

CHAPTER II

REVIEW ON RELATED LITERATURE AND THEORETICAL FRAMEWORK

2.1. Theoretical Concept

Herein this theoretical concept researcher outlines the theory related to the research title and as further support to discussion of the research finding. Therefore, in this theoretical concept, a numbers of related literatures which are intensively discussed namely novel and the elements of fiction, both intrinsic and extrinsic, and the approach used in analyzing the object of the research.

2.1.1 Novel

Novel is a part of fiction prose. Novel is an extended narrative and generally thought of as containing about forty-five thousand words or more which is not enough read in one sitting (Kenney, 1975: 103). However, it can reveal to further development in characters and have more incidents, scenes, setting, and take place in longer span of time. Reeve in Wellek and Warren (1949: 223) said that “The novel is a picture of real life and manners and of the time in which it is written”. It means that the authors of the novel usually reflected the human social experiences based on the habit and manners from society and time when the authors wrote the novel.

2.1.2 Intrinsic Element

Herein below are the intrinsic elements of literary works, namely Plot, Character, Setting, Point of View, and Theme.

2.1.2.1 Plot

A story deals with serial arrangements of incidents, ideas or events that occur in temporal sequence. Plot reveals events to us, not only in their temporal, but also in their casual relationships. Plot makes us aware of events not merely as elements in a temporal series but also as an intricate pattern of cause and effect. Narrative structures has always been divided up into three natural parts namely, the beginning, the middle, and the end (Kenney, 1975:14).

Plot in “Animal Farm” occur in temporal sequences. In “Animal Farm” the exposition start with Old Major, gathers the animals of the Manor Farm for a meeting in the big barn. He tells them of a dream he has had in which all animals live together with no human beings to control them. When he dies only three nights after the meeting, two younger pigs Snowball and Napoleon formulate his main principles into a philosophy called Animalism. Late one night, the animals defeat the farmer Mr. Jones and his men in a battle, running then off the land.

In rising action, Mr. Jones reappears to take back his farm, the animal’s defeat him again, in what comes to be known as the Battle of the Cowshed. As time passes, however, Napoleon and Snowball they begin to struggle with each other for power and influence among the other animals. Napoleon assumes

leadership of Animal Farm and declares that there will be no more meetings and the pigs alone will make all of the decisions for the good of every animal.

The climax of the story is when Napoleon claims that Snowball returned to the farm to sabotage the windmill. He stages a great purge, during which any animal whose opposes Napoleon's leadership will meet instant death by the attack dogs. Napoleon begins expanding his powers, rewriting history to make Snowball a villain. Napoleon also begins to act more and more like a human being, sleeping in a bed, drinking whisky, and engaging in trade with neighboring farmers. Napoleon send Squealer to justifies every action to the other animals, convincing them that Napoleon is a great leader and is making things better for everyone despite the fact that the common animals are cold, hungry, and overworked.

In falling action of the story telling that years passed on Animal Farm and the pigs become more and more like human beings, walking upright, carrying whips, and wearing clothes. Eventually, the seven principles of Animalism, known as the Seven Commandments and inscribed on the side of the barn, become reduced to a single principle reading "all animals are equal, but some animals are more equal than others." (Page. 114) Napoleon entertains a human farmer named Mr. Pilkington at a dinner and declares his intent to ally himself with the human farmers against the laboring classes of both the human and animal communities. Looking in at the party of elites through the farmhouse window, the common animals can no longer tell which the pigs are and which the human beings are.

2.1.2.2 Character

In fiction, a character defined as a verbal representative of a human being through action, speech, description, and commentary. A fictional characters must be other things besides lifelike and the standard of lifelikeness does not help us to understand very much about the ways in which character is the presented in fiction. The fictional character is never entirely free. It is part of an artistic whole and must always serve the needs of that whole. A character is obviously relevant to us and to our experience if he is like ourselves or like others whom we know. Lifelikeness is properly understood as one form of relevance. A character is relevant if there are a lot of people like him in the real world (Kenney, 1975: 25).

