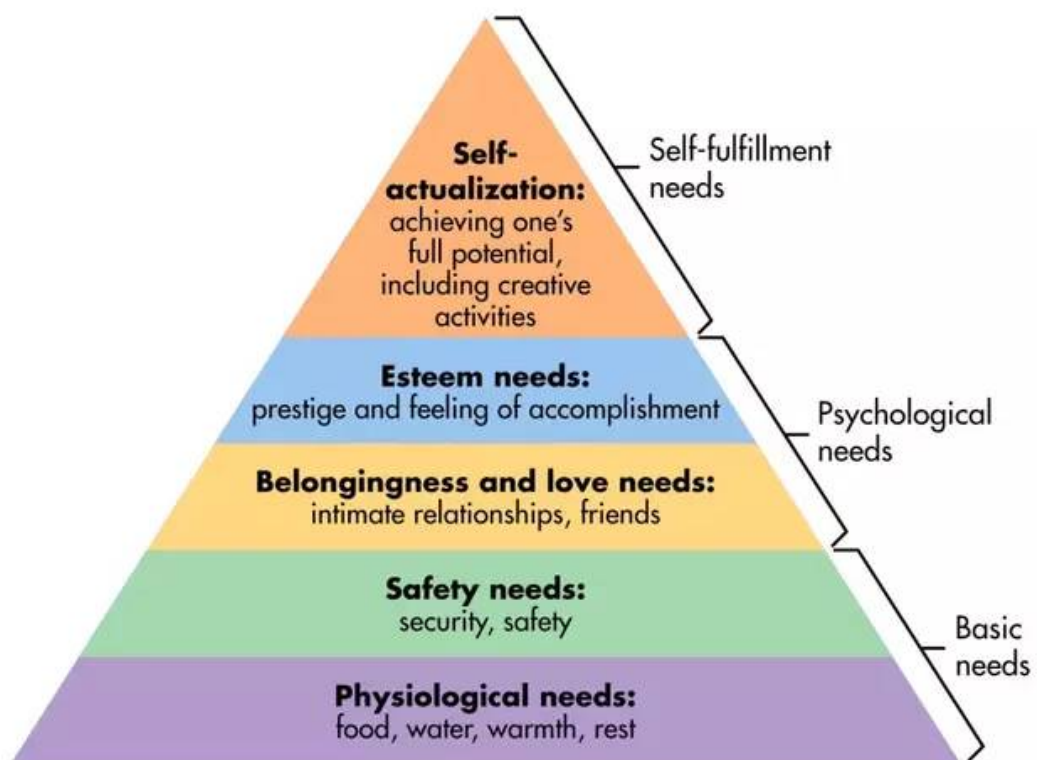
With the use of Lacan theories or stages of development, the reader can easily explain the relationship that exists between the human being and the creatures. They also provide the opportunity for the readers to engage along with the content of the story. In the analysis, Lacan demonstrates the relationship between the mirror and the real stage through characters such as Santiago in the *old man and the sea*. In the symbolic stage, the water and other inherent creatures such as the turtles and sharks act the role of sub-consciousness to the character. Lacan also argues that in the world of consciousness (mirror) where there is high independence and oneness do not last since the subconscious entities such as water prompt the individual to hope for consciousness. In this case, with the realization of the expected fears and worries, most people like Santiago in the novel wish to remain unconscious. On the other hand, Lacan through symbolic stage explored vividly the story of *The Old Man and the Sea*.

CHAPTER XII

MASLOW'S HIERARCHY OF NEEDS

Maslow's hierarchy of needs is a motivational theory in psychology comprising a five-tier model of human needs, often depicted as hierarchical levels within a pyramid.

Needs lower down in the hierarchy must be satisfied before individuals can attend to needs higher up. From the bottom of the hierarchy upwards, the needs are: physiological, safety, love and belonging, esteem, and self-actualization.



Deficiency needs vs. growth needs

This five-stage model can be divided into deficiency needs and growth needs. The first four levels are often referred to as deficiency needs (D-needs), and the top level is known as growth or being needs (B-needs).

Deficiency needs arise due to deprivation and are said to motivate people when they are unmet. Also, the motivation to fulfill such needs will become stronger the longer the duration they are denied. For example, the longer a person goes without food, the more hungry they will become.

Maslow (1943) initially stated that individuals must satisfy lower level deficit needs before progressing on to meet higher level growth needs. However, he later clarified that satisfaction of a needs is not an “all-or-none” phenomenon, admitting that his earlier statements may have given “the false impression that a need must be satisfied 100 percent before the next need emerges” (1987, p. 69).

When a deficit need has been 'more or less' satisfied it will go away, and our activities become habitually directed towards meeting the next set of needs that we have yet to satisfy. These then become our salient needs. However, growth needs continue to be felt and may even become stronger once they have been engaged.

