Excerpts from:
Vladímir Propp
MORPHOLOGY OF THE FOLK TALE
1928
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INTRODUCTION TO THE SECOND EDITION

SINCE THE APPEARANCE of the English translation of Vladímir Propp's *Morphology of the Folktale* in 1958, there has been an ever increasing interest in attempting structural analyses of various folklore genres. In view of the enormous impact Propp's study has had on folklorists, linguists, anthropologists, and literary critics, one can only regret that there was a thirty-year time lag between Propp's completion of the *Morphology* in 1928 and the time that most European and American scholars read it.

The stimulating effect of Propp's seminal ideas is indicated in part by the number of studies it has inspired (Lévi-Strauss 1960, Dundes 1962a, 1964b, Bremond 1964, Greimas 1966b:172-221). To be sure, some of the studies are critical (cf. Taylor 1964), but from the criticism has come even more insight (e.g., Fischer 1963:288-289). Even though the flurry of activity initiated by the publication of Propp's *Morphology* has really barely begun, some preliminary comments may be made.

First of all, there seem to be at least two distinct types of structural analysis in folklore. One is the type of which Propp's *Morphology* is the exemplar par excellence. In this type, the structure or formal organization of a folkloristic text is described following the chronological order of the linear sequence of elements in the text as reported from an informant. Thus if a tale consists of elements A to Z, the structure of the tale is delineated in terms of this same sequence. Following Lévi-Strauss (1964: 312), this linear sequential structural analysis we might term "syntagmatic" structural analysis, borrowing from the notion of syntax in the study of language (cf. Greimas 1966a:404). The other type of structural analysis in folklore seeks to describe the pattern (usually based upon an a priori binary principle of opposition) which allegedly underlies the folkloristic text. This pattern is not the same as the sequential structure at all. Rather the elements are taken out of the "given" order and are regrouped in one or more analytic schema. Patterns or organization in this second type of structural analysis might be termed "paradigmatic" (cf. Sebag 1963:75), borrowing from the notion of paradigms in the study of language.

The champion of paradigmatic structural analysis is Claude Lévi-Strauss and it should be noted that he presented a paradigmatic model as early as 1955, that is, well before the English translation of Propp's work. The hypothetical paradigmatic matrix is typically one in which polar oppositions such as life/death, male/female are mediated. Lévi-Strauss is certainly aware of the distinction between Propp's syntagmatic structure and his paradigmatic structure. In fact, Lévi-Strauss's position is essentially that linear sequential structure is but

apparent or manifest content, whereas the paradigmatic or schematic structure is the more important latent content. Thus the task of the structural analyst, according to Lévi-Strauss, is to see past or through the superficial linear structure to the "correct" or true underlying paradigmatic pattern of organization (Levi-Strauss 1955: 432; 1958:18; 1964:313). Although some of the differences between syntagmatic and paradigmatic analyses have been pointed out (cf. Waugh 1966:161), most folklorists are not aware of them and they wrongly lump both Propp and Lévi-Strauss together in the same category. (Propp himself attempted to comment on Levi-Strauss's extended critique of the *Morphology* but this exchange is available only in the 1966 Italian translation of Propp's work to which Levi-Strauss's 1960 critique and Propp's rejoinder are appended.) Generally speaking, the syntagmatic approach tends to be both empirical and inductive, and its resultant analyses can be replicated. In contrast, paradigmatic analyses are speculative and deductive, and they are not as easily replicated. (For examples of paradigmatic analyses, see the studies by Greimas, Leach, Sebag, and Kongas and Maranda.)

One of the most important differences in emphasis between the syntagmatic and paradigmatic brands of structural analysis has been the concern or lack of concern with context. Propp's syntagmatic approach has unfortunately dealt with the structure of text alone, just as literary folklorists generally have considered the text in isolation from its social and cultural context (cf. Dundes 1964c). In this sense, pure formalistic structural analysis is probably every bit as sterile as motif-hunting and word-counting. In contrast, Levi-Strauss has bravely attempted to relate the paradigm(s) he "finds" in myth to the world at large, that is, to other aspects of culture such as cosmology and world view. It is in this light that Lévi-Strauss't approach has helped lead to the new notion of myth (and other forms of folklore) as *models*. (Note that Malinowski's basically diachronic conception of myth as charter [set back in primeval time] has had to be updated to include a more synchronic conception of myth as model. The intellectual shift from "myth as charter" to "myth as model" is surely one significant consequence of synchronic structural analysis.) However, the emphasis upon context is rather one of application of the results of structural analysis than one inherent in the paradigmatic approach. The problem is that Propp made no attempt to relate his extraordinary morphology to Russian (or Indo-European) culture as a whole. Clearly, structural analysis is not an end in itself! Rather it is a beginning, not an end. It is a powerful technique of descriptive ethnography inasmuch as it lays bare the essential form of the folkloristic text. But the form must ultimately be related to the culture or cultures in which it is found. In this sense, Propp's study is only a first step, albeit a giant one. For example, does not the fact that Propp's last function is a wedding indicate that Russian fairy-tale structure has something to do with marriage? Is the fairy tale a model, a model of fantasy to be sure, in which one begins with an old nuclear family (cf. Propp's typical initial situation

"The members of a family are enumerated" or Function l, "One of the members of a family is absent from home") and ends finally with the formation of a new family (Function 31, "The hero is married and ascends the throne")? Whether this is so or not, there is certainly no reason in theory why the syntagmatic structure of folktales cannot be meaningfully related to other aspects of a culture (such as social structure).

Many other fruitful areas of investigation are opened up by Propp's study. To what extent is Propp's *Morphology* an analysis of *Russian* fairy tales (as opposed to the fairy tales of other cultures)? Many, if not all, of the tales are Aarne-Thompson tale types and thus Propp's analysis is clearly not limited to Russian materials. On the other hand, Propp's *Morphology* provides a useful point of departure for studies attempting to identify oicotypes. Von Sydow's notion of oicotype (1948:243) meaning a recurrent, predictable cultural or local variant must be amended in view of Propp's work to include oicotypes of structure as well as of content. Thus in addition to local penchants for specific content (motifs) within stable cross-cultural frames (such as Aarne-Thompson tale types), there may be culturally favored structural patterns (motifemic sequences) as well (cf. Dundes 1962b,1964b:99-100).

Some of the other questions arising from Propp's work include: to what extent is Propp's analysis applicable to forms of the folktale other than the fairy tale? The English title Morphology of the Folktale is misleading. Propp limits his analysis to only one kind of folktale, that is, to fairy tales or Aarne-Thompson tale types 300-749. What about the other Aarne-Thompson folktale types? If, for example, Von Sydow is correct in grouping Aarne-Thompson tale types 850-879 under what he calls chimerateS (the major portion of which are Aarne-Thompson types 300-749), then presumably Propp's analysis should also apply to this group of tales (cf. Von Sydow 1948:70). There is also the question of whether Propp's analysis might be applicable to non-Indo-European folktales. Attempts to study African tales (Paulme) and American Indian tales (Dundes 1964b) suggest that parts of Propp's Morphology may be cross-culturally valid.

Another question concerns the extent to which Propp's analysis applies to forms of folk narrative other than the folktale. For example, what is the relationship of Propp's *Morthology* to the structure of epic? (In this connection, it is noteworthy that the last portion of the *Odyssey* is strikingly similar to Propp's functions 23-31.) To what extent does Propp's analysis apply to genres of folklore other than those of folk narrative? It would appear that the structure of folk dances and games may be illuminated by Propp's analysis (Dundes 1964a). And what of the structure of nonfolkloristic materials? If there is a pattern in a culture, it is by no means necessary that it be limited to only one aspect of that culture. Quite the contrary. Culture patterns normally manifest themselves in a variety of cultural materials. Propp's analysis should be useful in analyzing the structure of literary forms (such as novels and plays), comic strips, motion-

picture and television plots, and the like. In understanding the interrelationship between folklore and literature, and between folklore and the mass media, the emphasis has hitherto been recurrent, predictable cultural or local variant must be amended in view of Propp's work to include oicotypes of structure as well as of content. Thus in addition to local penchants for specific content (motifs) within stable cross-cultural frames (such as Aarne-Thompson tale types), there may be culturally favored structural patterns (motifemic sequences) as well (cf. Dundes 1962b,1964b:99-100).

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Propp's *Morphology* may also have important implications for studies of thinking and learning processes. To what extent is the structure of the fairy tale related to the structure of the ideal success story in a culture? (This also asks whether actual behavior is critically influenced by the type of fairy-tale structure found in a given culture.) And how precisely is fairy-tale structure learned? Does the child unconsciously extrapolate fairy-tale structure from hearing many

individual fairy tales? Do children become familiar enough with the general nature of fairy-tale morphology to object to or question a deviation from it by a storyteller? (This kind of question may be investigated by field and laboratory experiments. For example, part of an actual or fictitious (=nontraditional) fairy tale containing the first several functions of Propp's analysis could be presented to a child who would be asked to "finish" the story. His completion could be checked against the rest of Propp's functions. Or a tale could be told with a section left out, e.g., the donor sequence, functions 12-14, and the child asked to fill in the missing portion. Such tests might also be of value in studies of child psychology. Presumably, the kinds of choices made by a child might be related to his personality. For example, does a little boy select a female donor figure to aid him against a male villain? Does a little girl select a male donor figure to assist her against her wicked stepmother?) In any case, while there have been many studies of language learning, there have been very few dealing with the acquisition of folklore. Certainly children "learn" riddle structure almost as soon as they learn specific riddles. Propp's *Morphology* thus provides an invaluable tool for the investigation of the acquisition of folklore.

Finally, Propp's scheme could also be used to generate new tales. In fact, Propp's *Morphology* has been programmed for a computer (Dundes 1965). Such techniques might be of interest to those seeking new species of literature based on folk form and content, or to those seeking to show the traditional nature and limited number of the combinations of narrative motifs actually found in oral tradition as opposed to the total number of theoretically possible combinations. In addition, analysis of the "rules" by which tales or portions (Propp's *moves*) of tales are generated or transformed is clearly another research prospect made possible by Propp's pioneering study.

There can be no doubt that Propp's analysis is a landmark in the study of folklore. Despite the fact that there is no mention of it in the standard treatises on the folktale, Propp's *Morphology* will in all probability be regarded by future generations as one of the major theoretical breakthroughs in the field of folklore in the twentieth century.

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University of California ALAN DUNDES
Berkeley, California
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CHAPTER II

The Method and Material

Let us first of all attempt to formulate our task. As already stated in the foreword, this work is dedicated to the study of fairy tales. The existence of fairy tales as a special class is assumed as an essential working hypothesis. By "fairy tales" are meant at present those tales classified by Aarne under numbers 300 to 749. This definition is artificial, but the occasion will subsequently arise to give a more precise determination on the basis of resultant conclusions. We are undertaking a comparison of the themes of these tales. For the sake of comparison we shall separate the component parts of fairy tales by special methods; and then, we shall make a comparison of tales according to their components. The result will be a morphology (i.e., a description of the tale according to its component parts and the relationship of these components to each other and to the whole).

What methods can achieve an accurate description of the tale? Let us compare the following events:

1. A tsar gives an eagle to a hero. The eagle carries the hero away to another kingdom.[†]
2. An old man gives Súcenko a horse. The horse carries Súcenko away to another kingdom.
3. A sorcerer gives Iván a little boat. The boat takes Iván to another kingdom.
4. A princess gives Iván a ring. Young men appearing from out of the ring carry Iván away into another kingdom, and so forth.[1]

Both constants and variables are present in the preceding instances. The names of the dramatis personae change (as well as the attributes of each), but neither their actions nor functions change. From this we can draw the inference that a tale often attributes identical actions to various personages. This makes possible the study of the tale *according to the functions of its dramatis personae*.

