A Morphological Study of
The Western Folk Fairy Tale

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ABSTRACT

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This thesis begins with a survey of the existing methods of analyzing and classifying folk fairy tales which have been available since folk literature first became a focus of academic interest in the early nineteenth century. The thesis then goes on to show how the approach to the folk fairy tale initiated by the Russian formalist, Vladimir Propp in <u>Morphology of the Folktale</u> differed significantly from the accepted pattern of folklore study of its day. It further shows how Propp's morphological approach gave new meaning to the study of the folk fairy tale through an analysis of its structural components.

The thesis then provides a concrete study of just how the structural analysis technique works by applying the methodology evolved by Propp and refined by contemporary folklorists to a study of five Western folk fairy tales, tales which have been traditionally popular with English speaking peoples. Since no variant of a folk fairy tale is the authentic, the thesis will use the tales as they were first published in the English language, the versions found in <u>The Classic Fairy Tales</u> by Iona and Peter Opie.

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## Acknowledgements

I wish to acknowledge the invaluable guidance and
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Thanks also goes to my great aunt, "Auntie" Ver
McIlhone, a story teller in the grand old style who
first introduced me to folk fairy tales.

# CHAPTER ONE

## Introduction

When anyone hears the phrase "Once upon a time"
or "Long, long ago in a kingdom far away," they know
immediately that a story is about to begin and they
respond cooperatively by suspending all disbelief.  But
what is it about a fairy tale that excites the imagin-
ation and compels everyone from young to old to listen
intently?  "It seems as if there is something in the
human psyche that makes people want to hear stories,"
remarked Professor Leonard Mendelsohn of Concordia
University.  Bruno Bettelheim in his Freudian study of
the folk fairy tale, The Uses of Enchantment, similarly
stated, "nothing can be as enriching and satisfying to
child and adult alike as the folk fairy tale . . . ;
more can be learned from it about the inner problems of
human beings, and of the right solutions . . . tha[t]
from any other type of story."[1]

For centuries people of all cultures have been
attracted to the folk fairy tale not only because it

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[1] Bruno Bettelheim, The Uses of Enchantment (New
York, 1977), p. 5.

was filled with magic and enchantment, but also because
it satisfied a basic need to learn how to deal with
life and its problems. But despite its popularity the
folk fairy tale has been accorded scholarly attention
only since the beginning of the nineteenth century.

Academics had long known that such eminent writers
as Shakespeare were influenced by the folk fairy tale,[2]
yet it was not taken as serious literature until the
publication of the Grimm Brothers' Haus-und Kindermär-
chen in 1812. Their work, especially the statement by
Wilhelm Grimm in the second edition, published in 1819,
prompted new studies by men of learning into the field
of folklore in general and the folk narrative in
particular. As if by magic, the attitude to the folk
fairy tale changed seemingly overnight. By 1823 it had
become, "a respectable study for antiquarians, an
inspiration for poets, and a permissible source of
wonder for the young."[3]

Many of the nineteenth-century folklorists who
followed the path blazed by the Brothers Grimm tried
to prove the Grimm's hypothesis that the folk fairy tale

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[2] Henry Bett, Nursery Rhymes and Tales Their Origin
and History (London, 1968), pp. 4-6.

[3] Iona and Peter Opie, The Classic Fairy Tales
(Toronto, 1980), p. 32.

had originated within the great Indo-Germanic race.[4]
Others took their lead from Theodore Benfy who proposed
that the folk fairy tale had diffused from India
during recorded history. Some even adhered to the
views of the Victorian philologist Andrew Lang who
expounded the theory of polygenesis which simply meant
that certain tales from different geographic and
linguistic areas although seeming to be akin to each
other had nevertheless developed independently as a
result of similar thought processes of primitive peoples.[5]

Amid the confusion and turmoil which resulted
from such contradictory hypotheses the modern folklore
movement had its birth. The various theories proved
inappropriate as a framework within which to study the
folk fairy tale. However, a methodology was developed
during this period which proved suitable for analyzing
the many excellent collections of folk tales which had
been gathered by enthusiastic students of the folklore
movement throughout the world.

Julius Krohn, a distinguished Finnish folklorist, had
devised a technique which used an historic-geographic

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[4] Stith Thompson, The Folktale, 1st ed. (New York,
1946), p. 370.

[5] Kaarle Krohn, Folktale Methodology (Austin, 1971),
pp. 135-136.

approach to assist him in his study of the Kalevala, the Finnish national epic. But it was his son, Kaarle Krohn who first realized the practical use of this systematic method of investigation and adapted it for the study of the folk tale. In Folklore Methodology, published in 1926, the younger Krohn explained various procedures to be followed in utilizing an approach which had now become known as the Finnish method. They included:

1) The researcher must assume that each folk fairy tale has its own history.

2) Each tale must be investigated separately.

3) The researcher must assemble as many different variants of the traditional tale as possible.

4) The researcher must then eliminate any tale which he feels may have been altered or falsified in any way.

5) When all oral and literary variants have been arranged in the proper sequence, the researcher must select the various motifs which constantly recur.

6) These motifs are then used by the researcher to recreate what he feels might have been the original or Ur--form of the tale.[6]

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[6] Krohn, p. 119.

Many folklorists used this type of diachronic
analysis to study the dissemination of each motif and
to see in what geographical direction a tradition had
migrated. The Finnish method gave folklore a solid,
analytical base upon which to build. For many decades
it was the only internationally accepted mode of
analysis. The folklorists from around the world who
employed this method came to be known as members of the
Finnish School.

One of Krohn's proteges and a founding member of
the Finnish School was Antti Aarne who developed a
classification for the various kinds of folk tales.
Aarne issued his classification entitled The Types of
the Folktale also called the Type Index in 1910. His
index was a classification based on the themes of the
various folk tales. At the time it was a solid blessing
to folklorists who previously had no systematic method
for classifying the great multitude of folk tales which
had been accumulating in national archives throughout
the world. In the 1920's the American folklorist,
Stith Thompson, another proponent of the methodology
of the Finnish School, updated the Type Index and
translated it into English. In 1932 Thompson published
the Motif-Index of Folk Literature which was a classi-
fication based on various motifs found within each
folk tale. The two indices differ in that

The Types of the Folktale is a classification of complete tale units according to theme, whereas the Motif-Index is a listing of motifs or simple elements which are found in traditional folk narratives e.g. a magic carpet or a cruel stepmother.[7]

Throughout most of this century the Finnish method of analysis and its progeny the Type Index and the Motif-Index have dominated the field of folklore scholarship for the simple reason that they were the only internationally acceptable systems for studying and classifying folk tales. However, such uniformity was not a satisfying situation, since the approach fostered by the Finnish School was a diachronic one and addressed itself solely to the historic and geographic factors involved in the tale's dissemination. The Finnish methodology was neither equipped to examine the meaning of the individual tale nor to analyze its structural composition. In the following chapter, I will be looking at how both the Type Index and the Motif Index operate and how their approach limits the reader's understanding of the folk fairy tale.

In the fifties and sixties, the new generation of folklorists were more interested in understanding the meaning of the individual folk fairy tale

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[7] Maria Leach, ed., Funk & Wagnalls Standard Dictionary of Folklore Mythology and Legend, 1st ed. (New York, 1950), 11,753.

than in learning from which direction a tale had migrated. As a result, they turned for a methodology to the new structural approach advocated by Russian philologist, Vladimier Propp in his <u>Morphology of the Folktale</u>.

The younger folklorists were delighted with the new methodology which they found available to them through Propp's monograph. It heralded a significant advance in the science of folklore. Folklorists now had a much better idea of what the individual folk fairy tale meant through a study of its plot structure. In his monograph, Propp had applied the investigative methodology used in the natural sciences to conduct a morphological analysis of the Russian folk fairy tale. His study of the plot structures of one hundred Russian folk fairy tales revealed a set of variable and invariable elements which he termed "Tale Roles" and "Functions" respectively and which ultimately gave the student of folklore a much better understanding of the innate compounds and the basic structure of the folk fairy tale. A new generation of folklorists took his message to heart and used his <u>Morphology</u> (which was in reality a grammar for the oral narrative) as a foundation upon which to base their own investigations into a deeper understanding of the folk fairy tale and its structures.

The following chapters will look at the two classification systems the <u>Type Index</u> and <u>Motif-Index</u> as well as at a morphological system of classification based on the structure of the tale itself. The final sections will apply Propp's approach to five folk fairy tales popular among English speaking peoples. The analysis will reveal how the five tales are structured and which elements combine together to make these tales just as popular today with people of all ages as they have been at any time in the past.

# CHAPTER TWO

## Survey of Classification Systems

### i) Type/Index

Beginning in 1812 when the Brothers Grimm first entranced the literary public of the Western world with the publication of their Kinder-und Hausmärchen, a great deal of interest sprang up in collecting and analyzing folk tales. Unfortunately, those interested in following the lead of the Brothers Grimm had no systematic methodology for dealing with the materials they were uncovering. This is not to say that there were no theories or hypotheses as to origins, but that the essential question of what constituted a folk tale had not been dealt with. The folklorists of those days really had no idea where to begin.

One of the better hypotheses to emerge during this period was that of solar mythology. Max Müller, the renowned Oxford don, had translated the Rig-Veda, an ancient Hindu manuscript, from Sanskrit to English. He along with other members of the "comparative mythology" movement attempted to prove that all Western folk tales had derived from that Hindu source and must

therefore be viewed through an interpretation of the
Rig-Veda.

The fact that Müller and his followers would use
such a key as the basis to our understanding folklore
in the West seems of course preposterous to us today,
yet it was but one of a number of similar theories
which emerged at the time. A central premise of the
theory of solar mythology was that it attempted to
read into all folk tales a movement of the sun. For
example, the proponents of the theory explained the
folk fairy tale "Little Red Riding Hood" as a symbolic
representation of the sun being swallowed by the night.
As a result, all those who followed Müller were called
solar mythologists. Although an intriguing hypothesis,
we must realize that for a theory to be useful it
should not be limited to speculations on source and on
symbolic interpretation. Instead, it should provide
some statement on the structure of the folk fairy tale
which solar mythology did not.

The folklorists of the decade following the
Brothers Grimm finally began to realize that in order
for folklore scholarship to achieve respectability, the
tales themselves must be properly classified. Such a
classification would help eliminate illogical theories
and introspective hypotheses, such as solar mythology.
More important, it would help to identify the material

to be investigated.

Early attempts made at developing a logical classification of folk tales were either woefully incomplete or suffered from a serious failure to distinguish between tale type and motif. Today, of course, we understand that a classification according to tale types is one based on the themes of the folk tales, whereas a motif classification is one in which each of the motifs or simplest elements of the tale is isolated and classified separately.

In 1864 J.G. von Hahn made the first attempt to develop a logical system of classification in the notes to his <u>Griechische und albanesische Marchen</u>.[8] However, because of the fact that in his ordering of the narratives von Hahn ignored the basic difference between tale type and motif, his arrangement proved impractical and was disregarded by folklorists as a basis for further classification.[9] Similarly, Joseph Jacobs, the renowned English folklorist, developed an alpha-betical list of motifs and types which he presented at the International Folklore Congress in 1891. But since the types and motifs were randomly mixed, it did nothing to bring about a workable system of classification.

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[8] Thompson, p. 414.

[9] Thompson, p. 414.

This failure of von Hahn, Jacobs and other early folk-
lorists to distinguish correctly between tale types
and motif did nothing to help provide a badly needed
comprehensive system of classification for categorizing
the thousands of folk tales already collected throughout
Europe.

It became apparent that there was a desperate need
for an extensive and usable system of classification
and that for such a system to be effected, a clear
distinction between the tale type and the motif would
have to be made. The Finnish School under the direction
of Kaarle Krohn recognized the urgent need to prepare
some kind of comprehensive system, which would categorize
the large collection of folk tales in the possession of
the Finnish Literary Society. The task was entrusted
to Antti Aarne, a founding member of the Finnish
School, who prepared a system based on a classification
by tale types entitled The Types of the Folktale.

Originally published in 1910, it was later revised
and translated into English by Stith Thompson in 1928.
The system Aarne employed in The Types of the Folktale
also called Type Index was based on a classification of
the various types or kinds of independent folk tales
(i.e. tales which do not depend for meaning on other
tales) of oral tradition into three major groups:
1) animal tales, 2) ordinary folk tales and 3) jokes

and anecdotes. Aarne grouped the tales in one of the three sections according to a common characteristic within each tale.

Aarne's original <u>Type Index</u> was based upon folk tales garnered from the great folkloric collections in Helsinki and Copenhagen as well as from the Grimms' <u>Kinder-und Hausmärchen</u>. In formulating his classification, Aarne's <u>modus operandi</u> was a direct outgrowth of the Finnish method. (see p. 4 ) After selecting the material to be classified, Aarne omitted any tale which he felt might not be a true folk tale.[10] He then studied the similarities and made conclusive statements about the tale type he was studying.[11]

Aarne realized that his <u>Type Index</u> covered only tales of northern Europe. So, although the original index consisted of 540 types, in his wisdom he allowed space for additional types which he felt sure were to be recognized. Therefore, instead of 540 types, his enumeration extends to 1,940 as he anticipated that at least this number would be recognized later on. In the first revision which appeared in 1928, Stith Thompson not only translated Aarhe's <u>The Types of the Folktale</u> into English, but also enlarged it by giving

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[10] Thompson, p. 417.

[11] Leach, p. 1137.

a more complete description of each type and including
new material from Europe, India and the Middle East,
and also from North America and Africa.