Growth needs do not stem from a lack of something, but rather from a desire to grow as a person. Once these growth needs have been reasonably satisfied, one may be able to reach the highest level called self-actualization.

Every person is capable and has the desire to move up the hierarchy toward a level of self-actualization. Unfortunately, progress is often disrupted by a failure to meet lower level needs. Life experiences, including divorce and loss of a job, may cause an individual to fluctuate between levels of the hierarchy.

Therefore, not everyone will move through the hierarchy in a uni-directional manner but may move back and forth between the different types of needs.

The original hierarchy of needs five-stage model includes:

Maslow (1943, 1954) stated that people are motivated to achieve certain needs and that some needs take precedence over others.

Our most basic need is for physical survival, and this will be the first thing that motivates our behavior. Once that level is fulfilled the next level up is what motivates us, and so on.

1. Physiological needs - these are biological requirements for human survival, e.g. air, food, drink, shelter, clothing, warmth, sex, sleep.

If these needs are not satisfied the human body cannot function optimally. Maslow considered physiological needs the most important as all the other needs become secondary until these needs are met.

2. Safety needs - Once an individual's physiological needs are satisfied, the needs for security and safety become salient. People want to experience order, predictability and control in their lives. These needs can be fulfilled by the family and society (e.g. police, schools, business and medical care).

For example, emotional security, financial security (e.g. employment, social welfare), law and order, freedom from fear, social stability, property, health and wellbeing (e.g. safety against accidents and injury).

3. Love and belongingness needs - after physiological and safety needs have been fulfilled, the third level of human needs is social and involves feelings of belongingness. The need for interpersonal relationships motivates behavior

Examples include friendship, intimacy, trust, and acceptance, receiving and giving affection and love. Affiliating, being part of a group (family, friends, work).

4. Esteem needs are the fourth level in Maslow's hierarchy - which Maslow classified into two categories: (i) esteem for oneself (dignity, achievement, mastery, independence) and (ii) the desire for reputation or respect from others (e.g., status, prestige).

Maslow indicated that the need for respect or reputation is most important for children and adolescents and precedes real self-esteem or dignity.

5. Self-actualization needs are the highest level in Maslow's hierarchy, and refer to the realization of a person's potential, self-fulfillment, seeking personal growth and peak experiences. Maslow (1943) describes this level as the desire to accomplish everything that one can, to become the most that one can be.

Individuals may perceive or focus on this need very specifically. For example, one individual may have a strong desire to become an ideal parent. In another, the desire may be expressed economically, academically or athletically. For others, it may be expressed creatively, in paintings, pictures, or inventions.

Maslow posited that human needs are arranged in a hierarchy:

"It is quite true that man lives by bread alone — when there is no bread. But what happens to man's desires when there is plenty of bread and when his belly is chronically filled?

At once other (and "higher") needs emerge and these, rather than physiological hungers, dominate the organism. And when these in turn are satisfied, again new (and still "higher") needs emerge and so on. This is what we mean by saying that the basic human needs are organized into a hierarchy of relative prepotency" (Maslow, 1943, p. 375).

Maslow continued to refine his theory based on the concept of a hierarchy of needs over several decades (Maslow, 1943, 1962, 1987).

Regarding the structure of his hierarchy, Maslow (1987) proposed that the order in the hierarchy "is not nearly as rigid" (p. 68) as he may have implied in his earlier description.

Maslow noted that the order of needs might be flexible based on external circumstances or individual differences. For example, he notes that for some individuals, the need for self-esteem is more important than the need for love. For others, the need for creative fulfillment may supersede even the most basic needs.

Maslow (1987) also pointed out that most behavior is multi-motivated and noted that “any behavior tends to be determined by several or all of the basic needs simultaneously rather than by only one of them” (p. 71).

Hierarchy of needs summary

- a) human beings are motivated by a hierarchy of needs.
- b) needs are organized in a hierarchy of prepotency in which more basic needs must be more or less met (rather than all or none) prior to higher needs.
- c) the order of needs is not rigid but instead may be flexible based on external circumstances or individual differences.
- d) most behavior is multi-motivated, that is, simultaneously determined by more than one basic need.

The expanded hierarchy of needs

It is important to note that Maslow's (1943, 1954) five-stage model has been expanded to include cognitive and aesthetic needs (Maslow, 1970a) and later transcendence needs (Maslow, 1970b).

Changes to the original five-stage model are highlighted and include a seven-stage model and an eight-stage model; both developed during the 1960s and 1970s.