We shall have to determine to what extent these functions actually represent recurrent constants of the tale. The formulation of all other questions will depend

[†] *"Car' daet udal'cu orla. Orcl unosit udal'ca v inoe carstvo"* (p. 28). Actually, in the tale referred to (old number 104a = new number 171), the hero's future bride, Poljusa, tells her father the tsar that they have a *ptica-kolpalica* (technically a spoonbill, although here it may have meant a white stork), which can carry them to the bright world. For a tale in which the hero flies away on an eagle, see 71a (= new number 128). [Louis A. Wagner]

upon the solution of this primary question: how many functions are known to the tale?

Investigation will reveal that the recurrence of functions is astounding. Thus Bába Jagá, Morózko, the bear, the forest spirit, and the mare's head test and reward the stepdaughter. Going further, it is possible to establish that characters of a tale, however varied they may be, often perform the same actions. The actual means of the realization of functions can vary, and as such, it is a variable. Morózko behaves differently than Bába Jagá. But the function, as such, is a constant. The question of *what* a tale's dramatis personae do is an important one for the study of the tale, but the questions of *who* does it and *how* it is done already fall within the province of accessory study. The functions of characters are those components which could replace Veselóvskij's "motifs," or Bédier's "elements." We are aware of the fact that the repetition of functions by various characters was long ago observed in myths and beliefs by historians of religion, but it was not observed by historians of the tale (cf. Wundt and Negelein[2]). Just as the characteristics and functions of deities are transferred from one to another, and, finally, are even carried over to Christian saints, the functions of certain tale personages are likewise transferred to other personages. Running ahead, one may say that the number of functions is extremely small, whereas the number of personages is extremely large. This explains the two-fold quality of a tale: its amazing multiformity, picturesqueness, and color, and on the other hand, its no less striking uniformity, its repetition.

Thus the functions of the dramatis personae are basic components of the tale, and we must first of all extract them. In order to extract the functions we must define them. Definition must proceed from two points of view. First of all, definition should in no case depend on the personage who carries out the function. Definition of a function will most often be given in the form of a noun expressing an action (interdiction, interrogation, flight, etc.). Secondly, an action cannot be defined apart from its place in the course of narration. The meaning which a given function has in the course of action must be considered. For example, if Iván marries a tsar's daughter, this is something entirely different than the marriage of a father to a widow with two daughters. A second example: if, in one instance, a hero receives money from his father in the form of 100 rubles and subsequently buys a wise cat with this money, whereas in a second case, the hero is rewarded with a sum of money for an accomplished act of bravery (at which point the tale ends), we have before us two morphologically different elements—in spite of the identical action (the transference of money) in both cases. Thus, identical acts can have different meanings, and vice versa. *Function is understood as an act of a character, defined from the point of view of its significance for the course of the action.*

The observations cited may be briefly formulated in the following manner:

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.*

If functions are delineated, a second question arises: in what classification and in what sequence are these functions encountered?

A word, first, about sequence. The opinion exists that this sequence is accidental. Veselóvskij writes, "The selection and *order* of tasks and encounters (examples of motifs) already presupposes a certain *freedom*." Sklóvskij stated this idea in even sharper terms: "It is quite impossible to understand why, in the act of adoption, the *accidental* sequence [Sklóvskij italics] of motifs must be retained. In the testimony of witnesses, it is precisely the sequence of events which is distorted most of all." This reference to the evidence of witnesses is unconvincing. If witnesses distort the sequence of events, their narration is meaningless. The sequence of events has its own laws. The short story too has similar laws, as do organic formations. Theft cannot take place before the door is forced. Insofar as the tale is concerned, it has its own entirely particular and specific laws. The sequence of elements, as we shall see later on, is strictly *uniform*. Freedom within this sequence is restricted by very narrow limits which can be exactly formulated. We thus obtain the third basic thesis of this work, subject to further development and verification:

3. *The sequence of functions is always identical.*

As for groupings, it is necessary to say first of all that by no means do all tales give evidence of all functions. But this in no way changes the law of sequence. The absence of certain functions does not change the order of the rest. We shall dwell on this phenomenon later. For the present we shall deal with groupings in the proper sense of the word. The presentation of the question itself evokes the following assumption: if functions are singled out, then it will be possible to trace those tales which present identical functions. Tales with identical functions can be considered as belonging to one type. On this foundation, an index of types can then be created, based not upon theme features, which are somewhat vague and diffuse, but upon exact structural features. Indeed, this will be possible. If we further compare structural types among themselves, we are led to the following completely unexpected phenomenon: functions cannot be distributed around mutually exclusive axes. This phenomenon, in all its concreteness, will become apparent to us in the succeeding and final chapters of this book. For the time being, it can be interpreted in the following manner: if we designate with the letter A a function encountered

everywhere in first position, and similarly designate with the letter B the function which (if it is at all present) *always follows A*, then all functions known to the tale will arrange themselves within a *single* tale, and none will fall out of order, nor will any one exclude or contradict any other. This is, of course, a completely unexpected result. Naturally, we would have expected that where there is a function A, there cannot be certain functions belonging to other tales. Supposedly we would obtain several axes, but only a single axis is obtained for all fairy tales. They are of the same type, while the combinations spoken of previously are subtypes. At first glance, this conclusion may appear absurd or perhaps even wild, yet it can be verified in a most exact manner. Such a typological unity represents a very complex problem on which it will be necessary to dwell further. This phenomenon will raise a whole series of questions.

In this manner, we arrive at the fourth basic thesis of our work:

4. *All fairy tales are of one type in regard to their structure.*

We shall now set about the task of proving, developing, and elaborating these theses in detail. Here it should be recalled that the study of the tale must be carried on strictly deductively, i.e., proceeding from the material at hand to the consequences (and in effect it is so carried on in this work). But the *presentation* may have a reversed order, since it is easier to follow the development if the general bases are known to the reader beforehand.

Before starting the elaboration, however, it is necessary to decide what material can serve as the subject of this study. First glance would seem to indicate that it is necessary to cover all extant material. In fact, this is not so. Since we are studying tales according to the functions of their dramatis personae, the accumulation of material can be suspended as soon as it becomes apparent that the new tales considered present no new functions. Of course, the investigator must look through an enormous amount of reference material. But there is no need to inject the entire body of this material into the study. We have found that 100 tales constitute more than enough material. Having discovered that no new functions can be found, the morphologist can put a stop to his work, and further study will follow different directions (the formation of indices, the complete systemization, historical study). But just because material can be limited in quantity, that does not mean that it can be selected at one's own discretion. It should be dictated from without. We shall use the collection by Afanás'ev, starting the study of tales with No. 50 (according to his plan, this is the first fairy tale of the collection), and finishing it with No. 151.[†] Such a

[†] Tales numbered 50 to 151 refer to enumeration according to the older editions of Afanás'ev. In the new system of enumeration, adopted for the fifth and sixth editions and

limitation of material will undoubtedly call forth many objections, but it is theoretically justified. To justify it further, it would be necessary to take into account the degree of repetition of tale phenomena. If repetition is great, then one may take a limited amount of material. If repetition is small, this is impossible. The repetition of fundamental components, as we shall see later, exceeds all expectations. Consequently, it is theoretically possible to limit oneself to a small body of material. Practically, this limitation justifies itself by the fact that the inclusion of a great quantity of material would have excessively increased the size of this work. We are not interested in the quantity of material, but in the quality of its analysis. Our working material consists of 100 tales. The rest is reference material, of great interest to the investigator, but lacking a broader interest.

NOTES

[1.] See Afanás'ev, Nos. 171, 139, 138, 156.
[2.] W. Wundt, "Mythus und Religion," *Völkerpsychologie*, II Section I; Negelein, *Germanische Mythologie*. Negelein creates an exceptionally apt term, *Depossedierte Gottheiten*.

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utilized in this translation (cf. the Preface to the Second Edition, and Appendix V), the correponding numbers are 93 to 270. [Louis A. Wagner]

CHAPTER II

The Functions of Dramatis Personae

In this chapter we shall enumerate the functions of the dramatis personae in the order dictated by the tale itself.

For each function there is given: (1) a brief summary of its essence, (2) an abbreviated definition in one word, and (3) its conventional sign. (The introduction of signs will later permit a schematic comparison of the structure of various tales.) Then follow examples. For the most part, the examples far from exhaust our material. They are given only as samples. They are distributed into certain groups. These groups are in relation to the definition as species to genus. The basic task is the extraction of genera. An examination of species cannot be included in the problems of general morphology. Species can be further subdivided into varieties, and here we have the beginning of systemization. The arrangement given below does not pursue such goals. The citation of examples should only illustrate and show the presence of the function as a certain generic unit. As was already mentioned, all functions fit into one consecutive story. The series of functions given below represents the morphological foundation of fairy tales in general.[1]

A tale usually begins with some sort of initial situation. The members of a family are enumerated, or the future hero (e.g., a soldier) is simply introduced by mention of his name or indication of his status. Although this situation is not a function, it nevertheless is an important morphological element. The species of tale beginnings can be examined only at the end of the present work. We shall designate this element as the *initial situation*, giving it the sign α.

After the initial situation there follow functions:

I. ONE OF THE MEMBERS OF A FAMILY ABSENTS HIMSELF FROM HOME. (Definition: absentation. Designation: β)

1. *The person absenting himself can be a member of the older generation* (β^1). Parents leave for work (113). "The prince had to go on a distant journey, leaving his wife to the care of strangers" (265). "Once, he (a merchant) went away to foreign lands" (197). Usual forms of absentation: going to work, to the forest, to trade, to war, "on business."
2. *An intensified form of absentation is represented by the death of parents* (β^2).
3. *Sometimes members of the younger generation absent themselves* (β^3). They go visiting (101), fishing (108), for a walk (137), out to gather berries (244).

II. AN INTERDICTION IS ADDRESSED TO THE HERO. (Definition: *interdiction*. Designation: γ)

> 1. (γ^1). "You dare not look into this closet" (159). "Take care of your little brother, do not venture forth from the courtyard" (113). "If Bába Jagá comes, don't you say anything, be silent" (106). "Often did the prince try to persuade her and command her not to leave the lofty tower," etc. (265). Interdiction not to go out is sometimes strengthened or replaced by putting children in a stronghold (201). Sometimes, on the contrary, an interdiction is evidenced in a weakened form, as a request or bit of advice: a mother tries to persuade her son not to go out fishing: "you're still little," etc. (108). The tale generally mentions an absentation at first, and then an interdiction. The sequence of events, of course, actually runs in the reverse. Interdictions can also be made without being connected with an absentation: "don't pick the apples" (230); "don't pick up the golden feather" (169); "don't open the chest" (219); "don't kiss your sister" (219).
> 2. *An inverted form of interdiction is represented by an order or a suggestion.* (γ^2) "Bring breakfast out into the field" (133). "Take your brother with you to the woods" (244).

Here for the sake of better understanding, a digression may be made. Further on the tale presents the sudden arrival of calamity (but not without a certain type of preparation). In connection with this, the initial situation gives a description of particular, sometimes emphasized, prosperity. A tsar has a wonderful garden with golden apples; the old folk fondly love their Ivásecka, and so on. A particular form is agrarian prosperity: a peasant and his sons have a wonderful hay-making. One often encounters the description of sowing with excellent germination. This prosperity naturally serves as a contrasting background for the misfortune to follow. The spectre of this misfortune already hovers invisibly above the happy family. From this situation stem the interdictions not to go out into the street, and others. The very absentation of elders prepares for the misfortune, creating an opportune moment for it. Children, after the departure or death of their parents, are left on their own. A command often plays the role of an interdiction. If children are urged to go out into the field or into the forest, the fulfillment of this command has the same consequences as does violation of an interdiction not to go into the forest or out into the field.

III. THE INTERDICTION IS VIOLATED (Definition: *violation*. Designation: δ.)

The forms of violation correspond to the forms of interdiction. Functions II and III form a *paired* element. The second half can sometimes exist without the

first (the tsar's daughters go into the garden [β^3]; they are *late* in returning home). Here the interdiction of tardiness is omitted. A fulfilled order corresponds, as demonstrated, to a violated interdiction.

At this point a new personage, who can be termed the *villain*, enters the tale. His role is to disturb the peace of a happy family, to cause some form of misfortune, damage, or harm. The villain(s) may be a dragon, a devil, bandits, a witch, or a stepmother, etc. (The question of how new personages, in general, appear in the course of action has been relegated to a special chapter.) Thus, a villain has entered the scene. He has come on foot, sneaked up, or flown down, etc., and begins to act.

