

Peter T. Caggia. *Identity, Destiny, and Magic: Developmental Perspectives on Major Themes in Young Adult Fantasy Series*. A Master's paper for the M.S. in L.S. degree. July, 2001. 76 pages. Advisor: Brian W. Sturm

This study is a content analysis of recent young adult fantasy series: K. A. Applegate's *Everworld* series, Philip Pullman's *His Dark Materials* trilogy, and J. K. Rowling's *Harry Potter* series. The analysis was conducted to examine major themes in young adult fantasy: Identity (as in, the search for), Destiny (participation in a larger plan), and Magic (the acquisition, use, and mastery of magical powers and devices). Findings were discussed as they related to the developmental theories of Erikson and Piaget.

A sequence of identity discovery emerged as the central focus of the relationship between Identity, Destiny, and Magic. Discovered elements of identity, development of awareness of roles, and the use of magic were all found to parallel and/or affect the stages or transitions of the identity discovery sequence. Findings in the literature were also found to parallel developmental models proposed by Erikson (identity achievement) and Piaget (formal operations).

Headings:

Fantasy -- Evaluation.

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Content analysis.

IDENTITY, DESTINY, AND MAGIC:
DEVELOPMENTAL PERSPECTIVES ON MAJOR THEMES
IN YOUNG ADULT FANTASY SERIES

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I. Introduction

What is the appeal of the fantasy tradition in literature? The plots are formulaic and good always wins out over evil. In spite of this, however, readers keep coming back to the fantasy novel. They keep coming back to read the classics by J. R. R. Tolkien and Lloyd Alexander; they also have provided an audience and a market for a new generation of fantasy writers like Philip Pullman, K. A. Applegate, and most recently J. K. Rowling. What, though, are the specific characteristics of fantasy literature that have captivated and thrilled audiences for generations?

Certain developmental hallmarks of adolescence are reflected in all genres of young adult literature. Characters that are well-developed experience real life and many of these stories reflect what adolescence is really like; the readers participate in the lives of the characters. Unlike other genres, however, the fantasy novel addresses these issues in a different light. While still driving the plot, issues associated with adolescence are not typically the main focus of the story. Instead, they are hidden in strange worlds, disguised as interesting and exotic creatures, and overcome by sword fights and magic.

One might argue, though, that what appears in fantasy literature does not reflect reality at all. Young adult fantasy author T. A. Barron, in distinguishing between exemplary and formulaic fantasy, acknowledges that “the best fantasy can give us a whole new perspective on ourselves, through creating a mirror that reveals our world afresh” (2001, p. 54). In essence, excellent fantasy touches readers by giving them insight

into the own lives. Of particular interest for this research project is the level at which fantasy literature touches readers; is it the surface content of the text or the deeper meaning cloaked in symbolism and allegory? Examining young adult fantasy through the lens of developmental psychology may help to illuminate the mass appeal of this genre.

Why this is important? Library professionals are called upon to encourage a lifelong love of reading; however, at a critical age like adolescence, it is essential to maintain some sort of connection with young readers. Given the recent Harry Potter phenomenon that has swept school and public libraries across the country, it is apparent that it is still possible to keep pre-teens and teens interested in reading. But what *exactly* is it about Harry Potter – and, indeed, the entire fantasy genre – that is so appealing to these young readers? The purpose of this research project is to examine the trends in young adult fantasy series and explain them in terms of how they relate to adolescent development. In doing so, it may be possible to understand why adolescent readers are attracted to this literature.

II. Background

The fantasy tradition is one whose roots can be traced back to ancient folklore. Yet to this day, fantastic stories continue to appeal to and even thrill a wide audience. The recent *Harry Potter* phenomenon has brought fantasy back into the spotlight for many readers, especially young ones. But what is it about these stories that has continued to attract listeners and readers for many years? Some would probably argue that there are common threads to these tales that imitate real life and the struggles that ordinary people face; however, the question remains: *why* do stories that imitate real life struggles continue to appeal to readers?

In the course of this project, it is hoped that some new perspective will be gained on what may seem like a question that has already been answered. Why do people like to read a story of good versus evil or about finding one's identity? Some would argue that the answer is simply that people can relate to the character's struggles and therein lies the attraction to the literature; however, what is underlying this need to relate through literature? Through content analysis I will apply developmental theories to major themes in fantasy literature in an attempt to achieve a deeper understanding of the genre and those who read it.

In a review of the major literature on the study of the fantasy tradition and developmental perspectives on that study I will first show that certain themes occur repeatedly in the fantasy tradition. Next, I will attempt to establish a precedent first for

conducting content analyses of young adult fantasy, and ultimately for applying developmental theories to such an analysis. Finally, this project will conclude with a discussion of general findings, recommendations for further study, and implications for both authors and practicing library professionals.

Common threads in the fantasy tradition

There is little doubt that common themes have appeared and continue to appear in fantasy novels written for readers of all ages. There are probably countless instances where someone has written casually about the presence of those themes. Still, there are studies that do a fair job of drawing out those themes through content and/or comparative analysis. I will present examples of each.

Jonathan Cott (1983) writes that there are elements of fairy tales that “tell things about life which children know instinctively, and the pleasure and relief lie in finding these things expressed in language that children can live with” (p. 42). Some specific examples given include witches and monsters which, citing Maurice Sendak, Cott says create feelings that are a wonderful source of inspiration for writers.

Though it may seem trite, Cott (1983) seems to understand that what is so wonderful about the fantasy tradition and the feelings it produces in readers is that it contains elements that are common to all humankind. Admittedly, Cott’s commentary on the nature of writing in the fantasy tradition lacks scientific merit, an obvious shortcoming even though it would not fit his purpose to conduct a study; however, his points raise questions about why the fantasy tradition even produces those feelings in the first place, something I hope to illuminate through this research.

In response to a prevailing attitude that the fantasy tradition is pure escapism, Dowd and Taylor (1991) performed a content analysis of a number of high fantasy novels. With a general lack of research on the fantasy genre, they examined 40 novels to determine if any trends emerged in characterization, themes, setting, sub-genres, presence of magic, etc. Among Dowd and Taylor's findings was that no common sub-genre emerged; however, alternate world fantasy was the most prevalent among authors. Most of the main characters were adolescents, perhaps, they say, because "adolescents are at a stage in life that is very appropriate for a quest/adventure plot" (p. 178). Also, person-against-person or person-against-self were the most common forms of conflict, which Dowd and Taylor simply attribute to the authors' recognition that these conflict modes are relevant to young adults.

In a comparative analysis of the work of C. S. Lewis and Ursula K. Le Guin, Vivienne Hill (1998) clearly establishes the use of common themes in the young adult fantasy tradition. In comparing Lewis's *Narnia* series with Le Guin's *Earthsea* series, Hill discusses themes of good versus evil, coming of age, the search for identity, and magic. In her analysis of Le Guin's work, Hill's discussion briefly turns to the application of C. G. Jung's theory of the Self to explain Ged's struggle with Shadow.

Hill's (1998) methodology, however, does not lend itself very well to comparison. She looks at the works of Lewis and Le Guin separately, examining themes in each; however, there is very little synthesis of the works of these two authors. The use of common vocabulary in her comparisons could easily lead to a deeper discussion, but it is not carried through; however, the discussion of Jung's theory is immensely useful as it establishes a precedent for using a developmental model to provide an in-depth analysis

of the meaning of the text. At the very least, Hill's thorough summary provides bolstering support for the presence of common themes in the fantasy tradition.

Finally, in a pilot study for this research project, latent content analysis of 11 young adult fantasy series novels revealed the following common themes (Caggia, 1999):

- the main character discovers the world or universe for the first time;
- the hero or heroine seeks to find his or her identity throughout the course of the adventure;
- self-discovery is centered around and ultimately achieved through the mastery of some form of magical power, device, or skill;
- the main character seeks to (or is forced to) achieve autonomy by separating him- or herself from any parent figures and/or childhood;
- the main character (sometimes unknowingly) plays a role in some larger plan; and
- the inevitable struggle of good versus evil.

The pilot study (Caggia, 1999) not only presents evidence that common themes exist in the young adult fantasy tradition, but it provides the basis for the current research project. The themes that will be the central focus of the content analysis at hand were revealed in this pilot study.

Developmental perspectives on fantasy literature

It appears as though Bettelheim (1976) was among the first to examine children's literature through the lens of developmental psychology. He states that "whatever our age, only a story conforming to the principles underlying our thought processes carries conviction for us" (p. 45). Bettelheim believes that, as a psychologist, he could use these stories that carry conviction to help people work through psychological difficulties. In fact, Jane Yolen (1981) asserts that Bettelheim's The Uses of Enchantment helps make myth and fantasy a "marvelously adaptable tool of therapy" (p. 17).

Bettelheim (1976) also believes that the complete repression of the unconscious could lead to unhealthy personality development. Furthermore, the only way a child can deal with what is happening in the unconscious mind is to understand what is happening in the conscious mind. Fairy tales, says Bettelheim, “offer new dimensions to the child’s imagination which would be impossible for him to discover as truly on his own” (p. 7). In other words, fairy tales help a child bridge the gap between the conscious and unconscious mind. Consequently, he suggests giving children fairy tales to read in order to release some of what is in the unconscious mind; however, Bettelheim himself believes that one cannot possibly know the exact developmental states of a child. Therefore, it is impossible to “prescribe” a fairy tale to a child with the hopes that it will somehow resolve his or her particular conflict. Yet he continues to assert that by reading appropriate fairy tales, children will see examples of resolved conflicts explained in a simple way and be able to work through their own subconscious difficulties.

Naturally, a major criticism of Bettelheim (1976) would be that his theory is untestable in that it is based entirely on unobservable states and behaviors; however, whether or not Bettelheim is correct in his assumptions is immaterial for the purposes of this research project. My purpose is to examine young adult fantasy literature in order to better understand what appeals to adolescent readers and why, not to find a remedy for unobservable conflicts. Bettelheim’s work also fails to synthesize across stories to reveal common themes, which would have been useful in his general analysis of both the literature and child development; still, Bettelheim’s brave attempt to psychoanalyze children’s literature lays the cornerstone for more formal, organized content analyses.

While Bettelheim's (1976) work has received much acclaim (see Yolen, 1981 for an example), Jack David Zipes (1979) is quite critical of the assertion that fairy tales can be used therapeutically. According to Zipes, Bettelheim overestimates the power of folk and fairy tales as tools to teach children about their inner problems. He also describes Bettelheim as "authoritarian" and "unscientific" (p. 160) for attempting to impose psychological meaning on fairy tales through their use as therapy.

Instead, Zipes (1979) contends that folk and fairy tales play an important role in the socialization process. In other words, he is concerned with the outward and observable structure of the world rather than the inner and invisible structure of the mind. He suggests that authors adapt what they write to accommodate current social states, remaining sensitive to the dynamic nature of the socialization process. Bettelheim, says Zipes, on the other hand fails to acknowledge that literary symbols used to refer to specific forms of social behavior can, in some instances, be traced back far further than Freud. Furthermore, Zipes's accusations go on to include over-emphasis on and misinterpretation of Freud's theories of psychosexual development, manipulating the literature to support ideas, and failure to discriminate by age, sex, and class background.