As was mentioned earlier, Aarne's original outline
for the classification was divided into three main
areas: 1) animal tales 2) ordinary folk tales and
3) jokes and anecdotes. The second section which deals
with ordinary folk tales is the largest group of tales
and encompasses all folk fairy tales which Aarne called
"Tales of Magic." Since this thesis is primarily
concerned with the folk fairy tale, I will now take a
closer look at this section of the Type Index.

Aarne grouped the folk fairy tales together because
of a common element that dealt with some facet of the
supernatural, be it a magic object, a supernatural
helper or anything of a wondrous nature. As he stated,
"in the arranging of the tales of magic into subdivi-
sions, the persistence of the element of wonder . . .
becomes clear."[12]

Once he had identified the tale as one of magic,
the dominant element within each tale then became the
key to indexing it in the proper subdivision of Section
A of Aarne's "Ordinary Folk Tales" entitled "Tales of
Magic."[13] The sub-categories and index numbers within

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[12] Thompson, p. 418.

[13] Thompson, p. 418.

the tales of magic section are as follows:

## A. Tales of Magic

| Type No. | Category |
|---|---|
| 300 - 399 | Supernatural Adversaries. |
| 400 - 459 | Supernatural or Enchanted Husband (Wife) or Other Relations. |
| 460 - 499 | Supernatural Tasks. |
| 500 - 559 | Supernatural Helpers. |
| 560 - 649 | Magic Objects. |
| 650 - 699 | Supernatural Power or Knowledge. |
| 700 - 749 | Other Tales of the Supernatural.[14] |

After each entry in the index, a concise summation of
the plot was given, as well as a list of the countries
which had known variants of that type.

Although most of the material which Aarne chose
was easily classified, a problem did arise. Aarne's
method of classification was to find the major element
in each tale and then to place the tale into one of the
seven categories given above. For example, in
"Cinderella" the major characteristic is that of the
fairy godmother. Therefore, Aarne classified this tale

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[14] Antti Aarne, The Types of the Folktale, trans.
and rev. Stith Thompson (Helsinki, F.F. Communications
No. 184), p. 19.

as belonging to the "Supernatural Helpers" group. But more than 250 of the tales he chose to classify had two or more major characteristics. He had to decide whether a tale like "Jack and the Beanstalk" should be classified under "Supernatural Helpers" since a fairy god-mother advises Jack or under "Supernatural Adversaries," since a giant is the villain in the piece. Aarne simply decided to classify "Jack" under "Supernatural Adversaries" and he persisted in choosing only one major characteristic over all others for those tales with several interwoven characteristics. His arbitrary decision alone determined the category under which these tales were indexed, although he fully realized they they could easily be placed in more than one tale type. This example of rigid·diachronic classification has proven to be a great weakness to the system.

Despite its limitations The Types of the Folktale remains a standard system of classification. Since Thompson's second revision in 1961, a group of migratory legends has been classified using an extension of Aarne's number system by R.T. Christiansen in The Migratory Legends. This same system was itself expanded by K.M. Briggs in A Dictionary of British Folktales.[15]

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[15] Katherine Briggs, The Vanishing People (New York, 1978), p. 207.

But in spite of its subsequent revisions and usé
in national and regional indices, such as those just
mentioned, The Types of the Folktale which was intended
to be a universal system of folk tale classification
has not achieved that objective.  It was designed to
facilitate the classification of tales from Europe, and
cannot be readily used to classify folk material from
Africa, North America (Indian and Inuit) or the Pacific
Islands.  As Thompson said, "Outside of Europe . . .
Aarne's index is of little use . . . the European
tale-types are applicable to very few stories."[16]

## ii) Motif-Index

Perhaps Antti Aarne was aware of the limitations
of his thematic classification, since he mentioned in
the introduction to The Types of the Folktale the
possibility of formulating an index of particular motifs.
Ill health prevented Aarne himself from ever under-
taking this task.[17]  Others, such as Joseph Jacobs (1891)
and Arthur Christensen (1925) had composed alphabetical
lists of motifs based on a selected number of tales and
myths, but these were far from being a comprehensive

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[16] Stith Thompson, Motif-Index of Folk Literature
(Bloomington, Indiana, 1955), 1, 10.

[17] Thompson, The Folktale, p. 422.

index of internationally accepted motifs.[18]

Finally, Stith Thompson, realizing that a classification of motifs was indispensable for a proper study of the folk tale, undertook to accomplish the task. As he said in the introduction to his Motif-Index:

> Yet there is much common matter in the
> folk literature of the world. The
> similarities consist not so often in
> complete tales as in single motifs.
> Accordingly, if an attempt is made to
> reduce the traditional narrative material
> of the whole earth to order . . . it must
> be by means of a classification of single
> motifs--those details out of which full-
> fledged narratives are composed. It is
> these simple elements which can form a
> common basis for a systematic arrangement
> of the whole body of traditional literature.[19]

Utilizing motifs formulated by predecessors, such as Jacobs and Christensen, and drawing upon material from many different areas of traditional fiction, including that of myths and folk tales, Thompson painstakingly composed his classification of motifs.

In the Motif-Index, the motifs are divided into twenty-three sections and are arranged in a logical order, as Thompson stated, "In a very general fashion, the groups may be said to progress from the mythological

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[18] Thompson, The Folktale, p. 423.

[19] Thompson, Motif-Index, 1, 10.

and the supernatural toward the realistic and sometimes the humorous."[20]

Following is a list of the main divisions into which motifs were grouped:

A. Mythological Motifs
B. Animals
C. Tabu
D. Magic
E. The Dead
F. Marvels
G. Ogres
H. Tests
J. The Wise and the Foolish
K. Deceptions
L. Reversal of Fortune
M. Ordaining the Future
N. Chance and Fate
P. Society
Q. Rewards and Punishments
R. Captives and Fugitives
S. Unnatural Cruelty
T. Sex
U. The Nature of Life
V. Religion
W. Traits of Character
X. Humor
Z. Miscellaneous Groups of Motifs

Each of these major divisions contains an uncomplicated grouping of motifs which share a general narrative concept. For example, within Group A "Mythological Motifs" would be found motifs relating to: gods, goddesses, the creation of man, the creation of animals, etc.[21]

Although used extensively throughout the world,

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[20] Thompson, <u>Motif-Index</u>, 1, 19.

[21] Thompson, <u>Motif-Index</u>, 1, 61

the main disadvantage in using this system to classify
folk fairy tales is that it does not deal with the tale
as a complete unit, but only with individual motifs
found within each tale.  Folklorists have also been
dismayed by the fact that many of the motifs used in
The Motif-Index of Folk Literature have been drawn
from sources of fiction other than those of the tradi-
tional oral narrative and as such are not really folk
motifs, but could be considered as belonging more to
the field of literature in general.

CHAPTER THREE

Introduction to the Morphological Approach.

(i)  The Russian Formalist School

Until the 1920's folklore studies in the U.S.S.R.
were patterned after those in the West.  Many folklorists
followed the approach initiated by the Finnish School.
But in the 1920's a new spirit, Formalism, swept across
Russia, affecting not only the study of literature but
of folklore as well.  Since Russian Formalism is a vast
topic, I will limit my discussion to the concerns and
aims of the movement, in so far as it helps to clarify
the approach taken by Propp in formulating his monograph
on the folk fairy tale.

Formalism began as a reaction to the inferior
academic scholarship of that era.  As Jakobson stated

> The historians of literature have helped
> themselves to everything--environment,
> psychology, politics, philosophy.  Instead
> of a science of literature, they have
> worked up a concoction of homemade disci-
> plines.  They seem to have forgotten that
> those subjects pertain to their own fields
> of study--to the history of philosophy, the
> history of culture, psychology, and so on,
> and that those fields of study certainly may
> utilize literary monuments as documents of a
> defective and second-class variety among
> other materials.[22]

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[22] L. Matejka and K. Pomorska, eds.  Readings in
Russian Poetics:  Formalist and Structuralist Views
(Ann Arbour, Michigan, 1978); p. 8.

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Jakobson's statement showed the general distaste
with which the Russian Formalist School viewed the
unimaginative treatment of literature by the academics
of the time, but it was also indicative of how Propp
and other Formalists felt about the system of methodology
and classification which the Finnish School had imposed
on the folklore movement.  I will deal more fully with
the Formalist response to the Finnish system later in
this chapter.

The Formalist School was greatly influenced by the
German philosophers Dilthey, Windelband and Rickert who
around the turn of the century had, "reestablished
the basic division between the natural sciences and the
humanities."[23]  But above all, the Formalists were
indebted to the Swiss linguist Ferdinand de Saussure
who had developed a synchronic study of language.
Saussure's views that extralinguistic influences on
language were irrelevant and that every language was
complete at each stage of its evolution inspired the
Formalists to develop a methodology which focused on
the real subject matter of a literary work.[24]

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[23] Matejka, p. 274.

[24] Robert Scholes, _Structuralism In Literature An
Introduction_ (New Haven:  1974), pp. 17-18.

The Formalist School eventually developed a method of literary analysis based upon Saussurian linguistic analysis which viewed a literary work in terms of its own properties and not those of some other discipline like history or psychology. In folklore, the enthusiasm engendered by the new synchronic approach resulted in two members of the Formalist School taking a closer look at the beloved Russian folk fairy tale.

The first was A.I. Nikiforov, a noted collector of folk tales who in a brief essay written in 1926 entitled "Towards A Morphological Study of the Folktale" formulated a methodology to be used in going about a syntagmatic structural analysis of the Russian fairy tale.[25] By syntagmatic structural analysis the formalists simply meant a way to examine the various elements of which the tale was composed in the sequence in which they occurred.[26] Nikiforov stressed that a primary set of studies should be made to isolate compositional laws within the structure of the variants of each folk fairy tale. From this study he ascertained that three laws were seen to be functioning. They were:

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[25] Felix J. Oinas and Stephen Soudakoff, trans. and ed., The Study of Russian Folklore (The Hague, 1975), p. 155.

[26] Vladimir Propp, Morphology of the Folktale (Austin, 1979), p. xi.

1) the law of repetition of dynamic elements, 2) the law of the pivotal position occupied by the hero, and 3) the law of the categorical or grammatical organization of action, which means that the various separate actions within a folktale are combined into a single movement according to categories, "which are analogous to the morphological categories of word formation in a language."[27]

Nikiforov then went on to specify that a second group of morphological studies should be made of the same material, but directed toward an investigation of the development of the schemes of actions within the tale. The result of this study would be the ability to place each variant into a simple schema.[28]

In addition to proposing specific morphological investigations, Nikiforov made some astute observations regarding the function of the Russian folk fairy tale. Some of these observations are: 1) only the function of a character's role is constant; 2) the number of functions for each role is very limited; and 3) the plot structure is formulated by the grouping of the functions of the main and secondary characters into various combinations.[29]

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[27] Oinas, p. 157.

[28] Oinas, p. 158.

[29] Oinas, p. 159.

Finally, Nikiforov summed up his short essay by proposing that since the actual thematic scheme of a folk fairy tale was determined by the primary function of the hero, therefore all fairy tales should be classified in one of three major groups: masculine; feminine; neuter. In his morphological investigations, Nikiforov found that each of these three groups had certain specific structural patterns which relate directly to the function of the hero. Within the category of the masculine folk tale where the hero has a very active role, Nikiforov placed those tales relating to the procuring a bride, tales about difficult tasks and tales about deceptions. Whereas in the category of the feminine fairy tales where the hero is a helpless victim, he placed all those tales dealing with a persecuted female and the procurement of a groom. Those tales with structural patterns differing from the first two groups, such as tales about tests of intelligence or stories about fools, Nikiforov classified as neutral.[30]

But it was Vladimir Propp (1895-1970), a professor of folklore at Leningrad University and not Nikiforov who followed up with an in depth morphological study of

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[30] Oinas, p. 160.

the folk fairy tale. Propp's study <u>Morphology of the Folktale</u> was first published in 1928. This was the same year that Nikiforov's essay "Towards a Morpholical Study of the Folktale" was published. Although both folklorists had formulated their notions for a structural study of the Russian folk fairy tale independently, their work shows that they were on the same track with regard to their understanding of the concept of the function of the tale role. I will look at this area more closely when I discuss Propp's method of analysis.

ii) Morphology of the Folktale: Propp's Argument

When Vladimir Propp wrote his monograph, <u>Morphology of the Folktale</u>, he was reacting strongly to the manner in which Western European folklorists had classified the folktale. He could not understand with all the folkloric monographs and studies available at that time, why no one had taken the initiative and utilized all this material to formulate a scientific classification of the tale "to discuss genetics, without special elucidation of the problem of description as it is usually treated, is completely useless. Before throwing light upon the question of the tale's origin, one must first answer the question as to what the tale itself represents."[31]

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[31] Propp, p. 5.

In the introductory chapter to his Morphology
Propp showed his opposition to the contrived systems
of Western European classification prevalent at the time
which imposed a diachronic view on the study of the
folk fairy tale.  Included in this criticism was Aarne's
The Types of the Folktale and the historic-geographic
methodology of the Finnish School.  Propp, although
agreeing with the need for a system of classification,
disagreed with the manner in which Aarne had set up the
Type Index.  He could not understand why for instance
two similar tales, obviously variants of each other,
were classified differently simply because they had male
and female protagonists.  Propp also could not compre-
hend why in the index to The Types of the Folktale
Aarne had separated the category entitled "Animal Tales"
from the "Tales Proper" section.  But Propp's major
area of discontent with the Type Index lay in the fact
that it was a classification system which imposed
external categories upon the folk tales.

Propp like other folklorists in the Formalist
School was deeply dissatisfied with the approach taken
by Aarne.  He saw that a proper understanding of the
folk fairy tale would only emerge when it was
understood through the structure, principles and forms
which it yielded itself, and not from themes arbitrarily
read into it by a current day reader.  He felt that the

time had come to take a new look at the folk fairy tale

and to discover the features inherent within the tales

themselves.  He had undoubtedly noticed the similar

thematic patterns evident everywhere in the tales and

knew that by employing sound morphological principles,

such as those advocated by the Russian Formalists in

their study of the structure and form of literature, he

could isolate various elements within the folk fairy

tales which would explain their structural composition

and development.

