

Depicting the Character of Santiago in the Novel *the Old Man and the Sea* from the Systemic Functional Linguistics Perspective

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Abstract— Character is one of main elements in a novel. The reader's eagerness toward a novel can establish from this section. The character of imaginary persons in a novel is made up of all the qualities they have that make them distinct from others. Accordingly, it is always interesting to conduct study on characterization. The evaluation of novel's character is commonly carried out with psychological approach. This research is trying to examine the character differently from the perspective of linguistics, particularly SFL, and specifically Appraisal theory. The object of the research is Santiago, the main character of novel *The Old Man and The Sea* by Ernest Hemingway. The evaluation focuses on his emotion, personality, and physical condition. Appraisal is considerably chosen as it can systemically examine the characterization and support with linguistic proof.

Keywords— affect; appraisal; appreciation; characterization; judgement; SFL

theory to systematically scrutinize the characterization of Santiago from linguistic point of view. The evaluation mainly focuses on his emotion, personality, and physical condition. With appraisal theory, this can be assessed with Attitude which covers Affect, Judgement, and Appreciation. Affect which classifies what people feel is applied to evaluate the emotion of Santiago. Judgement is to examine his personality, whereas Appreciation is to seize the physical condition. In addition, the choice of words selected by the authors are also graded with Graduation system to determine the depth of his tactile sense toward the character he created.

I. INTRODUCTION

The Old Man and the Sea is one of the finest literary works penned by Hemingway. It tells about an old fisherman named Santiago who put himself out for a dignity, fishing solo on the ocean. He has encouraged researchers to conduct studies concerning his characterization. They valued Santiago as a figure who has strong characteristics and is thick with interpretations. The studies vary in approaches, mostly perceived from psychological and literary approach. From those perspectives, the character of Santiago could be drawn up as a person who would have given up everything for his self-esteem despite the fact that his physique is not in the condition he could count on. However, the characterization conceived from both approaches does not attest a linguistic evidence that can be reckoned as valid proof. Accordingly, this research is carried out with the application of Appraisal

II. LITERATURE REVIEW

The Appraisal theory as a part of Systemic Functional Linguistics (SFL) study developed by Martin and White (2005) is applied to evaluate the character of Santiago. The linguistic evidences of the characterization can result in the analysis of Attitude (which consists of Affect, Judgement, and Appreciation), and Graduation. Santiago's emotion is examined using Affect, which categorizes his feelings into Happiness, Unhappiness, Insecurity, Security, Dissatisfaction, and Satisfaction. The physical condition of Santiago is evaluated using Appreciation and is classified into Reaction: impact, Reaction: Quality, Composition: Balance, Composition: Complexity, and Valuation. Santiago's personality is analyzed by means of Judgement, which appraises his individuality based on his Normality, Capacity, Tenacity, Veracity, and Propriety. Graduation is the system to rank the depth of the meaning contained in the Attitude. It classifies the meaning into Force and Focus.

Appraising	Appraised	Attitude	
		Judgement	Force
Straighter	I (Santiago)	Social esteem: Capacity (+)	intensifier: raise

III. METHOD

This is a qualitative and descriptive research. The description of Santiago found in the Novel *The Old Man and The Sea* were set out to be the primary data and were collected with the use of content analysis technic. The data were subsequently classified into categories rooted from the Appraisal theory in the form of tables and were interpreted based on the context of situation, related studies, and other supporting data.

IV. RESULT AND DISCUSSION

The findings of the research are presented in sub chapters based on the plot existing in TOMATS, namely orientation, complication, and resolution.

A. The Characterization of Santiago in the orientation stage

The journey of Santiago from land to ocean marks the early stage of the novel. Affect is found the uppermost compared to Judgement and Appreciation. Even so, the data attained in each aspect show no big difference in numbers. This indicates that in the orientation stage, Hemingway depicts Santiago psychologically and physically to make known the readers about the main figure of the novel before exploring the upcoming stages.