IV. THE VILLAIN MAKES AN ATTEMPT AT RECONNAISSANCE. (Definition: *reconnaissance*. Designation: ε.)

1. The reconnaissance has the aim of finding out the location of children, or sometimes of precious objects, etc. (ε^1). A bear says: "Who will tell me what has become of the tsar's children? Where did they disappear to?" (201); a clerk: "Where do you get these precious stones?" (197);[†] a priest at confession: "How were you able to get well so quickly?" (258);[††] a princess: "Tell me, Iván the merchant's son, where is your wisdom?" (209);[†††] "What does the bitch live on?" Jágisna thinks. She sends One-Eye, Two-Eye and Three-Eye on reconnaissance (101).[‡]

2. *An inverted form of reconnaissance is evidenced when the intended victim questions the villain* (ε^2). "Where is your death, Koscéj?" (156). "What a swift steed you have! Could one get another one somewhere that could outrun yours?" (160).

3. *In separate instances one encounters forms of reconnaissance by means of other personages* (ε^3).

[†] "'Gde vy èti samocvetnye kamni berete?' (114)" (p. 38). The textual reference should be 115 (= new no. 197). [Louis A. Wagner]

[††] "'Otcego tak skoro sumel ty popravit'sja?' (114)" (p. 38). The textual reference should be 144 (= new no. 258). [Louis A. Wagner]

[†††] "'Skaii, Iván—kupeceskij syn, gde tvoja mudrost'?' (120)" (p. 38). The textual reference should be 120b (= new no. 209). [Louis A. Wagner]

[‡] "'Cem suka iivet? dumaet Jagisna.' Ona posylaet na rarvedku Odnoglazku, Dvuglazku, Treglazku (56)." Texts 56 and 57 (= new nos. 100 and 101) have been somewhat confused. The three daughters named are present in tale 56, but their mother is not called Jagisna, and the indicated question does not appear. On the other hand, in tale 57 Jagisna asks, "Cem suka iiva iivet?" but here she has only two daughters to send out, a two-eyed one and a three-eyed one. [Louis A. Wagner]

V. THE VILLAIN RECEIVES INFORMATION ABOUT HIS VICTIM. (Definition: *delivery*. Designation: (ζ.)

1. *The villain directly receives an answer to his question*. (ζ^1) The chisel answers the bear: "Take me out into the courtyard and throw me to the ground; where I stick, there's the hive." To the clerk's question about the precious stones, the merchant's wife replies: "Oh, the hen lays them for us," etc. Once again we are confronted with paired functions. They often occur in the form of a dialogue. Here, incidentally, also belongs the dialogue between the stepmother and the mirror. Although the stepmother does not directly ask about her stepdaughter, the mirror answers her: "There is no doubt of your beauty; but you have a stepdaughter, living with knights in the deep forest, and she is even more beautiful." As in other similar instances, the second half of the paired function can exist without the first. In these cases the delivery takes the form of a careless act: A mother calls her son home in a loud voice and thereby betrays his presence to a witch (108). An old man has received a marvelous bag; he gives the godmother a treat from the bag and thereby gives away the secret of his talisman to her (187).

2-3. *An inverted or other form of information-gathering evokes a corresponding answer*. (ζ^2-ζ^3) Koscéj reveals the secret of his death (156), the secret of the swift steed (159), and so forth.

VI. THE VILLAIN ATTEMPTS TO DECEIVE HIS VICTIM IN ORDER TO TAKE POSSESSION OF HIM OR OF HIS BELONGINGS. (Definition: *trickery*. Designation: η.)

The villain, first of all, assumes a disguise. A dragon turns into a golden goat (162), or a handsome youth (204);[†] a witch pretends to be a "sweet old lady" (265) and imitates a mother's voice (108); a priest dresses himself in a goat's hide (258); a thief pretends to be a beggarwoman (189). Then follows the function itself.

1. *The villain uses persuasion* (η^1). A witch tries to have a ring accepted (114); a godmother suggests the taking of a steam bath (187); a witch suggests the removal of clothes (264) and bathing in a pond (265); a beggar seeks alms (189).

[†] The tale reference cited (p. 39) is 118. More specifically, it should be 118c (= new no. 204). [Louis A. Wagner]

2. *The villain proceeds to act by the direct application of magical means* (η^2). The stepmother gives a sleeping potion to her stepson. She sticks a magic pin into his dothing (232).
3. *The villain employs other means of deception or coercion* (η^3). Evil sisters place knives and spikes around a window through which Finist is supposed to fly (234). A dragon rearranges the wood shavings that are to show a young girl the way to her brothers (133).

VII. THE VICTIM SUBMITS TO DECEPTION AND THEREBY UNWITTINGLY HELPS HIS ENEMY. (Definition: *complicity*. Designation: θ)

1. *The hero agrees to all of the villain's persuasions* (i.e., takes the ring, goes to steambathe, to swim, etc.). One notes that *interdictions* are always *broken* and, conversely, *deceitful proposals* are always *accepted* and fulfilled (θ^1).
2-3.*The hero mechanically reacts to the employment of magical or other mean*s (i.e., falls asleep, wounds himself, etc.). It can be observed that this function can also exist separately. No one lulls the hero to sleep: he suddenly falls asleep by himself in order, of course, to facilitate the villain's task (θ^2-θ^3).

A special form of deceitful proposal and its corresponding acceptance is represented by the deceitful agreement. ("Give away that which you do not know you have in your house.") Assent in these instances is compelled, the villain taking advantage of some difficult situation in which his victim is caught: a scattered flock, extreme poverty, etc. Sometimes the difficult situation is deliberately caused by the villain. (The bear seizes the tsar by the beard [201]). This element may be defined as *preliminary misfortune*. (Designation: λ, differentiating between this and other forms of deception.)

VIII. THE VILLAIN CAUSES HARM OR INJURY TO A MEMBER OF A FAMILY. (Definition: *villainy*. Designation: A.)

This function is exceptionally important, since by means of it the actual movement of the tale is created. Absentation, the violation of an interdiction, delivery, the success of a deceit, all prepare the way for this function, create its possibiliy of occurrence, or simply facilitate its happening. Therefore, the first seven functions may be regarded as the *preparatory part* of the tale, whereas the complication is begun by an act of villainy. The forms of villainy are exceedingly varied.

1. *The villain abducts a person* (A^1). A dragon kidnaps the tsar's daughter (131),[†] a peasant's daughter (133); a witch kidnaps a boy (108); older brothers abduct the bride of a youngerbrother (168).

2. *The villain seizes or takes away a magical agent* (A^2). The "uncomely chap" seizes a magic coffer (189);[††] a princess seizes a magic shirt (208); the finger-sized peasant makes off with a magic steed (138).

2a. The forcible seizure of a magical helper creates a special subclass of this form (A^{ii}). A stepmother orders the killing of a miraculous cow (100, 101). A clerk orders the slaying of a magic duck or chicken (196, 197).[†††]

3. *The villain pillages or spoils the crops* (A^3). A mare eats up a haystack (105). A bear steals the oats (143). A crane steals the peas (186).

4. *The villain seizes the daylight* (A^4). This occurs only once (135).

5. *The villain plunders in other forms* (A^5). The object of seizure fluctuates to an enormous degree, and there is no need to register all of its forms. The object of plunder, as will be apparent later on, does not influence the course of action. Logically, it would generally be more correct to consider all seizure as *one form* of villainy, and all constituent forms of seizure (subdivided according to their objects) not as classes, but as subclasses. Nevertheless, it is technically more useful to isolate several of its most important forms, and generalize the remainder. Examples: a firebird steals the golden apples (168); a weasel-beast each night eats animals from the tsar's menagerie (132); the general seizes the king's (nonmagical) sword (259); and so forth.

6. *The villain causes bodily injury* (A^6). A servant girl cuts out the eyes of her mistress (127). A princess chops off Katoma's legs (198). It is interesting that these forms (from a morphological point of view) are also forms of seizure. The eyes, for example, are placed by the servant girl in a pocket and are carried away; thus they are consequently acquired in the same manner as other seized objects and are put in their proper place. The same is true for a heart that has been cut out.

7. The villain causes a sudden disappearance (A^7). Usually this disappearance is the result of the application of bewitching or deceitful means; a stepmother puts her stepson into a sleep—his bride disappears

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[†] 'Zmej poxiscaet doc' carja (72). . ." (p. 40). More accurately, the dragon suddenly kidnaps the tsar's three daughters. [Louis A. Wagner]

[††] "'Nevzdrasnyj detinka' poxiscaet volsebnyj larec (111)" (p. 41). In the text cited, the fellow does not steal the coffer himself; he has his mother steal it and bring it to him. [Louis A. Wagner]

[†††] The original references (on p. 41) are to tales 114 and 115. Tale 114 should be 114b (= new no. 196). [Louis A. Wagner]

forever (232).[†] Sisters place knives and needles in a maiden's window through which Finist is supposed to fly in—he injures his wings and disappears forever (234).[††] A wife flies away from her husband upon a magic carpet (192). Tale No. 267 demonstrates an interesting form. There, disappearance is effected by the hero himself: he burns the (outer) skin of his bewitched wife, and she disappears forever.[†††] A special occurrence in tale No. 219 might also conditionally be placed in this class: a bewitched kiss causes a prince to completely forget his bride. In this case the victim is the bride, who loses her betrothed (A^{vii}).

8. *The villain demands or entices his victim* (A^{8}). Usually this form is the result of a deceitful agreement. The king of the sea demands the tsar's son, and he leaves home (219).

9. *The villain expels someone* (A^{9}): A stepmother drives her stepdaughter out (95); a priest expels his grandson (143).

10. *The villain orders someone to be thrown into the sea* (A^{10}). A tsar places his daughter and son-in-law in a barrel and orders the barrel to be thrown into the sea (165). Parents launch a small boat, carrying their sleeping son, into the sea (247).

11. *The villain casts a spell upon someone or something* (A^{11}). At this point one should note that the villain often causes two or three harmful acts at once. There are forms which are rarely encountered independently and which show a propensity for uniting with other forms. The casting of spells belongs to this group. A wife turns her husband into a dog and then drives him out (i.e., $A_{11}{}^{9}$); a stepmother turns her stepdaughter into a lynx and drives her out (266). Even in instances when a bride is changed into a duck and flies away, we actually have a case of expulsion, although it is not mentioned as such (264, 265).

12. *The villain effects a substitution* (A^{12}). This form also is mostly concomitant. A nursemaid changes a bride into a duckling and substitutes her own daughter in the bride's place ($A_{12}{}^{11}$; 264). A maid blinds the tsar's bride and poses as the bride ($A_{12}{}^{6}$; 127).

[†] "Ego nevesta iscezaet navsegda (128)" (p. 42). The word "forever" may suggest the wrong idea. In reality, the bride leaves a letter for the sleeping hero after her last appearance, saying that he must come and seek her beyond the thriceninth kingdom. He does find her eventually, and then marries her. [Louis A. Wagner]

[††] "On ranit sebe kryl'ja, iscezaet navsegda (129)" (p. 42). Here again, even though Finist no longer flies to the maiden's window, she sets out after him, finds him, and they are finally married. [Louis A. Wagner]

[†††] The beautiful wife, fated to wear a frog's skin, takes it off in order to attend a ball. Prince Iván finds the skin and burns it. Here too, although the wife disappears the next morning, it is not "forever" (". . . ona iscezaet navsegda" [p. 42]), as the hero seeks her out again. [Louis A. Wagner]

13. *The villain orders a murder to be committed* (A^{13}). This form is in essence a modified (intensified) expulsion: the stepmother orders a servant to kill her stepdaughter while they are out walking (210). A princess orders her servants to take her husband away into the forest and kill him (192). Usually in such instances a presentation of the heart and liver of the victim is demanded.