Since Propp went ahead with his morphological

investigation, he obviously felt that the Formalist

methodology was the correct approach just as he felt

that Aarne and those employing the methodology of the

Finnish School were heading along a path which led

away from the true nature of the tale.  In the Morphology

of the Folktale Propp wished to provide, as it were,

a grammar of the tales which would lead on to the

understanding of the tales through the elements inherent

in their structure.  But he also wanted to use the

Morphology to demonstrate in detail how the methodology

which he had evolved should be employed.  I will be

utilizing this morphological methodology which Propp

originated in an analysis of five traditional folk

fairy tales using as my text the version first published

in the English language.  My purpose is to discover what

elements within the plot structure of the tales have enabled them to retain their popularity with people of all ages.

## Propp's Method of Analysis

Building on the work of other Russian Formalists, Propp began his analysis with a concise definition of morphology. He called it "a description of the tale according to its component parts and the relationship of these components to each other and to the whole."[32] He next explained that each tale had certain constants and variables. The variables were the large number of colorful characters which are found in all fairy tales. However, he further pointed out that this large number of characters fitted into a very limited number of tale roles within the scheme of the individual tale itself. The constants were the limited number of functions or actions attributed to the tale roles. For Propp as for Nikiforov, function was the most important element in the fairy tale and as such he defined it as "an act of a tale role defined from the point of view of its significance for the course of the action.[33]

Propp then summed up the observations of his study

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[32] Propp, p. 19.

[33] Propp, p. 21.

and formulated them as four laws pertaining to the morphological study of all Russian fairy tales:

1.  Functions of characters serve as stable, constant elements in a tale, independent of how and by whom they are fulfilled. They constitute the fundamental components of a tale.

2.  The number of functions known to the fairy tale is limited.

3.  The sequence of functions is always identical.

4.  All fairy tales are of one type in regard to their structure.[34]

These four laws serve as the basis for Propp's thesis and seem like four newly discovered scientific principles in their surprising universality.[35]

Having established a general groundwork, Propp chose for his study folk fairy tales from the collection of A.N. Afanás'ev, an amateur folklorist who had been active in collecting tales during the 1860's. After having carefully analyzed one hundred of the tales, Propp was able to stop his investigation of individual tales because he found that the same functions repeated themselves continually. He was also surprised to find

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[34] Propp, pp. 21-23.

[35] Robert Scholes, Structuralism in Literature An Introduction (New Haven: 1974), p. 62.

that he had been able to isolate only thirty-one
functions, noting that each function, "develops out of
another with logical and artistic necessity."[36]

In breaking down the folk fairy tale structurally,
Propp mentioned that it commenced with an initial
situation in which either the members of the family were
enumerated or the future hero was introduced($\alpha$). He further
noted that the tale which followed this short introduc-
tion consisted of some, although not all, of the
thirty-one functions which he had uncovered in his
morphological study and that these functions always
appear in the same sequential order. At this point I
would suggest that a reader turn to Appendix I and
carefully familiarize himself/herself with the chart
which I have prepared listing Propp's thirty-one
functions. This chart includes: a brief summary of
each function's essence; an identifying tag for each
function; and the conventual symbol for each. This
series of thirty-one functions is essential to an
understanding of Propp's approach to the analysis and
classification of the folk fairy tale.

After Propp had described each of his functions
in great detail, he went on to discuss how each of the
seven tale roles that he had isolated logically

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[36] Propp, p. 64.

absorbed certain of the functions to form spheres of action. In Appendix II, I have prepared a brief table to show how each tale role logically attracts certain spheres of action to itself. I have identified the functions involved in each sphere of action both by number, symbol and identifying tag. Propp then used these thirty-one functions and their combinations within the tales to formulate a classification based on plot structure.

## Propp's System of Classification

Once the study had been completed and the functions isolated, Propp was ready to make use of his deductions and formulate a classification. He commenced by defining the folk fairy tale hypothetically as "a story built upon the proper alternation of the above-cited functions in various forms, with some of them absent from each story and others repeated."[37] Then, he proceeded with his classification in a systematic manner, reminiscent of that of the eighteenth-century Swedish botanist Carolus Linnaeus whose morphological classification revolutionized the biological sciences.[38]

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[37] Propp, p. 99.

[38] Dan Ben-Amos, ed., Folklore Genres (Austin, 1976), p. xv.

Initially, Propp separated the tales into their essential parts by examining each tale's scheme. During the course of this investigation he noticed that certain functions, such as pursuit (Pr) and rescue (Rs) always occurred together in a tale and so formed a pair. Therefore, it was evident to him that in formulating a classification of the Russian folk fairy tale, he should base his conclusions upon the absence or presence of various pairs of functions which affected the structural composition of the tale.

Subsequent to this initial examination, Propp discovered that two pairs of functions were rarely encountered within the same tale, while there were other tales in which neither pair was present. These two pairs of functions were the struggle with the villain (H) and the victory over him (I), and the difficult task (M) and its resolution (N). From these apparent structural universals, Propp concluded that there were four structural types for each single move fairy tale. By a single move tale he simply meant a tale with a series of functions occurring in the order which he had indicated (see Appendix I). However, Propp had discovered that many tales had two or more series of functions which he termed moves and each new move began with a villainy (A).[39]

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[39] Propp, p. 59.

Appendix III provides a chart explaining the major details of Propp's classification of structural features of the tales. The chart shows the pair or pairs of functions responsible for the development of each of the four structural types as well as an explanation of the general pattern of the scheme for that particular type.

Propp also suggested that since further classification could not be made by structural means, its was necessary to find the single essential function in the tale which was either (A) villainy or (a) lack, and then assign the tale to the proper subclass of the various divisions within that function.[40] The various divisions of function 8: A (villainy) are as follows:

$A^1$:  The villain abducts a person.
$A^2$:  The villain seizes a magical agent.
$A^3$:  The villain pillages or spoils the crops.
$A^4$:  The villain seizes the daylight.
$A^5$:  The villain plunders in other forms.
$A^6$:  The villain causes bodily injury.
$A^7$:  The villain causes a sudden disappearance.
$A^8$:  The villain demands or entices his victim.
$A^9$:  The villain expels someone.
$A^{10}$: The villain orders someone to be thrown into the sea.
$A^{11}$: The villain casts a spell upon someone or something.
$A^{12}$: The villain effects a substitution.
$A^{13}$: The villain orders a murder to be committed.
$A^{14}$: The villain commits murder.
$A^{15}$: The villain imprisons or detains someone.
$A^{16}$: The villain threatens forced matrimony.
$A^{17}$: The villain makes a threat of cannibalism.
$A^{18}$: The villain torments at night.

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[40] Propp, p. 102.

$A^{19}$: The villain declares war.[41]

The various subclasses of function 8a: a (lack or insufficiency) are:

> $a^1$: Lack of a bride or of an individual.
> $a^2$: Lack of a helper or a magical agent.
> $a^3$: Lack of wondrous objects.
> $a^4$: Lack of the egg of death (of love).
> $a^5$: Lack of money or the means of existence.
> $a^6$: Lack in other forms.[42]

Thus, a tale which was classified as type 1 because of its structural components could be more specifically typed according to a variety of subcategories, as for example subclass $A^{13}$ because of the villainy which involves an expulsion of the hero.

Through this morphological classification of folk fairy tales and the resulting schema, Propp has succeeded in showing not only how the individual tale is structured, but also how once its structural type is known; the other elements which comprise the tale are more easily identifiable and, hence the individuality of structurally similar tales is made apparent. His pioneer work regarding the structure of the Russian folk fairy tale has inspired a younger generation of

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[41] Propp, pp. 30-34.

[42] Propp, pp. 35-36.

folklorists to follow in his footsteps.

## iii)   Recent Morphological Approaches

### The Acceptance of Propp's Ideas

After Vladimir Propp's Morphology of the Folktale
was first published in 1928, the Russian Formalist
School fell into disfavour with the Soviet regime of
the day.  As a result the Morphology of the Folktale,
along with all other works produced by the Formalists,
was banned from further publication.

In 1958 an English translation first made the
Morphology available to the West.  The enthusiasm
shown for Propp's documented revelations concerning
the structure of the folk fairy tale caused the Russian
government to lift its ban on publication, and, moreover,
to reexamine its stand on several issues, such as the
work of the Russian Formalists and the approach to the
study of folklore prevalent in the Soviet Union.[43]

The main reason that Propp's Morphology was greeted
so enthusiastically throughout Europe and North America
and hailed as a major turning point in the study of
folklore was that  it provided a methodology intrin-
sically derived from the tales themselves rather than
relying upon extrinsic theories.  The late nineteenth

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[43] Felix J. Oinas, "V. Ja. Propp (1895 - 1970),"
Journal of American Folklore, Vol. 84 (1971), 338-340.

and early twentieth-century academics who concerned
themselves with folklore were interested in how the
tales disseminated throughout certain geographical
areas rather than with properties of tales themselves.
A good example of this type of approach is the
methodology promulgated by the Finnish School (see
pp. 4 - 5). The historic-geographic approach which
the Finnish School fostered was prevalent not only in
its methodology, but also in the two earliest classifi-
cation systems the Type Index and the Motif-Index.
Folklorists had readily used the methodology of the
Finnish School since it was the only internationally
recognized approach to the study and classification of
the folk narrative available.

The younger generation of folklorists in the 1950's
were frustrated, since neither the basic unit of the
Type Index--"the theme" nor the basic unit of the Motif-
Index--"the motif" had any special links with each other.
Each system of classification was completely independent
although both indices were based on the diachronic
approach of the Finnish School. They could not be used
together to bring about a clearer taxonomy of the
folk fairy tale. The younger folklorists were demanding
a demonstrable system of classification which was
independent of personal prerogative. But more important
they wanted a new methodology established upon a

structural approach to the folk fairy tale which would
have suitable units upon which to base a program of
comparative studies of folklore.[44]

Consequently, when the Morphology of the Folktale
which took a synchronic approach first appeared, it
caused a great deal of excitement, not only because it
generated new insights into the study of the folk fairy
tale, but also because Propp's minimal unit--"the
function" was able to be isolated and used as a basis
for comparative studies.[45]

Since the advent of the Morphology, Propp's
methodology and insights have continually attracted new
adherents and he is rightfully considered as the
patriarchal-figure behind the new morphological movement
of narrative structures.

## New Streams of Thought

Although many scholars have adopted Propp's basic
approach since his work first became available in
translation, by no means have they been complacent with
what they found. They continued to extend applications
of syntagmatic structural analysis suggested both by

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[44] Alan Dundes, "From Etic to Emic Units in the
Structural Study of Folktales," Analytic Essays in Folk-
lore, ed. Richard M. Dorson (The Hague, 1975), pp. 61-71.

[45] Dundes, p. 66.

Propp and Nikiforov. Jason tells us that within the
modern group of studies devoted to investigating the
syntagmatic approach certain common characteristics
can clearly be seen:

1) The studies have all been classified and
   divided into various units of order.

2) The studies have attempted to reduce the
   number of functions and expand each to a
   higher level of abstraction.

3) Many of Propp's progeny have reintroduced the
   concept of TALE ROLE which was mistranslated
   as DRAMATIS PERSONAE in the 1958 and 1968
   editions of the Morphology.

4) Many folklorists have developed models which
   show up to four levels of meaning embedded in
   various tales.

5) Newer models have been developed to demonstrate
   Nikiforov's concept of classifying the folk
   fairy tale into one of the three subgenres which
   he had evolved through his morphological investi-
   gation:  "heroic" fairy tale; "female" fairy tale;
   "reward-and-punishment" fairy tale, etc.[46]

Foremost among the second generation of scholars
who have been investigating various aspects of the folk

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[46] Heda Jason and Dimitri Segal, eds. Patterns in
Oral Literature (The Haque, 1977). pp. 2-5.

narrative using the morphological approach are Alan
Dundes, Claude Bremond and Heda Jason. All three folk-
lorists have followed the basic, linear-sequential form
of structural analysis initiated by Propp, now more
commonly called the syntagmatic approach, in their
investigations of the folk fairy tale.[47] The following
section looks at what Dundes, Bremond and Jason have
accomplished using this approach. In this discussion
of Propp's progeny I have, however, omitted any mention of
such, structuralists as Greimas, Todorov, or Miranda who
have attempted to rework Propp's morphological analysis
by combining it with the paradigmatic analysis of
Levi-Strauss. Levi-Strauss does not look at the
elements of a tale in a given linear sequence as does
Propp, but takes the elements out of the given order
and rearranges them into various groups of analytic
schemata. The resulting data is more semiotic in nature
than that which results from a syntagmatic analysis and
as such is not true to the concept of morphology.[48]

## Alan Dundes

The trend towards studying the narrative structure
of folk literature began in 1962 with Alan Dundes.

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[47] Propp, p. xi.

[48] Propp, p. xi-xii.

