

Chapter II

Studies of Literature, Novel and Comparative Literature

This chapter discussed theories proposed by experts that are relevant to the research problem, providing support for the current research. It comprises of five parts; previous study, the structure of the novel, comparative literature, synopsis “The Old Man and The Sea” novel, and synopsis “To Have and Have Not” novel.

2.1 Previous Study

There are five previous studies relevant to this one. The first study is titled “Analysis of Character and Characterization in Ernest Miller Hemingway’s Novel ‘The Old Man and The Sea’” by Fransiskus Heru, Kunto Nurcahyoko, and Tuminah. This study explores the characterization of each important character in “The Old Man and The Sea”. The second study is titled “The Intrinsic Elements in The Old Man and The Sea by Ernest Hemingway”. This study delves into the novel’s intrinsic elements, including characters, setting, plot, and point of view. Both studies focus on exploring the intrinsic elements of the novel. What differentiates this study from the previous ones is that it not only examines the intrinsic elements of “The Old Man and The Sea” related to the central character but also compares these intrinsic elements with another novel, “To Have and Have Not”.

The third previous study is titled “Comparative Study of The Main Characters of Bridget Jones’s Diary in The Novel and Movie” by Muhammad Zainul Ariffin. This study focuses on comparing the main character in both

the novel and the movie. The fourth study, titled “Comparative Study on The Dialogues of The Main Characters in The Novel and Movie Scripts ‘Wuthering Heights’ by Emily Bronte” by Resmi Rahayu, compares the dialogues of the main characters in the novel and the film script. The difference between these two studies and this study is in the focus; the previous studies compare the main characters in a novel and its film adaptation, while this study compares the main characters in two different novels.

The final study is titled “Penciptaan Skenario Program Cerita Televisi ‘Rani’ dengan Pengolahan Round Character Tokoh Utama untuk Memperkuat Konflik” by Meilani Tri Cahyani. This study uses the Freytag pyramid theory to analyze the plot, similar to this study. The difference is the object used for the analysis; the previous study focuses on a television script, while this study applies the theory to analyze the plot of a novel.

The researcher did not find other studies using the structuralism theory by Jauharoti and comparative literature by Kasim. Additionally, there were no other studies focusing on comparative literature analysis of Ernest Hemingway’s novels, specifically comparing the central characters.

2.2 The Structure of The Novel

Novel is a type of literature that is fictional, but its storyline can become a real-life experience, and furthermore, novels have the task of educating the inner experiences of readers (Damono 1978). According to Abrams (1981), a novel is a story or creation, also referred to as narrative text or narrative

discourse. Fiction means fictional stories, which are narrative tales that do not actually occur in the real world.

In its writing, a novel also has a structured format so that the stories within it can be understood as interconnected. The structure of a novel is also an important part of novel analysis. This is because the novel's structure contains intrinsic elements of the novel itself that are crucial to understand before analyzing other aspects of a novel. The structure that constructs a literary work as an aesthetic element in structural analysis can be carried out by identifying, examining, describing the functions, and relationships among the intrinsic elements concerned (Nurgiyantoro 2013)

Structural researchers typically rely on an egocentric approach, namely a research approach centered on the literary text itself. The emphasis of structuralism is to view literary works as autonomous texts. Research is conducted objectively, emphasizing the intrinsic aspects of literary works (Endraswara 2011). Basically, this structural approach is important for understanding the intrinsic elements of a novel objectively, so that the novel can be understood in its writing first before being analyzed from other aspects again.

As explained earlier, a novel's structure is built from its own intrinsic elements. These intrinsic elements in the novel are also divided into several aspects. According to Jauharoti (2014), the intrinsic elements in a literary work are the building blocks of literature that can be found within the text of the literary work itself. For literary works in prose form, such as novels, short

stories, and novellas, there are seven intrinsic elements: Theme, Message, Characters, Plot, Setting, Point of View, and Style of Language.

1. Theme

Themes are the soul of every part of a story. It serves as the foundation for the development of the entire narrative. Themes, in many respects, “bind” the presence or absence of events, conflicts, and specific situations, including various other intrinsic elements. Some themes are explicitly stated (mentioned), while others are implicitly expressed (not mentioned but understood).

In determining themes, authors are influenced by several factors, including personal interests, reader preferences, and the desires of publishers or authorities. In a literary work, alongside the central theme, there often exist secondary themes. The central theme is the focal point of the entire series of events in the story. Secondary themes, on the other hand, are other themes that accompany the central theme (Jauharoti 2014).

In conclusion, the theme is the main foundation of a narrative story. The theme provides the main idea of what is being told in the novel itself. Finding a theme is divided into two characteristics: first, when the theme is directly written by the author in the novel, and second, when the theme is expressed through the story’s writing and can only be understood after reading the whole story.