14. *The villain commits murder* (A^{14}). This also is usually only an accompanying form for other acts of villainy, serving to intensify them. A princess seizes her husband's magic shirt and then kills him (i.e., $A_{14}{}^{2}$; 209).[†] Elder brothers kill a younger brother and abduct his bride (i.e., $A_{14}{}^{2}$; 168). A sister takes away her brother's berries and then kills him (244).

15. *The villain imprisons or detains someone* (A^{15}). The princess imprisons Iván in a dungeon (185). The king of the sea incarcerates Semën (259).[††]

16. *The villain threatens forced matrimony* (A^{16}). A dragon demands the tsar's daughter as his wife (125).

16a. The same form among relatives (A^{xvi}). A brother demands his sister for a wife (114).

17. *The villain makes a threat of cannibalism* (A^{17}). A dragon demands the tsar's daughter for his dinner (171). A dragon has devoured all the people in the village, and the last living peasant is threatened with the same fate (l49)[†††]

17a. The same form among relatives (A^{xvii}). A sister intends to devour her brother (93).

18. *The villain torments at night* (A^{18}). A dragon (192) or a devil (115) torment a princess at night; a witch flies to a maiden and sucks at her breast (198).

19. *The villain declares war* (A^{19}). A neighboring tsar declares war (161); similarly, a dragon ravages kingdoms (137).

With this, the forms of villainy are exhausted within the confines of the selected material. However, far from all tales begin with the affliction of misfortune. There are also other beginnings which often present the same development as

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[†] The tale reference cited (p. 43) is 120. More correctly, it should be 120b (= new no. 209). L.A.W.]

[††] "Morakoj car' derzit v zatocenii Semena (142)" (p. 43). This does not occur in tale 142. However, it may be found in tale 145 (= new no. 259). [Louis A. Wagner]

[†††] "Zmej pozral vsex ljudej v derevne, ta ze ucast' ugrozaet poslednemu ostavse-musja v zivyx muziku (85)" (p. 43). This is not the situation in tale 85, but it is in tale 86 (= new no. 149). [Louis A. Wagner]

tales which begin with (A). On examining this phenomenon, we can observe that these tales proceed from a certain situation of insufficiency or lack, and it is this that leads to quests analogous to those in the case of villainy. We conclude from this that lack can be considered as the morphological equivalent of seizure, for example. Let us consider the following cases: a princess seizes Iván's talisman. The result of this seizure is that Iván lacks the talisman. And so we see that a tale, while omitting villainy, very often begins directly with a lack: Iván desires to have a magic sabre or a magic steed, etc. Insufficiency, just as seizure, determines the next point of the complication: Iván sets out on a quest. The same may be said about the abduction of a bride as about the simple lack of a bride. In the first instance a certain act is given, the result of which creates an insufficiency and provokes a quest; in the second instance a ready-made insufficiency is presented, which also provokes a quest. In the first instance, a lack is created from without; in the second, it is realized from within.

We fully admit that the terms "lack" (nedostaca) and "insufficiency" (nexvatka) are not wholly satisfactory. But there are no words in the Russian language with which the given concept may be expressed completely and exactly. The word "shortage" (nedostatok) sounds better, but it has a special meaning which is inappropriate for the given concept. This lack can be compared to the zero which, in a series of figures, represents a definite value. The given feature may be fixed in the following manner:

VIIIa. *ONE MEMBER OF A FAMILY EITHER LACKS SOMETHING OR DESIRES TO HAVE SOMETHING.* (Definition: *lack*. Designation: α.)

These instances lend themselves to a grouping only with difficulty. It would be possible to break them down according to the forms of the realization of lack (see pages 53-55); but here it is possible to limit oneself to a distribution according to the objects lacking. It is possible to register the following forms: (1) Lack of a bride (or a friend, or a human being generally). This lack is sometimes depicted quite vividly (the hero intends to search for a bride), and sometimes it is not even mentioned verbally. The hero is unmarried and sets out to find a bride—with this a beginning is given to the course of the action (α^1). (2) A magical agent is needed. For example: apples, water, horses, sabres, etc. (α^2).[2] (3) *Wondrous* objects are lacking (without magical power), such as the firebird, ducks with golden feathers, a wonder-of-wonders, etc. (α^3). (4) A specific form: the magic egg containing Koscéj's death (or containing the love of a princess) is lacking (α^4). (5) Rationalized forms: money, the means of existence, etc. are lacking (α^5). We note that such beginnings from daily living sometimes develop quite fantastically. (6) Various other forms (α^6).

Just as the object of seizure does not determine the structure of the tale, neither does the object which is lacking. In consequence, there is no need to

systematize all instances for the sake of the general goals of morphology. One can limit oneself to the most important ones and generalize the rest.

Here the following problem necessarily arises: far from all tales begin with harm or the beginning just described. The tale of Emélja the Fool begins with the fool's catching a pike, and not at all with villainy, etc. In comparing a large number of tales it becomes apparent, however, that the elements peculiar to the *middle* of the tale are sometimes *transferred to the beginning*, and this is the case here. The catching and sparing of an animal is a typical middle element, as we shall observe later on. Generally, elements A or α are required for each tale of the class being studied. Other forms of complication do not exist.

IX. MISFORTUNE OR LACK IS MADE KNOWN; THE HERO IS APPROACHED WITH A REQUEST OR COMMAND; HE IS ALLOWED TO GO OR HE IS DISPATCHED. (Definition: *mediation*, the connective incident. Designation: B.)

This function brings the hero into the tale. Under the closest analysis, this function may be subdivided into components, but for our purposes this is not essential. The hero of the tale may be one of two types: (1) if a young girl is kidnapped, and disappears from the horizon of her father (and that of the listener), and if Iván goes off in search of her, then the hero of the tale is Iván and not the kidnapped girl. Heroes of this type may be termed *seekers*. (2) If a young girl or boy is seized or driven out, and the thread of the narrative is linked to his or her fate and not to those who remain behind, then the hero of the tale is the seized or banished boy or girl. There are no seekers in such tales. Heroes of this variety may be called *victimized heroes*.[3] Whether or not tales develop in the same manner with each type of hero will be apparent further on. There is no instance in our material in which a tale follows both seeker and victimized heroes (cf. "Ruslán and Ljudmila"). A moment of mediation is present in both cases. The significance of this moment lies in the fact that the hero's departure from home is caused by it.

1. *A call for help is given, with the resultant dispatch of the hero* (B^1). The call usually comes from the tsar and is accompanied by promises.
2. *The hero is dispatched directly* (B^2). Dispatch is presented either in the form of a command or a request. In the former instance, it is sometimes accompanied by threats; in the latter, by promises. Sometimes both threats and promises are made.
3. *The hero is allowed to depart from home* (B^3). In this instance the initiative for departure often comes from the hero himself, and not from a dispatcher. Parents bestow their blessing. The hero sometimes does not announce his real aims for leaving: he asks for permission to go out walking, etc., but in reality he is setting off for the struggle.

4. *Misfortune is announced* (B^4). A mother tells her son about the abduction of her daughter that took place before his birth. The son sets out in search of his sister, without having been asked to do so by his mother (133). More often, however, a story of misfortune does not come from parents, but rather from various old women or persons casually encountered, etc.

These four preceding forms all refer to seeker-heroes. The forms following are directly related to the victimized hero. The structure of the tale demands that the hero leave home at any cost. If this is not accomplished by means of some form of villainy, then the tale employs the connective incident to this end.

5. *The banished hero is transported away from home* (B^5): The father takes his daughter, banished by her stepmother, to the forest. This form is quite interesting in many respects. Logically, the father's actions are not necessary. The daughter could go to the forest herself. But the tale demands parent-senders in the connective incident. It is possible to show that the form in question is a secondary formation, but this is outside the aim of a general morphology. One should take note of the fact that transportation is also employed in regard to a princess who is demanded by a dragon. In such cases she is taken to the seashore. However, in the latter instance a call for help is concurrently given. The course of action is determined by the call and not by transportation to the seashore. This explains why transportation in these instances cannot be attributed to the connective incident.

6. *The hero condemned to death is secretly freed* (B^6). A cook or an archer spares a young girl (or boy), frees her, and instead of killing her, slays an animal in order to obtain its heart and liver as proof of the murder (210, 197).[†] Incident B was defined above as the factor causing the departure of the hero from home. Whereas dispatch presents the necessity for setting out, here the opportunity for departure is given. The first instance is characteristic of the seeker-hero, and the second applies to the victimized hero.

7. *A lament is sung* (B^7). This form is specific for murder (and is sung by a surviving brother, etc.); it is specific for bewitchment with banishment, and for substitution. The misfortune becomes known, thanks to this, and evokes counteraction.

[†] The original textual citations (p. 47) for this situation are tales 121 and 114 It does occur in both 121a and 121b, but not in either 114a or 114b. A correct reference to replace the second would be 115 (= new no. 197). [Louis A. Wagner]

X. THE SEEKER AGREES TO OR DECIDES UPON COUNTERACTION. (Definition: *beginning counteraction*. Designation: C.)

This moment is characterized in such words, for instance, as the following: "Permit us to go in search of your princess", etc. Sometimes this moment is not expressed in words, but a volitional decision, of course, precedes the search. This moment is characteristic only of those tales in which the hero is a seeker Banished, vanquished, bewitched, and substituted heroes demonstrate no volitional aspiration toward freedom, and in such cases this element is lacking.

XI. THE HERO LEAVES HOME. (Definition: *departure*. Designation: ↑.)

Departure here denotes something different from the temporary absence element, designated earlier by *β*. The departures of seeker-heroes and victim-heroes are also different. The departures of the former group have search as their goal, while those of the latter mark the beginning of a journey without searches, on which various adventures await the hero. It is necessary to keep the following in mind: if a young girl is abducted and a seeker goes in pursuit of her, then two characters have left home. But the route followed by the story and on which the action is developed is actually the route of the seeker. If, for example, a girl is driven out and there is no seeker, then the narrative is developed along the route of the victim hero. The sign ↑ designates the route of the hero, regardless of whether he is a seeker or not. In certain tales a spatial transference of the hero is absent. The entire action takes place in one location. Sometimes, on the contrary, departure is intensified, assuming the character of flight.

The elements ABC↑ represent the complication. Later on the course of action is developed.

Now a new character enters the tale: this personage might be termed the *donor*, or more precisely, the provider. Usually he is encountered accidentally—in the forest, along the roadway, etc. (see Chapter VI, forms of appearance of dramatis personae). It is from him that the hero (both the seeker hero and the victim hero) obtains some agent (usually magical) which permits the eventual liquidation of misfortune. But before receipt of the magica1 agent takes place, the hero is subjected to a number of quite diverse actions which, however, all lead to the result that a magical agent comes into his hands.

XII. THE HERO IS TESTED, INTERROGATED, ATTACKED, ETC., WHICH PREPARES THE WAY FOR HIS RECEIVING EITHER A MAGICAL AGENT OR HELPER. (Definition: *the first function of the donor*. Designation: D.)

1. *The donor tests the hero* (D^1). A witch gives a girl household chores (102). Forest knights propose that the hero serve them for three years. The hero is to spend three years in the service of a merchant (a rationalization from domestic life) (115). The hero is supposed to serve as a ferryman for three years, without remuneration (138).[†] The hero must listen to the playing of the gusla without falling asleep (216). The apple tree, the river, and the stove offer a very simple meal (113). A witch proposes bedding down with her daughter (171). A dragon suggests the raising of a heavy stone (128). Sometimes this request is written on the stone, and other times brothers, upon finding a big stone, try to lift it themselves. A witch proposes the guarding of a herd of mares (159), and so forth.

2. *The donor greets and interrogates the hero* (D^2). This form may be considered as a weakened form of testing. Greeting and interrogation are also present in the forms mentioned above, but there they do not have the character of a test; rather they precede it. In the present case, however, direct testing is absent, and interrogation assumes the character of an indirect test. If the hero answers rudely he receives nothing, but if he responds politely he is rewarded with a steed, a sabre, and so on.