After reading Propp's monograph, Dundes realized that
the study was synchronic and "in marked contrast to
the rest of folklore scholarship."[49]

But Dundes also saw a great similarily between
Propp's approach to the folk fairy tale and the approach
to linguistic analysis developed by Kenneth L. Pike.
In dealing with linguistics, Pike had termed the older
non-structural mode of analysis the etic approach, since
it was basically classificatory; while he called the
newer mode based upon structural principles the emic
approach. Dundes saw that what Pike was doing in the
field of linguistics reflected accurately what was
occurring in the field of folklore. Pike's etic units
were similar to the two older units, the theme and the
motif, which had been developed to assist folklorists
in their classification of the folk narrative. But
what excited Dundes most was Pike's emic approach to
linguistics which was based on a structural model. He
found that the approach mirrored closely what Propp was
trying to accomplish in folklore. As a result, he
suggested that Propp's concept of function be adopted,
but that it be called by the term Pike used for the
minimal unit in his linguistic analysis, that is emic
motif or motifeme. Pike's vocabulary, developed for

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[49] Dundes, p. 66.

comparative linguistics, would, Dundes felt, better
help to define the structural units so important in
any synchronic analysis of folklore.[50]

Dundes applied this Pike-Proppian format to his
morphological investigation of the structural patterns
in the oral traditions of the North American Indian.[51]
His inspiration in combining the two systems has greatly
assisted scholars around the world in putting the
comparative study of folklore on a truly synchronic
basis.

## Claude Bremond

Claude Bremond is today one of the most respected
structural critics on the French literary scene. His
insights regarding Proppian morphological analysis have
been adopted by academics throughout the world.
Bremond's first essay dealing with this form of
synchronic analysis entitled "Le message narratif"
appeared in 1964. In it Bremond gave the French literary
public for the first time an excellent synopsis of the
main ideas in the Morphology. He then proceeded to
depart from Propp's approach, pointing out what he
felt were weaknesses in the system and how he would

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[50] Dundes, p. 70.

[51] Alan Dundes, "Structural Typology in North
American Indian Folktales," Analytic Essays in Folklore,
ed. Richard Dorson (The Hague, 1975), pp. 73-79.

strengthen it. He, first of all, stated that following Propp's sequence of functions was like following a road with all the signs marked. Bremond claimed that there were pivotal elements which could change the direction of the story.[52] He felt that a function like A: (villainy) did not necessarily lead to B: (mediation) nor B to C. If, as he explained, there was a function entitled "Temptation," it should lead the hero to consider the consequences of two alternative functions which might be chosen. Bremond believed that Propp should have supplied an element called a pivotal function in his schema which would provide for at least two alternatives to each previous function "la nécessité de ne jamais poser une fonction sans poser en même temps la possibilité d'une option contradictoire."[53]

By introducing the idea of alternative consequences for each function Bremond was actually interjecting an aspect of psychology into the morphological study of the folk fairy tale. This was an area that Propp as a Formalist had no interest in at all. I would ask the reader to turn to Appendix IV where he/she will find a table indicating the dichotomous schema proposed by Bremond.[54]

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[52] Claude Bremond, "Le message narratif," Communications, (Paris, 1964), p. 10.

[53] Bremond, p. 15.

[54] Bremond, p. 21.

Bremond also suggested that functions: D (the first function of the donor), E (reaction of the hero), F (receipt of a magical agent) as well as ∝ (the initial situation) should be eliminated from Propp's schema because they represent elements in a folk fairy tale which are too imprecise to be considered as functions.[55] Eliminating these functions marked the first time that anyone had attempted to formulate a model for the folk fairy tale with a substantial reduction in the number of functions. In an essay entitled, "The Morphology of the French Fairy Tale: The Ethical Model" Bremond goes even further by presenting a model of the French fairy tale structured solely on a triad of functions with of course alternate consequences. In the essay Bremond goes on to show how the structure of the French folk fairy tale could be reduced to an initial model of six paired functions.

1. DETERIORATION    -    IMPROVEMENT

2. MERIT    -    REWARD

3. UNWORTHINESS    -    PUNISHMENT[56]

Bremond's logical insights into the syntagmatic mode of analysis, whether it be his concept of alternative consequences or his view on reducing the

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[55] Bremond, p. 27.

[56] Claude Bremond, "The Morphology of the French Fairy Tale," Patterns in Oral Literature, ed. Heda Jason and Dimitri Segal (The Hague, 1977), p. 49.

number of functions, have assisted modern folklorists in the construction of more accurate models of the folk fairy tale. He and Propp differ mainly in their understanding of the term "function." For Propp, function is the action portrayed by one of the tale roles and is determined by its relation to the other functions in the schema of a particular folk fairy tale. Whereas, for Bremond it is the functions or actions themselves and any consequences that might result from them which are important. Tale roles play a minor part in his scheme of operation.

Even though many of Bremond's conclusions are different from Propp's they simply show that Propp's method of structural analysis is not static but seminal. The approach presented in the Morphology can accommodate the radically different points of view of such folklorists as Dundes who adapted Propp's methodology for his study of the North American Indian folk tales and Bremond who adapted the same methodology in a different manner for his study of the French fairy tale.

## Jason

Heda Jason is another folklorist who has followed in Propp's footsteps. However, unlike Propp, who only dealt with the surface level or level of narration in the folk fairy tale, Jason has identified three additional levels which are woven into the rich tapestry

that is the oral narrative. In her essay, "A Model for Narrative Structure in Oral Literature" she lists four levels and how they should be studied:

| Levels Identified | Method for Study |
|---|---|
| 1) Wording: | A study of the original language of the folk tale through linguistics. |
| 2) Texture: | A study of how the wording of the tale is organized through poetics. |
| 3) Narration: | A study of how the plot structure of a tale is organized along the lines of the Russian Formalist School. |
| 4) Dramatization: | A study of the dramatic performaance of a work of oral literature through its constituent elements (i.e. acoustics, visual aspects . . . etc.).[57] |

In her own study of the narrative level in the folk fairy tale, Jason sees function as consisting of three elements: a) one action and b) two tale roles. She has also introduced a new element called the connective into the study of the folk fairy tale. By connective she simply means a unit which the narrator interjects into the story to show the transference of information from one character in a tale to another or

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[57] Heda Jason, "A Model for Narrative Structure in Oral Literature," Patterns in Oral Literature, ed. Heda Jason and Dimitri Segal (The Hague, 1977), p. 99.

to show the passage of time, space or state.[58] An example of a connective which shows a lapse of time would be the passage from "The Sleeping Beauty" which reads, "About fifteen or sixteen years after. . . ."[59]

In formulating a framework for her study of the folk fairy tale Jason like Bremond decided upon a model which utilized only three functions. However, unlike Bremond, she based the three functions in her model upon three of Propp's functions.

| Jason's Functions | | Propp's Functions |
|---|---|---|
| Function A | = | Function D: (the first function of the donor) |
| Function B | = | Function E: (reaction of the hero) |
| Function C | = | Function F: (receipt of a magical agent)[60] |

Appendix V provides a graphic illustration of Jason's model for the study of the folk narrative which utilizes three of Propp's functions and two of his tale roles (i.e. hero and donor).

Jason's work in utilizing the morphological approach to unravel some structural problems encountered in

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[58] Jason, p. 104.

[59] Opie, p. 109.

[60] Jason, p. 101.

Israeli folk narratives shows not only her ingenuity in dealing with the problem, but once again proves that Propp's methodology is a flexible one that can be adapted for use in studying the folk fairy tales of cultures other than the one for which it was devised.

Appendix VI shows in tabular form what Propp and his followers accomplished in their research using the morphological method of analysis. It will be seen from this table that the synchronic approach initiated by Propp has proven to be quite flexible and has accommodated the innovations of Bremond, Dundes and Jason. Moreover, these folklorists have shown that Propp's analysis can be successfully adapted and used in analyzing French fairy tales, Israeli fairy tales and North American Indian folk tales.

# CHAPTER FOUR

## A Morphological Analysis and Commentary on

## Selected Western Folk Fairy Tales

In the following chapter I will apply the syntag-
matic approach to analysis to five fairy folk fairy
tales selected from the Western folk fairy tale
tradition. I have chosen these tales because of their
popularity among English speaking peoples. Since no
variant of a tale can ever be determined to be the
authentic one, the versions of tales used will be those
first published in the English language, the versions
found in The Classic Fairy Tales edited by Iona and
Peter Opie.

Because Propp limited his analysis to those tale
types found in the Aarne-Thompson Type Index under the
category "Tales of Magic," the tales I have selected for
analysis are also to be found within the same type
classification, that is between A.T. (i.e. Aarne-
Thompson)300 and A.T. 749. Appendix VII identifies
each of the five folk fairy tales taken from The Classic
Fairy Tales by Iona and Peter Opie with its type number
and category found in The Types of the Folk-Tale.

## Model of the Western Folk Fairy Tale

I am presenting here a model based upon Propp's methodology for this study of the Western folk fairy tale. In this model Propp's original designations and definitions have been adhered to throughout. This model will deal with the surface structure in the folk fairy tales. I have, however, expanded upon the model by including the Time/Space Connectives suggested by Jason.[61]

In this model there are five basic narrative roles:

1. Hero and/or Heroine.

2. Husband.

3. Relations.

4. Villains:
        4.1) Evil male antagonist of power.
        4.2) Evil female antagonist of power.
        4.2a) Stepmother.

5. Benevolent Roles
        5.1) Donor (e.g. Fairy godmother,
                          dwarfs)
        5.2) Helper (snow white bird,
                        little white duck)
        5.3) Agents/Catalysts (parents)

## Modified List of Functions

| FUNCTION NUMBER | SYMBOL OF THE FUNCTION | DESCRIPTION OF THE FUNCTION |
|---|---|---|
| - | $\alpha$ (alpha) | Initial situation described is usually an unhappy one. |

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[61] Jason, p. 104.

| FUNCTION NUMBER | SYMBOL OF THE FUNCTION | DESCRIPTION OF THE FUNCTION |
|---|---|---|
| continued | | |
| 1 | β (beta) | Death of parent:<br>Examples: (a) One parent dies leaving spouse and daughter and/or son. |
| 2 | γ (gamma) | A command is given:<br>Examples: (a) Mother tells hero he must sell the cow to purchase food or they will starve. |
| 3 | δ (delta) | The command is not obeyed:<br>Examples: (a) Hero sells cow for a few beans. |
| 4 | ε (epsilon) | The villain attempts reconnaissance:<br>Examples: (a) The villain asks for information from a magical looking-glass. |
| 5 | ζ (zeta) | The villain receives information about the hero:<br>Examples: (a) The villain hears what the other seven fairy godmothers have wished for the baby; (b) the villain receives information about the victim from a magical looking-glass. |
| 6 | η (eta) | The villain attempts to deceive:<br>Examples: (a) The villain attempts to deceive the father into thinking that she is a good mother to his daughter. |
| 7 | θ (theta) | The victim submits to the deception:<br>Examples: (a) The victim believes all the villain's lies and persuasions. |

| FUNCTION NUMBER | SYMBOL OF THE FUNCTION | DESCRIPTION OF THE FUNCTION |
|---|---|---|
| continued | | |
| 8 | A | **Villainy:**<br>Examples: (a) The villain's curiosities entice the hero; (b) the villain demands that the heroine work for her or she will eat the hero; (c) the villain expels her step-children from their home; (d) the villain casts a spell upon the heroine that she will be pricked by a spindle; (e) the villain orders a servant to kill her step-daughter or her daughter-in-law and grandchildren; (f) the villain commits murder. |
| 8a | a | **Lack:**<br>Examples: (a) The heroine lacks the necessary clothing to attend the ball; (b) the hero and his mother lack money for food and go to bed without supper. |
| 9 | B | **Hero/Heroine are sent or taken from home:**<br>Examples: (a) The hero departs from home on an adventure; (b) parents lead children away from home; (c) the heroine condemned to death is secretly freed by a servant. |
| 10 | C | Consent to Counteraction |
| 11 | ↗ | Departure |
| 12 | D | **Hero/Heroine tested:**<br>Examples: (a) The donor meets and interrogates the hero/heroine; (b) the villain attempts to destroy the heroine by ordering her to enter the oven. |

| FUNCTION NUMBER | SYMBOL OF THE FUNCTION | DESCRIPTION OF THE FUNCTION |
|---|---|---|
| continued | | |
| 13 | E | Reaction of the hero/heroine: Examples: (a) The hero/ heroine withstands the test; (b) the hero/heroine follows the advice given without question; (c) the heroine saves herself by tricking the villain into putting her head into the oven. |
| 14 | F | Acquiring a magical agent: Examples: (a) The heroine magically receives a ball gown, glass slippers; (b) the hero comes upon a hedge which opens magically to let him pass; (c) the hero seizes a hen, two bags of money and a magic harp which had belonged to the villain; (d) a little white duck places himself at the disposal of the hero and heroine. |
| 15 | G | Guidance: Examples: (a) The heroine travels by horse drawn coach to the ball; (b) a snow-white bird leads the hero and heroine to a cottage made of bread and cake; (c) the hero approaches the bed where the princess was sleeping. |
| 16 | H | Struggle with the villain: Examples: (a) The heroine pushes the villain into the oven; (b) the hero's actions cause the villain to follow him down the beanstalk. |
| 17 | I | Victory over the villain: Examples: (a) The villain burns to death in the oven; (b) the hero cuts down the beanstalk while the villain is climbing down. |

| FUNCTION NUMBER | SYMBOL OF THE FUNCTION | DESCRIPTION OF THE FUNCTION |
|---|---|---|
| continued | | |
| 19 | K | Liquidation of lack:<br>Examples: (a) The villain entices the hero/heroine into her cottage with the promise of food; (b) because of new clothes magically acquired, the heroine is able to take her rightful place in society; (c) seizure of the villain's magical agents, allows the hero to overcome poverty; (d) indirectly the prince/husband causes the enchantment or captivity of the heroine to come to an end. |
| 20 | ↓ | Return of the hero/heroine. |
| 21 | Pr | Pursuit of the hero/heroine:<br>Examples: (a) The heroine flees the ball and is pursued by the prince. |
| 22 | Rs | Rescue of the hero/heroine:<br>Examples: (a) The heroine is saved because at the stroke of twelve her clothes magically change back into rags and she escapes notice. |
| 24 | L | Claims of a false hero:<br>Examples: (a) The two step-sisters try on the glass slipper. |
| 27 | Q | Recognition of the hero:<br>Examples: (a) When the heroine is allowed to try on the glass slipper, she is recognized as the grand lady from the ball. |
| 29 | T | Transfiguration:<br>Examples: (a) The fairy godmother appears and changes the ragged garb of the heroine to one of magnificence. |

| FUNCTION NUMBER | SYMBOL OF THE FUNCTION | DESCRIPTION OF THE FUNCTION |
|---|---|---|
| continued | | |
| 30 | U | Punishment of the villain: Examples: (a) The villain chokes with passion and dies when she sees the good fortune of the heroine; (b) the heroine forgives her stepsisters for their cruelty; (c) the villain falls from the beanstalk and is killed. |
| 31 | W | Wedding: Examples: (a) The heroine marries the prince; (b) the heroine marries the prince and also accedes to the throne; (c) the hero/heroine and one parent live a happy life because of the magical agents and/or valuables taken from the villain. |

## Analysis of the Tales

In the proceeding tale model I have eliminated any
of Propp's functions, such as Function 18: J (Branding
the hero) which do not apply to the five Western folk
fairy tales under consideration. Other than excluding
superfluous categories, the model itself is based
primarily on that found in Propp's Morphology of the
Folktale. Propp's description of functions and the
identifying symbols are adhered to throughout. Symbols
for the various functions (see Appendix I) will be used
to indicate where those functions occur in each tale.
The five selected folk fairy tales have been summarized
for ease of reference and to synchronize details with

the type category.