The main character in “Animal Farm” is Napoleon, a large, rather fierce looking Berkshire boar. He is central character on the farm and obviously a metaphor for Stalin. Napoleon represents any cruel, absolute dictator who perverts the goals of a revolution for his own personal gain and glory. Napoleon is vivid proof of the saying that power corrupts, and absolute power corrupts absolutely. Snowball can be easily identified with the historical figure of Leon Trotsky, one of the early leaders of the Russian Revolution. Snowball may also be seen as the most intellectual of the animals. Although Snowball's interest in bettering the education of the other animals is genuine, his other great dream is, of course, the windmill.

The other important character are a wise and persuasive prize Middle White boar, old Major who represents both Marx and Lenin inspires the rebellion. Clover and Boxer was a character representing the proletariat, or unskilled labor

class in Russian society. Squealer persuasive nature makes him ideal for the job of propaganda agent for the pigs and for Napoleon in particular. Benjamin, the donkey, is the oldest animal on the farm and may also be the wisest. He represents the disillusioned people who realize that all revolutions are probably pointless and merely lead to new forms of tyranny. Moses represents the Church. The pigs were surrounded and support Napoleon. They symbolize the communist party loyalists and the friends of Stalin. Molly characterizes the typical middle-class skilled worker who suffers from this new communism concept. The cat represents those people in society who adapt to whatever the conditions are, but who never accept any responsibility or make any commitments. The dogs represent the bodyguards of Stalin. The use of the dogs begins the evil use of force which helps Napoleon maintain power.

There are human characters also in the novel, there are Mr. Jones symbolizes Czar Nicholas II. Frederick is the owner of Pinchfield, the small farm adjacent to Manor Farm. He is an individual who is known for his frequent legal troubles and demanding business style. Frederick represents him Nazi-Soviet non-aggression treaty. Pilkington is the owner of Foxwood, the large, unkempt farm next to Manor Farm. Pilkington can be seen to represent the Allies (England and America).

2.1.2.3 Setting

Setting usually is direct to the definition of place, connection of the time and social environment where the events happens. Setting of place directs to the

location where the event happened in a story. The use of setting which certain name should reflect the geographical condition of place. Setting of time is related to the problem of when the event happens in a story. The problem of when is usually connected with factual time, that has connection with historical events. Social setting directs to the problem which are related to the behaviour of social life in certain place and certain time in a novel, it can be habits, costumes, religion, ideology, and the way of thinking (Kenney, 1975: 38).

In “Animal Farm”, Animal Farm takes place on a farm in England during an undisclosed time. However, the time, location, and events of the novel are satirical of Russia during a major period of Russian political upheaval (1917 - 1945). Time is ambiguous in “Animal Farm”. There is no historical reference actually given in the text, but the reader can assumed that Animal Farm most closely represents the power struggle of early 20th century Russia, between the revolution in 1917 and the rise of communism, the warnings about abuse of power are timeless.

2.1.2.4 Point of View

Point of view is the perspective from which the reader will view the events in a story. Each potential view has significant advantages and corresponding limitations. Kenney (1975: 48) explain there are four types of point of view and its marks as follows:

- a. The Omniscient Point of View, the author know everything, and even what is being thought and felt by the characters. He can see all the

characters' behaviour from every single.

- b. The First Person Point of View, the author must whether the "I" is to be major minor character, protagonist or observer.
- c. The Third Person Point of View, a person outside the story act as a narrator. This point of view is characterized with the use of pronouns "he", "she", "it".
- d. The Objective Point of View, the author become seeing eye that reports but does not interpret. This technique use to commenting on the action, or addressing the reader.

Orwell tells the story of "Animal Farm" through a third person, impersonal and omniscient point of view.

2.1.2.5 Theme

Theme, according to Kenney (1975:88) is the meaning contained by a story. But there are many meanings conceived and offered by the story in the novel, then the problem is a special meaning which can be expressed as the theme. Theme is the main idea that the writer expresses and also be defined as the underlying meaning of the story. Theme is a meaning of story which especially explains a big part of its elements in the simple way. It is more or less synonymous the central idea and central purpose. Themes become basic development of the whole story, so it must represent the whole part of the novel (Kenney, 1975: 99).

In "Animal Farm" there was several main themes found related to the power

corrupt, Orwell illustrates how human rights and social equality can be subverted even in a society founded on those principles, class conflict results from abuse of power, without intellectual and moral responsibility is subject to the whims of tyrants and abuse of power, truth and lies become indistinguishable because of propaganda.