3. *A dying or deceased person requests the rendering of a service* (D^3). This form also sometimes takes on the character of a test. A cow requests the following: "Eat not of my meat, but gather up my bones, tie them in a kerchief, bury them in the garden, and forget me not, but water them each morning" (100). A similar request is made by the bull in tale No. 202.[††] Another form of last wish is evident in tale No. 179. Here, a dying father instructs his sons to spend three nights beside his grave.

4. *A prisoner begs for his freedom* (D^4). The little brass peasant is held captive and asks to be freed (125). A devil sits in a tower and begs a soldier to free him (236). A jug fished out of water begs to be broken, i.e., the spirit within the jug asks for liberation (195).

4*. The same as the preceding, accompanied by the preliminary imprisonment of the donor ($*D^4$). If, for example, as in tale No. 123, a forest spirit is caught, this deed cannot be considered an independent function: it merely sets the stage for the subsequent request of the captive.

[†] "Tri goda obsluzivat' perevoz, ne berja voznagrazdenija (71) . . ." (p. 49). This proposal is not found in tale 71; however, it does occur in tale 78 (= new no. 138). [Louis A. Wagner]

[††] The original reference (p. 50) is to tale 117. However, the request made in tale 118a (= new no. 202) would seem to fit better. [Louis A. Wagner]

5. *The hero is approached with a request for mercy* (D^5). This form might be considered as a subclass of the preceding one. It occurs either after capture or while the hero takes aim at an animal with the intention of killing it. The hero catches a pike which begs him to let it go (166); the hero aims at animals which beg to be spared (156).

6. *Disputants request a division of property* (D^6). Two giants ask that a staff and a broom be divided between them (185). Disputants do not always voice their request: the hero sometimes proposes a division on his own initiative (d^6). Beasts are incapable of sharing carrion; the hero divides it (162).

7. *Other requests* (D^7). Strictly speaking, requests as such constitute an independent class, while the individual types constitute subclasses; but in order to avoid an excessively cumbersome system of designation, one may arbitrarily consider all such varieties to be classes themselves. Having extracted the basic forms, the rest can be summarized. Mice ask to be fed (102); a thief asks the robbed person to carry the stolen goods for him (238). Next is a case which can immediately be assigned to two classes: A little vixen is caught; she begs, "Don't kill me (a request for mercy, D^5), fry me a hen with a little butter, as juicy as possible" (second request, D^7). Since imprisonment preceded this request, the designation for the complete happening is $*D_7^5$. An example of a different character, which also involves a suppliant's being threatened or caught up in a helpless situation is: the hero steals the clothes of a female bather who begs him to return them (219).[†] Sometimes a helpless situation simply occurs without any pronouncement of a request (fledglings become soaked in the rain, children torment a cat). In these instances the hero is presented with the possibility of rendering assistance. Objectively this amounts to a test, although subjectively the hero is not aware of it as such (d^7).

8. *A hostile creature attempts to destroy the hero* (D^8). A witch tries to place the hero in an oven (108). A witch attempts to behead heroes during the night (105). A host attempts to feed his guests to rats at night (216).[††] A magician tries to destroy the hero by leaving him alone on a mountain (243).

[†] ". . . geroj poxiscaet u kupal'scicy odezdu, ona prosit otdat' ee (131)" (p. 51). This does not occur in tale 131, but may be found, for example, in tales 125 and 71c (= new nos. 219 and 130). [Louis A. Wagner]

[††] "Xozjain pytaetsja otdat' gostej noc'ju na s"edenie krysam (122)" (p. 51). This does not occur in tale 122, but may be found in 123 (= new no. 216) [Louis A. Wagner]

[†] "Xozjain pytaetsja otdat' gostej noc'ju na s"edenie krysam (122)" (p. 51). This does not occur in tale 122, but may be found in 123 (= new no. 216) [Louis A. Wagner]

9. *A hostile creature engages the hero in combat* (D^8). A witch fights with the hero. Combat in a forest hut between the hero and various forest dwellers is encountered very often. Combat here has the character of a scuffle or brawl.
10. The hero is shown a magical agent which is offered for exchange (D^{10}). A robber shows a cudgel (215); merchants display wondrous objects (216); an old man displays a sword (270). They offer these things for exchange.

XIII. THE HERO REACTS TO THE ACTIONS OF THE FUTURE DONOR. (Definition: *the hero's reaction*. Designation: E.) In the majority of instances, the reaction is either positive or negative.

1. *The hero withstands (or does not withstand) a test* (E^1).
2. *The hero answers (or does not answer) a greeting* (E^3).
3. *He renders (or does not render) a service to a dead person* (E $E^3$8).
4. *He frees a captive* (E^4).
5. *He shows mercy to a suppliant* (E^5).
6. *He completes an apportionment and reconciles the disputants* (E^6). The request of disputants (or simply an argument without a request) more often evokes a different reaction. The hero deceives the disputants, making them run, for example, after an arrow which he has shot into the distance; meanwhile, he himself seizes the disputed objects (E^{vi}).
7. *The hero performs some other service* (E^7). Sometimes these services correspond to requests; other times, they are done purely through the kindheartedness of the hero. A young girl feeds passing beggars (114). A special subclass might be made by forms of a religious nature. A hero burns a barrel of frankincense to the glory of God. To this group one instance of a prayer might also be relegated (115).
8. *The hero saves himself from an attempt on his life by employing the same tactics used by his adversary* (E^8). He puts the witch into the stove by making her show how to climb in (108). The heroes exchange clothes with the daughters of the witch in secret; she proceeds to kill them instead of the heroes (105). The magician himself remains on the mountain where he wanted to abandon the hero (243).
9. *The hero vanquishes (or does not vanquish) his adversary* (E^9).
10. *The hero agrees to an exchange, but immediately employs the magic power of the object exchanged against the barterer* (E^{10}). An old man offers to trade his magic sword to a cossack for a magic cask. The cossack makes the exchange, whereupon he orders the sword to cut off the old man's head, thus getting back the cask also (270).

XIV. THE HERO ACQUIRES THE USE OF A MAGICAL AGENT. (Definition: *provision or receipt of a magical agent*. Designation: F.)

The following things are capable of serving as magical agents:

(1) animals (a horse, an eagle, etc.); (2) objects out of which magical helpers appear (a flintstone containing a steed, a ring containing young men); (3) objects possessing a magical property, such as cudgels, swords, guslas, balls, and many others; (4) qualities or capacities which are directly given, such as the power of transformation into animals, etc. All of these objects of transmission we shall conditionally term "magical agents."[4] The forms by which they are transmitted are the following:

1. *The agent is directly transferred* (F^1). Such acts of transference very often have the character of a reward: an old man presents a horse as a gift; forest animals offer their offspring, etc. Sometimes the hero, instead of receiving a certain animal directly for his own use, obtains the power of turning himself into it (for details see Chapter VI). Some tales end with the moment of reward. In these instances the gift amounts to something of a certain material value and is not a magical agent (f^1). If a hero's reaction is negative, then the transference may not occur (F neg.), or is replaced by cruel retribution. The hero is devoured, frozen, has strips cut out of his back, is thrown under a stone, etc. (F contr.).
2. *The agent is pointed out* (F^2). An old woman indicates an oak tree under which lies a flying ship (144)[†] An old man points out a peasant from whom a magic steed may be obtained (138).
3. *The agent is prepared* (F^3). "The magician went out on the shore, drew a boat in the sand and said: 'Well, brothers, do you see this boat?' 'We see it.' 'Get into it.' " (138).
4. *The agent is sold and purchased* (F^4). The hero buys a magic hen (197);[††] he buys a magic dog and cat (190), etc. The intermediate form between purchase and preparation is "preparation on order"; the hero places an order for a chain to be made by a blacksmith (105). (The designation for this instance: F_4^3).

[†] "Staruxa ukazyvaet dub, pod kotorym naxoditsja letucij korabl' (83)" (p. 53). In the given tale, it is not an old woman, but an old man (*starik*) who indicates the tree. [Louis A. Wagner]

[††] "Geroj pokupaet volsebnuju kuru (114)" (p. 54). The hero buys a hen in tale 115 (= new no. 197) but not in tale 114. In the latter he is told how to get a magic duck. [Louis A. Wagner]

5. *The agent falls into the hands of the hero by chance* (is found by him) (F^6). Iván sees a horse in the field and mounts him (132); he comes upon a tree bearing magic apples (192).
6. *The agent suddenly appears of its own accord* (F^6). A staircase suddenly appears, leading up a mountainside (156). Agents sprouting out of the ground constitute a special form of independent appearance (F^{vi}), and they may be magical bushes (100, 101), twigs, a dog and a horse (201), or a dwarf.
7. *The agent is eaten or drunk* (F^7). This is not, strictly speaking, a form of transference, although it may be coordinated, conditionally, with the cases cited. Three beverages provide the drinker with ,unusual strength (125); the eating of a bird's giblets endows heroes with various magical qualities (195).
8. *The agent is seized* (F^8). The hero steals a horse from a witch (159); he seizes the disputed objects (197). The application of magical agents against the person who exchanged them and the taking back of objects which had been given may also be considered a special form of seizure.
9. *Various characters place themselves at the disposal of the hero* (F^9). An animal, for example, may either present its offspring or offer its services to the hero, making, as it were, a present of itself. Let us compare the following instances: A steed is not always presented directly, or in a flintstone. Sometimes the donor simply informs the hero of an incantation formula with which the hero may invoke the steed to appear. In the latter instance, Iván is not actually given anything: he only receives the right to a helper. We have the same situation when the suppliant offers Iván the right to make use of him: the pike informs Iván of a formula by which he may call it forth ("Say only: 'by the pike's command . . .'"). If, finally, the formula also is omitted, and the animal simply promises, "Sometime I'll be of use to you," then we still have before us a moment in which the hero receives the aid of a magical agent in the form of an animal. Later on it will become Iván's helper (f^9). It often happens that various magical creatures, without any warning, suddenly appear or are met on the way and offer their services and are accepted as helpers (F_9^6). Most often these are heroes with extraordinary attributes, or characters possessing various magical qualities (Overeater, Overdrinker, Crackling Frost).

Here, before continuing with the further registration of functions, the following question may be raised: in what combination does one encounter the types of elements D (preparation for transmission), and F (transmission itself)?[5] One need only state that, in the face of a negative reaction on the part of the hero, one encounters only F neg. (the transmission does not take place), or F contr. (the

unfortunate hero is severely punished). Under the condition of the hero's positive reaction, however, one encounters the combinations shown in Figure 1.

One can see from this scheme that the connections are exceptionally varied, and that consequently a wide range of substitution of certain variations for others can be ascertained on the whole. Yet if one examines this scheme more carefully, one immediately becomes aware of the absence of several connections. This absence is in part explained by the insufficiency of material, but certain combinations would not prove logical. Therefore we conclude that there exist types of connections. If one proceeds to determine *types* from the forms of transmission of a magical agent, one can isolate two types of connections:

> 1. The seizure of a magical agent, linked with an attempt to destroy the hero (roast, etc.), with a request for apportionment, or with a proposal for an exchange.
> 2. All other forms of transmission and receipt, linked with all other preparatory forms. The request for apportionment belongs to the second type if the division is actually accomplished, but to the first if the disputants are deceived. Further, it is possible to observe that a find, a purchase, and a sudden independent appearance of a magical agent or helper are most often encountered without the slightest preparation. These are rudimentary forms. But if they nevertheless *are* prepared, then this occurs in forms of the second type, and not the first.

In connection with this, one might touch upon the question of the character of donors. The second type most often presents friendly donors (with the exception of those who surrender a magical agent unwillingly or after a fight), whereas the first type exhibits unfriendly (or, at any rate, deceived) donors. These are not donors in the true sense of the word, but personages who unwillingly furnish the hero with something. Within the forms of each type, all combinations are possible and logical, whether actually present or not. Thus, for example, either an exacting or a grateful donor is capable of giving, revealing, selling, or preparing an agent, or he may let the hero find the agent, etc. On the other hand, an agent in the possession of a deceived donor can only be stolen or taken by force. Combinations outside of these types are illogical. Thus, for example, it is not logical if a hero, after performing a difficult task for a witch, steals a colt from her. This does not mean that such combinations do not exist in the tale. They do exist, but in these instances the storyteller is obliged to give additional motivation for the actions of his heroes. Here is another model of an illogical connection which is clearly motivated: Iván fights with an old man. During the struggle the old man *inadvertently* permits Iván to drink some strength-giving water. This "inadvertence" becomes understandable when one compares this incident with

those tales in which a beverage is given by a grateful or a generally friendly donor. In this manner we see that the lack of logic in the connection is not a stumbling block to the storyteller.