The Appraisal of Emotion

The evaluation of affect intends to reveal the psyche of Santiago through the feelings he has for the people and the

Appraising	Appraised	Attitude	
		Affect	Force
He took hold of one foot gently	he	Happiness: surge of behavior	Attitudinal lexis: raise

things around him. A deeper analysis on this aspect shows that in the orientation stage, the happiness feeling is found the greatest. The following is one of the expressions showing this affection. "He took hold of one foot gently." It describes the warm feeling of Santiago toward Manolin, his buddy, as seen in the choice of words of 'gently'. The Appraisal analysis can be seen below.

This kindly deed implies affection that categorizes the expression as Affect: Happiness: surge of behavior. 'Gently' is the adverb of 'gentle' meaning 'kind, mild, and calm' (Collins Cobuild Advanced American Dictionary). With graduation system, this word is marked raise in the level of meaning.

The Appraisal of Personality

The result from the evaluation of Judgement shows that Santiago is mostly appraised positively for his capacity as an experienced fisherman. It can be easily noticed since the expression stressing on his expertise is in opposition to his physical condition. The following analysis is the linguistic evidence proving the statement. "He kept them **straighter** than anyone did,..."

The capacity of Santiago is noticeable from the word 'straighter'. It is expressed as intensifier stressing on its value in the form of comparison. The utterance "...than anyone" marks that Santiago is the expert.

The Appraisal of Physical Condition

As an old man, Santiago is not pictured in a good look. In this early stage, Hemingway portrays Santiago in quite detail, particularly in describing his posture, skin, head, hands, and eyes. The first thing introduced is the posture as portrays in the expression "The old man was thin and gaunt." The word containing expressive meaning is 'gaunt' which gives a bad appraisal toward the physical condition of Santiago (reaction: impact (-)). Oxford of English Dictionary defines 'gaunt' as condition of a person who is "lean and haggard, especially because of suffering, hunger, or age." In addition, Merriam-Webster Dictionary of English gives the meaning of this word as "very thin and plain". Those definitions indicate that Hemingway's choice of word has deeper level of meaning than its synonyms. In addition, this word could represent the general look of Santiago that can be easily imaged by the readers.

B. The Characterization of Santiago in the Complication Stage

This period begins with the struggle of Santiago in

bringing the giant marlin home. The affect aspect is found the biggest indicating that Hemingway mostly characterizes Santiago from his emotion.

The Appraisal of Emotion

Insecurity becomes the inconvenient feeling Santiago mostly experiences in this stage. The biggest fear he faces during his battle is when his giant marlin is attacked by sharks. He finds himself weak that leads him into this insecure feeling. He is upset with his health which he cannot rely on during the fight. His weakness was previously triggered by the strong struggle of the Marlin to escape from his catch. The narration of “He had felt **faint** and **dizzy** and that had **worried** him.” is the example exemplifying the insecurity undergone by Santiago.

From that narration can be sort of three expressions containing evaluative meaning which are classified into the affect aspect of insecurity: disquiet (-). The use of the word ‘faint’ stresses the ache he suffers from. Oxford Dictionary of English defines it as “feeling weak and dizzy and close to losing consciousness.” Further, it is also described as the “lose consciousness for a short time because of a temporarily insufficient supply of oxygen to the brain.” From those definition, a situation can be pictured that Santiago is truly in pain. Moreover, the word ‘dizzy’ is added right after the word ‘faint’ to give more tension to the agony. The insecure feeling is conclusively wrapped in the clause “that had worried him.”

The Appraisal of Personality

Similar to the previous stage, Hemingway mostly describes Santiago from his skill in fishing. Besides, Santiago is also positively pictured from his courageous deeds. There are data classified into the appraisal of judgment: tenacity (+) as the linguistic proof for the characterization identified. Nevertheless, Santiago also shows his great depression that delineate his incapability in handling the rough situation. From the narration signifying this setup can be obtained data classified into Judgement: Capacity (-). Likewise, this phase depicts Santiago unfortunate yet respectable. The following is the analysis of one of the examples expressing his hopelessness.