Zipes's (1979) criticism of Bettelheim's (1976) work has implications for this research project as well. Any recommendations made as a result of the findings are not for therapeutic purposes. While Zipes accuses Bettelheim of imposing psychological meaning on folk and fairy tales for those purposes, I believe that good fantasy literature of its own merit has psychological meaning. The intent of this study is not to match adolescents with books to help them through developmental crises. Rather, the purpose of this study is to understand why adolescents choose (or, for that matter, do not choose)

literature so that library professionals and authors can provide and produce reading materials for this population.

Perhaps the most surprising work in this area comes from Ursula Le Guin (1975) who analyzes her own writing using the theories of C. G. Jung. According to Le Guin, Jung describes what we know as the ego as only part of the whole Self. Shadow, then, is the darker side of the Self, all of the qualities that the ego does not need or want. Everyone has this shadow, but, according to Jung, the deeper one's shadow is repressed, the more powerful and threatening it becomes. Furthermore, if one's shadow is completely turned inward, it can be projected onto others, creating monsters and evil.

To survive as an adult, then, one must withdraw these outward projections and admit the existence of an evil side of the Self. Le Guin (1975) contends that this awareness occurring in adolescence leads to taking responsibility for one's own actions. She furthers the point by applying Jung's theory to J. R. R. Tolkien's Lord of the Rings trilogy. Le Guin asserts that Frodo's confrontation with Gollum is both literal for the purpose of the story and figurative in that Gollum represents the darker side of Frodo's Self. Le Guin's analysis of Frodo's confrontation is consistent with Hill's (1998) assertion that Frodo only becomes whole when he accepts Gollum.

Le Guin's application of Jung's theory to literary themes is precisely the type of analysis that is necessary to reach a deeper understanding of what it is in human nature that attracts certain readers to the fantasy tradition and its recurring themes. Her simple approach begins with a discussion of the psychological theory and then application of its basic concepts and vocabulary to the themes in the literature: in this case, Frodo's struggle to accept his darker side. While her analysis is limited only to a very small

subset of the fantasy genre, Le Guin's work is important for this research project in that it is one of several works that establishes a precedent for applying psychological perspectives to young adult fantasy novels.

The search for.... data

Other researchers have taken a more formal approach to applying developmental theories to themes in young adult fantasy literature. As part of her background research, Meuchel (1999) is quick to point out that "few studies have been done analyzing fantasy literature, or more specifically, young adult fantasy literature" (p. 1). Unlike previous studies discussed here, Meuchel takes a scientific approach to examining young adult fantasy literature in the form of content analysis.

Meuchel (1999) examined young adult high fantasy novels published between 1990 and 1998 to find stereotypes and trends in the development of male characters. Furthermore, she was interested in determining if the gender of the author produced any gender bias in the development of those characters. The findings showed a difference between male authors, who tended to focus on personality development, and female authors, who concentrated on physical development and the emergence of love interests. While Meuchel's recommendations are primarily for authors writing in the genre, the background information for her research provides bolstering support for the formal study of the fantasy tradition through content analysis.

Frances Dowd and Dawn Haden (1994) performed a content analysis of young adult fantasy novels to determine the moral development of the main characters based on Lawrence Kohlberg's stage theory of moral development. Kohlberg's theory holds that

there are three levels of moral development, with each level having two stages. The stages cover the morality spectrum from “Obedience and Punishment” to “Universal Ethics”.

Based on previous research looking at Kohlberg’s theory as it applies to children’s literature, Dowd and Haden (1994) looked for trends in the decision making of the main characters in young adult realistic novels. Specifically, they wanted to know at which stage of moral development the main characters were functioning when trying to work through their dilemmas. Dowd and Haden also tested Kohlberg’s hypothesis that people are attracted to moral reasoning at the same stage or one stage higher than their own level.

Dowd and Haden (1994) chose books from the Young Adults’ Choices Lists for 1987 to 1990. They randomly selected 25 titles, all of which were realistic fiction because of the similarities between the problems the characters face and those faced in real life, presumably by the reader. The evaluative criteria used were in the form of a list of questions based on Kohlberg’s theory and approved by psychologists as internally valid. The main characters were assigned to one of Kohlberg’s moral stages based on the “expressed motivation” (p. 182) for their behavior. They found that 76% of the main characters in the novels they analyzed were functioning at Stage 3.

Dowd and Haden’s (1994) study, while specific only to young adult realistic fiction, sets a strong precedent for analyzing young adult literature from a developmental perspective and has clear implications for this type of research being done in other genres. They suggest that understanding the theory, rather than the themes, has “implications for selection, evaluation, and use of young adult realistic novels” (p. 177).

Practitioners know that young adult readers are attracted to certain themes, but Dowd and Haden argue that knowing *why* they are attracted has more practical value.

Dowd and Haden's (1994) study serves as a good model for this research project. Their application of Kohlberg's theory to their content analysis not only suggests similarities between the developmental states of the readers and characters, but also has practical value for library professionals. The most significant drawback of this type of study is that researchers must be cautious in choosing developmental theories; they must be sound. Otherwise, the findings of the study will have no practical value. Indeed, Kohlberg's theory has been strongly criticized by feminist researchers because it is based solely on male development (e.g. Muuss, 1988). Dowd and Haden might have included in their literature review some studies to support Kohlberg's stage theory of moral development.

Michele Gordon (1994) replicated Dowd and Haden's (1994) study using books from the 1991-1994 Best Books for Young Adults lists. There was no significant difference between Gordon's and Dowd and Haden's findings. Gordon makes the same recommendations: primarily that understanding developmental theories may help to explain why young adult readers are drawn to certain titles and themes over others.

The fact that Dowd and Haden's (1994) findings were upheld is important for this project in that it suggests that a psychoanalytic approach to content analysis is indeed valid. The same criticisms and recommendations made for Dowd and Haden's research apply to Gordon (1994) as well.

Melissa Zymboly Depper's (1995) thesis provides yet another example of the use of developmental theories to analyze the content of young adult literature. While focusing

on the “rite of passage” theme, Depper uses J. E. Marcia’s theory of Ego Identity Status to determine *if* identity achievement could be determined through content analysis and whether or not the characters successfully completed the “rite of passage”. While Depper’s (1995) findings are inconclusive, her study serves as a reminder that not every developmental theory can be successfully applied to literature through content analysis. The methodology for this particular study is sound, but Marcia’s theory does not lend itself to this type of application.

In the studies presented in this review of research, it is clear that common themes do exist in young adult fantasy novels, that content analysis can be used to examine the young adult tradition more closely, and that developmental theories may be applied to the literature through content analysis.

Along the way, however, are clear warnings for how to conduct a study of this nature. Any recommendations made should be of practical use to library professionals, authors, and publishers. The developmental theories being used must be sound. Presenting research to support the developmental theories will help validate any recommendations made as a result of the findings. Finally, when possible, it is useful to determine whether or not developmental theories can be appropriately applied to content analysis.

III. Methods

Methodology

This study uses latent content analysis to determine the prevalence of major themes in young adult fantasy series novels. Latent content refers to the “underlying meaning” of the communication (Babbie, 1995, p. 312). Therefore, I will be examining the meaning of the texts, rather than the actual words. Latent content analysis is the appropriate research design for this project as I am trying to match these underlying meanings to psychological and developmental theories.

Scope

As mentioned earlier, a pilot study (Caggia, 1999) revealed six common themes in young adult fantasy literature. For this study, I have chosen depth over breadth. Rather than perform latent content analysis for all six themes identified in the pilot study, I will focus on three themes more closely: Identity (the search for...), Destiny (the main character’s role in a larger plan), and Magic (mastery of some magical power, device, or skill). Rather than assess the prevalence of the selected themes in the literature, I intend to examine the degree to which each of these themes is presented. For each of the three themes selected, there are presumably different degrees and levels that can be observed. In other words, while this project is concerned with the appearances of the selected

themes in the texts, the focus centers on differences or similarities in kind rather than in number.

As part of the analysis of the pilot study (Caggia, 1999), developmental theories were applied to support the themes that emerged from the data. Those theories are the starting points for this research project. For each of the three major themes being examined in this research project, I developed in-depth questions based on the assumptions and tenets of the developmental theory used to support the theme in the pilot study. The theories of Erik Erikson and Jean Piaget were found to support the themes of Identity, Destiny, and Magic. Chapter IV describes each of these theories in greater detail. The answers to these questions were found through latent content analysis of the texts. I have selected books in which each of the themes is known to be present in order to analyze the texts on this level.

The scope of this study was limited to a small subset of the young adult fantasy genre. Table 1 shows the books that were used in this research project. Selective sampling was used to develop a list of series in which the themes in question were known to appear (Caggia, 1999). The exclusive use of novels in series will not only allow for the examination of individual titles, but of trends within- and between series, adding to the depth of the analysis.

Data Collection

Qualitative data answering the questions listed in Table 1 were collected from the texts. Data were coded using a common format, which consisted of a unique identifier,

Table 1

Selected Reading List for Qualitative Three-way Analysis

<u>Author</u>	<u>Series</u>	<u>Title</u>	<u>Publisher</u>
Applegate, K. A.	<i>Everworld</i>	<u>Search for Senna</u>	New York : Scholastic, 1999.
		<u>Land of Loss</u>	New York : Scholastic, 1999.
		<u>Enter the Enchanted</u>	New York : Scholastic, 1999.
		<u>Realm of the Reaper</u>	New York : Scholastic, 1999.
		<u>Discover the Destroyer</u>	New York : Scholastic, 2000.
		<u>Fear the Fantastic</u>	New York : Scholastic, 2000.
		<u>Gateway to the Gods</u>	New York : Scholastic, 2000.
		<u>Brave the Betrayal</u>	New York : Scholastic, 2000.
		<u>Inside the Illusion</u>	New York : Scholastic, 2000.
		<u>Understand the Unknown</u>	New York : Scholastic, 2000.
		<u>Mystify the Magician</u>	New York : Scholastic, 2001.
<u>Entertain the End</u>	New York : Scholastic, 2001.		
Pullman, Philip	<i>His Dark Materials</i>	<u>The Golden Compass</u>	New York : Ballantine, 1995.
		<u>The Subtle Knife</u>	New York : Ballantine, 1997.
		<u>The Amber Spyglass</u>	New York : Knopf, 2000.
Rowling, J. K.	<i>Harry Potter</i>	<u>Harry Potter and the Sorcerer's Stone</u>	New York : Scholastic, 1997.
		<u>Harry Potter and the Chamber of Secrets</u>	New York : Levine, 1999.
		<u>Harry Potter and the Prisoner of Azkaban</u>	New York : Levine, 1999.
		<u>Harry Potter and the Goblet of Fire</u>	New York : Levine, 2000.

page numbers, paragraph numbers, and line numbers of the text that related to a specific question. For example, the data event POA4: 355/3/7-9 refers to *Harry Potter and the Prisoner of Azkaban*, page 355, paragraph 3, lines 7 through 9. The “4” in POA4 is used to keep the data in sequential order as they appear in the text. Once each data event was coded in this way, it was labeled with the question number(s) to which it corresponded (See Table 1). Table 3 shows the qualitative data and their corresponding question(s).

Data Analysis

Once the data for each question were collected and coded, they were sorted and qualitatively compared three ways: between-books, within-series, and between-series. Between-books analysis looks at trends as they emerge and compares them across all books in all series. In other words, all 19 books were examined independently of the series to which they belong and their place in the series sequence. Within-series analysis examined trends as they occur in a single series. In this analysis, each series was examined for its full treatment of the themes chosen for study. Finally, between-series analysis compared trends that emerged across series.

Discussion of the analyses includes the trends that emerge from the three-way analysis, application of developmental theories, and examples from the texts.

