Folktales and Facets: Final Report to OCLC
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1. STATEMENT OF PURPOSE

1.1 Aim and Scope

This report serves as an overview of the research study and grant project, Folktales and Facets, which was supported in part by a 2009 OCLC/ALISE Library Research Grant Award in the amount of $15,000. The research and related activities described within this document took place during the period from January 15, 2009 until January 14, 2010 and utilized collection resources at the Center for Children's Books (CCB) at the Graduate School of Library and Information Science at Urbana-Champaign. The Graduate School of Library and Information Science (GSLIS) at the University of Illinois at Urbana-Champaign, the GSLIS Center for Informatics Research in Science and Scholarship, and the GSLIS Center for Children's Books also provided research assistance and/or financial support for this project.

1.2 Overview of Research Study/Grant Project

Folktales connect communities and people across time and space. Each culture has stories that have endured and evolved through spoken narrative and printed word. Each iteration carries culturally unique values and ideals while connecting to shared human experience. Despite the persistence and efforts of adapters, compilers, storytellers, librarians, and scholars to keep these stories alive through publishing, collecting, and telling, many of these stories are veiled from potential audiences because of limitations in current bibliographic structures for representation and access.

Consider the bibliographic record in WorldCat for Jane Yolen's (1988) Favorite Folktales from Around the World. This collection includes tales from countries such as Russia, Mexico, Egypt, China, and Ireland, yet this would not be apparent to someone looking at the bibliographic record. The subject is listed simply and singly as "Tales" and the notes present only the broad themes--Shape Shifters and Fooling the Devil, terms taken from the table of contents--for the 160 tales in this collection. Omitted are titles or other essential information, such as country of origin. The record for this folktale is misleading even in the attribution of authorship rather than editorial duties to Yolen. In short, the bibliographic record for this book--and many similar folktale resources--acknowledges little of the rich, cultural heritage a reader might find.

Users of folktale collections and the information needs that draw them to the collections are as varied as the tales themselves. For the purposes of this project, we have identified three broad categories of users. The first user category is scholars, comprising university faculty as well as masters and doctoral-level students who use folktale collections to support their research interests in storytelling, folk literature, and youth services librarianship. The second category is practitioners, including storytellers, school and public librarians, and professional educators who also rely on folktale collection for performance, programmatic, and instructional materials. The final user category is lay people, such as young readers and their caregivers who seek out folktales primarily for recreational reading.

These disparate user groups—scholars, practitioners, and lay people—with their distinctive needs could benefit from having access points to folktales that are responsive to their specific

needs. For instance, scholarly users may be most concerned with comparative analysis of tales; for them, the ability to search for materials by tale-type and motif may be most essential. Although some practitioners such as storytellers may have similar access needs, others such as school and public librarians along with professional educators might find access to materials enhanced by the ability to search by ethnic group or geographic origins. Lay people may be most interested in identifying materials by actors (e.g. princesses, ogres) or reading level.

Through the project Folktales and Facets, we propose to enhance access to folktales—in written and audiovisual formats—through the systematic and rigorous development of user- and task-focused models of information representation. In particular, we aim to develop a next-generation catalog prototype implementation with enhanced records for access to folktales that give special consideration to the shared and unique information seeking tasks of three distinct user groups at the Center for Children's Books: scholars, practitioners and laypeople. The questions guiding our research include:

- What information seeking tasks related to folktales are shared across multiple user groups? Unique to particular user groups?
- To what degree do bibliographic records for folktales augmented with results from facet analyses and user-based task analyses support effective information retrieval compared to existing bibliographic records?
- What characteristics of an information retrieval interface best support users' information seeking needs and augmented records searching related to folktales?

This report focuses on activities and findings conducted as part of the preliminary phase of a multiple-phase project. As stated in our proposal to OCLC, Phase One entailed

- identifying representative informants from among the scholarly users affiliated with the CCB,
- conducting task analyses of these informants' information seeking processes related to folktales,
- conducting facet analyses of the CCB folktale collection and common access methods, and
- developing a prototype for the enhanced records.