2.1.3 Extrinsic Element

Wellek & Warren (1949:65) stated that "... the extrinsic study may merely attempt to interpret literature in the light of its social context and its antecedents, in most cases it becomes a casual explanation, professing to account for literature, to explain it, and finally to reduce it to its origins (the "fallacy of origins")". It means that cause and effect are incommensurate: the concrete result of these extrinsic causes the work of art is always unpredictable. This extrinsic element has not directly related to the story but it still gives some influence to the contents and development of the works. The difference of social condition of the author in economic and political condition will also give the different atmosphere to the literary work.

2.1.3.1 Sociological Approach

Analyzing novel in literature as an object is related to the literary study. Furthermore, the scope of literary study consists of strongly relation of literary theory, criticism and history. Wellek and Warren (1949:30) stated that literary theory is the basic of literary criticism and history, the critic needs knowledge of

literary history, and the literary historian must be a critic as well. There are some literary approaches that can be used in analyzing a literary work including a novel discussed in this study. One of the literary approaches is sociological approach.

Sociological approach is analyzing an author's social condition to show the similarities between social life and his or her literary work. It works by considering the literary works should not be isolated from the social context. This approach has the relation of authors to the circumstance of the social and cultural era in which they were live and write, its author's class status, gender, and political and other interest; the way thinking and feeling characteristic of its era; the economic condition of writer; and the social class, conceptions, and to which audience an author addresses the literary work (Abram, 1999: 288).

According to Wellek and Warren (1949: 91) literature is determine by its social setting, on social change and development will enter into three divisions of problem: the sociology of the writer, the social content of the works themselves, and the influence of literature on society. Since a writer is a member of society, he can be studied as a social being through where he came and in where he lived. It will possible to found information about the social provenience, the family background, the economic position of writers. Wellek and Warren also stated "The writer is not only influenced by society: he influences it. Art not merely reproduces Life but also shapes it". For example, people may model their lives upon the fictional heroes' character. Literature as a projection of the movement of social history was expresses by a number of writes interest (Guerin, 1979: 273). It can be conclude that literature and society is the study of works of literature as

social documents, as assumed pictures of social reality. Used as social document, literature can be made as outline of social history (1949: 99).

2.1.3.1.1 Sociology of Literature

Sociology is essentially the scientific, objective study of man in society, the study of social institution and of social processes: it seeks to answer the question of how society is possible, how it works, why it persists (Swingewood, 1972:11). Sociology studies human in a real condition at everyday life, while literature is made based on phenomena on everyday happening social life. Sociology reflects the way literature interacts with society, as Swingewood states:

“As with sociology, literature too is pre-eminently concerned with man’s social world, his adaptation to it, and his desire to change it. Thus, the novel as the major literary genre of industrial society can be seen as a faithful attempt to recreate the social world of man’s relation in his family and other institutions, the conflict and the tension between groups and classes” (1972:12).

Sociology and literature share a similar conspectus at the most basic level. Sociology of literature is one of literary approach which can be applied in the study of literature work. Sociology of literature is basically aimed to analyze literature work in terms of the author’s social status, the availability of markets, the stipulation of type’s publication, and the structure of the leaders (Laurensen and Swingewood, 1972:14).

“It is the task of the sociologist of literature to relate the experience of the writer’s imaginary characters and situation to the historical climate from which they derive. He has to transform the private

equation of themes and stylistic means into social equations” (Swingewood, 1972:14).

Alan Swingewood (1972: 13-21) in his book *The Sociology of Literature* also stated that literature cannot be separated from the social facts which happen in society. In his theory, Swingewood divide three perspective regarding sociology of literature research, they are:

1. The most popular perspective adopts the documentary aspect of literature, arguing that it provides a mirror to the age.
2. The second approach to a literary sociology moves away from the emphasis to the social situation of the writer.
3. A third perspective, one demanding a high level of skills, attempts to trace the ways in which a work of literature is actually received by particular society at a specific historical moment.

Based on three perspective mentioned above, this study will apply Swingewood’s sociology of literature view with the first perspective, namely the literary work as the social document. Literature reflects various and social phenomena and problems in society such as class structure, class conflict, family relationship and possibility divorce friend, and population composition (Swingewood, 1972:13). This approach deals with the time when the literary works are created and it is reflected the situation and condition of social life of the society. It describes the social phenomenon and the historical climate that can be seen through the literary work. Thus theory assumes that the literary work appears

related to the aspects of life such as; social, politic, economic, culture and religious aspect.

