**Chapter I**

**Introduction**

In this chapter, the writer would like to explore the overview of the study. Thus, this chapter covers the research background, identification of the problems, limitations of the study, research problems, objectives of the study, and significance of the study.

1. **Research Background**

In the ancient time, humans started to communicate and at the same time they had also expressed themselves in the form of storytelling. Even before modern language existed as a medium to communicate, humans had told stories through visual communication. For instance, humans used to draw cave paintings and rock art which portrayed people, animals including their prey, or as simple as abstract handprints. This matter then developed into oral traditions, like myths, when speech and languages had developed and evolved throughout thousands of years. At a later time, humans invented writing systems from logos, symbols, to alphabets which then improved their technique to express and narrate a story. In a way, these facts had proven the characteristic that humans like to hear and tell stories and with the advancement of technology, the way they told stories also shifted.

One of the most immense changes was when humans started to write down stories which include fictional stories. This then developed into what is called literature which derived from the Latin word *litteraturae* which has the meaning writings. Literature is a product of human expressions that can reflect the circumstances when it is written, the environment where it is from, and the writers who write them. Due to this nature, literature can be interpreted in many ways and its elements can be analysed with different theories and approaches. Predominantly, literature can be analysed in relation to its writer, its universe, or its audience (Abrams, 1953). One of the works of literature that is qualified to be analysed in these ways is the novel “Crime and Punishment” by Fyodor Dostoyevsky.

Crime and Punishment is considered as one of Dostoyevsky’s magnum opuses. It is also often regarded as one of the greatest novels of all times by major book publishers such as Penguin Books. It was considered as one of the most important literary works in the 20th century by Bloomsbury Group, an association of important English writers, intellectuals, and philosophers including the English writer, Virginia Woolf. Crime and Punishment was released in 1866. At first, the chapters of Crime and Punishment were released monthly as part of The Russian Messenger, a publication for literary works in Russia at that time. Even at the time of the release, Crime and Punishment had caught the attention of the Russian readers and also became a public sensation.

A great literary work cannot ever be separated from its author, this idea is also in line with Crime and Punishment. Fyodor Dostoyevsky, even in this post-modern age, has always been regarded as one of the greatest Russian writers. Fyodor Dostoyevsky was born on the 11th of November in 1821 in St. Petersburg, Russian Empire. His great works had been recognised by many great writers and intellectuals. Albert Camus, Friedrich Nietzsche, and Jean-Paul Sartre had all been influenced by Dostoyevsky’s works. Sigmund Freud, the pioneer of psychoanalysis, had also said that one of Dostoyevsky’s works “The Brother Karamazov” as “the most magnificent novel ever written”.

The recognition of Fyodor Dostoyevsky is not unsubstantiated. In fact, his works often dive deep into the theme of human psychology, politics, social issues, philosophy, and religion, especially Christianity. These themes may widely be influenced by Dostoyevsky’s own life experiences. In his 20s, he was arrested due to his involvement with a literary group whose members were focused on having discourse on banned books that were critical towards the Tsar’s ruling. Crime and Punishment, itself, was one of the earliest novels that he wrote just after his discharge from 4-year exile in Siberia. This fact caused Crime and Punishment to contain a very profound angsty and melancholic ambience.

The narrative of Crime and Punishment revolves around a 23-year-old former law student, Rodion Raskolnikov, who kills an old pawnbroker for her money. Due to his philosophical belief, he thinks that he will not be guilty for the action. Despite what he believes, throughout the novel Raskolnikov struggles to avoid getting caught and at the same time his mental state also deteriorates due to his guilt of going against his conscience. The deterioration of Raskolnikov’s mental state is portrayed by psychological responses. One of the most apparent psychological responses in the novel is Raskolnikov’s sense of anxiety (state of uneasiness) and defence mechanisms which are the mechanisms he uses to cope with the unbearable anxiety.

The symptoms of Raskolnikov’s anxiety are distinctly apparent throughout the novel. These symptoms are portrayed by his thoughts and tensions. For instance, the symptoms are portrayed perfectly in these following fragments: “This was not because he was cowardly and abject, quite the contrary; but for some time past he had been in an overstrained irritable condition, verging on hypochondria.” (1866: 3), “With a sinking heart and a nervous tremor, he went up to a huge house...” (1866: 5), “For the first moment he thought he was going mad. A dreadful chill came over him; but the chill was from the fever that had begun long before in his sleep. Now he was suddenly taken with violent shivering, so that his teeth chattered and all his limbs were shaking.” (1866: 87). In these fragments, Raskolnikov’s anxiety is implied. His anxiety happens when he is faced with inner conflicts or when a certain event happens.

Correspondingly, the defence mechanisms that Raskolnikov applies are also apparent, as shown in the following fragment:

“It would have been difficult to sink to a lower ebb of disorder, but to Raskolnikov in his present state of mind this was positively agreeable. He had got completely away from everyone, like a tortoise in its shell, and even the sight of a servant girl who had to wait upon him and looked sometimes into his room made him writhe with nervous irritation.” (1866: 27).

In this fragment, Raskolnikov has shown symptoms of anxiety and as a result his psyche applies an effort to suppress his anxiety with a defence mechanism.

