

CHAPTER II

REVIEW OF THE RELATED LITERATURE

This chapter discusses some theories that related with this research. The first topic in this chapter is about the theory of character and characterization, the second is about the theory of existentialism, the third is definition of being and nothingness, and the last is the explanation of the origin of nothingness.

2.1 Character and Characterization

Character and characterization are the literary device in a prose, and cannot be separated because they are related each other. This topic will define and distinguish about them.

2.1.1 Character

The basic device will be recognized in prose that is character before understanding characterization, because characterization constitutes the method to know how the persons in the story. According to Baldick's statement that character is a sort of prose sketch concisely depicting some recognizable type of person in tale and dramatic opus (2001: 37). Meanwhile, Wellek and Warren (1956: 25) said that character in a novel is distinguished from a historical personage or a personage in obvious life. The definition of character from those experts mean, character represents a kind of figure (people, animals, or objects) in a story who is made of the sentences depicting him or be produced from his mouth by the author. In addition, Childs states, "Character, the fictional

representation of a person, which is likely to change, both as a presence in literature and as an object of critical attention, and much as it changes in society” (2006: 36). From those statements, the researcher concludes about character that a person who is represented in a play of tale and the act can be change depend on the story. Its change may be classified into two terms; they are flat and round character.

According to Bernardo that person who does not transform a long time, that is indicated flat or static character (2011: 1). In addition to support this term, Forster in Abrams’ book stated that a flat character is constructed about one concept or grade, and is dedicated without much distinguishing detail, and also can be naturally enough defined in a phrase or sentence (1999: 33). The explanation means that flat or static character describes a person who has a constant characteristic, without change of characteristic from beginning until the end of the story.

Whereas, a term constitutes a character by more involutes and discriminated characteristics, it is referred as a round character (Klarer, 2004: 17).

Another description comes from Abrams’ definition that:

A round character is complex in temperament and motivation and is represented with subtle particularity; such a character therefore is as difficult to describe with any adequacy as a person in real life, and like real persons, is capable of surprising us (1999: 33).

Thus round or dynamic character is a person who plays and has changed trait along the story or has not constant trait, so he is difficult to describe by the reader.

Based on those definitions, the researcher may take a conclusion; the character is classified into two sorts, namely flat and round character. The

important thing, in a story, the character in story may not only have two sorts but it may only have at least one main character. It can be supported by Baldick's statement, "fiction element is normally expected of a novel that it should have at least one character, and preferably several characters shown in processes of change and social relationship" (2001: 173).

The theory of character here is used as an object of research in order to introduce and recognizes the person who plays in novel. On the other hand, the character may be shown by some ways, it is called characterization.

2.1.2 Characterization

Commonly, novel cannot be detached from a device of characterization that used by the author. The definition of Characterization itself based on Baldick (2001: 37) is the portrait of people in narrative and dramatic opuses. It means, it is a literary device, such as narrative and dramatic which has a function as a way to describe the character by author. Another description comes from Bonn's statement, "characterization is the process by which an author creates vivid, believable characters in a work of art" (2010: 27). Besides that, House (1990:166) says, "characterization is the manner in which an author presents purposeful, realistic, appropriate and consistent characters". Moreover, Harrison (1998: 51-52) also give an explanation that characterization is the idea of making an invention of characters for a narrative. Characterization is the method of a writer in a literary element and can be applied in dramatic of art or everyday conversation which shows purposeful, obvious, suitable character, and also can be depicted by some ways.

There are some methods to know how the character is described in a novel.

Those will be mentioned based on Bonn's theory below:

Characterization may be done in a variety of ways, including; direct description of the character by the narrator, the direct presentation of the speech, thoughts, or actions of the character, and the responses of other characters to the character (2010: 27).