2.1.3.1.2 Theory of Satire

According to Holman and Harmon, a satire is “a literary manner that blends a critical attitude with humor and wit for the purpose of improving human institutions or humanity” (1986: 447). While Abrams says that a satire is “an author’s style to criticize the root of the matter which the author is taken as a fancy and does not agree with. The object of satire can be many things, included in individual, a type of persons, a class, an institution, a nation, or even the whole human race” (1999: 175-177).

Both Abrams and Holman and Harmon divide satire into two major types; they are formal (direct) satire and indirect satire. In formal (direct) satire, the satire voice speaks out, usually in the first person, directly to the reader or to a character, or to an object that is being satirized. On the other hand, in indirect satire, the satire is express through “narratives of the character or groups who are the butt are ridiculed not by what is said about them, but what they themselves say and do (Holman and Harmon, 1986: 448).

2.1.3.1.3 Theory of Revolution

A revolution is a fundamental change in political power or organizational structures that take place in a relatively short period of time when the population rises up in revolt against the current authorities. These famous lines from the

Preface to *A Contribution to the Critique of Political Economy* sum up Marx's theory of history:

“At a certain stage of development, the material productive forces of society come into conflict with the existing relations of production or – this merely expresses the same thing in legal terms – with the property relations within the framework of which they have operated hitherto. From form of development of the productive forces these relations turn into their fetter. Then begins an era of social revolution” (Marx in Callinicos, 1995: 95).

Marx in Callinicos (1995: 77) theorized that all of human history was defined by a class struggle between the ruling class and the working class. He further argued that the working class would eventually overthrow the ruling class and usher in a Utopian society in which all property was owned by society as a whole. For Marx, without the “bad side” – violence, exploitation and struggle – there would be no historical movement and development. The violence are unavoidable in exploitation characteristic of capitalism are thus necessary conditions of the development of communism. According to Callinicos, Marx's philosophy was highly influential in the development of communism in Russia and throughout the world (1995: 182).

2.1.3.1.4 Theory of Power Corruption

Girling (1997: 2) say “the potential for corruption in the relation between capital and power can be overridden, provided that a strong normative commitment exists elsewhere in society. Thus, corruption is more than a ‘criminal’ problem, it is a social problem”. The normative element in the notion of

corruption remains crucial. It explains Lord Acton's well-known aphorism, "Power tends to corrupt, and absolute power corrupts absolutely". Nowadays, power has become a term that is very popular and often used as a topic in many issues of political and social.

The concept of power by Lord Acton put more emphasis on how power influence and a result when someone has unlimited power. Acton views of power have a very deep meaning. He intimates that the power could be a boomerang if not used it properly. Someone who feels comfortable with the power that he has is likely to be distorted and abusing. Moreover, people who have an absolute and unlimited power would have power over their own interests. Bad guys are hiding behind the great man power.

2.1.3.1.5 Review of Russian Society in Early of 20th Century

Herein below are the conditions of the Russian society in the early of 20th century.

a. Social Aspect

In the beginning of twentieth the concept of the class still remained in Russia. There are four classes that exist in Russia. They are urban, peasants, clergy, and noble (Fitzpatrick, 1994: 15).

1. Peasants

Peasants still constitute 80 percent of Russia population at the time of the revolution (Moon, 2006: 369). These people lived in the village and earned their living from agriculture but they are not own the

land and majority of peasants live in extreme poverty. Russian peasant joined the revolution in 1917 hope the downfall of the old regime to mean the end of large-scale private landownership.

2. Urban Workers

The urban class in Russia also namely industrial worker who were working in the factory since Russia industrialization was a recent phenomenon. In the late 19th century, urban class was statistically smaller than the number of peasants; they are peasant who migrated to town and become worker in young age with some education and skill. Furthermore the urban class in Russia was increasing because of the transformation of weak agricultural country into industrial state after the 1917 revolution (Evtuhov, 2006: 275).