If one were to follow a purely empirical approach, one would have to confirm the interchangeability of all the various forms of elements D and F in relation to each other.

Below are several concrete examples of connection:

Type II: $D^1E^1F^1$. A witch Forces the hero to take a herd of mares to pasture. A second task follows, the hero accomplishes it, and receives a horse (160).

$D^2E^2F^2$. An old man interrogates the hero. He answers rudely and receives nothing. Later, he returns and responds politely, whereupon he receives a horse (155).

$D^3E^3F^1$. A dying father requests his sons to spend three nights beside his grave. The youngest son fulfills the request and receives a horse (180).[†]

$D^8E^8F^{Vi}$. A young bull asks the tsar's children to kill him, burn him, and plant his ashes in three beds. The hero does these things. From one bed an apple tree sprouts forth; from the second a dog; and from the third a horse (201).[††]

$D^1E^1F^5$. Brothers find a large stone. "Can't it be moved?" (trial without a tester). The elder brothers cannot move it. The youngest moves the stone, revealing below it a vault, and in the vault Iván finds three horses (137).

This list could be continued *ad libitum.* It is important only to note that in similar situations other magical gifts besides horses are presented. The examples given here with steeds were selected for the purpose of more sharply outlining a morphological kinship.

Type I: $D^6E^{vi}F^8$. Three disputants request the apportionment of magical objects. The hero instructs them to chase after one another, and in the meanwhile, he seizes the objects (a cap, a rug, boots).

$D^8E^8F^8$. Heroes fall into the hands of a witch. At night she plans to behead them. They put her daughters in their place and run away, the youngest brother making off with a magic kerchief (105).[†††]

[†] The original textual reference (p. 57) is tale 195; this is incorrect. The connection described may be found in tale 105b (= new no. 180). [Louis A. Wagner]

[††] "Bycok prosit carskix detej ego zarezat', szec', i pepel posejat' na trex grjadkax. Geroj èto vypolnjaet. Iz odnoj grjadki vyrostaet jablonja, iz drugoj—sobaka, iz tret'ej—kon' (118)" (p. 57). This happens in tale 117 (= new no. 201), not in 118. In tale 118 the bull says, "Kill me and eat me, but gather up my bones and strike them; from them a little old man will come forth . . ." [Louis A. Wagner]

[†††] "Geroi popadajut k jage. Ona xocet noc'ju otrubit' im golovy. Oni podsovyvajut ej ee docerej. Brat'ja begut, mladsij poxiscaet volsebnyj platocek (61)" (p. 58). this situation does not occur in tale 61, but it may be found (with slight variations) in tale 60 (= new no. 105). [Louis A. Wagner]

$D^{10}E^{10}F^{8}$. Smat-Rázum, an invisible spirit, serves the hero. Three merchants offer a little chest (a garden), an axe (a boat), and a horn (an army) in exchange for the spirit. The hero agrees to the barter but later calls his helper back to him.

We observe that the substitution of certain aspects by others, within the confines of each type, is practiced on a large scale. Another question is whether or not certain *objects* of transmission are connected to certain *forms* of transmission (i.e., is not a horse always given, whereas a flying carpet is always seized, etc.)? Although our examination pertains solely to functions per se, we can indicate (without proofs) that no such norm exists. A horse, which is usually given, is seized in tale No. 159.[†] On the other hand, a magic kerchief, which affords rescue from pursuit, and which is usually seized, is instead given as a gift to the hero in tale No. 159 and others.[††] A flying ship may be prepared, or pointed out, or given as a gift, etc.

Let us return to the enumeration of the functions of dramatis personae. The employment of a magical agent follows its receipt by the hero; or, if the agent received is a living creature, its help is directly put to use on the command of the hero. With this the hero outwardly loses all significance; he himself does nothing, while his helper accomplishes everything. The morphological significance of the hero is nevertheless very great, since his intentions create the axis of the narrative. These intentions appear in the form of various commands which the hero gives to his helpers. At this point a more exact definition of the hero can be given than was done before. The hero of a fairy tale is that character who either directly suffers from the action of the villain in the complication (the one who senses some kind of lack), or who agrees to liquidate the misfortune or lack of another person. In the course of the action the hero is the person who is supplied with a magical agent (a magical helper), and who makes use of it or is served by it.

XV. THE HERO IS TRANSFERRED, DELIVERED, OR LED TO THE WHEREABOUTS OF AN OBJECT OF SEARCH. (Definition: *spatial transference between two kingdoms, guidance*. Designation: G.)

Generally the object of search is located in "another" or "different" kingdom. This kingdom may lie far away horizontally, or else very high up or deep down vertically. The means of unification may be identical in all cases, but specific forms do exist for great heights and depths.

[†] "Kon', kotoryj casce vsego daetsja, v skazke No. 95 poxiscaetsja" (p. 58). On the contrary, in tale 95 the witch lets Iván choose whichever foal he wants from the stable. A tale in which Iván steals a foal would be 94 (=new no. 159). [Louis A. Wagner]

[††] "Naoborot, volsebnyj platocek . . . v skazke No. 94 i dr. daritsja" (p. 58). To be more specific, in tale 94 Mar'ja Morevna first steals the magic kerchief from Koscej, and then passes it on to Iván. [Louis A. Wagner]

1. *The hero flies through the air* (G^1): on a steed (171); on a bird (219);[†] in the form of a bird (162); on board a flying ship (138); on a flying carpet (192); on the back of a giant or a spirit (212);[††] in the carriage of a devil (154); and so forth. Flight on a bird is sometimes accompanied by a detail: it is necessary to feed the bird on the journey, so the hero brings along an ox, etc.
2. *He travels on the ground or on water* (G^2): on the back of a horse or wolf (168); on board a ship (247); a handless person carries a legless one (198); a cat swims a river on the back of a dog (190).
3. *He is led* (G^3). A ball of thread shows the way (234); a fox leads the hero to the princess (163).
4. *The route is shown to him* (G^4). A hedgehog points out the way to a kidnapped brother (113).
5. *He makes use of stationary means of communication* (G^5). He climbs a stairway (156); he finds an underground passageway and makes use of it (141); he walks across the back of an enormous pike, as across a bridge (156); he descends by means of leather straps, etc.
6. *He follows bloody tracks* (G^6). The hero defeats the inhabitant of a forest hut who runs away, hiding himself under a stone. Following his tracks Iván finds the entrance into another kingdom.

This exhausts the forms of transference of the hero. It should be noted that "delivery," as a function in itself, is sometimes absent: the hero simply walks to the place (i.e., function G amounts to a natural continuation of function ↑). In such a case function G is not singled out.

XVI. THE HERO AND THE VILLAIN JOIN IN DIRECT COMBAT. (Definition: *struggle*. Designation: H.)

This form needs to be distinguished from the struggle (fight) with a hostile donor. These two forms can be distinguished by their results. If the hero obtains an agent, for the purpose of further searching, as the result of an unfriendly encounter, this would be element D. If, on the other hand, the hero receives through victory the very object of his quest, we have situation H.

[†] ". . . na ptice (121) . . ." (p. 59). This does not occur in tale 121, but may be found, for example, in tale 125 (= new no. 219). [Louis A. Wagner]

[††] ". . . na spine velikana ili duxa (121) . . ." (p. 59). This does not happen in tale 121, but occurs, for example, in tale 122 (= new no. 212). [Louis A. Wagner]

1. *They fight in an open field* (H^1). Here, first of all, belong fights with dragons or with Cudo-Judo, etc. (125), and also battles with an enemy army or a knight, etc. (212).
2. *They engage in a competition* (H^2). In humorous tales the fight itself sometimes does not occur. After a squabble (often completely analogous to the squabble that precedes an out-and-out-fight), the hero and the villain engage in a competition. The hero wins with the help of cleverness: a gypsy puts a dragon to flight by squeezing a piece of cheese as though it were a stone, by pretending that a blow to the back of the head was merely a whistle, etc. (149)[†]
3. *They play cards* (H^3). The hero and a dragon (a devil) play cards (192, 153).
4. Tale No. 93 presents a special form: a she-dragon[††] proposes the following to the hero: "Let Prince Iván get on the scales with me; who will outweigh the other?"[6] (H^4).

XVII. THE HERO IS BRANDED. (Definition: *branding, marking*. Designation: J.)

1. *A brand is applied to the body* (J^1). The hero receives a wound during the skirmish. A princess awakens him before the fight by making a small wound in his cheek with a knife (125). A princess brands the hero on the forehead with a signet ring (195); she kisses him, leaving a burning star on his forehead.
2. *The hero receives a ring or a towel* (J^2). We have a combination of two forms if the hero is wounded in battle and the wound is bound with the kerchief of either a princess or a king.

XVIII. THE VILLAIN IS DEFEATED. (Definition: *victory*. Designation: I.)

1. *The villain is beaten in open combat* (I^1). 2. He is defeated in a contest (I^2).
3. *He loses at cards* (I^3).
4. He loses on being weighed (I^4).
5. *He is killed without a preliminary fight* (I^5). A dragon is killed while asleep (141). Zmialan hides in the hollow of a tree; he is killed (164).

[†] The original reference here (p. 60) is to tale 85. However, the trickery described takes place in tale 86 (= new no. 149). [Louis A. Wagner]
[††] Cf. footnote on page 68. [Louis A. Wagner]

6. *He is banished directly* (I^6). A princess, possessed by a devil, places a sacred image around her neck: "The evil power flew away in a puff of smoke" (115).

Victory is also encountered in a negative form. If two or three heroes have gone out to do battle, one of them (a general) hides, while the other is victorious (designation: $*I^1$).

XIX. THE INITIAL MISFORTUNE OR LACK IS LIQUIDATED. (Designation: K.) This function, together with villainy (A), constitutes a pair. The narrative reaches its peak in this function.

1. *The object of a search is seized by the use of force or cleverness* (K^1). Here heroes sometimes employ the same means adopted by villains for the initial seizure. Iván's steed turns into a beggar who goes seeking alms. The princess gives them. Iván runs out of the bushes; they seize her and carry her away (185).

la. Sometimes the capture is accomplished by two personages, one of whom orders the other to perform the actual business of catching (K^1). A horse steps on a crawfish and orders it to bring him a bridal dress. A cat catches a mouse and orders it to fetch a little ring (190).

2. *The object of search is obtained by several personages at once, through a rapid interchange of their actions* (K^2).

The distribution of action is evoked by a series of consecutive failures or attempts on the part of the abducted person to escape. The seven Semjóns obtain a princess: the thief kidnaps her, but she flies away in the form of a swan; the archer shoots her down, and another one, in place of a dog, retrieves her from the water, etc. (145). Similarly, the egg containing Koscej's death is obtained. A hare, a duck, and a fish run away, fly away, and swim away with the egg. A wolf, a raven, and a fish obtain it (156).

3. *The object of search is obtained with the help of enticements* (K^3). This form, in many instances, is quite close in nature to K^1. The hero lures the princess on board a ship with the aid of golden objects and carries her away (242). A special subclass might be made out of an enticement in the form of a proposal for an exchange. A blinded girl embroiders a wonderful crown and sends it to her villainous servant girl. In exchange for the crown the latter returns the eyes, which are thus retrieved.

4. *The object of a quest is obtained as the direct result of preceding actions* (K^4). If, for example, Iván kills a dragon and later marries the princess whom he has freed, there is no obtaining as a special act; rather, there is obtaining as a function, as a stage in the development of the plot.

The princess is neither seized nor abducted, but she is nevertheless "obtained." She is obtained as the result of combat. Obtaining in these cases is a logical element. It may also be accomplished as a result of acts other than battles. Thus Iván can *find* a princess as the result of making a guided journey.