Limitations

This study is not intended to produce a formula for the young adult fantasy genre. Rather, I hope to explore the relationship of developmental themes in the literature to the

developmental age of the reader as suggested by child development research. The results of this study are limited in terms of how easily they generalize to the young adult fantasy genre as a whole. Since the sample is limited to a subset of the genre, one should not make general assumptions that may not hold under broader conditions. Finally, this study discusses only latent content, or the underlying meaning of the texts. It does not address the manifest content, or “visible, surface content” of the text (Babbie, 1995, p. 312).

IV. Erikson and Piaget

Before looking at the results of the content analysis, it might be helpful to examine briefly the two major theories from which the study questions were developed: Erik Erikson's (1968) crisis of Identity versus Role Confusion and Jean Piaget's (1952) stage of Formal Operations. An overview of pertinent aspects of these two theories will not only provide justification for the study questions used in the content analysis but will be useful for the discussion of the results, as well. Table 2 shows the developmental theories as they are applied to the literature and the research questions that were born out of those theories.

Erik Erikson and Identity versus Role Confusion

Erik Erikson (1982) provides one possible explanation for the prevalence of the search for identity in young adult fantasy literature. According to Erikson, identity and personality development occur in eight stages spanning the course of an individual's life. Each stage is identified by a crisis that must be resolved for an individual to progress to the next stage and, ultimately, to develop "ego integrity" (Cleverley and Phillips, 1986, p. 88). The crisis that Erikson associates with adolescence is Identity versus Role Confusion. This stage marks the crossroads between childhood and adulthood in which adolescents are wrestling with the question of "Who am I?" In order to resolve the crisis, Erikson indicates that adolescents must establish "basic social and occupational

Table 2

Research questions based on the theories of Erikson (1966, 1968) and Piaget (1952)

Theme: IDENTITY (I)	
Supporting theory: Erikson's (1966, 1968) "Identity versus Role Confusion"	
Assumptions	Questions
1. Adolescents must establish basic "social and occupational identities".	I-1. What parts of identity are discovered?
2. Adolescents wrestle with the question, "Who am I?"	I-2. How is identity discovered?
3. Peers are a key social agent.	I-3. What role do companions play in helping the main character achieve identity?
Theme: DESTINY (D)	
Supporting theory: Erikson's (1966, 1968) "Identity versus Role Confusion"	
1. Adolescents define themselves by what they can will freely.	D-1. How/why do the main characters come to be involved in a larger plan?
2. Adolescents settle on a choice of occupation.	D-2. What are the roles that characters assume in the larger plan?
Supporting theory: Piaget's (1952) stage of Formal Operations	
3. Adolescents acquire hypothetico-deductive and meta-cognitive thought processes.	D-3. Are the main characters aware of their role in the larger plan? If so, how/when is awareness achieved?
Theme: MAGIC (M)	
Supporting theory: Piaget's (1952) stage of Formal Operations	
1. Adolescents acquire hypothetico-deductive and meta-cognitive thought processes.	M-1. How is magical power, device, or skill acquired?
2. Adolescents' development of meta-cognition leads to an awareness that one's actions can affect others.	M-2. How is mastery (as a metaphor for meta-cognition) of the magical power, device, or skill ultimately achieved?

identities” (Shaffer, 1993, p. 54). Furthermore, these identities must be established so that adolescents can understand the roles they are to play as adults.

One approach to this crisis is to define social identity as who you are and occupational identity as what you can do. Even beginning to think about these aspects of identity represents a major shift in children’s thinking to this point in Erikson’s stage theory; finding answers and making sense is quite another challenge, indeed.

Consequently, it is appropriate to ask exactly what adolescents learn about themselves when they begin to consider who they are and what they can do. Research Question I-1 deals precisely with this issue.

The notion that adolescents begin questioning these aspects of their developing personalities begs the question: What happens next? Indeed, the search for identity is, according to Erikson (1966, 1982), a lifelong process that begins very early in life; however, what are the steps in the process that adolescents take when beginning to resolve the crisis of Identity versus Role Confusion? Research Question I-2 explores what happens once the main characters begin to examine who they are and what they can do; in other words, what steps they take while searching for identity.

One of the strengths of Erikson’s (1966, 1982) stage theory is that it is based on the idea that identity and personality development take place within a social context. So much so, in fact, that at each stage of development, Erikson identifies social agents that play critical roles in the resolution of crises. Peers are a key social agent for adolescents’ successful resolution of the crisis of Identity versus Role Confusion. Erikson (1968) describes peers as “sometimes morbidly, often curiously, preoccupied with what they appear to be in the eyes of others as compared with what they feel they are, and with the

question of how to connect the roles and skills cultivated earlier with the ideal prototypes of the day” (p. 128).

Erikson (1968) also believes that adolescents progress through stages within the crisis of Identity versus Role Confusion. Specifically, there are four stages through which they progress as they begin to consider their social and occupational identities. The first of four stages addresses peers as a key social agent in resolving the identity crisis. In this stage, adolescents feel an important need for trust in themselves and in others. To satisfy this need, adolescents actively seek companions whom they can trust and to whom it is worthwhile to appear trustworthy. In light of this emphasis on peers as a key social agent in adolescence, Research Question I-3 considers the various roles that companions play in helping the main characters begin to resolve the “identity” crisis.

The second stage of the Identity crisis is marked by a need to be “defined by what one can *will* freely” (Erikson, 1968, p. 129). In order to successfully resolve the Identity crisis, adolescents must feel that they are free to make choices about their immediate futures. Adolescents in this stage are actively seeking opportunities to make choices from available options. Additionally, adolescents will tend to oppose, often strongly, being forced into situations in which they might be open to “ridicule or self-doubt” (p. 129). From this adolescent desire to choose is raised the question of Destiny, or the main character’s role in some larger plan. Specifically, Research Question D-1 attempts to examine how and why characters come to be involved in these larger plans. Also of interest in this research question is the degree to which choice is a factor in the main characters’ involvement.

Companionship, already addressed by the research questions, re-emerges at the third stage of Erikson's adolescent identity crisis. This time, however, the focus is on adolescents' desires to place their trust in companions who can help them develop a grand self-image. Finally, the fourth stage focuses on an individual's search for an occupation; in essence, the adolescent is trying to discover exactly what he or she is going to do. In fantasy literature, the "occupation" that is the object of this search is typically the role assumed by the main character in the larger plan. Research Question D-2 explores the nature of the roles or "occupations" themselves.

Support for and criticism of Erikson

Much of the favor that Erikson receives comes from comparison with Freud's stage theory of development. First, he provides a stage theory which is not based solely on sexual development, which many people prefer. Also, Erikson's emphasis on social and emotional conflicts holds real meaning for people as they are observable states upon which they can reflect. Perhaps more importantly, Erikson has made contributions to other areas, as well, including the development of self-concept in childhood, identity in adolescence, and social development throughout life (Shaffer, 1991).

Erikson does, however, face criticism for failing to adequately explain how and why development takes place *between* stages or how an unresolved crisis affects subsequent development. Still, Erikson's description of what develops during the Identity crisis and his explanation of how adolescents come to resolve it provide a strong basis of support for examining the question of identity more closely in young adult fantasy literature.

Jean Piaget and Formal Operations

Based on his extensive work with children, Piaget developed a stage theory of intellectual development that attempts to explain how children develop cognitive structures that allow them to interact effectively with their environments. His theory is based on four stages, in each of which children acquire different cognitive schemes, or structures of “thought or action that [are] used to cope with or explain some aspect of experience” (Shaffer, 1991, p. 63).

The fourth and final stage of Piaget’s theory is the period of formal operations which corresponds with late childhood and early adolescence. One characteristic of this stage is the emergence of the ability to perform operations on operations. In an interview, Piaget describes formal operations as a period in which there emerges the “possibility of applying operations not only to objects, but to hypotheses, formulated in words” (Evans, 1973, p. 26). The ability to form a hypothesis actually develops in the previous stage, Concrete Operations; however, carrying out that hypothesis to a conclusion or a set of conclusions, or “hypothetico-deductive thought” (Evans, Krossner, and Ginsburg, 1973, p. 93), is unique to the stage of formal operations.

Another characteristic of the stage of formal operations is the development of meta-cognition, or the ability to think about thinking. Evans et al. (1973) note that “preoccupation with the mechanics of thought appears to be a primary feature of cognitive functioning during the period of formal operations” (p. 95-96). This process, which requires adolescents to reflect upon something unobservable, namely the “mechanics of thought”, is, by its very nature, abstract. It should come as no surprise,

then, to learn that during formal operations adolescents begin to view the world in a similar fashion, considering what is unobservable and abstract.

It is through this hypothetico-deductive and meta-cognitive thought that adolescents become aware that they are able to affect the world outside their immediate experience and observation. This awareness is symbolized in young adult fantasy literature by the larger plan in which the main characters inevitably come to assume a role. Research Question D-3 explores if and how the main characters become aware of the larger plan and the roles which they are to play.

This discussion of meta-cognitive and hypothetico-deductive thought leads into the subject of magic. In young adult fantasy literature, magic can be seen as a metaphor for these emerging adolescent thought processes. Specifically, acquisition, use, and mastery of magical powers and skills is symbolic of the development of meta-cognitive thought as characters must learn the mechanics of thinking to master their new abilities. Hypothetico-deductive thought is symbolically represented by the acquisition, use, and mastery of magical devices and objects. Adolescents must think their actions through to a hypothetical conclusion in order to use them effectively and impact their environment. In either case, adolescents learn that their actions can affect others in sometimes unseen ways; a truth that, in the literature, plays out as the main characters come to master their respective magic. Therefore, to explore the connection between magic and the development of formal operational thought processes in the main characters, Research Questions M-1 and M-2 examine how magical powers, devices, and skills are acquired and how they are mastered, respectively.

Support for and criticism of Piaget

Piaget was a very influential theorist, though not by any means free from criticism. He is credited with being the first theorist to consider how children think rather than what they know. His early work with moral and cognitive development gave birth to a whole new area of study and influenced such theorists as Lawrence Kohlberg. Piaget was also among the first theorists to distinguish a child's thinking from that of an adult, an idea that would radically change the approach to developmental psychology (Shaffer, 1991).

While Piaget's work has had a profound impact on developmental psychology, there remain many criticisms of the man and his theory. Among major criticisms of Piaget's theory are his focus on only the cognitive aspect of development, the tendency to describe a developing child as interacting with but independent from a social context, and his failure to propose adequate mechanisms to describe *how* developmental changes take place. (Cleverley and Phillips, 1986; Shaffer, 1991).

In spite of the major criticisms of Piaget's work, his ideas are particularly well-suited to this research project. Few researchers will argue that children do not develop the cognitive structures proposed by Piaget in formal operations. Most of those who criticize his work take issue with how, when, why, and in what context they are developed. This research project takes those criticisms into account and focuses solely on what structures are developed and not the processes or mechanisms by which they appear.

As with any theory, the work of both Erikson and Piaget have been questioned. However, as they are used for the purposes of this research project, both theories are solid

choices for providing possible explanations for the prevalence of major themes in young adult fantasy literature. The questions developed from these theories were carefully designed to take advantage of each theory's strengths while avoiding their more questionable assumptions and assertions.

V. Results and Discussion

Identity

The search for identity is a complex theme in the young adult fantasy literature and all other themes seem to relate back to this quest. Table 4 shows the results of the analysis of the research questions relating to Identity.