3. Clergy

Clergy are people ordained for religious duty in the Russian Orthodox Church. In Russia, they had gained the respect of the village. They were not allowed to marry, drink alcohol, or eat meat. They also lead worship services, performed weddings, funerals, and baptisms. The Russian Orthodox Church supported tsarist Russia and join Whites during the civil war, therefore creating another reason the Bolsheviks would attempt to diminish their influence on the Russian people and government (Freeze, 2006: 288).

4. Noble

Noble in Russia also namely the capitalist, they are

landowners, industrialist, bankers, traders, and businessmen. These people focused on increasing their wealth and controlling their workforce (industrial worker and peasant). Noble had a comfortable life under the Tsar (Lieven, 2006: 227). They did not want to challenge the regime as they may then lose the comfortable life they had with it.

b. Political Aspect

Politic is an effort taken by the citizen to create a better society. It also can say that politic is the art and science to gain power constitutionally or non-constitutionally. In February 1917, the biggest revolution did by the workers and revolutionaries happened in Russia to seek for a better society. The causes of this revolution are bread shortages, strikes and locks out that happen in Russia. In addition of that, the weakness in leading the country and regime which had done by Tsar Nicholas II as the emperor of Russia (Fitzpatrick, 1994: 44). The Russian Provisional Government was installed immediately following the fall of the Tsar. Later in October 1917, The Russian Social Democratic Labour Party (Bolshevik) who followed Lenin's lead, were able to portray an attack against the People's Soviet by Provisional Government lead by Kerensky and it make Bolshevik garnered support to take over the Provisional Government. Immediately after that, the Soviet government first come into power (Hagen, 2006: 111).

After November 1917, many groups had formed that opposed Lenin's Bolsheviks caused The Civil War occurred which tear Russia apart for three years – between 1918 and 1921. These groups included monarchists, militarists, and, for a short time, foreign nations. Collectively, they were known as the Whites while the Bolsheviks were known as the Reds. During the Civil War, Leon Trotsky is appointed as War Commissar, and he increases the size and effectiveness of the Red Army which leading to Red victory and the winning of the Civil War (Raleigh, 2006: 143).

The Communist Party which arose from Bolshevik indirectly controlled all levels of government; the party's politburo effectively ruled the country, and its general secretary was the country's most powerful leader. The industry was owned and managed by the state, and agricultural land was divided into state farms, collective farms, and small, privately held plots. After Lenin's death in 1924, the powerful general secretary Joseph Stalin and leaders around him moved to assume the leadership of the party. The Stalin group easily defeated such rival leaders as Leon Trotsky (Khlevniuk and Gorlizki , 2006: 245).

Stalin formed secret police who following his instruction to eliminate other rivals. He won the leadership in 1929 and sought to eradicate the last remnants of opposition within the party by launching the Great Purge (1934–38), in which many thousands of his real or assumed opponents were executed as traitors and millions more were

imprisoned or sent to forced-labour camps. During Stalin's years in power the party's size expanded from about 470,000 members (1924) to several million from the 1930s on (Shearer, 2006: 213).

In 1939, on the eve of World War II, Joseph Stalin and German dictator Adolf Hitler (1889-1945) signed a nonaggression pact. Then, in June 1941, Germany broke the Nazi-Soviet pact and invaded. As German troops approached the Soviet capital of Moscow, Stalin remained there and directed a scorched earth defensive policy, destroying any supplies or infrastructure that might benefit the enemy. The Red Army defeated the Germans and eventually drove them from Russia (Harrison and Barber, 2006: 222).

Stalin used variety of methods to control his power; these include using propaganda, fear, and religion. He used propaganda to build himself up in the eyes of public and improve his images to support and expand soviet power (Geldern, 2006: 579). Stalin controlled and censored the media and made sure any artwork, literature or music about him was complimentary. A simple way to make sure people followed this restriction were author disobeyed will execute, imprison and exiled (Geldern, 2006: 597). Meanwhile, during terror and fear of The Great Purge make people learn to speak badly to Communist Party. Besides that, Stalin afraid of religion will be a distraction from his ideology and start to publish atheism in school.