5. *The object of search is obtained instantly through the use of a magical agent* (K^5). Two young men (appearing out of a magical book) deliver a golden-horned stag with the speed of a whirlwind (212).

6. *The use of a magical agent overcomes poverty* (K^6). A magic duck lays golden eggs (195). The magic tablecloth which sets itself and the horse that scatters gold both belong here (186). Another form of the self-setting tablecloth appears in the image of a pike: "By the pike's command and God's blessing let the table be set and the dinner ready!" (167).

7. *The object of search is caught* (K^7). This form is typical for agrarian pillage. The hero catches a mare (187).

8. *The spell on a person is broken* (K^8). This form is typical for A^{11} (enchantment). The breaking of a spell takes place either by burning the hide or by means of a formula: "Be a girl once again!"

9. *A slain person is revived* (K^9). A hairpin or a dead tooth is removed from a head (210, 202). The hero is sprinkled with deadening and life-giving waters.

9a. Just as in the case of reverse capture one animal forces another to act, here also a wolf catches a raven and forces its mother to bring some deadening water and some life-giving water (168). This means of revival, preceded by the obtaining of water, may be singled out as a special subclass (K^{ix}).[7]

10. *A captive is freed* (K^{10}). A horse breaks open the doors of a dungeon and frees Iván (185). This form, morphologically speaking, has nothing in common, for example, with the freeing of a forest spirit, since in the latter case a basis for gratitude and for the giving of a magical agent is created. Here initial misfortune is done away with. Tale No. 259 evidences a special form of liberation: here, the king of the sea always drags his prisoner out onto the shore at midnight. The hero beseeches the sun to free him. The sun is late on two occasions. On the third occasion "the sun shone forth its rays and the king of the sea could no longer drag him back into bondage."

11. The receipt of an object of search is sometimes accomplished by means of the same forms as the receipt of a magical agent (i.e., it is given as a gift, its location is indicated, it is purchased, etc.). Designation of these occurrences: KF^1, direct transmission; KF^2, indication; etc., as above.

XX. THE HERO RETURNS. (Definition: *return*. Designation: ↓)

A return is generally accomplished by means of the same forms as an arrival. However, there is no need of attaching a special function to follow a return, since returning already implies a surmounting of space. This is not always true in the case of a departure. Following a departure, an agent is given (a horse, eagle, etc.) and then flying or other forms of travel occur, whereas a return takes place immediately and, for the most part, in the same forms as an arrival. Sometimes return has the nature of fleeing.

XXI. THE HERO IS PURSUED. (Definition: *pursuit, chase*. Designation: Pr.)

1. *The pursuer flies after the hero* (Pr^{1}). A dragon catches up to Iván (160); a witch flies after a boy (105);[†] geese fly after a girl (113).
2. *He demands the guilty person* (Pr^{2}). This form is also mostly linked with actual flight through the air: The father of a dragon dispatches a flying boat. From the boat they shout, "[we want] the guilty one, the guilty one!" (125).
3. *He pursues the hero, rapidly transforming himself into various animals, etc*. (Pr^{3}). This form at several stages is also connected with flight: a magician pursues the hero in the forms of a wolf, a pike, a man, and a rooster (249).
4. *Pursuers (dragons' wives, etc.) turn into alluring objects and place themselves in the path of the hero* (Pr^{4}). "I'll run ahead and make the day hot for him, and I shall turn myself into a green meadow. In this green meadow I'll change into a well, and in this well there shall swim a silver goblet . . . here they'll be torn asunder like poppy seeds" (136). She-dragons change into gardens, pillows, wells, etc. The tale does not inform us, however, as to how they manage to get ahead of the hero.
5. *The pursuer tries to devour the hero* (Pr^{5}). A she-dragon turns into a maiden, seduces the hero, and then changes into a lioness that wants to devour Iván (155).
6. *The pursuer attempts to kill the hero* (Pr^{6}). He tries to pound a dead tooth into his head (202).
7. *He tries to gnaw through a tree in which the hero is taking refuge* (Pr^{7}).

XXII. RESCUE OF THE HERO FROM PURSUIT. (Definition: *rescue*. Designation: Rs.)

[†] ". . . ved'ma letit za mal'cikom (60)" (p. 64). In the text cited, the witch flies after a group of bold youths (*molodcy*). [Louis A. Wagner]

1. *He is carried away through the air* (sometimes he is saved by lightning-fast fleeing) (Rs^{l}). The hero flies away on a horse (160), on geese (108).
2. *The hero flees, placing obstacles in the path of his pursuer* (Rs^{2}). He throws a brush, a comb, a towel. They turn into mountains, forests, lakes. Similarly, Vertogór (Mountain-Turner) and Vertodúb (Oak-Turner) tear up mountains and oak trees, placing them in the path of the she-dragon (93).†
3. *The hero, while in flight, changes into objects which make him unrecognizable* (Rs^{3}). A princess turns herself and the prince into a well and dipper, a church and priest (2 19).
4. *The hero hides himself during his flight* (Rs^{4}). A river, an apple tree, and a stove hide a maiden (113).
5. *The hero is hidden by blacksmiths* (Rs^{5}). A she-dragon demands the guilty person. Iván has hidden with blacksmiths, and they seize the dragon by the tongue and beat her with their hammers (136). An incident in tale No. 153 undoubtedly is related to this form: devils are placed in a knapsack by a soldier, are carried to a smithy and beaten with heavy hammers.
6. *The hero saves himself while in flight by means of rapid transformations into animals, stones, etc.* (Rs^{6}). The hero flees in the form of a horse, a ruff, a ring, a seed, a falcon (249). The actual transformation is essential to this form. Flight may sometimes be omitted; such forms may be considered as a special subclass. A maiden is killed and a garden springs forth from her remains. The garden is cut down, it turns to stone, etc. (127).
7. *He avoids the temptations of transformed she-dragons* (Rs^{7}). Iván hacks at the garden, the well, and so forth; blood flows from them (137).
8. *He does not allow himself to be devoured* (Rs^{8}). Iván jumps his horse over the she-dragon's jaws. He recognizes the lioness as the she-dragon and kills her (155).††
9. *He is saved from an attempt on his life* (Rs^{9}). Animals extract the dead tooth from his head in the nick of time.
10. *He jumps to another tree* (Rs^{10}).

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† Cf. the footnote on p. 68. [Louis A. Wagner]

†† "On uznaet v l'vice zmeixu i ubivaet ee (92)" (p. 66). However, in the tale referred to ("The Two Iváns, Soldier's Sons"; new no. 155), the first Iván does not kill the lioness, he only *threatens* to do so if she does not regurgitate his brother, the second Iván. She spits up the dead brother, he is revived, and then the lioness is pardoned. Cf. the detailed analysis of this tale (Appendix II, no. 8), where the same misinterpretation appears again, resulting in some confusion. [Louis A. Wagner]

A great many tales end on the note of rescue from pursuit. The hero arrives home and then, if he has obtained a girl, marries her, etc. Nevertheless, this is far from always being the case. A tale may have another misfortune in store for the hero: a villain may appear once again, may seize whatever Iván has obtained, may kill Iván, etc. In a word, an initial villainy is repeated, sometimes in the same forms as in the beginning, and sometimes in other forms which are new for a given tale. With this a new story commences. There are no specific forms of repeated villainies (i.e., we again have abduction, enchantment, murder, etc.), but there are specific villains connected with the new misfortune. They are Iván's elder brothers. Shortly after his arrival home they steal his prize and sometimes kill even him. If they permit him to remain alive then, in order to instigate a new search, it is necessary once more to place a great spatial barrier between the hero and the object being sought. This is accomplished by their throwing him into a chasm (into a pit, a subterranean kingdom, or sometimes into the sea), into which he may sometimes fall for three whole days. Then everything begins anew: i.e., again an accidental meeting with a donor; a successfully completed ordeal or service rendered, etc.; a receipt of a magical agent and its employment to return the hero home to his own kingdom. From this moment on the development is different from that in the beginning of the tale; we shall consider it below.

This phenomenon attests to the fact that many tales are composed of two series of functions which may be labelled "moves" (xody). A new villainous act creates a new "move," and in this manner, sometimes a whole series of tales combine into a single tale. Nevertheless, the process of development which will be described below does constitute the continuation of a given tale, although it also creates a new move. In connection with this, one must eventually ask how to distinguish the number of tales in each text.

VIII$_{bis}$. Iván's brothers steal his prize (and throw him into a chasm.)

Villainy has already been designated as A. If the brothers kidnap Iván's bride, the designation for this act would be A^1. If they steal a magical agent, then the designation is A^2. Abduction accompanied by murder is termed $A_{14}{}^1$. Forms connected with the hero's being thrown into a chasm shall be designated as $*A^1$, $*A^2$, $*A_{14}{}^2$, and so forth.

X-XI$_{bis}$. The hero once more sets out in search of something (C↑) (see X-XI).

This element is sometimes omitted here. Iván wanders about and weeps, as though not thinking about returning. Element B (dispatch) is also always absent in these instances, since there is no reason for dispatching Iván, as he is the one from whom the bride has been kidnapped.

X-II$_{bis}$. *The hero once again is the subject of actions leading to the receipt of a magical agent* (D) (see XII).
X-III$_{bis}$. *The hero again reacts to the actions of the future donor* (E) (see XIII).
X-IV$_{bis}$. *A new magical agent is placed at the hero's disposal* (F) (see XIV).
X-XV$_{bis}$. *The hero is brought or transported to the location of the object of the quest (G) (see XV). In this case he reaches home.*

From this point onward, the development of the narrative proceeds differently, and the tale gives new functions.

XXIII. THE HERO, UNRECOGNIZED, ARRIVES HOME OR IN ANOTHER COUNTRY. (Definition: *unrecognized arrival*. Designation: o.)

Here, two classes are distinguishable: (1) arrival home, in which the hero stays with some sort of artisan (goldsmith, tailor, shoemaker, etc.), serving as an apprentice; (2) he arrives at the court of some *king*, and serves either as a cook or a groom. At the same time it is sometimes necessary to designate simple arrival as well.

XXIV. A FALSE HERO PRESENTS UNFOUNDED CLAIMS. (Definition: *unfounded claims*. Designation: L.)

If the hero arrives home, the false claims are presented by his brothers. If he is serving in another kingdom, a general, a water-carrier, or others present them. The brothers pose as capturers of the prize; the general poses as the conqueror of a dragon. These two forms can be considered special classes.

XXV. A DIFFICULT TASK IS PROPOSED TO THE HERO. (Definition: *difficult task*. Designation: M.)

This is one of the tale's favorite elements. Tasks are also assigned outside the connections just described, but these connections will be dealt with somewhat later. At the moment, let us take up the matter of the tasks per se. These tasks are so varied that each would need a special designation. However, there is no need at present to go into these details. Since no exact distribution will be made, we shall enumerate all instances present in our material, with an approximate arrangement into groups:

Ordeal by food and drink: to eat a certain number of oxen or wagonloads of bread; to drink a great deal of beer (137, 138, 144).

Ordeal by fire: to bathe in a red-hot iron bathhouse. This form is always connected with the previous ordeal (137, 138, 144). A separate form: a bath in boiling water (169).

Riddle guessing and similar ordeals: to pose an unsolvable riddle (239); to recount and interpret a dream (241); to explain the meaning of the ravens' croaking at the tsar's window, and to drive them away (247); to find out (to guess) the distinctive marks of a tsar's daughter (238).

Ordeal of choice: to select sought-after persons among twelve identical girls (or boys) (219,227, 249).

Hide and seek: to hide oneself so that discovery is impossible (236).

To kiss the princess in a window (180, 182).[†]

To jump up on top of the gates (101).

Test of strength, adroitness, fortitude: a princess chokes Iván at night or squeezes his hand (198, 136); the task of picking up the heads of a decapitated dragon (171), of breaking in a horse (198), of milking a herd of wild mares (170),[††] of defeating an amazon (202), or a rival (167), is given to the hero.