Discovered components of identity. Research question I-1 explored the parts of identity that were discovered by the main characters in the literature. It was found that there are two parts of identity that were discovered throughout the course of the main characters' adventures.

First, the characters discover aspects of **who they are**. It should be noted that this does not resolve the question of identity; rather, the characters are first learning that they have unique identities that must be explored. Within this category are two components that are discovered: **expectations** and **purpose**. Expectations refer to either who the main characters think they are or who others expect them to be. Living up to standards associated with heritage or social norms is a major challenge for these characters to face. Harry Potter goes from anonymity to celebrity in an astoundingly short time. This is evident in *Harry Potter and the Sorcerer's Stone*:

The Leaky Cauldron had suddenly gone completely still and silent.

“Bless my soul,” whispered the bartender, “Harry Potter... what an honor.”

He hurried out from behind the bar, rushed toward Harry and seized his hand, tears in his eyes.

“Welcome back, Mr. Potter, welcome back” (p. 69).

It is here that Harry begins to realize that he must live up to expectations that accompany his famous past. The expectations also affect how Harry is treated by others, as is evidenced by Professor Snape's instant disdain for Harry: " 'Ah, yes,' [Snape] said softly, 'Harry Potter. Our new – *celebrity*'" (p. 136).

The second component of discovering who they are has the main characters developing a **sense of purpose**, at which point they learn who they really are and/or are meant to be. When characters achieve this sense of purpose, they have transcended the burden of expectations and arrived at a clear sense of who they are meant to be. This is no better illustrated in the literature than in the case of Lyra Belacqua. Throughout the entire *His Dark Materials* trilogy, Lyra is on a quest to achieve some purpose, which is at first unknown to her.

While searching for this purpose, Lyra makes many incorrect assumptions about what she is meant to do; each mistake based on perceived expectations. For example, Lyra travels north to bring the alethiometer to Lord Asriel because she believes that is what the Master expects her to do; however, her purpose is really to bring her father a child for his experiment. This tragic error begins a sequence of events that ends in Lyra ultimately realizing that her purpose is to open the Land of the Dead for the spirits to leave.

How identity is discovered. The second element of identity that is discovered by the main characters is **ability**; essentially, the main characters develop awareness of what they can do. Harry learns early on that he has – and has always had – the ability to do magical things, such as making his hair grow or setting a boa constrictor on his cousin, Dudley. In *The Subtle Knife*, Will Parry learns that he has the ability to deflect the

attention of others, rendering himself virtually invisible and Lyra has the ability to weave intricate, yet compelling, lies. As will be shown, each of these new-found abilities is extremely important when considering *how* identity is discovered, which is the focus of Research Question I-2.

The second research question under Identity, question I-2, examined the process of how the main characters discover their identities. The analysis found that not only were there specific events that occur in the search for identity, these events occur in sequence. The first “stage” of discovering identity is **emergence** when the main characters suddenly become aware of qualities and characteristics that make them question their identity. In *The Subtle Knife*, Will’s realization that he is a murderer sends him on the run to Oxford, beginning the sequence of events that would lead him to meet Lyra and help her fulfill her destiny.

Under Senna’s spell in *Realm of the Reaper*, Jalil Sherman gets a taste of what his life would be like without his obsessive-compulsive tendencies. Prior to this moment, the notion of freedom from his disorder did not exist for Jalil. Once he glimpsed the possibility, he was forever changed:

My fingers met resistance.

And oh... oh, it was gone. Gone. The need, all gone. The nagging, insane voice that urged me always, controlled me, the never-silenced, never-satisfied voice was gone (p. 70).

In *Search for Senna*, Jalil’s companion, David Levin also experiences the emergence of a new quality that forever changes his self-concept. Finding himself in the midst of an impossible battle between the Vikings and the Aztecs, he realizes that “at that moment, [he] was as happy as [he’d] ever been in [his] life” (p. 166). In this emergence

stage, the newly discovered qualities and abilities are not understood at first, but begin the sequence that leads to complete understanding of identity.

Denial is the second stage of the identity discovery sequence. The characters will not accept change because it does not fit with their notions of who they think they are supposed to be. In *Harry Potter and the Sorcerer's Stone*, denial is evident as Harry, while leaving the wizarding world for the summer, responds to Ron's exclamation that he is "[s]till famous" by saying, "Not where I'm going, I promise you" (p. 308). While there is truth to this statement – Harry will not be famous as he returns to London to spend the summer with the Dursleys – it reflects the general denial that someone like Harry can't possibly believe that he is anything other than what he has always been – anonymous, quite the opposite of famous. Denial also appears in *The Golden Compass* when Lyra rejects her heritage and any possibility that she could be Mrs. Coulter's daughter:

"Mrs. Coulter?" said Lyra, quite stupefied. "*She* en't my mother?" (p. 110)

Lyra had to adjust to her new sense of her own story.... To see Lord Asriel as her father was one thing, but to accept Mrs. Coulter as her mother was nowhere so easy (p. 115)

Doubt is the third stage of the discovery process. During this stage, the characters question some or all aspects of their identity and it is usually the time when they become acutely aware of either their deficiencies or their negative qualities. This is most apparent with two of the Everworld companions. David Levin struggles continuously with doubt, remarking in *Discover the Destroyer*, "I was pissed. All the more because I was aware, aware in every brain cell of my own failure" (p. 113). Christopher Hitchcock also experiences doubt and self-abasement in *Fear the Fantastic* when, after being unable to save Ganymede from Ka Anor, he despairs:

“I was a coward. Ganymede had saved me. I’d let him die. I’d let him die....

What was I? ... Nothing. Fear and hatred and lust and jealousy. What was I, to live?” (p. 175)

In the fourth stage, the characters become aware of **change**, not only as a process, but also as a force that propels them towards adulthood. This awareness is evident throughout the text, especially in *Everworld*, but none so much as in Jalil’s realization in *Brave the Betrayal*, that the companions were changing as a result of being split between Everworld and the real world. Even more is the realization that change takes place whether is aware of it or not:

I realized something that had never occurred to me before: David here was a different person from David there. It was subtle. Minor. Nothing that jumped out at you. But Everworld David and real-world David were diverging, growing apart.

And then, with a shock, I knew: So was I. Of course I was. We all were. It was inevitable. We, the two Jalils, were having different experiences. We transmitted memory, and that kept the changes from becoming radical, but the change was happening. Had to. We were living different lives, adapting to different environments. I tried to cling to all that I knew and believed here, but was it all really relevant to Everworld Jalil? (p. 106)

Finally comes **acceptance**, when the main characters come to terms with who they are becoming. One such instance occurs in *Entertain the End* as April begins to accept her Everworld self as her true self, or at least the person she would like to be. Later, Jalil and April discover why the companions are literally disappearing in the real world:

“Jalil, I think I know what’s going on. I think we have to choose, one world or another. You, you’re not so attached to this life, the real world anymore. Neither is Christopher. That’s why you’re both fading away. Not completely, and if you don’t choose you’ll continue to flicker in and out. But David, from the beginning he’s wanted out of this world, wanted to stay in Everworld. He’s got a purpose there, or at least feels he does. That’s why he’s gone here, totally. He made the commitment to Everworld” (p. 81).

More precisely, David made the commitment to the person he was becoming. Jalil and Christopher had not made the commitment to their new identities as David had. That is why they continue to flicker in and out of the real world, or, to extend the analogy, to remain incomplete, neither here nor there, both literally and metaphorically.

The role of companions. The last research question under Identity, I-3, examined the roles of companions that accompany the main characters on their adventures. Analysis of the data shows that while there are many roles assumed by companions, there are no trends. A common role assumed by companions is antagonist, whereby the main characters are forced to examine themselves through direct conflict. Ron Weasley occasionally assumes this role as do each of the Everworld companions, including Senna. Another common role is that of a guide, whose actions lead to the characters' involvement in and/or fulfillment of the task. These include Hagrid for Harry Potter and Mary Malone for Will and Lyra. Companions were also found to act as someone to protect the main character (Will and Lyra for each other, Serafina Pekkala and Lee Scoresby for Will and Lyra, and Hagrid for Harry), someone to be protected or rescued by the main character (Ginny Weasley for Harry, Roger for Lyra), someone for whom the main characters should use their magic (Will and Lyra), jesters (Christopher Hitchcock, Fred and George Weasley), dis-inhibitors (Ron Weasley, Christopher), and as conscience (Hermione).

The only consistent finding for this question was that in a vast majority of instances the companions represented something that the main character did not; in essence, the companions served as foils for the main characters. Furthermore,

companions were much more likely to be one-dimensional in their personalities when they played supporting roles; that is, the companions were not also main characters themselves.

Destiny

How the main characters come to be involved in the larger plan. Destiny refers to the roles that the main characters inevitably come to play in some larger plan or event. Table 5 shows the results of the three-way analysis for the Destiny theme in the literature. Research Question D-1 examined how and/or why the main characters came to be involved at all and what role personal choice played in their involvement. Analysis showed that, in every instance, the main characters were chosen to participate in the plan, although by whom they were chosen and for what reason varied between books.

There were three ways in which the main characters came to be chosen to participate in the larger plan. First, they may have been chosen by the “good” side, which can sometimes be described as the moral, just, or righteous side. In any case, “good” can be defined at least as opposed to evil. Two specific instances in the texts support this finding. Will learns from the previous bearer of the subtle knife that, while it remains unknown, Will was chosen by the angels to bring the knife to help Lord Asriel in his struggle against the Authority. In *Harry Potter and the Sorcerer’s Stone*, Harry is chosen by Professor Dumbledore to help keep the Stone from getting into Voldemort’s hands:

“D’you think [Dumbledore] meant you to do it?” said Ron. “Sending you your father’s cloak and everything?”

...
 “I think he sort of wanted to give me a chance. I think he knows more or less everything that goes on here, you know. I reckon he had a pretty good idea we were going to try, and instead of stopping us, he just taught us enough to help. I

don't think it was an accident he let me find out how the mirror worked. It's almost like he thought I had the right to face Voldemort if I could..." (p. 302). The main characters may also have been initially chosen by the villain or the

"evil" side to complete some sort of diabolical plan. Harry was drawn into his adventures as the target of the wrath of various villains: Tom Riddle in *The Chamber of Secrets*, Peter Pettigrew in *The Prisoner of Azkaban*, and Barty Crouch, Jr. in *The Goblet of Fire*. The Everworld companions were chosen by Senna because she needed them in order to rise to power in Everworld. It becomes clear to April in *Gateway to the Gods*:

It hit me all at once. A sudden, total, undeniable realization. "Us. We're the advantage [Senna has]. That's why you drew us to the lake. You hoped we'd do just what we did: try to save you and be carried across with you. But you miscalculated there, didn't you?" I said proudly. "We didn't follow your orders."

Jalil laughed unkindly. "She didn't need us to follow orders, April. She knew we wouldn't. That was her edge. She knew we'd try to stay alive, and she knew we'd do damage in the process. Throw things off. Mess up plans. We're a...wild card that Senna can predict, at least a little" (p. 138).

The last way in which the main characters are chosen to participate in the larger plan is by fate or prophecy, as is the case with Lyra in *The Golden Compass*. In telling Farder Coram about the prophecy, the witch Consul describes Lyra as a child "who has a great destiny that can only be fulfilled elsewhere – not in this world, but far beyond" (p. 154).