Meanwhile, Baldick stated that characterization may belong to direct methods as the attribute of grates in description or explanation, and indirect or dramatic methods invites readers to guess grates from characters' action, utterance, or performance (2001: 37). It means, in direct characterization, the author tells the audience or reader about the characteristic through the narrator or another character. For example, the writer tells us "George is the most diligent man in his school." Whereas, in indirect characterization, the audience must guess about what the character is like through the character's action, speech or way of talking, looks, and interaction with other characters (other character's interaction).

In addition to complete the explanation about the method of characterization, Abrams also stated that:

In telling (direct method), the author interference authoritatively to explain, and to appraise, the reason and placement grades of the characters. In showing (dramatic or indirect method), the author easily represents the characters saying and measuring and allows the reader to infer the reason and placement that fib backside what they talk and do. The author may point out not only external utterances and actions, but also a character's inner thoughts, feelings, and responsiveness to phenomena that is for a highly evolved style such as inner showing (1999: 33-34).

That statement indicates a little dissimilarity about the characterization method, particularly in showing method. If the previous explanation describes it that the audience must infer what the type of character by means of character's action,

speech, looks, and so on. But, actually, the reader can infer the character through character's inner thoughts, sentiments, and so on.

Here are some indirect methods to make easy the reader for inferring the character. First method, the character's characteristics can be seen from character's speech. The reader can infer the characteristic of the character from what the character says and how the character speaks. Second method, the character's characteristics can be seen from character's thoughts. Commonly, the reader guesses the characteristics from what the character reveals through character's feeling. Third method, the character's characteristics can be seen from the effect on others toward the character. In this method, the characteristic may be seen by the reader by means of how other characters feel or behave in reaction to the character. The fourth method, the character's characteristics can be seen from character's action. What the character acts and how the character behaves, that can be determined about person's characteristic. For example, if the character walks in toing when getting a problem, reader may interpret the character as anxious person. The last method, the character's characteristics can be seen from character's look. That method refers to how the character looks like and dresses in the story. For instance, the character has interested physical, because he is as unforgettable image. So in interesting character, the reader will be easier to know the character than uninteresting character (International Reading Association, 2004: 1).

Those explanations can be summarized that character has a little distinction. Therefore, a character is a man in a story, whereas a characterization is the ways of that man clarifies his obvious characteristic to the reader. The ways

are direct and indirect characterization. In addition, characterization theory will be applied in analyzing the research in order to know how the main character is depicted in the novel, because the portrait of nothingness in Kafka's *Metamorphosis* is depicted through Gregor's characterization. So, the characterization here is used to encourage the main issue.

2.2 Existentialism

Existentialism is a philosophy or doctrine that teaches a man existence. Based on Bonn's statement (2010: 58), existentialism constitutes a most twentieth-century philosophy related with the nature and idea of human presence. Then, According to Sartre's explanation that existentialism is precept to make a man life possible and also assert that each truth and each measure assert a sphere and a human subjectivity (2007: 18). The meaning of human subjectivity is a man who exist first, he is as something in insist, ranged to the future and be aware of what he will do. As Sartre says (2007: 22), "*existence precedes essence*". The meaning from that statement is an existence of being (human) comes before the essence, human first exists, find himself, emerges in the world, and then he defines himself who he is.

Basically, Existentialism is formed from "exist and existence". That sentence can be defined from Cuddon as bellow:

In philosophy, the term *exist* and *existence* denote something active rather than passive and thus are closely dependent on the Latin root *ex*, 'out' + *sistere* from *stare*, 'to stand'. The term existentialism means 'pertaining to existence'; or in logic, 'predicating existence'. Philosophically, it now applies to a vision of the condition and existence of man, his place and function in the world, and his relationship, or lack of one, with God (1998: 294).

It means, existentialism is from existence which has a meaning as human who stands by going out from himself to be placed with body nature (involve himself by some activity). And human is still conscious and responsible with himself and that place, it also stands for individual and lack of God belief.