2. LITERATURE REVIEW

The following sections provide brief overviews of key points from the literatures on folklore and folktales, scholarly information practices and information seeking related to folktales, and contemporary cataloging and descriptive practices related to folktales, especially those published for juvenile audiences.

2.1 Folklore and Folktales

Folklore is an interdisciplinary field of study, which grew from nineteenth century interests in understanding and collecting customs and stories from peasants and working-class people. It

has grown to encompass at least four broad areas of intellectual pursuit: oral literature, material culture, social folk custom, and performing folk arts (Dorson 1982). Dorson posits that these areas cannot be considered mutually exclusive. For instance, in a storyteller's oral performance, it may not be possible, or desirable, to separate the tale (i.e. the oral literature) from the telling (i.e. performing folk arts). Scholars studying these areas come from fields including history, anthropology, literature, languages, religion, and psychology, in addition from the field of folklore, which had it codification as an independent academic discipline in the mid-twentieth century (cf. Zumwalt, 1988).

Defining folklore is problematic, in part because of the diverse disciplinary approaches to its study, but also because of persistent semantic concerns about the term's constituent parts (e.g. who are folk?). In fact, noted scholar Alan Dundes (1965a) proposed that it is more productive to examine folklorists' scholarship as evidence of what folklore means rather than developing a more conventional definition.   Yet, while definitions of folklore are largely idiosyncratic, but most contain at least three basic requirements: 1) the object under scrutiny must be conveyed either orally or informally demonstrated; 2) it must be traditional in nature; and 3) the object must have natural variants as a consequence of its informal transmission (Brunvand, 1996).

Just as folklore proves challenging for definition, so does folktale. At the basic level, a folktale is oral literature. Linda Dégh (1982) provides a narrow, but common, definition of folktale, describing it as folk narrative, or "oral literature in prose" (p. 58). Conversely, Barre Toelken (1996) offers a more expansive view of folktale, proposing that it may include a variety of modes of oral expression such as ballads, myths, jokes, and proverbs. The Ethnographic Thesaurus, a project of the American Folklore Society, provides a hybrid approach. It uses the category verbal arts and literature in place of oral literature and uses the subdivision narrative to include anecdotes, epics, fables, general narratives, histories, jokes, legends, myths, personal experience narratives, tales, and tall tales.

Although folktales have their genesis in orality, they are frequently collected, adapted, and transmitted in print form. Even in its narrow scope, Dégh's definition acknowledges the rich interplay between oral and literary culture that has shaped folktales over time. For instance, the French author Charles Perrault's *Histoires ou contes du temps passé, avec des moralités: Contes de ma mère l'Oye (Stories or Tales from Past Times, with morals: Stories of Mother Goose)*(1697) contains stories such as "Le petit chaperon rouge (Little Red Riding Hood)." In this collection, Perrault adapted stories familiar to him and his contemporaries, providing his own literary embellishments. Although arguably few people today have read Perrault's version of Little Red Riding Hood, it is the one that is most re-told orally and has been further adapted by contemporary writers such as Trina Schart Hyman (1987).

2.2 Scholarly Information Practices and Information Seeking Related to Folktales

Scholars generally have taken one of two broad approaches in studying folktales—the literary or the anthropological— although Dundes (1965b) finds the division unnecessary and arbitrary because of similar methodological techniques and tools. The literary approach, which focuses on texts, dominated the field of folklore and folktale studies for more than a century and

includes those scholars focusing on origin (the historical-geographic, or Finnish school), form (the structuralist tradition), meaning (the psychoanalytic school), and style (the narrative structure tradition). Key scholarship associated with these literary approaches includes, respectively, Antti Aarne (1910/1928) and Stith Thompson (1946), Vladimir Propp (1928/1968), Bruno Bettelheim (1976), and Max Lüthi (1968/1982). The anthropological approach, which privileges ethnography, has grown in favor over the past several decades and seeks understanding of the folktale in cultural and performative contexts. Representative scholarship from the anthropological tradition includes Linda Dégh (1969) and Barre Toelken (1998).