Choice plays a major role in the how the characters come to be involved in the larger plan. In many instances, the characters, although chosen to participate, at least perceived that they were free to choose whether or not to be involved. What the character decided to do may be quite different from what he or she was chosen for; however, the perceived choice is important because, without it, the character would likely rebel from whomever is forcing him or her to participate. For example, the Everworld companions perceive that they have a choice in whether or not they rescued Senna from Fenrir on the

shore of Lake Michigan. Harry “chooses” to stop Snape from getting to the Sorcerer’s Stone, to rescue Ginny Weasley from the Chamber of Secrets, and to confront Sirius Black. Lyra “decides” to accompany the Gyptians to the North so that she can rescue Roger from the Gobblers. These examples support the idea that the illusion of choice can be just as important as actual choice in helping the characters achieve a purpose.

The nature of the roles. There were many different ways that the main characters contributed to the success of the larger plan. Research Question D-2 explored the nature of the roles that the main characters assume in the larger plan. Analysis of the data reveals that although the main characters roles, while varying greatly, are all necessary for the success of the plan, whether or not participation is also sufficient for the success of the plan varies between books.

It is important to note that, in many cases, the characters are chosen by the villain to fulfill a plan, but the characters rebel and work to defeat the evil side, which is the larger plan in which these characters are assuming roles. Two possibilities exist for the impact the main characters have on the success of these larger plans. First, the character's participation is necessary but not sufficient for success. In these instances, non-participation guarantees failure of the plan, but involvement does not ensure victory. The Everworld companions are fighting to defeat the Sennites; however, while their participation is necessary, success cannot be achieved without the help of the dwarves and the elves. Will and Lyra’s roles are so intricately woven together that, by nature, they cannot be sufficient for success of the plan. Lyra is chosen to free the spirits from the Land of the Dead, but cannot do so without Will and the subtle knife. Will’s role is to

help Lyra fulfill her prophecy; therefore, Will or Lyra's participation, alone, does not guarantee success of the plan.

Participation of other characters is both necessary and sufficient for the success of the plan; that is, non-participation would result in failure, but involvement guarantees success. Professor Quirrell's failure to retrieve the Sorcerer's Stone for Voldemort and Tom Riddle's failure to kill Harry are both directly related to Harry's involvement in the plan. His actions alone are sufficient for success of the larger plan, which is, in these cases to prevent the evil side from winning.

Awareness of the roles. Research Question D-3 examined whether or not the main characters were aware of their role in the larger plan and, if so, how that awareness was achieved. Between series analysis showed that in all cases, the characters begin their adventures not knowing they have a specific role to play in how events unfold but become aware of their roles before all is done. This awareness develops in two stages.

In the first stage, the main characters realize that they have a role, but they are naïve about the importance of what they are doing or they make incorrect assumptions about what that role is. At some point in the adventure, though, the main characters come to realize the full extent of their involvement in the events surrounding them. This **realization** occurs either when the characters figure it out on their own or it is revealed to them by some other person.

The Everworld companions are uncertain of their role in the surrounding events, a point well illustrated by Merlin in *Land of Loss*: "You may do. You may well do. But for whose purpose, and to what end? Perhaps the witch chose well" (p. 160). It is not until

later that they figure out what Senna is up to and how she intends to use them. What they must do becomes clear: stop Senna. Harry is one of those who makes incorrect assumptions about what he is supposed to do. He believes he is going down into the Chamber of Secrets to rescue Ginny Weasley only to find that Tom Riddle has lured him there to kill him. Lyra, too, makes incorrect assumptions about her role. Throughout *The Golden Compass*, she is certain that she is meant to rescue Roger from the Gobblers and bring the alethiometer to Lord Asriel; but, then:

She was uttering it, but it was bigger than she was; it felt as if the despair were uttering her. For she remembered his words: *the energy that links body and dæmon is immensely powerful*; and to bridge the gap between worlds needed a *phenomenal burst of energy*...

She had just realized what she'd done.

She had struggled all this way to bring something to Lord Asriel, thinking she knew what he wanted; and it wasn't the alethiometer at all. What he wanted was a child.

She had brought him Roger (p. 334).

Magic

How magic is acquired. Magic is possibly the only theme in fantasy literature that is not a direct reflection of what occurs in real life. The results of the analysis of the research questions dealing with Magic are shown in Table 6. Question M-1 explored the different ways that the main characters acquire magical powers, devices, and skills. Analysis showed that all magical powers and skills are acquired naturally; that is, they are innate abilities that the main characters already possess, but are emerging for the first time. For example, Senna Wales discovers her powers while sitting in church. As a young boy, Harry Potter discovers that he has the ability to make extraordinary things happen. Finally, young Lyra develops a natural ability to read the alethiometer, something that is

supposed to require years of painstaking study. Her extraordinary powers are evident in *The Subtle Knife* as Fra Pavel describes them to the cardinal:

“...I learn from this instrument...that she learned to read it [the alethiometer] by herself, and that she can use it without the books of readings. If it were possible to disbelieve the alethiometer, I would do so, because to use the instrument without the books is simply inconceivable to me. It takes decades of diligent study to reach any sort of understanding. She began to read it within a few weeks of acquiring it, and now she has an almost complete mastery. She is like no human Scholar I can imagine” (p. 32).

It was found, however, that the main characters acquire magical devices in one of two ways. First, the main characters may have been given the magical device, as is the case with Lyra receiving the alethiometer from the Master of Jordan College in *The Golden Compass* and Harry Potter receiving the Marauder’s Map from Fred and George Weasley in *Harry Potter and the Prisoner of Azkaban*. Also in this category are magical devices that are inherited or left with the main characters after the original owner dies. Examples include the Everworld companions left with Galahad’s sword in *Enter the Enchanted* and Harry being given his father’s Invisibility Cloak in *Harry Potter and the Sorcerer’s Stone*:

This only left one parcel. Harry picked it up and felt it. It was very light. He unwrapped it.

Something fluid and silvery gray went slithering to the floor where it lay in gleaming folds. Ron gasped....

“It’s an invisibility cloak,” said Ron, a look of awe on his face. “I’m sure it is – try it on.”

Harry pulled off the cloak and seized the letter. Written in narrow loopy writing he had never seen before were the following words: Your father left this in my possession before he died. It is time it was returned to you. Use it well... (p. 201).

Furthermore, these devices, when given, are typically, although not always, done so by an authority figure, or more precisely, a parent figure. The Marauder’s Map given to Harry by Fred and George was actually created by, among others, James Potter,

Harry's father and the Invisibility Cloak was left by Albus Dumbledore, an obvious surrogate. The Master of Jordan College has been looking after Lyra since her father left her in his care at a young age and April receives an enchanted sword from an elfin princess in *Entertain the End*.

The alternative to being given a magical device is for the main character to have been chosen by the device itself. Harry learns from Mr. Ollivander in *Harry Potter and the Sorcerer's Stone* that "it's really the wand that chooses the wizard" (p. 82). Similarly, Will Parry learns that he was chosen by the subtle knife to be its bearer from the previous bearer who tells him that "[t]he knife knows when to leave one hand and settle in another" (p. 159). The point is reiterated by his father who reminds a reluctant Will that "[i]t's picked you out" (p. 283).

It is interesting to note that magical devices do not seem to be found or acquired by chance; rather, there always seems to be some purpose at work to put these magical devices in the hands of the main characters.

How mastery is achieved. Research Question M-2 explored how the main characters achieve mastery of the acquired magical powers, devices, or skills. Analysis showed that mastery occurs in three ways. The first and most common of which is a **naturally occurring** mastery. For example, In *Harry Potter and the Chamber of Secrets*, Harry learns of his ability to speak Parseltongue, snake language, in a surprising manner:

Harry wasn't sure what made him do it. He wasn't even aware of deciding to do it. All he knew was that... he had shouted stupidly at the snake, "Leave him alone!" And miraculously – inexplicably – the snake slumped to the floor, docile as a thick, black garden hose (p. 194).

“I spoke a different language?” [Harry said] “But – I didn’t realize – how can I speak a language without knowing I can speak it?” (p. 196).

Although the two often go together, natural mastery should not be confused with a naturally acquired magical power or skill, as the main character may have had to use some other means to master innate magic. For example, Lyra is given the alethiometer by the Master of Jordan College; however, her ability to ask questions of it and interpret the answers comes naturally.

Mastery of magical powers, devices, or skills can also be **learned** through practice and/or from an expert. Harry, like all students at Hogwarts School of Witchcraft and Wizardry, has a natural magical ability; yet, he must practice and study diligently in order to effectively master his abilities. Will must learn how to use *The Subtle Knife* to find the gaps between universes and open a window, though the process by which he does so is much the same as that which Lyra uses to read the alethiometer:

But Will was trembling. He couldn’t get his mind back to the delicate balance he knew it needed, and he got more and more frustrated. Lyra could see what was happening.

She stood up and took his right arm and said, “Listen, Will, sit down, I’ll tell you how to do it...”

“It’s your wound,” she said. “*You* en’t all wrong. You’re doing it right, but your hand won’t let you concentrate on it. I don’t know an easy way of getting around that, except maybe if you didn’t try to shut it out”

“...Just sort of relax your mind and say yes, it does hurt, I know. Don’t try and shut it out” (p. 164)

Finally, the magical power or skill might have actually been a non-magical character trait or ability that produces “magical results”. For example, when trapped in the Chamber of Secrets, Harry’s loyalty for Dumbledore summons Fawkes, the phoenix, who brings Harry the magical sorting hat, out of which Harry pulls the weapon he needs to defeat the basilisk and Tom Riddle. Another example of a non-magical ability

producing magical results occurs in *The Subtle Knife* as Will learns to make himself virtually invisible:

And [Will] learned how to conceal himself, too, how to remain unnoticed at school, how not to attract attention from the neighbors, even when his mother was in such a state of fear and madness that she could barely speak (p. 9-10).

This alone would otherwise be unspectacular except for parallels drawn by the author between Will's ability and a form of actual magic performed by the witches:

It was a kind of magic [the witch, Serafina Pekkala] could work to make herself unseen. True invisibility was impossible, of course: this was mental magic, a kind of fiercely held modesty that could make the spell worker not invisible but simply unnoticed (p. 30).

The author later attributes true magical status to Will's ability in *The Amber*

Spyglass:

It was time for Will to become inconspicuous again, so he performed the magic that had deflected all kinds of curiosity away from his mother and kept them safe for years. Of course it wasn't magic, but simply a way of behaving. He made himself quiet and dull-eyed and slow, and in under a minute he became less interesting, less attractive to human attention. The people simply became bored with this dull child, and forgot him and turned away.

But the bear's attention was not human, and he could see what was happening, and he knew it was yet another extraordinary power at Will's command (p. 108).

This is a superb example of how otherwise ordinary actions become extraordinary behaviors under certain circumstances. Interestingly, there is a direct relationship between these non-magical abilities and the discovery of certain aspects of identity, namely ability. When the characters' mastery of magical powers includes non-magical abilities, it is precisely these abilities that are discovered. Will's ability to make himself invisible and Lyra's ability to bring about desired events by lying are non-magical skills that are discovered during the search for identity. Furthermore, there is a strong relationship between non-magical abilities and the emergence stage of the identity

discovery sequence. In characters with these abilities, it is invariably those character traits or skills that emerge, thereby initiating the search for identity.