2. Message

The message is a moral teaching or message that the author wants to

convey through their work. Like the theme, the message can be implicitly conveyed by providing moral teachings or messages through the behavior or events that occur to the characters towards the end of the story, and it can also be explicitly conveyed through the delivery of appeals, advice, warnings, counsel, recommendations, or prohibitions related to the main idea of the story (Jauharoti 2014).

3. Characters

Characters are the individuals created or designed by an author who experience events or actions within various story events. Characters can be divided into two categories, namely central characters and supporting characters. Central characters are those who experience many events within the story (Jauharoti 2014). The central characters are divided into two categories, namely:

- a. Protagonist central character, who embodies positive characteristics or conveys positive values.
- b. Antagonist central character, who embodies characteristics that are contrary to the protagonist or conveys negative values.

As for supporting characters, they are individuals who support or assist the central character. Supporting characters are divided into three types:

- a. Main characters are subordinate characters who are trusted by the central character (whether protagonist or antagonist).

- b. Additional characters are characters who play a very minor role in the events of the story.
- c. Background characters are characters who are part of or function solely as the background of the story.

Characterization is the portrayal of a character's traits and the creation of their image. There are two methods of character portrayal:

- a. Analytical/direct/discursive method, which involves presenting the character's traits directly.
- b. Indirect dramatic method, which entails presenting the character's traits through their thoughts, dialogue, actions, and even through their physical appearance and the description of their surroundings or environment by the author.

According to Jakob Sumardjo and Saini K.M (in Jauharoti 2014), there are five ways to present a character's personality:

- a. Through their actions, especially how they behave in critical situations.
- b. Through their speech. From their words, we can determine whether the character is elderly, educated, female or male, coarse or refined.
- c. Through physical portrayal of the character.
- d. Through their thoughts.
- e. Through direct exposition.

4. Plot

According to Jauharoti (2014) plot is the sequence or series of events in a story. Plot can be characterized based on three types, namely:

- a. Based on the chronological order of events. Such a plot is called a linear plot.
- b. Based on cause-and-effect relationships. Such a plot is called a causal plot.
- c. Based on the theme of the story. Such a plot is called a thematic plot. In a story with a thematic plot, each event seems to stand on its own. If one episode is removed, the story can still be understood.

In finding which structural character is used in a novel, the analysis can be assisted based on the structure present within the novel itself. As for the structure of the plot, it is as follows:

- a. The beginning consists of: Exposition, inciting moment, and rising action.
- b. The middle part consists of: Conflict, complication, and climax.
- c. The end consists of: Falling action and resolution.

In constructing a plot, there are several important factors that need to be considered to make the plot dynamic. These important factors are:

- a. Probability factor. Meaning, the events of the story should not always be realistic but plausible.
- b. Surprise factor. Meaning, the events should not be directly

predictable or recognizable by the reader.

- c. Coincidence factor. This refers to events that occur unexpectedly, by chance.

The narrative structure of this pyramid was developed by Gustav Freytag in the 19th century, this structure is visualized in the form of a pyramid, which illustrates the stages of a story, making this narrative structure widely known as Freytag's Pyramid. According to Glatch (2020), Freytag's Pyramid is a well-known structure among writers. The five stages of Freytag's Pyramid provide a dramatic storyline with exposition, rising action, the peak stage of the pyramid being the climax, falling action, and resolution.

Sean Glatch (2020) explains that Freytag's Pyramid illustrates the five main stages of a story, providing a guide or framework for writing a story from beginning to end. These stages in the pyramid include:

a. Exposition

This stage is the beginning of the story, where the main narrative elements such as setting, characters, style, and others are introduced. In the exposition, the primary focus is on building the world where the story's conflict will take place.

b. Rising Action

The rising action describes the conflict in the story before reaching the climax. At this stage, the plot often becomes more complex, and complications arise. This part also provides the audience with background

information or backstory explaining why these complications occur.

c. Climax

This stage is the part of the story where the conflict reaches its peak. The climax is also considered a turning point, not only in the plot but also in the theme and ideas of the story. It provides the audience with a clear depiction of the impactful concepts of the narrative.

d. Falling Action

In the falling action section, it depicts the stage where the aftermath of the climax is narrated. This illustrates how the story begins to return to normalcy after the climax event alters the narrative elements. This section also sets up the story towards the resolution stage.

e. Resolution

The final part where the author concludes the storyline. This section provides an insight into how the conclusion and resolution of the storyline impact the theme and message intended to be conveyed.

5. Setting

Setting is all the information, clues, references related to the time, space, atmosphere, and situation of events in a story (Jauharoti 2014).

Setting is distinguished into three main elements:

- a. Setting of places, referring to the location where the events of a fictional work take place.
- b. Setting of time, related to the issue of “When” the events of a

fictional work occur.