In pursuing their understanding of folktales, scholars from both the literary and the anthropological traditions require varying degrees of access to the tales themselves. For instance, a scholar focusing on a tale's origin may desire to trace its temporal and geographic lineage through studying its presence in tale collections and its variants across these collections. Similarly, a scholar interested in understanding the role of storytelling in a particular community may want to know how the story corpora of that community's tellers compares with those from neighboring communities. Necessary to the pursuits of these scholars are tale type and motif indexes, the most common information discovery and access tools for folklore, which point to sources (e.g. catalogs, monographs) of collected tales.

As Barre Toelken (1996) explains, tale type and motif indexes are based on the observation that "some ideas have been so recurrent in tradition that we may encounter and recognize them in a great number of 'texts'" (p. 209). Tale type refers to the particular narrative or plot structure a tale embodies and is typically described as a specific sequence of motifs. Motifs are recurring elements from which tales are constructed. As described by Thompson (1946), motifs generally fall into one of three categories: actors, items, and single incidents. More than one hundred type and motif indexes exist (Uther, 1996) but the foundational classificatory system, the Aarne-Thompson (AT system) was developed Antti Aarne (1910/1928), enlarged and codified by Stith Thompson (1961) and again enlarged and revised by Uther (2004) as the Aarne-Thompson-Uther (ATU) system.

As an example, consider "Beauty and the Beast." This tale is classified as type 425C, which means it falls under "Tales of Magic," then "Supernatural or Enchanted Wife (Husband) or Other Relative," then "Husband," then variation "C," "The Girl as the Bear's Wife." The sequence of motifs, which comprise this tale type, is 1) the monster as husband; 2) disenchantment of the monster; 3) loss of the husband; 4) search for the husband; and 5) recovery of the husband. Each motif in the sequence has possible variations. For instance, disenchantment of the monster can occur a) by means of a kiss and tears, b) by burning the animal skins, c) by decapitation, or d) by other means. Collected versions of "Beauty and the Beast" that share tale type 425C include the Jeanne-Marie LePrince de Beaumont's "Beauty and the Beast," Jacob and Wilhelm Grimm's "The Summer and Winter Garden," and Alexander Afanasyev's "The Enchanted Tsarévich" (Ashliman, 2009).

Type and motif indexes are imperfect. Uther (2009) summarizes some of the main criticisms of these tools (which he was partially able to address in his 2004 update of the AT index) as follows.

(1) A typology of narratives implies an exact, scientific scheme, a situation that does not exist in narrative tradition.

(2) Definitions of genres and the classification according to characters are often neither thematically nor structurally consistent...

(3) The concentration of the "Finnish School" on nineteenth-century oral tradition relegated literary sources to a secondary position and often obscured important older forms and occurrences of the tale types.

(4) The system encompassed only European narrative tradition, with relevant material from western Asia and European settlements in other regions. Even in Europe, the traditions were documented unevenly...

(5) The presentation of separate localized types with only a few variants each unnecessarily obscured both the picture of their place in tradition and the classification system of the catalog as a whole.

(6) References to relevant scholarly literature were often missing.

(7) References to variants were usually taken from older collections, not from new ones.

(8) The descriptions of the tale types were often too brief, too imprecise, and male-biased.

(9) The inclusion of so-called irregular types was dubious.

(10) Evidence given for the existence of many types was often provided by archive texts that were difficult to access (pp. 16-17).