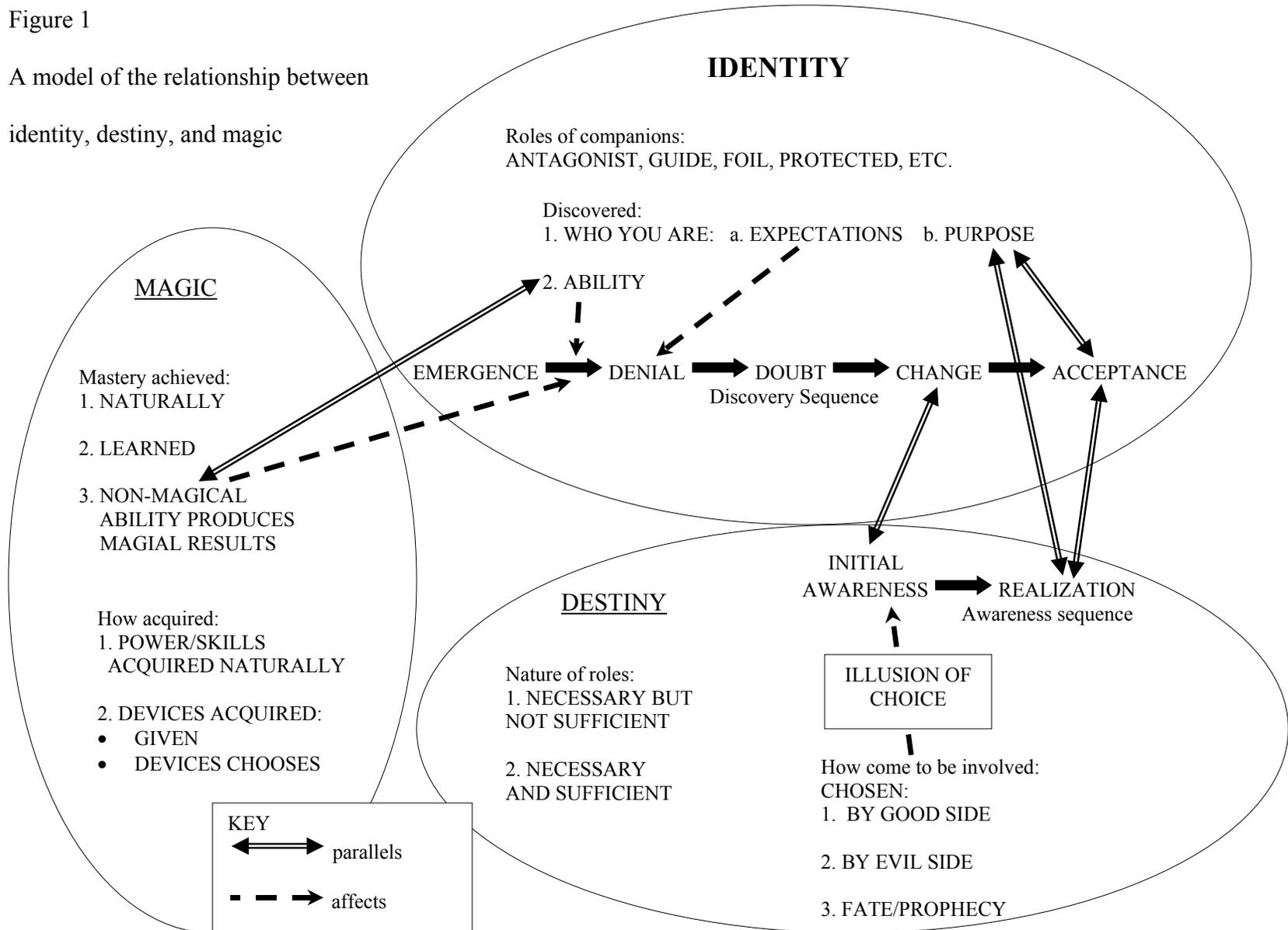
VI. Recommendations and Conclusion

From the results, it is clear that Identity, Destiny, and Magic appear on many levels in young adult fantasy series. One of the most surprising results of the data analysis is how inextricably related these themes are. Figure 1 shows a model representing the relationships between identity, destiny, and magic. It should not be considered a comprehensive model as there are most likely much more subtle relationships that can be teased out. Rather, this model serves as an overview of the research findings and visually displays some of the complex interactions found in the data. Remember that identity refers to the main character seeking to find his or her identity throughout the course of the adventure. Destiny refers to the main character's inevitable involvement in some larger plan, whereas magic refers to not simply the use of magic, but the acquisition and mastery of it, as well (Caggia, 1999).

The real value in the findings of this research study is in the comparisons of what appears in the literature and the corresponding constructs associated with adolescent development. The conclusions drawn here will align the findings presented in the model with the developmental theories. With regard to adolescence, identity can be defined as the extent to which a person understands not only who he or she is, but also his or her place in a larger social context. Destiny parallels an adolescent's quest to identify his or her role as an individual in a larger context, to discover his or her function in a social system. It is evident from looking at the model that these two themes are closely relate to

Figure 1

A model of the relationship between identity, destiny, and magic



each other in the literature, as discovering one's role is unquestionably part of discovering identity. In reality, the differences between identity and destiny are even subtler. Unlike in the literature, where the search for understanding one's role – destiny – is presented by an actual adventure that can be described, adolescents' involvement in this type of quest is much more discreet in reality. They typically do not venture off to conquer evil and save the universe.

Magic, on the other hand, is a bit more complicated, as the concept of magic does not reflect any observable state that appears in reality. In young adult fantasy literature, magic is the mechanism by which the main characters resolve the issues surrounding identity and destiny. It is possible to think about magic in this same way as it relates to issues in psychological development by considering magic as a *metaphor* for the tools adolescents use to resolve their issues; therefore, a substantial portion of the discussion of magic here will deal with magic as a metaphor.

In looking at the model (Figure 1), it is apparent that the identity discovery sequence is the focal point of the relationship between identity, destiny, and magic. While there are relationships between destiny and magic, it is not possible to consider these two without devoting attention to their impact on identity. Therefore, a substantial portion of this discussion will concern the relationship between the identity discovery sequence and the other findings.

Before getting into the discussion of the actual identity sequence that was discovered, it is important to address how the sequence emerged. In analyzing that data, it became clear that certain events occurred as the main characters struggled to find their identity. Between books analysis revealed that there were five events that occurred in the

search for identity; however, no single book contained all five. Within series analysis showed that there was a definite sequence to how the events played. For example, doubt was always found to come after denial and before acceptance; however, it was difficult to piece together a complete sequence because no series had all five events either. Between series analysis, however, revealed the five stages in sequence. Only when the sequences within each series were compared were the nuances of the identity sequence revealed.

The way in which this identity discovery sequence emerged is important because it parallels the work of Vladimir Propp (1968) who presents a sequence of 31 functions that comprise any folk tale or “hero story”. Through his analysis of folk and fairy tales, Propp created an invariant sequence that occurs in any such story. While it is far more comprehensive a model than this research project offers, it does provide a satisfying comparison: in both studies, it was found that while there is an invariant sequence of events, all elements of the sequence need not be present in each story. Sequence elements may be omitted from the text, but the order in which they appear cannot be changed. This finding speaks to the power of the search for identity, and more specifically, Erikson’s (1968) stage theory for how identity is discovered; it is truly the driving force behind the adventure.

The identity discovery sequence lists five events that occur as the main characters search for their identity: Emergence, Denial, Doubt, Change, and Acceptance. The hypothesis set forth earlier holds that these events should parallel events that occur as adolescents mature from childhood to adulthood. Indeed, the identity discovery sequence can be seen as a product of the stage sequence that Erikson (1968) developed to describe how adolescents resolve the crisis of Identity versus Role Confusion.

Erikson (1968) describes the need for adolescents to develop social and occupational identities in order to resolve the identity crisis. With regard to the findings, these can best be described as the parts of identity that are discovered. Specifically, social identity parallels with the finding that the characters discover who they are – the expectations of who they are supposed to be and the reality of who they are becoming. Occupational identity, or what one can do, refers to the characters' newly discovered abilities.

As shown in the model, ability, or occupational identity, sets up the sequence. When the characters discover what it is that they can do, it starts a process by which they begin to evaluate who they are and how they can use this new ability. In much the same way, adolescents enter the identity discovery sequence by discovering, or at least beginning to discover, their occupational identities.

Another component of identity that the main characters discover in the course of their adventures is who they are. This might seem like a definition of identity, and, in a sense, it is. As shown in the model, the acceptance stage of the identity discovery sequence parallels with the discovery of purpose, or who the character is meant to be; however, there are two different elements of “who they are” and each reflects a different stage of the identity discovery sequence.

The first component of “who they are” that is discovered is expectations, referring to the main character learning about who he or she is supposed to be based on social and/or familial traditions. These expectations parallel with the denial phase in the identity sequence, a point that may not be obvious from the analysis of data. Typically, the main characters become aware of expectations *before* they become aware of ability, or for that

matter before the emergence stage of the identity discovery sequence. In fact, the expectations themselves do not have any direct impact on the identity sequence. The influence of expectations on identity discovery can only be seen when there is direct conflict between those expectations and an emerging ability; in other words, the main characters discover that they have an ability that is inconsistent with their perception of who they are supposed to be. As a result, the character moves into the denial stage of the sequence, whereby they reject their emerging ability in favor of established expectations.

Similarly, adolescents may have trouble reconciling a newly discovered occupational identity with expectations. It is probable that the greater conflict occurs with familial than with social expectations, but the possibility for either remains. The adolescents move into the denial stage of identity development, most likely rejecting occupational identity in favor of something more consistent with their perception of who they are supposed to be.

Erikson (1968) also describes a stage sequence that explains *how* adolescents come to resolve the crisis of Identity versus Role Confusion, to achieve social and occupational identity. The first of four stages describes the need for adolescents to develop trust in themselves and in their peers. They are seeking companions whom they can trust and to whom it is worthwhile that they appear trustworthy. The *third* stage also deals with the peer relationship. Here, adolescents will typically surround themselves with peers who aggrandize the roles they have chosen. It is likely that the main characters' companions play an important role in the process of achieving identity; however, analysis of these particular data did not produce relationships with the identity sequence.

In the second stage of Erikson's (1968) sequence, he refers to the importance of free will. Specifically, adolescents are looking to define themselves through activities they have chosen of their own accord, which raises the question of destiny. By definition, the concept of destiny holds that events will occur regardless of anything an individual does to promote or prevent them; in essence, destiny should not allow free will.

According to Erikson, though, free will is essential to resolving the identity crisis. This conflict is resolved in the literature by giving the main characters the *illusion* of choice, allowing them to believe that they are acting of their own free will. Free will, alone, does not impact the identity discovery sequence; however, as shown in the model, the effects of the illusion of choice are mediated by the characters' developing awareness of their roles. It is this process by which they achieve awareness that parallels identity discovery.

Developing awareness of the characters' roles in a larger plan is an important aspect of destiny that must be considered with regard to the identity discovery sequence. The awareness occurs in a two-stage sequence by which the main characters become aware that they have a role to play in a larger plan, that they have a destiny. The first stage involves the characters becoming initially aware that they have a role to play, but the full extent of that role remains obscured to them. How the main characters come to be involved affects achievement of initial awareness only when mediated by the illusion of choice. In other words, regardless of how they were chosen to be involved, the main characters reach initial awareness if they *perceive* that they have a choice in becoming involved. Back in terms of identity, Initial Awareness of role parallels with Change in the identity discovery sequence, where the main characters accept change as a powerful force in the search for identity. The main characters' awareness that they have a role to play

signals a change in their thinking. They are comfortable with the idea that they are becoming someone new because they are beginning to see a purpose in it. They are now ready to discover fully what the role is and embrace it.