Test of endurance: to spend seven years in the tin kingdom (270).

Tasks of supply and manufacture: to supply a medicine (123); to obtain a wedding dress, a ring, shoes (132, 139, 156, 169); to deliver the hair of the king of the sea (240); to deliver a flying boat (144); to deliver life-giving water (144); to supply a troop of soldiers (144); to obtain seventy-seven mares (170);[†††] to build a palace during one night (190), a bridge leading to it (216);[‡] to bring "the mate to my unknown one to make a pair," (240).[‡‡]

As tasks of manufacture: to sew shirts (104, 267); to bake bread (267); as the third task in this case, the tsar asks who dances better.

Other tasks: to pick berries from a certain bush or tree (100, 101); to cross a pit on a pole (137); to find someone "whose candle will light by itself" (195).

The method of differentiation of these tasks from other highly similar elements will be outlined in the chapter on assimilations.

[†] The texts cited (p. 69) are nos. 105 and 106. More specifically, 105 should be 105b (= new no. 180). [Louis A. Wagner]

[††] The text cited (p. 69) is 103. More accurately, it should be 103b (= new no. 170). [Louis A. Wagner]

[†††] The text cited (p. 69) is 103. More specifically, it should be 103b (=new no. 170). [Louis A. Wagner]

[‡] ". . . most k nemu (121)" (p. 69). However, the task of building a bridge to the palace does not occur in tale 121, but may be found in tale 123 (=new no. 216). [Louis A. Wagner]

[‡‡] "Prinesti ' k moemu neznaemomu pod paru ' (113)" (p. 69). Such a task is not set in tale 113, but does occur in tale 133 (= new no. 240). What is involved here is that a princess requires Iván to produce the exact mate to some object (e.g., an embroidered slipper) without knowing beforehand what the object is. [Louis A. Wagner]

XXVI. THE TASK IS RESOLVED. (Definition: *solution*. Designation: N.)

Forms of solution correspond exactly, of course, to the forms of tasks. Certain tasks are completed before they are set, or before the time required by the person assigning the task. Thus the hero finds out the princess' distinctive marks before he is requested to do so. Preliminary solutions of this type shall be designated by the sign *N.

XXVII. THE HERO IS RECOGNIZED. (Definition: *recognition*. Designation: Q.)

He is recognized by a mark, a brand (a wound, a star marking), or by a thing given to him (a ring, towel). In this case, recognition serves as a function corresponding to branding and marking. The hero is also recognized by his accomplishment of a difficult task (this is almost always preceded by an unrecognized arrival). Finally, the hero may be recognized immediately after a long period of separation. In the latter case, parents and children, brothers and sisters, etc., may recognize one another.

XXVIII. THE FALSE HERO OR VILLAIN IS EXPOSED. (Definition: *exposure*. Designation: Ex.)

This function is, in most cases, connected with the one preceding. Sometimes it is the result of an uncompleted task (the false hero cannot lift the dragon's heads). Most often it is presented in the form of a story ("Here the princess told everything as it was"). Sometimes all the events are recounted from the very beginning in the form of a tale. The villain is among the listeners, and he gives himself away by expressions of disapproval (197). Sometimes a song is sung telling of what has occurred and exposing the villain (244). Other unique forms of exposure also occur (258).

XXIX. THE HERO IS GIVEN A NEW APPEARANCE. (Definition: *transfiguration*. Designation: T.)

1. *A new appearance is directly effected by means of the magical action of a helper* (T^1). The hero passes through the ears of a horse (or cow) and receives a new, handsome appearance.
2. *The hero builds a marvelous palace* (T^2). He resides in the palace himself as the prince. A maiden suddenly awakens during the night in a marvelous palace (127). Although the hero is not always transformed in these instances, he nevertheless does undergo a change in personal appearance.

3. *The hero puts on new garments* (T^3). A girl puts on a (magical?) dress and ornaments and suddenly is endowed with a radiant beauty at which everyone marvels (234).
4. *Rationalized and humorous forms* (T^4). These forms are partly explained by those preceding (as their transformations), and, in part, must be studied and explained in connection with the study of tale-anecdotes, whence they originate. Actual changes of appearance do not take place in these cases, but a new appearance is achieved by deception. For example, a fox leads Kuzin'ka to a king saying that Kuzin'ka fell into a ditch and requests clothes. The fox is given royal garments. Kuzin'ka appears in the royal attire and is taken for a tsar's son. A11 similar instances may be formulated in the fo]lowing manner: false evidence of wealth and beauty is accepted as true evidence.

XXX. THE VILLAIN IS PUNISHED. (Definition: *punishment*. Designation. U.)

The villain is shot, banished, tied to the tail of a horse, commits suicide, and so forth. In parallel with this we sometimes have a magnanimous pardon (U neg.). Usually only the villain of the second move and the false hero are punished, while the first villain is punished only in those cases in which a battle and pursuit are absent from the story. Otherwise, he is killed in battle or perishes during the pursuit (a witch bursts in an attempt to drink up the sea, etc.).

XXXI. THE HERO IS MARRIED AND ASCENDS THE THRONE. (Definition: *wedding*. Designation: W.)

1. A bride and a kingdom are awarded at once, or the hero receives half the kingdom at first, and the whole kingdom upon the death of the parents (W_{**}).
2. Sometimes the hero simply marries without obtaining a throne, since his bride is not a princess (W^*).
3. Sometimes, on the contrary, only accession to the throne is mentioned (W_*).
4. If a new act of villainy interrupts a tale shortly before a wedding, then the first move ends with a betrothal, or a promise of marriage (w^l).
5. In contrast to the preceding case, a married hero loses his wife; the marriage is resumed as the result of a quest (designation for a resumed marriage: w^2).
6. The hero sometimes receives a monetary reward or some other form of compensation in place of the princess' hand (w^o).

At this point the tale draws to a close. It should also be stated that there are several actions of tale heroes in individual cases which do not conform to, nor are defined by, any of the functions already mentioned. Such cases are rare. They are either forms which cannot be understood without comparative material, or they are forms transferred from tales of other classes (anecdotes, legends, etc.). We define these as unclear elements and designate them with the sign X.

Just what are the conclusions that may be drawn from the foregoing observations? First of all, a few *general* inferences. We observe that, actually, the number of functions is quite limited. Only some 31 functions may be noted. The action of all tales included in our material develops within the limits of these functions. The same may also be said for the action of a great many other tales of the most dissimilar peoples. Further, if we read through all of the functions, one after another, we observe that one function develops out of another with logical and artistic necessity. We see that not a single function excludes another. They all belong to a single axis and not, as has already been mentioned, to a number of axes.

Now we shall give several individual, though highly important, deductions. We observe that a large number of functions are arranged in pairs (prohibition-violation, reconnaissance-delivery, struggle-victory, pursuit-deliverance, etc.). Other functions may be arranged according to groups. Thus villainy, dispatch, decision for counteraction, and departure from home (ABC↑), constitute the complication. Elements DEF also form something of a whole. Alongside these combinations there are individual functions (absentations, punishment, marriage, etc.). We are merely noting these particular deductions at this point. The observation that functions are arranged in pairs will prove useful later, as well as the general deductions drawn here.

At this point we have to examine individual texts of the tales at close range. The question of how the given scheme applies to the texts, and what the individual tales constitute in relation to this scheme, can be resolved only by an analysis of the texts. But the reverse question, "What does the given scheme represent *in relation to the tales?*" can be answered here and now. The scheme is a measuring unit for individual tales. Just as cloth can be measured with a yardstick to determine its length, tales may be measured by the scheme and thereby defined. The application of the given scheme to various tales can also define the relationships of tales among themselves. We already foresee that the problem of kinship of tales, the problem of themes and variants, thanks to this, may receive a new solution.

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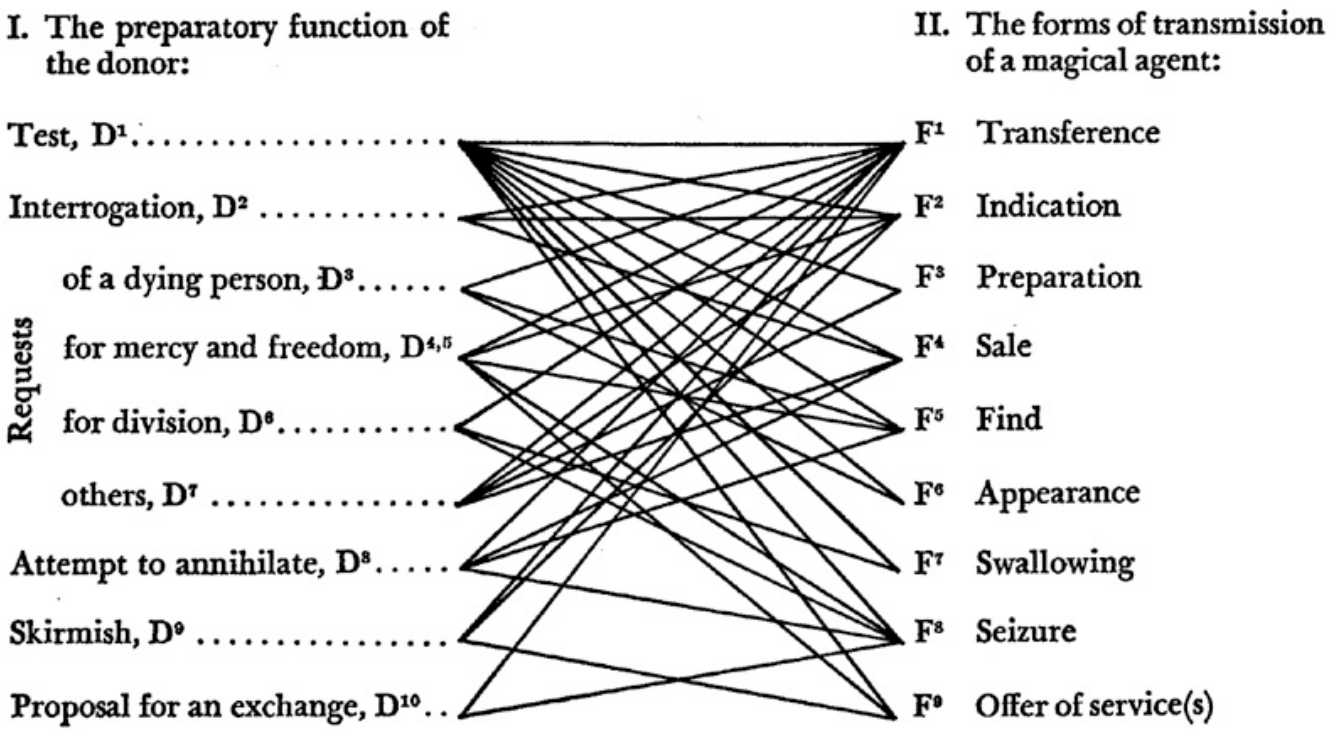
I. The preparatory function of the donor:
II. The forms of transmission of a magical agent:
Requests
Test, D¹
Interrogation, D²
of a dying person, D³
for mercy and freedom, D⁴,⁵
for division, D⁶
others, D⁷
Attempt to annihilate, D⁸
Skirmish, D⁹
Proposal for an exchange, D¹⁰
F¹ Transference
F² Indication
F³ Preparation
F⁴ Sale
F⁵ Find
F⁶ Appearance
F⁷ Swallowing
F⁸ Seizure
F⁹ Offer of service(s)

FIGURE 1

ENDNOTES TO CHAPTER II:

[1] It is recommended that, prior to reading this chapter, one read through all the enumerated functions in succession without going into detail, taking note only of what is printed in capital letters. Such a cursory reading will make it easier to understand the thread of the account.
[2] For what is meant by "magical agent" and "magical helper," cf. page 82.
[3] The occasion will present itself further on for giving a more exact definition of the hero.
[4] A more detailed account of the relationship between magical agents follows
[5] The problem of the connections of variants will be raised in the last chapter.
[6] A curious rudiment of psychostasis.
[7] The preliminary receipt of water could also be examined as a special form of F (receipt of a magical agent).