At least two additional problems characterize these indexes. First, these indexes—as all indexes do—require their users to undertake a supplemental search in order to determine the location and availability of source texts. Grimshaw, the bibliographer assigned to the respected folklore department at Indiana University, recognized that confusing source references and abbreviations often complicates this secondary search. Consequently, she compiled a bibliography (Grimshaw, 2005) to accompany Thompson's (1955) *Motif Index of Folk Literature.* Although this tool is immensely helpful, it represents yet another layer of complexity between an index and source texts. Second, these indexes are not continually updated, meaning that pointers to newer sources or corrected listings are seldom, if ever, forthcoming. Even in the electronic version of the AT index, no attempts were made to update the content, although it did provide linked cross-references.

To date, we have been unable to identify any extant research on information seeking specific to scholarly folklorists. Beyond the description of methods—often sparely articulated because the discussion is intended for an audience of folklorists—that accompany some published research as well as scholarly critiques of various indexes, guidance in bibliographic research pertinent to folklorists is found primarily in monographs intended for instructional use (e.g. Dorson, 1983) or on the websites of academic libraries (e.g. Indiana University, 2010) or professional associations (e.g. American Folklore Society, n.d.).

2.3   Contemporary Cataloging Practices Related to Folktales

This project focused on the scholarly users of the collection of folktales at the CCB. The collection will be described in more detail in Section 3.2.2.1. In sum, this collection of 1300+ folktales consists primarily of monographs for readers from age 5 to 15. Many folktales are

published in formats that make them accessible for juvenile audiences. Even though the format may be simple, these items present complex cataloging problems.

Several sources of guidance exist for the cataloger who must construct an original record, or adapt an existing record for a folktale. Because the test collection is primarily at a juvenile level, the *ALA Guidelines for Standardized Cataloging for Kids*, last revised in 1996, is a useful starting place, even though it does not provide specific guidance for folktales. Also useful for those cataloging material at a juvenile level are the bibliographic records produced as part of the Library of Congress annotated card program (LSCHac). The Library of Congress provides additional guidelines for cataloging folklore material through the Subject Cataloging Manual folklore instruction sheet H-1627 (Library of Congress, 2008). The Library of Congress Subject Headings (LCSH) also provide guidelines for those engaged in creating and selecting subject headings for common and well-known fairy tale and folktale characters, such as Cinderella, and for the proper use of specialized subject headings for children and young adults.

In 1966, the Library of Congress (LC) established the annotated card program (LCSHac). LC catalogers who are part of this program promulgate and adapt LC cataloging policy in order to provide bibliographic records that are better suited for the needs of children and young adults who visit school and public libraries. Today, catalogers that are part of the Children's Literature Team, History and Literature Cataloging Division at the Library of Congress oversee this program and produce MARC 21 bibliographic records. LCSHac records often include annotations, simplified subject headings, and demonstrate the use of some special classification alternatives, such as the use of the class letter "E" for materials for children in Kindergarten through 3rd grade. Today these records are available MARC format, with special LCSHac designators, and are also available through LC's Cataloging-in-Publication program. (Library of Congress, Cataloging and Acquisitions, online; ALA, 1996)

Since the 1960s, the American Library Association also sought to develop a standard set of recommendations for cataloging materials for children and young adults up to the age of fifteen. Under the leadership of Joanna Fountain, the Association for Library Collections & Technical Services, Cataloging and Classification Section, Cataloging of Children's Materials Committee (ALA ALCTS/CCS/CCMC) advocated nationwide adoption of the Library of Congress practices for cataloging materials for children and young adults. This had the effect of codifying internal LC practice and making it easily available to public and school librarians. The first set of standardized guidelines was adopted and published in 1982, and later revised in 1996. These guidelines are available on the ALA website at the following location http://www.ala.org/ala/mgrps/divs/alcts/resources/org/cat/ccfkch1.cfm.

These guidelines provide catalogers with a set of exemplary records and illustrations such as a list of MARC 21 fields commonly used in juvenile records [Figure 1], and an example bibliographic record for a juvenile book [Figure 2]. These exemplars provided a useful point of comparison for the extant MARC records for the test folktale collection at the CCB. Given the scarcity of time and resources available for most cataloging enterprises, the question is not so how to create a complete record, but is now a question of providing a simple way for a cataloger to quickly assess an existing record for completeness and suitability.