1. Biological and physiological needs - air, food, drink, shelter, warmth, sex, sleep, etc.
2. Safety needs - protection from elements, security, order, law, stability, freedom from fear.
3. Love and belongingness needs - friendship, intimacy, trust, and acceptance, receiving and giving affection and love. Affiliating, being part of a group (family, friends, work).
4. Esteem needs - which Maslow classified into two categories: (i) esteem for oneself (dignity, achievement, mastery, independence) and (ii) the desire for reputation or respect from others (e.g., status, prestige).

5. Cognitive needs - knowledge and understanding, curiosity, exploration, need for meaning and predictability.
6. Aesthetic needs - appreciation and search for beauty, balance, form, etc.
7. Self-actualization needs - realizing personal potential, self-fulfillment, seeking personal growth and peak experiences. A desire “to become everything one is capable of becoming”(Maslow, 1987, p. 64).
8. Transcendence needs - A person is motivated by values which transcend beyond the personal self (e.g., mystical experiences and certain experiences with nature, aesthetic experiences, sexual experiences, service to others, the pursuit of science, religious faith, etc.).

Self-actualization

Instead of focusing on psychopathology and what goes wrong with people, Maslow (1943) formulated a more positive account of human behavior which focused on what goes right. He was interested in human potential, and how we fulfill that potential.

Psychologist Abraham Maslow (1943, 1954) stated that human motivation is based on people seeking fulfillment and change through personal growth. Self-actualized people are those who were fulfilled and doing all they were capable of.

The growth of self-actualization (Maslow, 1962) refers to the need for personal growth and discovery that is present throughout a person's life. For Maslow, a person is always 'becoming' and never remains static in these terms. In self-actualization, a person comes to find a meaning to life that is important to them.

As each individual is unique, the motivation for self-actualization leads people in different directions (Kenrick et al., 2010). For some people self-actualization can be achieved through creating works of art or literature, for others through sport, in the classroom, or within a corporate setting.

Maslow (1962) believed self-actualization could be measured through the concept of peak experiences. This occurs when a person experiences the world totally for what it is, and there are feelings of euphoria, joy, and wonder.

It is important to note that self-actualization is a continual process of becoming rather than a perfect state one reaches of a 'happy ever after' (Hoffman, 1988).

Maslow offers the following description of self-actualization:

'It refers to the person's desire for self-fulfillment, namely, to the tendency for him to become actualized in what he is potentially.

The specific form that these needs will take will of course vary greatly from person to person. In one individual it may take the form of the desire to be an ideal mother, in another it may be expressed athletically, and in still another it may be expressed in painting pictures or in inventions' (Maslow, 1943, p. 382–383).

Characteristics of self-actualized people

Although we are all, theoretically, capable of self-actualizing, most of us will not do so, or only to a limited degree. Maslow (1970) estimated that only two percent of people would reach the state of self-actualization.

He was especially interested in the characteristics of people whom he considered to have achieved their potential as individuals.

By studying 18 people he considered to be self-actualized (including Abraham Lincoln and Albert Einstein) Maslow (1970) identified 15 characteristics of a self-actualized person.

Characteristics of self-actualizers:

1. They perceive reality efficiently and can tolerate uncertainty;
2. Accept themselves and others for what they are;

3. Spontaneous in thought and action;
4. Problem-centered (not self-centered);
5. Unusual sense of humor;
6. Able to look at life objectively;
7. Highly creative;
8. Resistant to enculturation, but not purposely unconventional;
9. Concerned for the welfare of humanity;
10. Capable of deep appreciation of basic life-experience;
11. Establish deep satisfying interpersonal relationships with a few people;
12. Peak experiences;
13. Need for privacy;
14. Democratic attitudes;
15. Strong moral/ethical standards.

Behavior leading to self-actualization:

- 1) Experiencing life like a child, with full absorption and concentration;
- 2) Trying new things instead of sticking to safe paths;
- 3) Listening to your own feelings in evaluating experiences instead of the voice of tradition, authority or the majority;
- 4) Avoiding pretense ('game playing') and being honest;
- 5) Being prepared to be unpopular if your views do not coincide with those of the majority;
- 6) Taking responsibility and working hard;
- 7) Trying to identify your defenses and having the courage to give them up.

The characteristics of self-actualizers and the behaviors leading to self-actualization are shown in the list above. Although people achieve self-actualization in their own unique way, they tend to share certain characteristics. However, self-actualization is a matter of degree, 'There are no perfect human beings' (Maslow, 1970a, p. 176).

It is not necessary to display all 15 characteristics to become self-actualized, and not only self-actualized people will display them.

Maslow did not equate self-actualization with perfection. Self-actualization merely involves achieving one's potential. Thus, someone can be silly, wasteful, vain and impolite, and still self-actualize. Less than two percent of the population achieve self-actualization.

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