Tale 1: "The History of Jack and the Beanstalk."[62]

A poor widow and her only son, Jack, were on the brink of starvation. They had nothing left to sell for food except their cow. ( $\alpha$ )

The mother entrusted the cow to Jack with the warning that the cow must be sold or else they would starve. ( $y$ )

Shortly thereafter on the road to the next village, Jack encountered a butcher who offered all the beans in his hat in exchange for the cow. Jack readily agreed to the trade. ( $\delta$ )

When Jack's mother learned of the transaction, she kicked the beans in all directions. Then both she and Jack went to bed supperless. ( a )

Next morning when Jack looked out of the window, he saw that some of the beans had taken root and grown into an immense ladder leading to the clouds. Jack decided to climb to the top to seek his fortune. ( B )

Time/Space Connective: Jack spent several hours climbing the beanstalk and finally reached the top.

When he reached the top, Jack found himself in a barren land and concluded that he would die of hunger, but he decided to walk on in the hope of finding a house where he could beg for food and drink. ( C )

As Jack was walking along ( $\nearrow$ ), he encountered an old woman who questioned him about how he had come there, and if he recollected his father. ( D )

When Jack said that his mother had told him little, the old woman told him that she was a fairy and would reveal the whole story to him if he promised to do exactly as she desired. Jack was frightened and promised to follow her orders. ( E )

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[62] Opie, pp. 214-226.

Time/Space Connective:  Now follows a flashback segment
in which the old fairy reveals to Jack what has taken
place in the past.


     The fairy informed Jack that his father was a rich,
but charitable man.  $(\alpha)$

     A wicked giant had heard about his wealth.  $(\mathcal{S})$

     So he tried to deceive Jack's father into believing
he had fallen on hard times.  $(\eta)$

     Jack's father believed him and sheltered both the
giant and his wife in his own home.  $(\Diamond)$ .

     Finally, the giant murdered Jack's father through
treachery.  Then he loaded down both his wife and himself
with all the treasure in the house and set fire to it.
$(A)$

     Jack and his mother managed to escape and eventually
settled in the cottage where Jack was brought up.


Time/Space Connective:  At this point the flashback is
at an end and the story returns to the present.


     Jack was told that the fairy was his father's
guardian, but at the time of the attack she was being
punished for a transgression and so had been unable to
help.  But now since the punishment was at an end, she
had caused Jack to buy the beans, the beanstalk to
grow and Jack to ascend.  The fairy further told Jack
that the giant lived in the country at the top of the
beanstalk and that he (Jack) had been appointed to
punish the giant.  $(B)$

     The fairy disappeared and Jack continued on his
journey.  $(C)$

     After sunset he came to a large mansion.  He begged
the woman who answered the door for some food and a
night's lodging.  Although she told him that her husband
was a giant who ate human flesh, he finally persuaded
her to take him in.  $(D)$

     Jack was terrified when the giant entered and said
he smelled fresh meat, but his wife quietened him with
supper.  $(E)$

After supper the giant's wife brought him a hen which laid an egg of gold.  When the giant fell asleep, Jack ran off with the hen.  ( F )

Jack then descended the beanstalk and presented the hen to his mother.  In a short time they were very rich.  ( K )

Time/Space Connective:  Several months pass.

Jack had an urge to climb the beanstalk and see the other curiosities that he had heard the giant and his wife discussing.  ( A )

So Jack disguised himself and once again climbed the beanstalk.  ( B )

Having reached the top, Jack headed for the giant's mansion.  ( C )

Jack finally was able to persuade the giant's wife to give him food and lodging for the night.  She took him in and hid him in an old lumber closet.  ( D )

After the giant's supper, he ordered his wife to bring him his bags of gold and silver.  The giant then proceeded to count the money.  When at last he fell asleep, Jack came out of his hiding place and approached the bags.  A little dog nearby commenced barking.  Jack was terrified, expecting the giant to awaken at any moment.  ( E )

Eventually the dog stopped and Jack seized both bags of money and descended the beanstalk.  ( F )

When Jack arrived home he found his mother quite ill, but she recovered when she saw him.  He presented her with the two bags with which they were able to live quite happily.  ( K )

Time/Space Connective:  A period of three years passes.

Jack began once again to think of the giant's curiosities.  ( A )

Having made his preparations, he began his **ascent** and finally reached the top.  ( B )

Jack found the road and journeyed to the giant's mansion.  ( C )

He prevailed upon the giant's wife to take him in.   ( D )

When the giant arrived home, he searched the room, because he thought he smelled fresh meat.  Jack became terrified when the giant almost discovered his hiding place, but the giant finally seated himself for supper.  ( E )

After supper the giant ordered his wife to bring his magic harp.  When the giant fell asleep, Jack took the harp, but it cried out and warned the giant. ( F )

Jack ran as fast as he could to the beanstalk and began his descent.  ( ↓ )

The giant awoke and pursued Jack to the beanstalk. ( H ).

As Jack was descending he called out for a hatchet. When Jack reached the ground, he used it to cut the beanstalk off close to the root.  ( I )

The giant who had begun to descend was killed in the fall.  ( U )

Jack promised to obey his mother and they lived together happily for many years.  ( W )


Tale 2:  "Snow White and the Seven Dwarfs."[63]


A queen wished to have a daughter as white as snow, as red as blood, and as black as the ebony window frame.  ( α )

The queen's wish was granted and the child was called Snow-drop, but soon after the queen died.  ( β )

The king remarried.  This new queen was very proud of her beauty.  She used a magical looking-glass to see who was the fairest in the land.  ( ε )

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   Opie, pp. 230-237.

<u>Time/Space Connective</u>:   The heroine grows older.


On day when Snow-drop was seven, the mirror
reported that she was more beautiful than the queen.
(§ )

The queen commanded a servant to take her out into
the woods and kill her.   ( A )

The servant spared Snow-drop's life.   ( B )


<u>Time/Space Connective</u>:   The heroine wandered far away.


The child wandered through the woods and came to
the cottage of the seven dwarfs.   ( ↗ )

The dwarfs agreed to take care of her provided she
kept things in order.   ( D )

Snow-drop agreed and remained in the cottage having
been warned by the dwarfs to let no one in.   ( E )


<u>Time/Space Connective</u>:   The story shifts to the
abode of the wicked queen.


The queen again resorted to her magical looking-
glass and was informed where Snow-drop lived.   ( ſ )

She disguised herself as an old pedlar and in this
guise gained entry to the cottage.  She then laced
Snow-drop's stays so tight that the child fell down as
if dead.   ( A )

The dwarfs cut the laces and she came to life
again.   ( K )

The queen again questioned the mirror and learned
that Snow-drop was still at the house of the dwarfs.
( ſ )

Again she disguised herself and went to the cottage
under the pretense of selling combs.  She then placed a
poisoned comb in Snow-drop's hair which caused her to
fall down senseless.   ( A )

When the dwarfs came home, they removed the comb and she recovered. ( K )

Once again the queen went to her looking-glass and receiving the same answer, prepared a poisoned apple. ( ζ )

She then disguised herself as a peasant's wife and coaxed Snow-drop into taking a bite. At first bite, Snow-drop fell dead. When the dwarfs found her they put her in a coffin of glass and placed it on a hill. ( A )

Time/Space Connective: A long, long time passed.

At last a prince came. He begged the dwarfs to let him take Snow-drop. They agreed. When he went to lift the coffin, the piece of apple fell from her lips. ( K )

Then she awoke. The prince told her that he wanted her for his bride. Snow-drop consented and went home with him. ( ↓ )

A great wedding feast was planned. The evil queen came to see the bride. When she saw that it was Snow-drop, she choked with passion and died. ( U )

Snow-drop and her prince lived and reigned happily for many years. ( W )

Tale 3: "Cinderella (or The Little Glass Slippers)."[64]

Once there was a gentleman who had a daughter of great beauty and kindness. ( α )

When her mother died, the man took for his second wife a proud woman with two daughters like herself. ( β )

After the wedding the stepmother displayed her ill feelings toward the girl and turned her into a virtual servant. She was called Cinderella. The girl dared not complain to her father who was governed by his wife in all things. ( η )

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[64] Opie, pp. 161-166.

When the king gave a ball inviting all persons of quality to it, the stepsisters went, but Cinderella was not allowed to go.  ( a )

Her fairy godmother saw her crying and asked her if she wished to go to the ball.  ( B )

Cinderella answered that she wished to go.  ( ⌁ )

So her fairy godmother used magic to change a pumpkin into a fine coach, six mice into horses, a rat into a coachman, and six lizards into footmen.  ( D )

Cinderella was please with all her godmother had done.  ( E )

Then the fairy godmother touched Cinderella with her wand and instantly she was resplendent in a dress of gold and silver, jewels, and a pair of glass slippers. Off she went to the ball, promising her godmother not to stay after midnight.  ( F )

The king's son met her as she descended from the coach.  ( G )

The king's son fell in love with her and danced with her all evening.  Everyone admired her.  ( K )

Time/Space Connective:  But when the clock struck eleven and three quarters she rushed away.

The next evening it happened exactly as the first time and at the stroke of twelve she raced away.  ( ↙ )

The prince pursued her, but only managed to find one of her glass slippers.  (Pr)

When questioned, the guards at the palace gate said that they had only seen a poor country girl pass by.  (Rs)

Time/Space Connective:  A few days later.

The king's son announced that he would marry the girl whose foot fitted the glass slipper. Everyone, including the two stepsisters tried it on, but to no avail.  ( L )

When Cinderella asked to try on the slipper, her stepsisters laughed, but it fitted perfectly. ( Q)

Just then her fairy godmother appeared and transformed Cinderella into the splendid lady from the ball. ( T)

Her stepsisters begged pardon for the ill treatment they had given her and she forgave them. ( U)

Cinderella then married her prince and arranged for her two stepsisters to marry two lords the same day. ( W)

Tale 4: "The Sleeping Beauty in the Wood."[65]

A king and queen were very unhappy because they had no children. (α )

At last the queen was with child and a christening was planned. Seven fairies were invited and a special gift for each was prepared. But to the feast also came an old fairy who felt slighted because she had neither been invited nor received a gift. The old fairy listened to the gifts which the other fairies bestowed upon the little princess. (γ )

Then she said that the princess should have her hand pierced with a spindle and die. ( A)

A young fairy appeared from behind the hangings, and changed the curse from death to a sleep of one hundred years, at the conclusion of which time the princess would be awakened by a king's son. The king then ordered that a proclamation be made forbidding all distaffs or spindles in the kingdom. ( B)

Time/Space Connective: Sixteen years passed by.

One day when her parents were absent, the princess entered a little room at the top of a tower where she found an old woman using a spinning wheel. (δ )

The old woman allowed the princess to try it. (η )

[65] Opie, pp. 108-118.

Immediately the spindle pricked her and she fell down in a swoon. (A)

Since no one could rouse her, the king caused her to be carried into a fine apartment where she would be allowed to sleep quietly until the hour of her waking. The young fairy caused all in the palace to fall into a deep sleep and magically raised a high hedge around the park to protect the sleepers. (B)

Time/Space Connective: One hundred years passed by.

The son of a king while hunting saw some towers in the middle of a thick wood. (1)

He questioned various people about them, but no one had any information. Finally an old man told him the story about the princess. (D)

The old man's words excited the prince and he set out to investigate the towers. (E)

When the prince approached the hedge, it magically opened and allowed him to pass through. (F)

He saw that everything was frozen and lifeless, even the people. At last he came to the princess's chamber. As he approached her, he fell on his knees. (G)

As he fell on his knees the princess awoke and welcomed him. (K)

They immediately fell in love and talked together for hours. When the rest of the castle awoke, the pair were married in the chapel. (W)

Time/Space Connective: The prince has been making visits to the castle of the princess and living with her in this manner for two years.

During this time the prince has fathered two children, a boy and a girl, by the princess. He had been afraid to bring them home because the queen, his mother, was an ogress and ate children. But when his father died, he brought his wife and children home with great ceremony. (α)

<u>Time/Space Connective</u>:   A short time elapses.


    The king went off to war and left the government
as well as the care of his wife and children in the
hands of his mother.  ( *S* )


<u>Time/Space Connective</u>:   The queen mother has sent the
queen and her children to a house in the woods.