“I must be getting very stupid,” Santiago talks to himself. He undervalues himself for being careless. The phrase ‘very stupid’ negatively judges his own capacity as an experienced fisherman. The choice of word ‘stupid’ coming with the intensifier ‘very’ is graded high accentuating the self-evaluation.

The Appraisal of Physical Condition

In this complication stage, Santiago’s physical condition is no longer described meticulously. Only small number of data found to picture Santiago physically. It mostly gives bad press to his head. He finds it hard to think because he feels dizzy most of the time. Besides, his hands are also negatively evaluated due to the heavy weight of the fish he cannot release. To depict this condition, the author makes use of simile analogizing Santiago’s hands, particularly his left hand, with the claws of an eagle saying “**as tight as the gripped claws of an eagle.**” This metaphorical expression is classified into the Appraisal system of negative valuation.

C. The Characterization of Santiago in the Complication Stage

This phase tells about the return of Santiago from sea to his land. He is home with bare hands, nothing to be proud of.

Appraising	Appraised	Attitude	
		Affect	Force
had felt faint	he	Insecurity: disquiet (-)	Attitudinal lexis: raise
dizzy	he	Insecurity: disquiet (-)	Attitudinal lexis: raise
and that had worried him.	him	Insecurity: disquiet (-)	Attitudinal lexis: raise

He believes he has failed and remains unfortunate. Hemingway only characterizes Santiago a little from the affect and judgement aspect. He no longer visualizes Santiago physically. No data are found appraising the appreciation aspect.

The Appraisal of Emotion

Santiago returns home in despair. He remains unfortunate after the weary journey. Nonetheless, it is relieving that he could finally meet Manolin again. He expresses his solace through the monolog “He noticed how **pleasant** it was to have someone to talk to instead of speaking only to himself and to the sea.” The emotion of Santiago is appraised in the word ‘pleasant’ explained as follows.

Appraising	Appraised	Attitude	
		Judgement	Force
Very stupid	I	Social esteem: capacity (-)	Intensifier: raise

Appraising	Appraised	Attitude	Graduation
		Affect	Force
Noticed how pleasant...	He	Happiness: Cheer (+)	Attitudinal Lexis: raise

Collins Cobuild Advanced American Dictionary explicates “something that is **pleasant** is nice, enjoyable, or attractive.” The three kinds of feelings (nice, enjoyable, and attractive) contained in the word ‘pleasant’ showing the strength of the emotion and hence it is classified into attitudinal lexis: raise in Graduation.

The Appraisal of Personality

The impression of the readers toward the characterization of Santiago remains good despite his lack of success. Hemingway chooses to call attention to Santiago’s capacity and morality instead of his failures. Ergo, at the final stage of the novel, Hemingway keeps appraising Santiago’s capacity as seen in this expression. “He sailed the skiff to make his home port **as well** and **as intelligently as** he could.” In spite of that, his lack of self-assured traps him in a seemingly endless sadness. His endeavor to conquer the sea alone fails to convince him that he is in luck. He decides to quit fishing after all. He refuses to grant Manolin’s wish to have another journey together in the sea. His refusal is conveyed under the utterance “No. I am **not lucky**. I am **not lucky** anymore.” This judgmental statement negatively appraises Santiago’s social esteem.

V. CONCLUSION

The findings show that the Affect aspect is uppermost in all stages of the novel. In the orientation stage, for the most part, Santiago’s emotion is swelled with happiness. This is interesting because he used to be disregarded by his community for his unfortunate life. Further, the analysis of Judgement demonstrates that his personality is mostly acknowledged from his capacity in fishing. In the complication stage, Santiago’s emotion is dominated with insecure feeling due to his battle with the giant fish. The evaluation of Judgement in this stage also results the same finding as found in the first stage. Santiago is applauded for his capacity as an experienced fisherman. In resolution, the characterization of Santiago is not much described. It is only identified small numbers of Affect and Judgement. To sum up, the frequent occurrence of Affect in each stages of the story strongly proves that the character of Santiago is described more on his emotion than his personality.

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