After initial awareness comes full realization of what the role is that the main characters are to play in a larger plan. This realization parallels with purpose as one of the discovered components of identity. As characters come to fully comprehend the extent to which their actions will affect the outcome of some larger event, they are discovering who they are meant to be. As part of this process, they now accept their occupational identities while rejecting any incongruent expectations. These realizations appear in Erikson's (1968) sequence in the fourth and final stage, the choice of an occupation. In this stage, adolescents choose to do something and do it well. Furthermore, they appear in the literature in the Acceptance stage of the identity discovery sequence. This is the point at which the main characters come to terms with their role in the larger plan and their perceptions of who they are meant to be.

Putting this back in terms of adolescent development, the degree to which adolescents have free will, or at least the illusion of it, is vital to progressing towards identity discovery. According to Erikson (1968), adolescents who do not perceive that they have a choice in the activities by which they define themselves have tremendous difficulty resolving the crisis of Identity and Role Confusion. Without the illusion of choice, adolescents will not be in a position to reflect upon their activities and the impact they have on larger social contexts; in other words, they will not be able to develop initial awareness that they have a specific role within those social contexts. At this point, adolescents may find themselves unable to accept change and, subsequently, to choose an

occupation. In terms of the identity discovery sequence, these adolescents will not come to realize their purpose or accept their adult identities.

Resolving the crisis of Identity versus Role Confusion is a remarkably complex and perilous process. The identity discovery sequence, which reflects how resolution of the identity crisis plays out in the literature, is inextricably related to many other factors associated with the main characters and their adventures. Elisabeth Kübler-Ross (1969) also identified a similar sequence that describes the cycle of grief that people go through when dealing with a loss. Both sequences deal with denial and with negative feelings before giving way to acceptance. The initial event in the grief cycle – loss – does not appear in the sequence; however, it is important to include the initiating event of identity discovery – Emergence – in the actual sequence because the transition to later stages is affected by other aspects.

Given the similarities between the two sequences, it may be that what has emerged here is a cycle associated with change, in general, rather than identity. Finding a cycle of change embedded in young adult fantasy should not be surprising, though. Identity is a major change facing not only the characters in these books, but the young adults who are reading them. Therefore, it is entirely appropriate that this sequence should emerge from the data.

In his theory of intellectual development, Piaget (1952) describes the stage of Formal Operations as a period when adolescents begin to exhibit the ability to operate on operations. This means that adolescents are able, for the first time, to comprehend an action in terms of its impact on an unobservable world. They also develop the ability to

work through a hypothesis to a conclusion or set of conclusions. In young adult fantasy literature, this meta-cognitive and hypothetico-deductive thought is represented by magic, which, to this point has not been addressed with regard to the identity discovery sequence. In the literature, the characters must be aware of the impact their actions have on others in order to use magic effectively. Furthermore, in many cases, the characters must have keen awareness of their thought processes for the magic to work, which, by definition, is meta-cognition. In choosing how to use magic, the main characters must first carry out their actions to a set of hypothetical results. In doing so, the characters become aware of their roles in surrounding events by realizing the potential impact of their actions and making choices about whether and how to proceed. Developing awareness of roles has already been established as having a profound impact on the identity discovery sequence.

Similarly, adolescents begin to develop meta-cognitive and hypothetico-deductive thought. In reflecting upon aspects of their emerging identities and reaching hypothetical conclusions about who they are becoming, adolescents come to develop realizations of their purpose and roles in social contexts. To return to Erikson, they may discover their social and occupational identities as a result of this new way of thinking. It may even be that meta-cognition is the catalyst by which adolescents progress from one stage to the next in the identity discovery sequence. In reality, though, the mental states associated with these types of thinking are unobservable and, quite possibly, indescribable. As a result, one sees magic used as a metaphor to represent meta-cognitive and hypothetico-deductive thought in young adult fantasy literature.

One specific finding under magic is particularly intriguing. When the main character through the use of a non-magical ability that produces magical results achieves mastery of magic, there is a relationship both with ability as a discovered part of identity and the transition between emergence and denial in the identity discovery sequence. The idea of the transformation from the ordinary to the extraordinary serving as the catalyst for change is certainly something that warrants exploration in future research. For adolescents, meta-cognitive and hypothetico-deductive thought are tools for understanding the world and their place in it.

Not depicted in great detail in the model is the role of companions in helping the main character achieve identity. There are certainly many possibilities to consider and it may have been impossible to adequately address this question here; however, the matter is worth exploring in future research, as well.

Another recommendation for future research is to explore the idea of magic-as-a-metaphor-for-meta-cognition as the catalyst between stages in the identity discovery sequence. While the model presents paints a fairly clear picture of how identity, destiny, and magic are related, there are not many answers to the questions of why and how certain changes take place in the main characters. The possibility that magic could be the catalyst for change is a truly fascinating prospect and is worthy of exploration.

In retrospect, there were some design issues that are worth noting for future consideration. First, the fact that one of the three series chosen for content analysis is not complete poses a challenge to thorough analysis of the data. It is impossible to identify many of the aspects of identity development in the *Harry Potter* series because they have

not occurred yet. Future research should consider the decision to include incomplete series for analysis. Next, in order to create a more complete model, future research might include more books and/or more detailed analysis of the data. There are certainly many subtleties that remain hidden in the texts.

One of the strengths of this research design is its flexibility. While the research questions are quite structured, the analysis of the data allows for unexpected findings to emerge. Finally, it is hoped that the findings of these research project can be of use, both to other researchers and to practicing library professionals. The results described here could have implications for reader's advisory as well as for materials evaluation and selection. In an age where adolescents are literally bombarded with images and information from all angles, it is imperative that library professionals continue to be able to provide young adult readers with quality literature that will not only entertain, but also touch them in ways too subtle to be realized.

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VIII. Tables: Supporting Data

Table 3

Qualitative data from the texts

Title: <i>Search for Senna</i> (SFS) – Everworld #1	
Data Source	Corresponding Questions (See Table 2)
SFS1: 7/5	I-1
SFS2: 19/8 ; 19/10(=20/1)	D-3
SFS3: 25/8-11	I-1
SFS4: 76/4	D-3
SFS5: 166/1-2	I-1, I-2
SFS6: 190/6→191/3	I-2
Title: <i>Land of Loss</i> (LOL) – Everworld #2	
LOL1: 142/6-7	D-1
LOL2: 160/1/1-3	I-1, D-1, D-3
LOL3: 177/9/1-4 ; 178/1/1-2	I-1
Title: <i>Enter the Enchanted</i> (ETE(III)) – Everworld #3	
ETE(III)1: 12/4/3-4	D-1, D-3
ETE(III)2: 12/6→14/3	I-1
ETE(III)3: 24/8-9	I-2
ETE(III)4: 135/4-6	I-1, D-1

ETE(III)5: 159/4-5	M-1
ETE(III)6: 165/3-4	I-2
ETE(III)7: 169/1/1-5	D-2 ; D-3
Title: <i>Realm of the Reaper</i> (ROTR) – Everworld #4	
ROTR1: 42/8-12	M-2
ROTR2: 67/13 ; 69/14 ; 70/2-4	I-1, I-2, D-1
ROTR3: 71/2-3	I-1
Title: <i>Discover the Destroyer</i> (DTD) – Everworld #5	
DTD1: 113/4/2-3	I-2
Title: <i>Fear the Fantastic</i> (FTF) – Everworld #6	
FTF1: 175/2 ; 175/5/3 ; 175/6	I-2
Title: <i>Gateway to the Gods</i> (GTTG) – Everworld #7	
GTTG1: 14/5→16/4	I-1
GTTG2: 16/5→18/3	I-1
GTTG3: 57/2/4-5 ; 57/3/5-6	I-1, I-2
GTTG4: 100/2/2-4 ; 100/5	I-1, I-2
GTTG5: 138/3→139/2	D-1, D-3
GTTG6: 170/4-5/1	I-2
Title: <i>Brave the Betrayal</i> (BTB) – Everworld #8	
BTB1: 9/4/5-7	I-2
BTB2: 86/9-11	I-1
BTB3: 106/2-3	I-1, I-2

 Title: *Inside the Illusion* (ITI) – Everworld #9

 ITI1: 5/6 ; 6/12(=7/1) M-1

 ITI2: 16/2 I-1, D-1

 ITI3: 57/2→58/2 M-2

 ITI4: 61/5/4→62/1 I-1

 Title: *Understand the Unknown* (UTU) – Everworld #10

 UTU1: 3/1 I-1, I-2

 Title: *Mystify the Magician* (MTM) – Everworld #11

 MTM1: 48/3/2-5 I-2

 Title: *Entertain the End* (ETE(XII)) – Everworld #12

 ETE(XII)1: 4/2→5/4 I-3

 ETE(XII)2: 22/2→23/1 D-2

 ETE(XII)3: 77/7-8 I-1, I-2

 ETE(XII)4: 79/3/2-3 I-2

 ETE(XII)5: 81/5 I-1, I-2, D-3

 ETE(XII)6: 114/3-4 I-2, D-3

 ETE(XII)7: 118/8(=119/1) M-1

 ETE(XII)8: 153/1/1-3 ; 153/1/14-16 D-3

 ETE(XII)9: 153/2(=154/1) I-2

 ETE(XII)10: 154/2 I-1, I-2

 Title: *Harry Potter and the Sorcerer's Stone* (SS) – Harry Potter, Year 1

 SS1: 58/4/2-8 I-1, I-2, M-1, M-2

SS2: 69/3-8	I-1, I-2
SS3: 82/8/3-4	M-1
SS4: 85/1 ; 85/5-6	M-1
SS5: 121/9-11	M-2
SS6: 136/7 ; 137/7 ; 138/1 ; 139/5/2	I-1
SS7: 148/10/1-5	I-2, M-2
SS8: 201/4-5 ; 201/9 ; 201/14→202/3	M-1
SS9: 213/12	D-1
SS10: 214/1/2-3	D-1
SS11: 225/1/3-4	I-1
SS12: 261/2-3	D-1
SS13: 270/5 ; 270/8	D-1, D-3
SS14: 292/11	D-2, D-3
SS15: 300/10→300/11/5	D-1
SS16: 302/5-7	D-1
SS17: 308/4-8	I-2
Title: <i>Harry Potter and the Chamber of Secrets</i> (COS) – Harry Potter, Year 2	
COS1: 120/5-6	M-1, M-2
COS2: 137/7-9,13,15 ; 138/4/2-3 ; 138/8/2	M-1, M-2
COS3: 194/9	M-1, M-2
COS4: 195/5/7→195/8/2 ; 196/1-2 ; 196/8	M-1, M-2
COS5: 300/13→301/2	D-1, D-3
COS6: 312/6/1-3 ; 313/2 ; 313/4/1-5	D-1