    One day the queen mother commanded the clerk of the
kitchen to kill the little girl and serve her as
dinner.  ( A )

    The clerk spared the child and concealed her in
his home, substituting a little lamb in her stead.  ( B )


<u>Time/Space Connective</u>:   Eight days later.


    The queen mother ordered the clerk to serve up the
little boy for supper.  ( A )

    The clerk also spared the boy and concealed him with
his sister, substituting a young kid in his place.  ( B )

    On another evening, the queen mother commanded the
clerk of the kitchen to serve up the young queen.  ( A )

    The clerk spared her life, concealed her with the
children in his lodgings and served up a young hind in
her stead.  ( B )

    One evening the queen mother when strolling about
the grounds heard the children playing.  In a fit of
madness at having been deceived, she decided to kill
them all by throwing them into a large tub filled with
poisonous creatures.  ( A )

    Just then the young king rode up.  ( *↙* )

    The enraged queen mother threw herself into the
tub of vipers and was immediately destroyed.  ( U )

    The king was sorry about his mother, but found
comfort with his wife and children.  ( W )

Tale 5: "Hansel and Gretel."[66]


A poor woodcutter and his wife lived in a cottage near a large wood. With them also lived his son and daughter from a former marriage. The boy was called Hansel and the girl, Gretel. (α)

The man was worried because of a famine. His wife prevailed upon him to bring the children into the woods and abandon them. (A).

That night Hansel slipped out and filled his pocket with white pebbles. The next day when the children were being brought to the woods, Hansel dropped pebbles to mark the way. (B)

The children were left near the fire to rest. When they awakened, they followed the pebbles back home. (C)


Time/Space Connective: A few days later.


Once again the stepmother urged the father to abandon the children. (A)

That night Hansel tried to get outside to gather pebbles, but the stepmother had barred the door. The next day on the way to the woods he broke his piece of bread and dropped crumbs on the path. (B)

The children once again lay down to rest near the fire. That evening when Hansel and Gretel awoke, they couldn't follow the trail because the birds had eaten all the crumbs. (C)

All night they searched for a way out of the woods. (↑)


Time/Space Connective: Three mornings since leaving home.


They followed a beautiful snow-white bird which led them to a cottage made of bread and cakes. (G)

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[66] Opie, pp. 312-319.

When the children began eating, a voice asked,
"Who is rapping at my door?" The children answered
that it was only the wind. Soon an old woman came out
and brought them into the house. She gave them food
and two little beds to sleep in. ( K )

But the old woman was in reality a witch who ate
children. ( α )

She had planned to capture them when they had come
near her house. ( η )

The next morning she shut Hansel in a cage and
forced Gretel to work as her slave. ( A )

Every day the near-sighted witch came to see how
fat Hansel was, but he tricked her by putting a bone
through the cage which she felt instead of his
finger. ( B )

Time/Space Connective: Four weeks had passed.

The witch finally decided to bake Hansel. First
she tried to trick Gretel into getting into the oven.
But when Gretel said she didn't know how, the witch
showed her by putting her own head in. ( C )

Gretel then pushed her in and bolted the oven
door. ( H )

The witch burned to ashes. ( I )

Gretel released Hansel and together they explored
the witch's house finding many caskets of precious
stones from which they filled their pockets. ( K )

Time/Space Connective: Two hours passed.

When the children had walked for two hours, they
came to a large lake. A little white duck carried them
over to the other side. ( ↓ )

When they arrived home they found that their father
was happy to see them and their stepmother was dead. (U)

The witch's precious stones provided for all their
wants and they lived together very happily. ( W )

## Classification of the Tales

In Appendix VII we see how Aarne arranged his classification of the various tales into categories according to theme. In the case of a tale like "Hansel and Gretel" which is classified in the category of Supernatural Adversaries, the Type Index functions admirably, since there is only one major element in the story, that of the wicked witch who of course is the supernatural adversary. But complications arose for Aarne when he was confronted by folk fairy tales with two or more major elements. A good example is "The Sleeping Beauty" where there are two supernatural adversaries (the bad fairy and the ogress), one supernatural helper (the good fairy godmother), and an enchanted princess. Aarne in arbitrarily deciding to choose the major element of enchantment over the rest as the basis for his classification was inadvertently pointing out one of the major deficiencies in the Type Index. Aarne's system of classification, The Types of the Folktale, which is partly based on diachronic studies and partly on Aarne's personal preference as to which was the major element in a given tale is therefore not a scientific classification based upon the structural features of the folk fairy tale. A true classification must be made by grouping together those tales which share similar structural features.

·Appendix VIII summarizes in tabular form the structural schemes of the five folk fairy tales which we are studying. It becomes apparent in viewing the schemes of the five tales that they do not readily fit into any of the four categories which Propp developed for the Russian folk fairy tale (see Appendix III). Only "The History of Jack and the Beanstalk" with its struggle and victory of the hero over the giant would classify as a structural type 1 Proppian adventure tale. The remainder·of the tales would be consigned to structural type 4, since there is neither a struggle and victory (H-I)·, nor, a difficult task and its resolution (M-N).

Propp based his system on the structural features of the Slavic folk fairy tale which has different structural patterns from the Western folk fairy tale, and it is not possible as Dundes has shown (see Appendix V) to apply Propp's structural typology to the folk fairy tales of a non-Slavic people. As a result, although I will be retaining Propp's designations and functions, I will not be using his four structural types to classify the five Western folk fairy tales which we are presently studying.

Instead I will be classifying the tales according to the system proposed by A.I. Nikiforov in his essay "Towards A Morphological Study of the Folktale."

Nikiforov as mentioned earlier was, like Propp, a
member of the Russian Formalist School and was involved
in a morphological investigation of the folk fairy tale.
Since his conception of FUNCTION, the stable element
in any morphological analysis, was identical to Propp's[67]
(see Appendix V), his classification which is based
upon the thematic schema of the folk fairy tale can be
applied to the Proppian analysis we are using in this
study.

Unlike Aarne who based his Type Index upon a
classification according to theme, Nikiforov did not
believe as did the members of the Finnish School that
the theme of each folk fairy tale was an organic whole
that could be isolated and studied independently from
other tales.[68]  He rather believed that the thematic
scheme of the folk fairy tale was determined by the
primary function of the hero and as a result could be
studied and classified on these basis.  The system
which he recommended as a result of his morphological
investigation was that each tale be classified as one
of three types of the folk fairy tale genre:  1) the
masculine or "heroic" fairy tale, 2) the feminine or
"female" fairy tale and 3) the neuter fairy tale which

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[67] Oinas, p. 163.

[68] Propp, p. 9.

deals with other situations.[69]

## The Heroic Fairy Tale

Nikiforov stated that the heroic or masculine tale is constructed according to three specific patterns: tales of procurement (of a bride); tales about difficult tasks; and tales about particular deceptions.[70]  "Jack and the Beanstalk" must certainly be considered as belonging to this subgenre of the folk fairy tale since the hero, Jack, is given the difficult task of punishing the giant as well as absconding with the giant's treasures.  In addition to this, Pentikainen and Apo state that the hero must be male, his adversary, the villain, must as well be male and the highlight of the story is not just a completion of the task, but a confrontation with the villain which ends with his defeat.[71] By all accounts then "Jack and the Beanstalk" is a heroic tale.  As is shown in Appendix VIII in which features of the tales are summarized along with a statistical comparison, "Jack and the Beanstalk" is the longest of the five tales.  It includes a detailed

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[69] Nikiforov, p. 160.

[70] Nikiforov, p. 160.

[71] Pentikainen and Apo, "The Structural Schemes of a Fairy Tale Repertoire," World Anthropology Varia Folklorica, ed. Alan Dundes (The Hague, 1978), p. 39.

preparatory section followed by four movements.
Although the tale is limited to only twenty of Propp's
functions, several like Function 8: A (villainy) are
repeated giving a syntagmatic scheme of thirty-eight
functions. There are as well six episodes in the tale.

The most perplexing section of the tale is the
flashback sequence where the fairy godmother explains
to Jack what has occurred in the past. This whole
sequence of functions $(\alpha, \gamma, \eta, \theta, A)$ should have come at
the beginning of the tale according to Propp's third
rule, "The sequence of functions is always identical."[72]
The misfortune of Jack and his mother stems not from the
initial lack in the scheme above, but from the villainy
(A) of the giant in killing Jack's father, which is not
revealed until the flashback sequence. But the fact
that it occurs shows that there was possibly some
literary adjustment made in the oral narrative either
before or when it was first transcribed in 1807.
Whatever the cause, the flashback sequence does lend
thematic unity to the tale by giving listeners more
sympathy for Jack's plight and a better understanding
of why he is constantly risking life and limb in such
a valiant effort to recover his father's stolen goods.

The tale itself opens as do many other fairy tales

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[72] Propp, p. 22.

with an initial situation of unhappiness ($\alpha$).  The
hero Jack is presented not as the hero, but as
Metelinskij says, the typical "low" hero characteristic
of the fairy tale.[73]  Jack is a lazy, gullible simpleton
who despite his initial shortcomings, with the help of
some magic beans, a little guidance and a quick wit
proves to everyone by the tale's end that he is indeed
a real hero.  The lovable Jack who starts out in the
beginning sequences being admonished by his mother to
sell the cow or they will starve ($\gamma$) then trading the
cow for a hatful of colored beans ($\delta$) is not the same
crafty Jack who disguises himself to gain entry to the
giant's mansion, steals three of the giant's treasures
( K) and calls for the hatchet.  ( I)

The structural scheme of the tale elucidates the
change in Jack from hayseed to hero develops strangely
enough from the simplicity of his character evidenced
at the beginning.  This childlike simplicity allows him
to heed the warning given to him by the fairy godmother
and to carry out her wishes without question.  The
sequence following the flashback marks the beginning
of the development of Jack's character:

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B C D E F K
 A B C D E F K
   A B C D E F↓H I U W
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[73] E.M. Meletinskij, "The 'Low' Hero of the Fairy
Tale," The Study of Russian Folklore, ed. and trans.
Felix J. Oinas and Stephen Soudakoff (The Hague, 1975),
p. 236.

Thus, the various sequences concerning: his dealings
with the giant's wife ( D ), his reaction to the giant's
searches ( E ), his stealth and courage in filching the
magical agents from under the giant's nose ( F) and,
lastly, his presence of mind in calling for a hatchet with
which to stop the giant ( I ) all point to a greater
development of depth and maturity in Jack's character.
The tale of "Jack and the Beanstalk" shows a true
journey of adventure with Jack as "seeker-hero"[74] while
a syntagmatic analysis of the plot uncovers the various
functions which contribute towards character development.

## The Female Fairy Tale

Nikiforov stated that a feminine of female fairy tale
has two predominant types. The first type deals with
the procurement of a groom, while the second deals with
the suffering of an innocent persecuted maiden.[75] Ilana
Dan has further clarified this subgenre of the folk fairy
tale as 1) a tale in which the heroine is persecuted in
her own home and/or her husband's home 2) the heroine
is virtuous and charitable 3) the villains are all

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[74] Propp, p. 36.

[75] Nikiforov, p. 160.

sinners of one kind or another.[76]

Three of the tales selected for this study deal with a persecuted female:  "Snow White," "Cinderella," and "The Sleeping Beauty."  Each of the three narratives deals with the persecution of an innocent maiden in her own home, while the tale of "Sleeping Beauty" contains as well an episode which shows the heroine being persecuted in her husband's house.  In all three tales the heroines are virtuous and charitable, while the villains are spiteful older females, jealous of the innocent heroine in some way, and in each of the tales the heroine marries a prince.  Therefore, since all three of the selected fairy tales have thematic patterns corresponding to those stipulated by Nikiforov and Dan, they are considered as belonging to the female fairy tale genre.

In studying the syntagmatic schemes of these three folk fairy tales as summarized in Appendix VII, we can see immediately that the structure of the female fairy tale is quite different from that of the masculine or heroic fairy tale which we studied previously.  In all

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[76] Ilana Dan, "The Innocent Persecuted Heroine: An Attempt at a Model for the Surface Level of the Narrative Structure of the Female Fairy Tale," Patterns in Oral Literature, eds. Heda Jason and Dimitri Segal (The Hague, 1977), pp. 13-14.

three schemes, Function C (Consent to Counteraction) is missing. The fact that this function is missing informs us that the heroines are victims.[77]

Unlike Jack who as hero in "Jack and the Beanstalk" uses ingenuity and cunning in his quest, not one of the heroines in all three female fairy tales does anything either to help herself or counteract the villain's ploys. Snow White after having been spared by the queen's servant ( B ) wandered about until she stumbled upon the dwarfs' cottage where she was given assistance ( D ), Cinderella did nothing but cry until her fairy godmother asked if she wanted to go to the ball ( D ), while Sleeping Beauty simply lay in bed and slept for one hundred years. Unaware that she was in danger through the efforts of an overprotective father who had had all spindles removed from the kingdom, Sleeping Beauty didn't even ask for help or cry as did her two sister heroines. Her fairy godmother, without even being asked, caused a sleep to fall on everyone in the palace and raised a hedge to protect the inhabitants of the newly enchanted palace ( B ).

All three structural schemes reveal a heroine with the innocence and passivity of a child--a child who can sleep, cry or wander about helplessly not

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[77] Propp, p. 36.

knowing the way until someone comes to give assistance. The innocent childlike heroine thus becomes the perfect victim in the fairy tale context for the evil machinations of the villain. The syntagmatic scheme of the female fairy tale therefore does not permit a development in the character of the heroine, but rather demonstrates an ongoing conflict between the villain and the heroine aided by various benevolent helpers.