- c. Social setting, referring to things related to the social behavior of society in a place depicted in a fictional work (including way of life, customs, traditions, beliefs, worldview, attitudes, and social status).

6. Point of View

According to Jauharoti (2014) point of view is the way of viewing and presenting characters by placing oneself in a particular position. In this regard, there are two kinds of points of view that can be used:

a. First-person point of view

In storytelling using the first-person point of view, 'I', the narrator is someone who is directly involved in the story. They are the 'I' character who narrates, describing their own consciousness, recounting events or actions that are known, seen, heard, experienced, and felt, as well as their attitude towards other characters to the reader.

b. Second-person point of view

The second-person perspective can still be divided into two:

1. The main character 'I'. This 'I' becomes the central focus of consciousness, the center of the story. Everything outside of the 'I', events, actions, and people, is narrated only if it relates to the 'I', besides having the freedom to choose the issues to be narrated. In such a narrative, the 'I' becomes the main character.
2. The additional character 'I'. The 'I' character is present to

deliver the story to the reader, while the characters in the story are then “allowed” to narrate their own experiences. The character in the story who is allowed to narrate becomes the main character. After the main character’s story is finished, the additional ‘I’ reappears, and now it is the one narrating. Thus, the additional ‘I’ only appears as a witness.

c. Third-person point of view

In a story that utilizes the third-person point of view, ‘He/She’, the narrator is someone outside of the story, who presents the characters of the story by mentioning their names, or using pronouns: he, she, they. The third-person point of view can be categorized into two groups based on the level of freedom and attachment of the author to the story material:

1. ‘He/She’ is omniscient. From this perspective, the narrator can narrate anything related to the character ‘He/She’. They know various aspects about the character, events, and actions, including the motivations behind them. They are free to move and narrate anything within the scope of time and place of the story, shifting from one ‘He/She’ character to another.
2. ‘He/She’ is limited (as an observer). From this perspective, the author employs the third person as a narrator with limited storytelling rights and restricted knowledge (only narrating what is seen).

7. Style of Language

Language style is a distinctive manner of expression for each author. The style of one author will not be the same when compared to another author's style, because certain authors always present things closely related to their personal taste and sensitivity to everything around them. Language style can create various atmospheres: straightforward, satirical, sympathetic, annoying, emotional, and so on. Language can create the appropriate atmosphere for horror scenes, love scenes, war scenes, and so forth (Jauharoti 2014).

2.3 Comparative Literature

According to Remak (in Al-Hemeedawi 2022), the French school was too narrow, and relied too heavily on factual evidence. In influence studies in the French tradition, he argued, were unimaginative, deriving from a positivistic approach. The French tried to confine the boundaries of comparative literature, limiting what could be and could not be included in the proper study of the subject, whereas in Remak and the American school of comparative literature call for anything that can be compared with anything else, even if it is not literature.

With such a broad comparison aspect of literature, the American School of comparative literature does not give importance to the link of causality. It gives no importance to influence. There is a possibility of dealing with literary texts not being in contact of whatsoever kind, but having similar contexts or realities. If influence exists between literary texts, the importance does not lie

in the influence itself but rather in the context. If the context does not allow for influence to be effective, influence will never take place in the first place (Mourao 2000).

This also aligns with the goal of this research in finding comparisons between two central characters in different novels. It aligns because the context of both novels has similarities in the background of their central characters. The similar context is that we can observe that both central characters share a common background as fisherman. Moreover, both novels were written by the same author, Ernest Hemingway, which might also influence the characterization in these different novels.

According to Damono (2005), comparative literature is not just about contrasting two literatures from two different countries or nations. Comparative literature is also not confined to major works, although comparative literary studies often involve renowned authors representing a certain era. Studies of new authors who have not yet gained international recognition can also be classified as comparative literature. The boundaries of comparative literature indicate that comparison is not only limited to intercultural literature but also within the same nation, such as between authors, between genetic factors, between eras, between forms, and between themes.

In comparative literature, the differences and similarities present in a literary work are the objects to be compared. In comparative literature, the elements being compared include historical events, literary connections,

similarities and differences, themes, genres, styles, cultural evolution devices, and so on (Remak 1990).

The field of comparative literature research is very broad and there are no specific guidelines within it. According to Kasim (in Endraswara 2011) every researcher is allowed to compare any elements that have similarities. The main areas of focus in comparative literature research, are as follows:

1. Themes and motifs, encompassing ideas, character depictions, plot, episodes, settings, expressions.
2. Genre and form, stylistics, figures of speech, atmosphere.
3. Movements and generations.
4. The relationship between literary works and knowledge, religion/belief, and other forms of art.
5. Literary theory, literary history, and literary criticism theory.

According to Kumar (2000) the simple way to define comparative literature is to say that it is a comparison between the two literatures. Comparative literature analysis the similarities and dissimilarities and parallels between two literatures. It further studies themes, modes, conventions and use of folk tales, myths in two different literatures or even more.