COS7: 315/5 ; 315/10 ; 332/4/2-3	D-2, M-2
COS8: 318/10(=319/1); 319/9→320/1 ; 333/8-9	D-2, D-3, M-2
COS9: 322/6-8	D-3
COS10: 332/12→334/1	I-2, M-1, M-2
Title: <i>Harry Potter and the Prisoner of Azkaban</i> (POA) – Harry Potter, Year 3	
POA1: 191/3-6	M-1
POA2: 214/13→215/2	D-1
POA3: 371/5	D-1
Title: <i>Harry Potter and the Goblet of Fire</i> (GOF) – Harry Potter, Year 4	
GOF1: 232/2-5/2 ; 232/7	M-2
GOF2: 270/9→271/2	D-1
GOF3: 278/6 ; 279/2	D-1, D-3
GOF44: 310/6/8-12	M-1
GOF5: 312/8/3-5	D-1, D-3
GOF6: 345/7 ; 346/5	M-2
GOF7: 607/1	M-2
GOF8: 641/4 ; 641/7 ; 642/3 ; 643/5	D-1, D-2, D-3
GOF9: 652/8→653/2/2	D-3
GOF10: 669/6-7	D-3
GOF11: 688/5 ; 691/3	D-1
GOF12: 697/5-6	M-1
Title: <i>The Golden Compass</i> (GC) – His Dark Materials, Book One	
GC1: 27/2/3-5	D-1

GC2: 28/4/4→28/6	D-1
GC3: 65/5 ; 65/7 ; 65/9/1-2 ; 65/12	M-1
GC4: 70/9/1-6	M-2
GC5: 97/6/3→97/7	D-1, D-3
GC6: 108/7/2-3 ; 110/5/6→110/7/1	I-1, I-2
GC7: 111/8	M-1, M-2
GC8: 115/1	I-2
GC9: 117/5→118/1	M-1, M-2
GC10: 127/10-12	M-2
GC11: 130/8/2-6	M-1, M-2
GC12: 133/1/6-8	I-2
GC13: 133/8→134/3/4	M-1, M-2
GC14: 147/8	I-2
GC15: 154/7-9	I-1, D-1
GC16: 161/4/12-18	M-2
GC17: 199/1	M-2
GC18: 246/11	I-1, M-2
GC19: 264/9-12	D-1, D-3
GC20: 269/2-3	I-1, D-1
GC21: 271/7(=272/1)	I-1, D-1, D-2
GC22: 272/4	D-1
GC23: 287/2/4-8	M-2
GC24: 331/8-11	D-3

GC25: 334/1-4	D-1, D-2, D-3
GC26: 349/15 ; 350/5	D-3
Title: <i>The Subtle Knife</i> (SK) – His Dark Materials, Book Two	
SK1: 9/9/5→10/1/3	I-1, M-2
SK2: 11/5	I-2
SK3: 30/2/3-9	M-2
SK4: 32/1/4-13	M-1, M-2
SK5: 84/5/6-11	M-1, M-2
SK6: 98/9→101/3	I-1
SK7: 102/2	I-1
SK8: 159/5-7 ; 159/9-11 ; 159/14/3-4	D-1, M-1
SK9: 160/5/3-4	M-2
SK10: 164/2-10 ; 164/13(=165/1)	M-2
SK11: 166/3/1-3	D-1
SK12: 233/3 ; 233/4/8-10	I-1
SK13: 234/3-4	D-1
SK14: 234/5→235/1	D-1
SK15: 272/6-7	I-1
SK16: 274/4/5-7	M-2
SK17: 278/2-4	D-2
SK18: 283/2-3	I-2, D-1, M-1
SK19: 283/9-10	I-1
SK20: 283/12→284/2 ; 284/6/1-5	D-1, D-3

SK21: 284/9/4→284/10 ; 285/7 ; 285/9	I-1
Title: <i>The Amber Spyglass</i> (AS) – His Dark Materials, Book Three	
AS1: 20/1-3/3	M-2
AS2: 108/4/3→108/5/3	I-1, M-2
AS3: 139/1/5-9	I-1, M-2
AS4: 165/8/7-10	D-2
AS5: 170/11/4-7	I-1, M-2
AS6: 238/1-3	D-3
AS7: 261/10=(262/1)	I-1, M-2
AS8: 265/5-7	I-1
AS9: 267/10(=268/1)	I-1
AS10: 285/4	I-1
AS11: 294/5	I-1, I-2, M-2
AS12: 308/5/3→309/5	I-1, D-2, D-3
AS13: 310/2/1	D-2
AS14: 310/5-6	D-2, D-3
AS15: 384/2	I-2, M-2
AS16: 489/5 ; 489/7 ; 490/3-4	I-2, M-2
AS17: 492/3-6	I-2
AS18: 496/1	I-1, I-2

Table 4

Results and Evidence for Theme: Identity (I)

Question I-1: What parts of identity are discovered?

1. Who the characters are

EVIDENCE

Example	Data Source
Senna's expectations of the Everworld companions	LOL2, ETE(III)2, ETE(III)4, ROTR2, ROTR3, GTTG1, GTTG2, ITI2, ITI4, ETE(XII)1
Everworld companions expectations of who they think they are supposed to be	SFS1, SFS3, GTTG4, UTU1
Harry Potter realizing his famous past	SS2, SS6
Lyra learning who her parents are	GC6
Lyra overhearing the Consul and Farder Coram discussing the prophecy about her	GC15, GC20, GC21, AS10, AS12
Will searching for his father	SK6, SK7, SK12, SK15, SK21

b. Purpose (Who they really are, who they are meant to be)

EVIDENCE

Example	Data Source
Everworld companions accepting their alternate identities	SFS5, LOL3, BTB2, BTB3, GTTG3, ETE(XII)3, ETE(XII)5, ETE(XII)10
Will's realization that he is a "warrior"	SK19

Will's understanding of "what work he has to do"	AS18
Lyra's realization of her purpose	AS8, AS9, AS12

2. Ability (what they can do)

EVIDENCE

Example	Data Source
Everworld companions: David's heroism, Jalil's reasoning, Christopher's antics, April's peace-making ability	ETE(III)2, GTTG1, GTTG2, ITI2, ETE(XII)1
Harry's natural ability to do magical things	SS1, SS11
Lyra's ability to weave lies	GC18, AS5, AS7, AS11
Will's ability to become "invisible"	SK1, AS2, AS3

Question D-2: How is identity discovered?

- Identity is discovered in stages:

I. Emergence → II. Denial → III. Doubt → IV. Change → V. Acceptance

EVIDENCE

Character	Data Source				
	Stage I	Stage II	Stage III	Stage IV	Stage V
April O'Brien		ETE(III)3, ETE(III)6		GTTG3, GTTG4	GTTG6, ETE(XII)3, ETE(XII)4,

					ETE(XII)5, ETE(XII)6, ETE(XII)9, ETE(XII)10
David Levin	SFS5		SFS6, DTD1		UTU1, ETE(XII)5
Christopher H.			FTF1	MTM1	ETE(XII)5
Jalil Sherman	ROTR2			BTB1, BTB3	ETE(XII)5
Harry Potter	SS1, SS2, SS7	SS17	COS10		
Lyra Belacqua	GC6	GC8, GC12, GC14	AS11, AS15, AS16		AS17
Will Parry	SK2	SK18			AS18

Table 5

Results and Evidence for Theme: Destiny (D)

Question D-1: How/why do the main characters come to be involved?

- Chosen
 - a. by the “good” side

EVIDENCE

Example	Data Source
Harry Potter: chosen to keep Voldemort from getting the Sorcerer’s Stone	SS9, SS10, SS12, SS13, SS15, SS16
Will: chosen to bring the subtle knife to Lord Asriel	SK8, SK11, SK18, SK20

- b. by the villain of the “evil” side

EVIDENCE

Example	Data Source
Everworld companions	LOL1, LOL2, ETE(III)1, ETE(III)4, ROTR2, GTTG5, ITI2
Harry Potter: as the target of Tom Riddle	COS5, COS6
Harry: as the target of Peter Pettigrew	POA2, POA3
Harry: as the target of Lord Voldemort	GOF2, GOF3, GOF5, GOF8, GOF11
Will: chased by the men looking for his father	SK13, SK18

c. by fate or prophecy

EVIDENCE

Example	Data Source
Lyra drawn away from Oxford	GC1, GC2, GC5, GC15, GC19, GC20, GC21, CG22, CG25

Question D-2: What are the roles that the characters assume in the larger plan?

1. Participation is necessary but not sufficient for success

EVIDENCE

Example	Data Source
Everworld companions: saving Everworld from the Sennites	ETE(III)7, ETE(XII)2
Harry: blood needed to revive Voldemort	GOF8
Lyra: fulfilling the prophecy about herself	GC21, SK17, AS4, AS12, AS13
Will: using the knife to open the Land of the Dead	AS14

2. Participation is both necessary and sufficient for success

EVIDENCE

Harry Potter: reaching the Sorcerer's Stone before Professor Quirrell	SS14
Harry: preventing Tom Riddle from killing Muddbloods	COS7, COS8

Lyra: bringing Lord Asriel a child	GC25
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Question D-3: How/when do characters become aware of their role in the larger plan?

- Awareness occurs in two stages:
 - a. Stage 1: characters aware that they have a role, but are naïve about the importance of it or make incorrect assumptions about what that it is.
 - b. Stage 2: characters realize fully their roles

EVIDENCE

Example	Stage 1 Data Source	Stage 2 Data Source
Everworld companions: saving Everworld	SFS2, SFS4, LOL2, ETE(III)1	ETE(III)7, GTTG5, ETE(XII)5, ETE(XII)6, ETE(XII)7
Harry Potter: finding the Sorcerer's Stone before Quirrell	SS6b	SS14
Harry: preventing Riddle from killing Mudbloods	COS6	COS8, COS9
Harry: Triwizard cup	GOF4, GOF5	GOF8, GOF9, GOF10
Lyra: fulfilling the prophecy about herself	GC26, AS12	AS6, AS12
Lyra: bringing Lord Asriel a child	GC5, GC19, GC24	GC25
Will: using the knife to open the Land of the Dead	SK11, SK12, SK15	SK20, AS14

Table 6

Results and Evidence for Theme: Magic (M)

Question M-1: How is magical power, device, or skill acquired?

1. Magical powers and skills acquired naturally

EVIDENCE

Example	Data Source
Senna: powers as a witch	ITI1
Harry: magical powers	SS1, SS7, COS1, COS2, COS3, COS4, COS10
Lyra: reading the alethiometer	GC7, GC9, GC11, GC13, SK4, SK5

2. Magical devices acquired in two ways

a. Given

EVIDENCE

Example	Data Source
Everworld companions: Galahad's sword	ETE(III)5
April O'Brien: Etain's enchanted sword	ETE(XII)7
Harry Potter: his father Invisibility Cloak	SS8
Harry: The Marauder's Map	POA1
Lyra: the alethiometer	GC3

b. the bearer is sought or chosen by the device

EVIDENCE

Example	Data Source
Harry: his magic wand	SS3, SS4, GOF4, GOF12
Will: the subtle knife	SK8, SK18

Question M-2: How is mastery of the magical power, device, or skill ultimately achieved?

1. Mastery achieved naturally

EVIDENCE

Example	Data Source
Everworld companions: Galahad's sword	ROTR1
Senna: her powers as a witch	ITI3
Harry: flying on a broomstick	SS7
Harry: speaking Parseltongue	SS1, COS1, COS2, COS3, COS4
Lyra: reading the alethiometer	GC4, GC7, GC9, GC10, GC11, GC13, GC16, GC17, GC23, SK4, SK5, AS15, AS16

2. Mastery is learned

EVIDENCE

Harry: various spells	GOF1, GOF6, GOF7
Will: using the subtle knife	SK9, SK10, AS1

3. Non-magical character trait or ability that produces magical results

EVIDENCE

Example	Data Source
Harry: loyalty	SS5, COS7, COS8, COS10
Lyra: lying	GC18, AS5, AS7, AS11
Will: "invisibility"	SK1, AS2, AS3