A look at the composition of the tale roles listed in Appendix VII shows that each narrative consists of one heroine, one husband, one or more villains and one or more benefactors. Because of the fact that the heroine is a victim, as we stated above, the role of the benefactor or benevolent helper becomes much more important in maintaining a structural balance between the heroine and the villain than was the case in the heroic fairy tale.

Although the three heroines Cinderella, Snow White and Sleeping Beauty have been victimized throughout the narrative there has been no character development as was evident in the masculine fairy tale. The three heroines are just as innocent and charitable at the tale's end as at the beginning. No matter how many times Snow White succumbs to villainy [(A): 1) being sent to her death in the woods with a servant 2) having her stays laced too tightly 3) having a poisoned comb

placed in her hair, or 4) being tricked into eating a
poisoned apple,] she never learns to be more prudent,
and always remains a willing dupe for the more agressive
villain. In a like manner, Cinderella never shows any
ill will to the stepmother and stepsisters who have
dispossessed her of her birthright and treat her as a
virtual servant, even going so far as to take it upon
themselves to decide that she was not of the right
quality to attend the Prince's ball ( A ). There is a
slight variation in the tale of "The Sleeping Beauty."
Sleeping Beauty, although a victim in the first part of
the tale. ( A ), sleeps undisturbed throughout the
enchantment and really only becomes a persecuted heroine
after she has gone to live in her husband's home. ( A ).

None of the three heroines shows any sign of being
ready to put up a struggle. All are willing victims.
The result of having a heroine with such a submissive
character allows for the development of a significant
syntagmatic scheme based upon the delicate balancing of
either one or more sets of opposing functions ( e.g.
A vs. K) which help to display the antithetical effects
of the villains and benefactors upon the heroine.
Appendix II provides a table indicating which functions
fall within the spheres of action of the villain and
benevolent helper (i.e. DONOR/HELPER).

In each sequence of functions leading up to a villainy ( A ), the villain, whether evil queen, step-mother, bad fairy or ogress, uses a gamut of threats, deceptions and even magical agents $(\eta)$ in her attempt to gain information about $(\zeta)$ and do injury to the innocent heroine.

1. In "Cinderella" the stepmother coerces the father into allowing her to use Cinderella as a servant before depriving her of her right to attend the ball. $(\eta)$

2. In "Snow White" the evil queen uses a magical looking-glass $(\varepsilon)$ to discover that Snow White is fairer than herself. $(\zeta)$

3. While in "The Sleeping Beauty," the old fairy listens patiently while the other fairies bestow their gifts and only when they have finished does she pronounce her curse. $(\zeta)$

Balancing the scale in either the ( B') mediation, role or ( D ) donor role are the benevolent helpers. This group of benefactors which includes fairy god-mothers, dwarfs, and servants, does everything in its power to counter the nefarious cruelties of the villain and help the victimized heroine attain her rightful place as the prince's bride. Owing to the submissive nature of the heroine in the female fairy tale, the role of benefactor becomes an important one. In looking at the function of these two tale roles within the syntagmatic scheme of the female fairy tale, we see that

every evil perpetrated by the villain ( A ), is countered

with a mediation ( B ) or a liquidation of misfortune

( K ) by the helper.   In "Snow White" for example

contrasting functions and tale roles are clearly evident:

( A ):   Snow White is sent to be killed.

( B ):   The queen's servant spares her life.

( A ):   The evil queen laces Snow White's stays too
           tight.

( B ):   The seven dwarfs free her.

( A ):   The evil queen places a poisoned comb in
           Snow White's hair.

( K ):   The dwarfs remove it.

This conflict seems at times to be a mystical

confrontation between the forces of good and evil.   Dan

in her monograph shows the very close relationship

between the female fairy tale and the sacred legend

where the benevolent helper is really, "an agent of

the sacred power such as an angel."[78]   Although not

mentioned directly in the fairy tale, the idea that

there is a sacred power watching overall would explain

1) the constant protection of innocent heroines by

"angelic" helpers; 2) the constant frustration of the

demonic villains;   3) the inevitable retribution meted

out to the villains ( U ); and 4) the fulfilling of the

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[78] Dan, p. 14.

heroine's destiny with her marriage to the prince (W) and their accession to the throne together.[79]

## The Neuter Fairy Tale

The tale "Hansel and Gretel" although having elements of both the heroic and female fairy tale belongs to neither subgenre. The juxtaposition of functions and tale roles gives it a structural pattern all its own. Therefore, it is classified as a neuter fairy tale. Nikiforov has defined the neuter folk tale as that group which includes all structural patterns other than those specified for the masculine and feminine folk fairy tale subgenres. This can include, "tales illustrating ethical situations (truth and falsehood, tests of intelligence, stories about fools).[80]

Nikiforov's classification hinges upon the primary function of the hero or heroine. The tale "Hansel and Gretel" is a member of a sub-group of the neuter fairy tale which features pre-adolescent children as the heroes. It is significant to keep in mind the fact that pre-adolescent children are rarely the heroes in folk fairy tales, although the popularity of such tales as "Little Red Riding Hood" and "Hansel and Gretel"

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[79] Dan, p. 14.

[80] Nikiforov, p. 160.

seem to make the exception to the rule.  Max Luthi

has christened the type of story that uses pre-

adolescent children as protagonists as the chilren's

fairy tale.[81]

In viewing the syntagmatic scheme of the tale

(see Appendix VIII) it becomes immediately apparent

that Function C which designates the hero as seeker

is present.  In the following situations the two

heroes, Hansel and Gretel, although only pre-adolescents,

show how they fulfill this "seeker-hero" role by their

reactions to the various villainies perpetrated against

them.

( A)  The children are abandoned in the wood.
( C)  The children follow the pebbles back home.
( A)  The children are abandoned a second time.
(C⁴)  Although the bread crumbs have been eaten
       by birds, the children still set out in an
       attempts to return home.
( A)  The Villain captures the two children to
       eat them.
( C)  Gretel pushes the witch into the oven.

The syntagmatic scheme further shows that step-by-

step there is a kind of character development--one based

on a young child's first venture in becoming an

independent person.  This growing up process is forced

[81] Max Luthi, Once Upon a Time on the Nature of Fairy Tales, trans.  Lee Chadeayne and Paul Gottwald (Bloomington:  Indiana University Press, 1976), p. 63.

upon the heroes by the circumstances revealed in the
initial situation ($\alpha$). The initial misfortune is
neither the poverty of the family nor the famine ($a$),
but rather the innate cruelty of the stepmother.[82]  But
this villainy serves a special function in the tale.
Meletinsij states that every tale characteristically
provides an initial test for the hero.[83]  But unlike
Jack and Cinderella who are tested by fairy godmothers
or Snow White who is interrogated by the seven dwarfs,
there is no donor or benevolent helper who tests Hansel
and Gretel and then advises them how to meet the problems
they will encounter. Yet, in the folk fairy tale genre
it is essential for some person to provide the heroes
with this preliminary test.  Actually, the whole
structure of the folk fairy tale rests on it.

Therefore, it is logical to conclude that in the
tale of "Hansel and Gretel" the stepmother who is the
villain, also assumes the tale role of donor.  The
villainy (A) she initiates in convincing her husband
to abandon the children in the woods causes Hansel to
fill up his pockets with pebbles (B) and as a result

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[82] Luthi, p. 64.

[83] E. Meletinskij et al., "Problems of the Structural Analysis of Fairytales," Soviet Structural Folkloristics, ed. Pierre Maranda (The Hague, 1974), p. 78.

the children follow the pebbles back home when they
awaken ( C ).   So in this case Function A:  villainy
fulfills Function D:   the first function of the donor
(i.e.   A = D).   As Meletinskij stated, "The hero is
obliged to accept the call . . . even if this doesn't
come from the neutral or well-wishing giver, but from
a hostile and crafty villain."[84]

Once the initial test has been accomplished, the
heroes become self-reliant very quickly:

1.  They eavesdrop on their parents ($\alpha$).
2.  Hansel figures out a way to mark the trail ( B ).
3.  When lost in the woods they keep trying to
    find a way out (C↑).
4.  When the witch's voice asks who is eating
    her cottage, the children answer that it
    is just the wind ( K ).
5.  Hansel fools the witch with a bone ( B ).
6.  Gretel tricks the witch into putting her head
    into the oven ( C ).
7.  The children bring the witch's jewels home ( K ).

Schematically throughout the tale, the heroes,
Hansel and Gretel, have shown ingenuity, cunning and
ability to save themselves by working together.  The
tale itself can be viewed as a kind of parable informing
very young children what the "initiation rites" are to
a greater independence.[85]

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[84] Meletinskij, _Soviet Structural Folkloristics_, p. 84.

[85] Meletinskij, _Soviet Structural Folkloristics_, p. 121.

# CHAPTER FIVE

## Conclusion

The preceding study has shown how Propp's methodology and Nikiforov's classification can be applied to the Western folk fairy tale. More important, though, is the fact that it has shown how the efforts of these two Formalists, especially Propp, in the field of folk fairy tale morphology have helped to reveal aspects of an individual tale through a study of its structural composition which was not possible previously. The tales of "Cinderella," "Jack and the Beanstalk," "Snow White and the Seven Dwarfs," " Hansel and Gretel" and "The Sleeping Beauty" which were the focus of our study are as popular today with people of all ages as they have been at any time in the past. A look at three of the principal structural elements of these tales might do a great deal towards explaining the charm and fascination which they have retained over the years.

The first structural element which I perceived to be essential to the popularity of the Western folk fairy tale is that of the initial test.

The basic structure of the tale rests on the hero/heroine facing the challenge of this test. It is

only when the protagonist is faced with this challenge
that the audience of listeners begins to identify with
him/her. The audience is interested in hearing what
will occur when the youthful hero or heroine encounters
the benefactor. Not only does this initial test ( D )
trigger the action of the tale and give the hero or
heroine the impetus to begin a quest, but it marks the
first time that the hero/heroine has to make an independ-
ent decision. Whether the benefactor gives the hero a
task as in "Jack and the Beanstalk" or just questions
the heroine as in "Snow White," is unimportant. What is
essential is that this initial test has triggered a total
involvement of the audience with the fate of the
protagonist.

Since the folk fairy tale itself is composed of a
sequence of functions which depicts the movement of the
hero or heroine, the second element which I find
essential to the popularity of the tale is that of
Function C (beginning counteraction). When FUNCTION C
is present in the syntagmatic scheme of a tale, we
know that the tale will always be one of adventure.
Function C identifies the hero as a seeker.[86] He will
set out on a quest, encounter and defeat a villain, and
reap a great reward such as occurred in "Jack and the
Beanstalk." However, the absence of FUNCTION C from the

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[86] Propp, p. 38.

scheme tells us that the hero or heroine will be a victim. This identifies the tale as one of enchantment where the heroine must be released from a spell as happens in "Snow White" and "The Sleeping Beauty."

Hero-victims show absolutely no volitional aspiration towards freeing themselves from the clutches of the villain and rely much more on their benefactors for assistance than do the hero-seekers. Thus the absence or presence of just one function, FUNCTION C, dictates whether the tale will be one of adventure or enchantment. By weaving together the various tale roles and functions in different combinations, gifted story-tellers have by either inserting FUNCTION C or omitting it, been able to create an endless variety of fairy tales filled with adventure and enchantment which have captured the hearts of countless generations of children and adults alike.

A third element of significance is that of struc-tural balance in the folk fairy tale. Such a tale is pleasing to read or listen to because wrongs are always righted and good always triumphs over evil. In studying the syntagmatic schemes of the tale we see that this element is demonstrated by functions which form binary systems of opposition to each other:

A (villainy) is countered by K (liquidation of misfortune).

H (struggle with the villain) is countered by I (victory over the villain).

But the greatest area of binary opposition, the
beginning and ending of the tale, should also be taken
into consideration. The initial situation of unhappiness
is encountered in the preparatory section (i.e.
FUNCTIONS $\alpha - \vartheta$). It is usually caused by the death
of one of the parents ($\beta$) combined frequently with the
arrival of a cruel stepmother. When this situation
occurs the hero/heroine who has been deprived of a warm,
loving home life is placed in the position of either
rectifying the situation as occurred in "Hansel and
Gretel" or of beginning through marriage a new family
unit as in "Cinderella."[87] Whether the heroine is able
to marry her prince or the hero/heroine to live with
his/her natural parent on the villain's riches is not
important. What counts is that the instability which
existed at the beginning of the tale has been countered
by Function W which represents a loving secure family
life. The listener can now relax with the firm knowledge
that all has turned out well and "they lived happily
ever after."

Structural schemes provide structural solutions and
the revealed formula suggests how generations to come
will be listening happily and identifying with the heroes
and heroines of folk fairy tales, if not ever after, then
at least during that special time of life called childhood.

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[87] Propp, p. xiii.