Existentialism may be clarified in the basic criteria of the human condition through existential thought. Firstly, self-awareness capacity. In this criterion, human can depict and make choices through self-awareness. Secondly, freedom and responsibility which human has freedom to choose the selections and form of his destinies and conduct what he wishes, yet he must be responsible with those. Thirdly, striving for identity and relationship to others. In this condition, human wants to defend his special identity, but at the same time, he needs to connect with nature and others. It is an effort that sometimes will be failure. If he fails to evolve his identity, it may result in failure to maintain mature and healthy connection. Meanwhile, if he fails to evolve connection with others may create loneliness and isolation. Fourthly, the search for meaning that human try to find his life without purpose, then the world that he lives will be meaningless. Fifthly, anxiety as a condition of living. Since in the existential meaning, anxiety is an unavoidable situation of life if coped with death, delibaracy, selection, alienation, and meaningless. It is requirement to study for tolerate ambiguity and contingency. It causes the movement to raise self-confidence and reduce anxiety. The latest is awareness of death and non-being. When human fears of death, he also fears of life. By understanding the unavoidable of death, he obtains the motivation to be alive with full of meaning. Furthermore, when human feels death, he will experience non-being condition in the world (Ankrom, 2009)

Those explanations are knowledge of existentialism which teach about the philosophy of human existence. Substantively, the human existence is shaped from the two concepts named by being and non-being or nothingness. Hence, the researcher places existentialism in this chapter to understand the principal theory from being and nothingness

2.3 Being and Nothingness

The philosopher of existentialism, Jean Paul Sartre has evolved the concepts of existentialism that revolves about human existence. It may be called as Being and Nothingness, and here is explanation of those basic concepts.

2.3.1 Being

Being is a format of human existence which refers to a human subjectness. Sartre in Barnes' book (1953: xiv) said that being is the appearance indicates to the total sequence of appearances and not to a concealed reality which would drain to itself. It means that human presents by making him visible just like conscious subject, be active, and can be processed without concealing a reality because he experiences a sense of being or comprehends fully about existence. Furthermore, Gardner (2009: 42) states, "Being is of itself immediately ready and able to manifest itself, not something to which the possibility of manifestation needs to be added". Thus, being is human presence when he is directly ready with external and internal condition in order to point out itself for his creation as active human. In the concept of being, human existence is classified into three sorts, those are being-in-the-world, being-in-itself, and being-for-itself.

Based on Sartre in Barnes' book that being-in-the-world constitutes a being with consciousness which is engaged with the world because human has bodies and has consciousness of an intense object (1953: xiii). It explains about human who lives and reveals his existence consciously in the world. Moreover, he is considered limitless the place of all of human beings there; he can be represented and be shown because he has bodies. For instance, when human exists in the world, he must be ready for carrying out the function as an active human, such as stake out and build that world until he becomes creative and successful human.

Sartre in Barnes' book says, "Being-in-itself (unconscious being) is, man is the being who is what he is not and who is not what he is. In other words man continually makes himself" (1953: xix). Being-in-itself means that is identical with him, he is unconscious if he exists in the world because he cannot be active, does not have objective or direction, and does not have future. The example of its being is such as the existence of inanimate objects and animals because they are unconscious if they substantively exist in the world. Thus, whenever, they will be in themselves.

Meanwhile, being-for-itself (conscious being) is the opposite of being-in-itself. Sartre in Gardner's book states, "Being what it is not and not being what it is, being which has to be what it is, it may be called as being-for-itself" (2009: 56). Its being realizes if a man exists in the world with consciousness because the existence of consciousness is descended from consciousness itself (Sartre in Gardner, 2009: 48). Human presences with the existence of object in front of him consciously. But his consciousness indicates consciousness which take an action

against because he is not identical human to himself. So consciousness never has identical with him and does not have identity because he cannot close himself. It is called as nothingness where human is separated with essence until his conscious is never solid, and lacks of his existence.

The theory of being in this chapter is taken to know the basis of nothingness. Without knowing the being theory, the reader will be confused how nothingness is appeared in the main character, Gregor.