Another interpretation of comparative literature comes from Manikar (1976) comparative literature studies can include the application of the usual aesthetic values to a literature an understanding of the different literary movement and tendencies of an age, studies of themes and idea that appear in different literatures, and finally the study of genre, of structures, and patterns.

But perhaps the most important of all are the literary relations.

In his opinion, Kasim provided quite a lot of limitations regarding the fields that can be compared in a comparative literature study. According to Endraswara (2011), the objects are related to the content found in literature, which dominantly and suitably comparable can be associated with themes, characters, social aspects, emotional intelligence, and so on.

As mentioned earlier, in this research, the researcher employs the American School comparative literature approach. This is based on the aim of comparing two central characters from two different novels that share some similar background contexts. Additionally, the chosen areas of focus by the writer, based on Kasim's theory, are themes and motifs, including ideas, character depictions, plot, episodes, settings, and expressions. The reason for selecting only these aspects is because they are the main aspects directly related to the central characters of the novels. Beyond these aspects, there are no other aspects that are closely related to the central characters of the novels.

In analyzing all these aspects, the assistance of Jauharoti's structuralism theory, as explained in point 2.2, is used. However, since the research primarily focuses on the central character, the aspects compared are only those regarding character depictions and expressions. Other elements mentioned in point one of Kasim's theory are used as analytical data to clarify and expand the understanding of the central character.

2.4 Synopsis “The Old Man and The Sea” Novel

The central character is an old man fisherman named Santiago, who has not caught a fish for 84 days, which for a fisherman is a struggle. During fishing, Santiago is always accompanied by a little boy named Manolin. Because they never got any fish, Manolin was forced by his father to leave Santiago. Manolin continues to support him with food and bait. Santiago is very patient person, when the fisherman around him made fun of him because never getting any fish, his response only smiling and make the atmosphere cool. While the older fisherman felt sorry for him, but they didn't show that feeling, they only talked politely about the weather or about the things they had seen.

On the 85th days Santiago went to sea to look for fish and the bait was eaten by a giant marlin fish that was so big. With all his great experience and strength, he struggles with the fish for three days. In three days Santiago survived with eat a whole bonito which he brought it from home, on the second days he got a dolphin, he also found two flying fish that were still fresh and hard in the dolphin's stomach.

Finally, three days Santiago can go home with a giant marlin. An hour after that, a mako shark came to attack him, and was immediately killed by Santiago. The shark appeared because it smelled the blood of a giant marlin and swam in the footsteps of the boat and the fish. After the first shark died, other sharks came to attack and eat a giant marlin. A giant marlin was eaten by the sharks that had been attacking him before they were finally killed by

Santiago. A giant marlin can't be saved from the sharks.

Santiago had reached the harbor bring a giant marlin skeleton, and he hurried to his hut repaired with a limp. He immediately fell asleep, the next morning Manolin came and took care of him. Manolin will return to sailing with Santiago once his recovers, now Santiago back to rest with Manolin beside him.

2.5 Synopsis “To Have and Have Not” Novel

A sincere and trustworthy Floridian, driven to criminal acts during the depression due to being cheated as a sports fishing guide. Harry Morgan turns to smuggling alcohol and people, betraying his criminal employers twice. Unfortunately, his second betrayal proved to be fatal. Harry leaves behind a widow, Marie, mourning the loss of a good man whose like will not be seen again.

As a pleasure boat captain, Harry recounts his misfortunes, including being swindled by an inattentive sports fisherman and turning down lucrative offers to smuggle Cubans into the Florida Keys. Introduced to a Chinese businessman, Mr. Sing, by his friend Frankie, Harry is propositioned to transport illegal aliens to Tortugas. Refusing to involve his friends, Harry sets out armed, only to have alcoholic Eddy stow away. Harry ends up double-crossing Sing, locking the aliens below deck, and killing Sing before sinking his body.

In subsequent events, Harry and his mate Wesley survive being shot by Cuban officials and a treacherous storm while smuggling alcohol. However,

Harry loses his boat and arm in the process. Desperate to support his family, Harry gets involved with Cuban revolutionaries through a shady lawyer named “Bee-lips” Simmons, planning yet another betrayal. Despite initially reclaiming his boat, Harry’s plans unravel, leading to a tragic confrontation where his wife Marie witnesses his fatal gunshot wounds during a Cuban bank robbery.

In his final moments, Harry experiences agony and despair as his life unravels further, while the lives of those around him, including the Gordon’s marital strife and the eclectic characters at Freddy’s bar, unfold. Eventually, Harry is carried ashore in Key West, where he dies during surgery. The sheriff secures the scene, Marie skips the funeral, and reflects on the loss of Harry, preferring to be the victim rather than the survivor.