These fragments demonstrate that it is essential to apply a psychoanalytic approach to analyse Crime and Punishment, especially on the character Rodion Raskolnikov. Psychoanalysis is a dynamic form of psychology which consists of theories and techniques to analyse and treat psychological conditions such as mental disorders (Abrams, 2015: 320). In this case, the psychoanalytic approach is focused on the theme of anxiety and defence mechanisms. The analysis is based on the theories of anxiety and defence mechanisms by Sigmund Freud and Anna Freud. These theories are used as guides to identify the types of anxiety and defence mechanisms that are experienced by Raskolnikov.

Identification towards the root-cause is also essential due to the fact that Raskolnikov undergoes different types of anxiety depending on the root-cause. Similarly, the defence mechanisms that he applies as his psychological responses also vary. It is critical to consider that Raskolnikov is a literary character and his psychological aspect is also part of the components that drive the narrative in Crime and Punishment. Therefore, to precisely identify the events and actions that trigger the anxiety of Raskolnikov, an analysis should also be done on the narrative components and structure of Crime and Punishment.

In literature, structuralism is a genre that believes every component of a literary work relates to one another to create a harmonious unity and each of these components has its own role in the structure. For instance, a novel has a certain structure that consists of intrinsic elements such as plot, character/characterisation, and setting (Wellek & Warren, 1956: 214). These building elements are bonded with one another in a way that it can’t be separated if one of the elements were to be dissected. Dostoyevsky, himself, has a unique way of portraying Raskolnikov’s inner turmoil, anxiety, and tension, which are part of Raskolnikov’s characterisation. Furthermore, the narrative of Crime and Punishment starts in the middle of Raskolnikov’s anxiety and neurosis. Thus, to precisely identify what causes this anxiety, other narrative components such as the plot should also be considered. This is considering that the past events are sometimes implied in the form of memories or flashbacks.

Therefore, to analyse Raskolnikov in this study, the first step is to analyse the plot by identifying the fabula (sequences of events in a chronological order) from the syuzhet (original plot) of Crime and Punishment which is based on Russian Formalism theory. The process is conducted to discover the events that precede and proceed the anxiety. The data of sequences of events will then be used to identify the root-cause and type of anxiety and defence mechanisms using psychoanalytic approaches.

1. **Identification of the Problems**

As explained in the research background, a literary work is a product of human expressions that can reflect many aspects of life and humanity. Due to this nature, a literary work can also embody values regarding psychology. In this case, Crime and Punishment embodies abundant portrayals of psychological responses, *id est*, anxiety and defence mechanisms. These psychological aspects of the characters (in particular the main character) are also part of the components that drive the narrative in Crime and Punishment. Thus, it is essential to apply a psychoanalytic approach to analyse Crime and Punishment, particularly on the main character of Rodion Raskolnikov.

The psychoanalytic approach is focused on the theme of anxiety and defence mechanisms which is apparent throughout the narrative of Crime and Punishment. For instance, when facing a problem, Raskolnikov shows symptoms of anxiety and he also applies an effort to suppress his anxiety with defence mechanisms. Hence, identification towards the root-causes is essential to identify the types of anxiety. Similarly, the defence mechanisms that Raskolnikov applies as his psychological responses towards the anxiety also vary. The psychological aspects are analysed based on the theories of Sigmund Freud and Anna Freud. These theories are used as guides to identify the types of anxiety and defence mechanisms that are experienced by Raskolnikov.

1. **Limitation of the Study**

The analysis of this study is focused solely on the psychological responses, *id est*, anxiety and defence mechanisms of Rodion Raskolnikov that appear throughout the narrative of Crime and Punishment. The narrative components that are analysed are the words and sentences that embody these responses. The analysis and identification are based on the theories of Sigmund Freud and Anna Freud.

1. **Research Problems**

Relating to the identification of the problems which has been elucidated above, the research problems to be answered in this study are formulated in the form of three focal questions, which are:

1. How are the fabula and syuzhet presented in Crime and Punishment?
2. What are the types of anxiety that Rodion Raskolnikov undergoes based on the theory of Freud (1961) and Freud (1966)?
3. What are the defence mechanisms that Rodion Raskolnikov applies as a response towards the anxiety he undergoes based on the theory of Freud (1966)?
4. **Objectives of the Study**

By conducting this study, the writer aims to answer the research problems and achieve some additional objectives. On that account, the focal objectives to be achieved with this study are:

1. To discover how the fabula and syuzhet are presented in Crime and Punishment; thus, this study could enrich the writer’s knowledge in regards to the use of structuralism theories in analysing a literary work.
2. To discover the types of anxiety that Rodion Raskolnikov undergoes; thus, this study could enrich the writer’s knowledge about human psychology, particularly regarding anxiety.
3. To discover the defence mechanisms that Rodion Raskolnikov applies as the response towards the anxiety; thus, this study can also enrich the writer’s knowledge about literary analysis, particularly about the psychological analysis of literary characters that can represent the psychological aspect of humans in general.
4. **Significance of the Study**

This study is conducted to acquire significance for the English department, fellow students, and other related individuals. Hence, the focal significance to be acquired with this study are:

1. The result of this study is expected to be a medium in implementing psychoanalytic theories in analysing a literary work. Thus, it can also enrich the references in literary appreciation, analysis, and criticism in the English department of Universitas Pasundan.
2. The result of this study can represent the use of psychoanalytic literary theories to analyse literary characters’ anxiety and defence mechanisms. Thus, the study is expected to be a reference for fellow students and researchers who will conduct research with the similar theme.