2.3.2 Nothingness

Non-being or nothingness is a format of human existence which refers to a human objectness. The sorts of human objectness are death, the necessity to make a choice and bear a responsibility, isolated, and so on. Sartre in Barnes' book states, "For negation is a refusal of existence" (1953: 11). It means, in nothingness, human conducts a negation on his existence and cannot be processed because he lacks of his existence up to fell separated with essence. Furthermore, Sartre in Spade's book states, "nothingness or non-being is to be viewed as something outside being, something separated from being" (1996:124). Commonly, if human exists in the world, he can create something in his world as an active human. But human feels contrary with that, he is in nothingness condition because he feels outside and separated from being.

Sartre in Barner's book defines that nothingness constitutes the conceptual totality of negative opinion, cannot possess the slightest trace of fact (1953: 6-7). On the other hand, "the concept of nothingness will be understood as merely the 'unity' of all negative judgment" Sartre (Gardner, 2009: 63). From those statements, the researches may concludes that human is in nothingness position

when he exists but cannot accept his existence, he or other people will see in totally of negative opinion for a the reason that he cannot evolve to process his world. Apparently nothingness has the concept that can be mentioned based on Sartre in Barnes (1953: xxv) as; (1) applying the concept in the type of negative interpretation to the last fact. (2) Presenting the loss of personality or characteristics. (3) Giving an illogical copy to the entire experience.

Theoretically, nothingness is differed into two types, namely relative non existence and absolute nonexistence. For understanding that differentiation, Kaup defines as below:

Nothingness is defined here as a state of perfectly uniform, static equilibrium constituting relative nonexistence. Whereas, absolute non-existence is defined as the absence of existence, the absence of nothingness, and the absence of absence (2007).

The statement above means that relative nonexistence constitutes a kind of nothingness which occurs when completely uniform, constant balance undetectable by humans because the absence of spatial dynamics. In the meantime, absolute nonexistence is what is not being that is referred to any circumstance or it cannot be referred to, named, or defined.

This theory will be used by researcher to give support in analysis of research because nothingness in Gregor is the main topic here. With the result, the analysis will be accurate and be strong in this research.

2.4 Review of Previous Studies

Substantively, the researcher has to find several previous studies that are related to this research. The objectives of finding the previous studies are able to help the researcher for comparing between this research and the other. It is also

avoiding the research from similarity of previous researches, so that this researcher cannot imitate the previous researches.

One of them is from Herry Poerwanto (2010). In Poerwanto's research entitled "*EXISTENTIALISM IN CHARACTER CLEMENT YEOBRIGHT IN THE RETURN OF THE NATIVE BY THOMAS HARDY*". He analyzed the existentialism in general way, such as the existentialism influences in Clement Yeobright's existence and the motivations influence Clement Yeobright's existence in *The Return of the Native*. For example, the researcher has found Clement Yeobright existentialism that he makes decision to leave his native to go to abroad. His decision in existentialism is indicated a freedom to makes a choice of his existence in the world. But his choice has been followed by responsibility that is proved with effort to achieve his decision and choice. However, in this research, the researcher analyzes nothingness in a novel of *The Metamorphosis* which is written by Franz Kafka. The nothingness is faced by main character (Gregor) through existentialism approach. The researcher analyzes nothingness in the main character who is caused from the characteristics that had by Gregor.

The next is from Calvin's article which has similar object to this research that is *The Metamorphosis* by Kafka. The title of that article is "*EXISTENTIALIST VALUES: PORTRAYED IN KAFKA'S THE METAMORPHOSIS AND CAMUS' THE STRANGER*". He analyzed the existentialism in Kafka's *The Metamorphosis* on a main character through general way just like loneliness, abandonment, responsibility, freedom. Afterward, he also analyzed the existentialism on a main character in Camus' *The Stranger* in order to compare the analysis of existentialism in both novels. However, this research discusses nothingness as the main topic in analyzing of the main character

(Gregor) in Kafka's *The Metamorphosis*. Nothingness is faced by Gregor through his characterization and will be discussed based on existentialism approach.