c. Economy Aspect

The economy of the Russian Empire in the early of 20th century was 15 percent of the population lived in towns, and fewer than 10 percent worked in industry. Agriculture, the largest sector of the economy was 80 percent dominated by peasants. Starting in the later 1890s foreign investments become an important factor in the economy. Russian worker faced long hours working condition with little social protection. Wages are low, living space was miserable, and there were few education opportunities. In the 1921, under the New Economic Policy (NEP) proposed by Lenin, people could freely do small business and the economy bloomed. Furthermore in 1928, they develop heavy industry, sciences, and technologies under First Five-Year Plan for building a socialist economy introduced by government, they transformed the weak agricultural country into the powerful industrial state (Ball, 2006: 169-170). While making a massive leap in industrial capacity, future after Lenin's death and Stalin was in charge, again the Five Year Plan was extremely harsh on industrial worker, quotas were difficult to fulfill, requiring 16 to 18 hours workdays. Working conditions were poor, even hazardous.

d. Cultural Aspect

Russian culture in the first two decades of the 20th century was under influences of most European cultures and modernism start to

begin. There are some behavioral facts which are used in Russian society, as follows:

1. The Russian Family

Family size and composition depended mainly in the place or residence. It was also influenced by housing and income limitation, pension, and female employment outside the home. In the early of Soviet state, religious married was replaced by civil married, divorce become easy to obtain, women were granted sexual equality. However, during the Civil War, nearly seven million children were homeless. These situations lead to strengthening the family, which is required to rebuild the country economy and shattered social structure (Engel, 2006: 106-107).

2. Russian Pride

Russians are proud of their country. They accept that their lives are difficult and pride themselves on being able to flourish that others could not. During Stalin's era the working class in Soviet belief in Communism and keep following his ideology eventually betrayed by the Stalinist.

3. Education

Before 1917, education was not free in the Russian Empire especially many children from lower-class working and peasant families. Estimates from 1917 recorded that 75–85 percent of the Russian population was illiterate. Throughout the 1930s the country's

educational system expanded dramatically and all children had access to education. The goal from Stalin's educational policy was developed to increase economic and industrial production, while also taking care to indoctrinate children with the Communist ideology (Geldern, 2006: 586).

e. Religious Aspect

Russian at the time of the 1917 Revolution, the Russian Orthodox Church was enjoying official status. The majority of people in the Russian empire at the time were religious believers, whereas the communists aimed to break the power of all religious institutions and eventually replace religious belief with atheism. The main religions believers were free to worship in private and in their respective religious buildings (churches, mosques, etc.), but religious institutions were not allowed to express their views in any type of mass media (Taubman, 2006: 282).

2.2. Previous Research

Animal Farm is a popular novel by George Orwell. There are many articles which talk about how great this novel as a critical novel. But, the study which explore deeply about this novel is still difficult to found. There are some previous researches related to this research topic.

First related study or research is thesis by Octaviani, Nadia (2008) an under the title “Materialism and Social Status: Thackeray’s Satire on British Society of the Early Victorian Era through Rebecca Sharp Character in *Vanity Fair*”. The similarity of this research and previous one is both of them use the sociology of literature approach to analyze the novel. But, different is previous research use another novel to analyze it. Previous research explains more about the relationship between literature and society, and review on British Society at early Victorian era using socio-cultural approach. The result from previous research show author satirizes British society as a materialistic society.

Next related study or research is thesis by Andreas Sagara, Roy (2011) an under the title “The Motivations of Conducting Negative Actions as Reflected in Napoleon’s Personality, in George Orwell’s *Animal Farm*”. The similarity of this research and previous one is both of them uses the novel “Animal Farm” as the object of study. Previous research explains more about characteristic of the main character Napoleon using psychological approach. The result from previous research is in real life, Napoleon represent someone with similar personality, which is greed as his dominant character.

Another related study of this research is thesis by Anggoro Sari, Vita (2016) an under the title “The Reflection of The Russian Revolution in George Orwell’s *Animal Farm*”. The similarities of this research and previous one is both of them uses the novel “Animal Farm” as the object of study, and the sociology of literature approach to analyze the novel and presenting the analysis uses qualitative method.

Different from previous research which explain more about reflection of the 1917 Russian Revolution in the novel with the result of the analysis shows that the Russian revolution and Animal Farm have some parallel which proof that Orwell wrote the novel based on those which happen in revolution, in this study the writer will explain about the negative effects of revolution in Russian society in early of 20th century there with Orwell's satires on the social condition toward power corruption after the revolution as reflected in "Animal Farm".