APPENDIX I

Propp's Thirty-one Functions

| Function Number | Description | Identifying Tag | Symbol of the Function |
|---|---|---|---|
| 1 | One of the members of a family absents himself from home. | Absentation | $\beta$ (beta) |
| 2 | An interdiction is addressed to the hero. | Interdiction | $\gamma$ (gamma) |
| 3 | The interdiction is violated. | Violation | $\delta$ (delta) |
| 4 | The villain makes an attempt at reconnaissance. | Reconnaissance | $\varepsilon$ (epsilon) |
| 5 | The villain receives information about his victim. | Delivery | $\zeta$ (zeta) |
| 6 | The villain attempts to deceive his victim in order to take possession of him or of his belongings. | Trickery | $\eta$ (eta) |
| 7 | The victim submits to deception and thereby unwittingly helps his enemy. | Complicity | $\theta$ (theta) |
| 8 | The villain causes harm or injury to a member of a family. | Villainy | A |
| 8a | One member of a family either lacks something or desires to have something. | Lack | a |
| 9 | Misfortune or lack is made known; the hero is approached with a request or command; he is allowed to go or he is dispatched. | Mediation, The connective Incident | B |
| 10 | The seeker agrees to or decides upon counteraction. | Beginning Counteraction | C |
| 11 | The hero leaves home. | Departure | ↑ |
| 12 | The hero is tested, interrogated, attacked, etc., which prepares the way for his receiving either a magical agent or helper. | The First Function of the Donor | D |
| 13 | The hero reacts to the actions of the future donor. | The Hero's Reaction | E |
| 14 | The hero acquires the use of a magical agent. | Provision or Receipt of a Magical Agent | F |
| 15 | The hero is transferred, delivered, or led to the whereabouts of an object of search. | Spatial Transference Between Two Kingdoms | G |
| 16 | The hero and the villain join in direct combat. | Struggle | H |
| 17 | The hero is branded. | Branding, Marking | J |
| 18 | The villain is defeated. | Victory | I |
| 19 | The initial misfortune or lack is Liquidated. | Liquidation of Misfortune or Lack. | K |
| 20 | The hero returns. | Return | ↓ |
| 21 | The hero is pursued. | Pursuit, Chase | Pr |
| 22 | Rescue of the hero from pursuit. | Rescue | Rs |
| 23 | The hero, unrecognized, arrives home or in another country. | Unrecognized Arrival | O |
| 24 | A false hero presents unfounded claims. | Unfounded Claims | L |
| 25 | A difficult task is proposed to the hero. | Difficult Task | M |
| 26 | The task is resolved. | Solution | N |
| 27 | The hero is recognized | Recognition | Q |
| 28 | The false hero or villain is exposed. | Exposure | Ex |
| 29 | The hero is given a new appearance. | Transfiguration | T |
| 30 | The villain is punished. | Punishment | U |
| 31 | The hero is married and ascends to the throne. | Wedding | W |

APPENDIX II

Distribution of Functions Among Tale Roles

| Tale Role | Spheres of Action |
|-----------|-------------------|
| 1. Villain | 8 (A. Villainy), 16 (H: Struggle), 21 (Pr: Pursuit). |
| 2. Donor | 12 (D: First Function of the Donor), 14 (F: Receipt of a Magical Agent). |
| 3. Helper | 15 (G: Spatial Transference Between two Kingdoms), 19 (K: Liquidation of Misfortune), 22 (Rs: Rescue), 26 (N: Solution), 29 (T: Transfiguration). |
| 4. Princess and Father | 25 (M: Difficult Task), 17 (J: Branding), 28 (Ex: Exposure), 27 (Q: Recognition), 30 (U: Punishment), 31 (W: Wedding): |
| 5. Dispatcher | 9 (B: Mediation). |
| 6. Hero | 10 (C: Beginning Counteraction), 11 (↑: Departure), 13 (E: The Hero's Reaction), 31 (W: Wedding). |
| 7. False Hero | 10 (C: Beginning Counteraction), 11 (↑: Departure), 13 (E: The Hero's Reaction), 24 (L: Unfounded Claims). |

## Chart: A

### STRUCTURAL TYPE 1

Development of a single move tale through the pair of functions (H - I), the struggle with the villain ( H ) and the victory over him ( I ).

#### General Scheme of Type 1 Tales

A B C ↑ D E F G H J I K ↓ Pr Rs L Q Ex T U W

#### General Structure of Functions in Type 1

A (villainy) - B (mediation) - C (counteraction) - ↑ (departure) - D (first function of the donor) - E (reaction of the hero) - F (receipt of a magical agent) - G (guidance) - H (struggle with the villain) - J (branding the hero) - I (victory over the villain) - K (liquidation of lack). - ↓ (return of the hero) - Pr (pursuit of the hero) - Rs (rescue of the hero) - L (claims of a false hero) - Q (recognition of the hero) - Ex (exposure of the false hero) - T (transfiguration) - U (punishment of the false hero or villain) - W (wedding and accession to the throne).

## CHART: B

### STRUCTURAL TYPE 2

Development of a single move tale through the pair of functions (M - N), the difficult task (M) and its resolution ( N ).

#### General Scheme of Type 2 Tales

A B C ↑ D E F G L M J N K ↓ Pr Rs Q Ex T U W

#### General Structure of Functions in Type 2

A (villainy) - B (mediation) - C (counteraction) - ↑ (departure) - D (the first function of the donor) - E (reaction of the hero) - F (receipt of a magical agent) G (guidance) - L (claims of a false hero) - M (difficult task) - J (branding of the hero) - N (resolution) - K (liquidation of lack) - ↓ (return of the hero) - Pr (pursuit of the hero) - Rs (rescue of the hero) - Q (recognition of the hero) - Ex (exposure of the false hero) - T (transfiguration) - U (punishment of the false hero or villain) - W (wedding and accession to the throne).

## CHART: C

### STRUCTURAL TYPE 3

Development of a single move tale which includes both pairs of functions (H - I) and (M - N). That is the struggle with the villain ( H ), the victory over him ( I ), the difficult task ( M ) and its resolution ( N ).

#### General Scheme of Type 3 Tales

A B C ↑ F H - I K ↓ L M - N Q Ex U W

#### General Structure of Functions in Type 3

A (villainy) - B (mediation) - C (counteraction) - ↑ (departure) - F (receipt of a magical agent) - H (struggle with the villain) - I (victory over the villain) - K (liquidation of lack) - ↓ (return) - L (claims of a false hero) - M (difficult task) - N (resolution) - Q (recognition of the hero) - Ex (exposure of the false hero) - U (punishment of the false hero or villain) - W (wedding and accession to the throne).

## CHART: D

### STRUCTURAL TYPE 4

Development of a single move tale in which neither pair of functions are present.

#### General Scheme of Type 4 Tales

A B C ↑ D E F G K ↓ Pr Rs Q Ex T U W

#### General Structure of Functions in Type 4

A (villainy) - B (mediation) - C (counteraction) - ↑ (departure) - D (the first function of the donor) - E (reaction of the hero) - F (receipt of a magical agent) - G (guidance) - K (the liquidation if lack) - ↓ (return of the hero) - Pr (pursuit of the hero) - Rs (rescue of the hero) - Q (recognition of the hero) - Ex (exposure of the false hero) - T (transfiguration) - U (punishment of the false hero or villain) - W (wedding and accession to the throne).

## APPENDIX IV

Bremond's Schema Depicting Functions

and their Alternative Consequences

Here is Bremond's basic dichotomous schema:

A given situation opens $\left\{\begin{array}{l}\text{The possibility is actualized}\\\text{The possibility is not actualized}\end{array}\right.$ $\left\{\begin{array}{l}\text{success}\\\text{failure}\end{array}\right.$
up a possibility

In various situations Bremond suggested that the above schema might become the
following:

Villainy $\left\{\begin{array}{l}\text{intervention of justice}\\\text{no intervention of justice}\end{array}\right.$ $\left\{\begin{array}{l}\text{punishment}\\\text{impunity}\end{array}\right.$

Desire to please $\left\{\begin{array}{l}\text{directed to deception}\\\text{abstention or impediment}\end{array}\right.$ $\left\{\begin{array}{l}\text{success}\\\text{failure}\end{array}\right.$

Orders received $\left\{\begin{array}{l}\text{following orders}\\\text{not following orders}\end{array}\right.$ $\left\{\begin{array}{l}\text{orders executed}\\\text{orders not}\\\text{executed}\end{array}\right.$

Danger known $\left\{\begin{array}{l}\text{defensive or protective action}\\\text{absence of defence or projection}\end{array}\right.$ $\left\{\begin{array}{l}\text{danger avoided}\\\text{danger not}\\\text{avoided}\end{array}\right.$

## APPENDIX V

### Jason's Model for a Three Function Tale

* Each TALE ROLE can be assigned either the position of the SUBJECT who performs the action, or of the OBJECT who receives the action.

| | Subject | Action | Object |
|---|---|---|---|
| FUNCTION | Donor | puts to test | the Hero |

* In Jason's model, 3 functions form a move. Each function is assigned a value: A (stimulus/test); B (response) and C (result / compensation)

| | Subject | Action | Object |
|---|---|---|---|
| FUNCTION A | Donor | puts Hero to test | the Hero |
| FUNCTION B | Hero | responds to test (positively/ negatively) | the Donor |
| FUNCTION C | Donor | compensates Hero (rewards/ punishes) | the Hero |

| The Formalists | Material Studied | Level(s) Studied | Model of Folk Fairy Tale | Basic Unit | Tale Roles | Moves | New Elements | Classification |
|---|---|---|---|---|---|---|---|---|
| Vladimir Propp | V. Propp initiated the morphological method of investigation by analysing 100 Russian Folk Fairy Tales from the Afanas'ev collection | Propp studied just the surface level of the narration of the Folk Fairy Tale | Propp's model consists of 7 tale roles and 31 functions | Propp's basic unit was the function. It was the act of the tale role defined by its significance in the course of the action | Propp isolated 7 tale roles: 1) hero 2) villain 3) donor 4) helper 5) princess and father 6) dispatcher 7) false hero | For Propp, each new move begins with function A (villainy) | | Based on the absence or presence of two pairs of functions, Propp found that there were 4 classes of Russian Folk Fairy Tales |
| A. T. Nikiforov | Nikiforov used Russian Folk Tales from an unpublished manuscript which he himself had collected in formulating his conclusions for a morphological study of the Folktale | Nikiforov studied just the surface level of the Russian Folk Fairy Tale | | For Nikiforov only the function of a character is constant | There are only two types of characters 1) the hero and his helpers or opponents | | In his essay "Towards a Morphological Study of the Folktale," Nikiforov mentions that folktales can be broken down into individual episodes | Based on the action of the hero, Nikiforov stated that magic tales can be broken down into three major groups: 1) masculine 2) feminine 3) neuter |
| Modern Folklorists | | | | | | | | |
| Alan Dundes | Alan Dundes applied Propp's morphological framework to a selection of North American Indian Folktales | Dundes studied just the surface level of the narrative | Dundes accepted Propp's model, but suggested the linguistic terminology of Kenneth Pike be applied to Propp's analysis | Dundes suggested that the term function be changed to emic motif or motifeme | | | | The structural patterns which Dundes found in the Indian Tales were quite different from European ones. Propp's 4 classes could not be applied here. |
| Claude Bremond | Bremond studied 120 French versions of fairy tales from the Tale Index of P.Delarue and M.L. Tenèse | Bremond deals solely with the narrative level of the French Folk Fairy Tale | Bremond has several models composed of 3 pairs of functions. These models correspond to individual episodes in the tale | For Bremond the basic unit is the sequence. This is a triad of the function and its set of alternative consequences (see Appendix III) | | | Bremond introduced the idea of a pivotal function that can lead to alternative consequences | |
| Heda Jason | Jason has successfully used her model in studying Folk Fairy Tales from various cultures such as: Jewish tales from the near East, Jewish Folk Fairy Tales from Morocco, etc. | Jason has identified 4 levels in the structure of oral literature: 1) wording 2) texture 3) narration 4) dramatisation | Jason's model consists of only two tale roles and three functions (see Appendix IV) | Jason's basic unit is the function. For her, function consists of three elements: one action and two tale roles | Only two tale roles: 1) the hero 2) donor | For Jason a move consists of 3 functions | Jason introduced a new element called the corrective to show changes in time, distance etc. | |

APPENDIX VII

The Classification of Five Western Folk Fairy Tales

According to the

Aarne--Thompson ( A.T. )

The Types of the Folk Tale

Section A.  Tales of Magic (A.T.300-749)

| Tale | A.T. Type No. | Category |
|------|---------------|----------|
| Hansel and Gretel | A.T. 327A | Supernatural Adversaries |
| Jack and the Beanstalk | A.T. 328 | Supernatural Adversaries |
| The Sleeping Beauty | A.T. 410 | Supernatural or Enchanted Husband (Wife) or Other Relatives |
| Cinderella | A.T. 510/510A | Supernatural Helpers |
| Snow-White | A.T. 709 | Other Tales of the Super-natural |

# APPENDIX VIII

Structural Features of Five Western Folk Fairy Tales

| Tale | Scheme | Functions | Movements | Episodes | TALE ROLES | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | | | Hero | Husband | Relations | Villain | Benevolent Roles |
| The history of Jack and the Beanstalk | αγδ a BC↑DE<br>α3η↔ ABCDEFK<br>ABCDEFK<br>ABCDEF↓HIUW | 38 | 4 | 6 | Jack | -- | Mother, Father (in flashback sequence) | Giant | Fairy Godmother, Giant's wife, Butcher |
| Snow White and the Seven Dwarfs | αδε ζ AB DE<br>ζ AK<br>ζ AK<br>ζ AK↓UW | 21 | 4 | 5 | Snow White | Prince | Father, Mother (deceased) | Evil Queen (step-mother) | Queen's servant, Seven Dwarfs |
| Cinderella | αβη a B↑DEFGK↓<br>Pr Rs LQTUW | 19 | 1 | 1 | Cinderella | King's son | Father, Mother (deceased) | Step-mother, two Step-sisters | Fairy Godmother, King's servant |
| The Sleeping Beauty in the Wood | α ζ AB<br>βη AB↑DEFGKW<br>αβ AB<br>A↓UW | 27 | 6 | 6 | Sleeping Beauty | Prince | Mother, Father, two children | Old Fairy, Ogress | Good Fairy, Old Countryman, Clerk of the kitchen |
| Hansel and Gretel | α ABC<br>ABC↑GK<br>αη ABCHIK↓UW | 21 | 3 | 4 | Hansel and Gretel | — | Father | Step-mother, Witch | Snow-White Bird, Little White Duck |

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