Figure 1-1. MARC 21 Bibliographic Fields Commonly Used in Juvenile Records

010	Library of Congress Control Number (LCCN)
020	International Standard Book Number (ISBN)
050	Library of Congress Call Number
082	Dewey Decimal Classification
100	Main entry—Personal name
110	Main entry—Corporate name
130	Main entry—Uniform title
245	Title statement
246	Varying form of title
250	Edition statement
260	Publication, distribution, etc. (Imprint)
300	Physical description
440	Series statement/Added entry—Title
490	Series statement
500	General note
505	Formatted contents note
508	Creation/Production credits note
511	Participant or performer note
520	Summary note
521	Target audience note
526	Study program information note
538	System details note
546	Language note
586	Awards note
600	Subject added entry—Personal name
650	Subject added entry—Topical term
651	Subject added entry—Geographic name
655	Index term—Genre/Form term
658	Index term—Curriculum objective
700	Added entry—Personal name
710	Added entry—Corporate name
730	Added entry—Uniform title
800	Series added entry—Personal name
830	Series added entry—Uniform title
856	Electronic location and access

FIGURE 1. MARC Bibliographic Fields Commonly Used in Juvenile Records (Intner, Fountain and Gilchrist, 2006).

Figure 1-3. Example of a MARC 21 Record for a Book

```
Leader    01495cam 2200325 a 450
005       20041228210354.0
008       030122s2004 nyu c 000 1 eng
010 __    |a   2003000737
020 __    |a 0689856393
040 __    |a DLC |c DLC |d DLC |d TxGeoBT
042 __    |a lcac
050 00    |a PZ7.K1166 |b Ki 2004
082 00    |a [Fic] |2 22
100 1     |a Kadohata, Cynthia.
245 10    |a Kira-kira / |c Cynthia Kadohata
250       |a 1st ed.
260       |a New York : |b Atheneum Books for Young Readers, |c c2004.
300       |a 244 p. ; |c 19 cm.
520       |a Chronicles the close friendship between two Japanese-American sisters
          growing up in rural Georgia during the late 1950s and early 1960s, and the
          despair when one sister becomes terminally ill.
586       |a Newbery Award, 2004
650  1    |a Sisters |v Fiction.
650  1    |a Friendship |v Fiction.
650  1    |a Japanese Americans |v Fiction.
650  1    |a Death |v Fiction.
651  1    |a Georgia |x History |y 20th century |v Fiction.
856 42    |3 Contributor biographical information:
          |u  http://www.loc.gov/catdir/bios/simon053/2003000737.html
856 42    |3 Publisher description:
          |u http://www.loc.gov/catdir/description/simon052/2003000737.html
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FIGURE 2. Example of a MARC 21 Record for a Book (Intner, Fountain and Gilchrist, 2006).

The record in Figure 2 includes a detailed summary note (MARC field 520) that provides an objective statement of plot, theme, topic or any other unique aspects of a book. The guidelines encourage catalogers to choose summary words that help facilitate searching. Note also the use of the MARC 586 field to indicate that this book is a Newberry Award winner. The subject headings (MARC field 650 _1) assigned to this book indicate that they are drawn from a set of specialized LCSHac headings for children and young adults. This record also includes web links (MARC field 856) to further information about the book, such as biographical information about contributors, and a link to the publisher's description of the book. Not illustrated here, but also of note is the way the guidelines encourage providing enhanced access to information about books that are published as part of a series, encourage the use of notes that include table of contents information (MARC field 505), the use of fields that provide enhanced information about contributors (MARC fields 511 and 700), and indicators for intended age level or curricular objectives (MARC field 658).

Folklore specific cataloging guidance is also available from the Library of Congress in the form of the instruction sheet H-1627 in the *Subject Cataloging Manual* (2006). H-1627 defines folklore, as "aspects of culture that are learned orally, by imitation or observation, including traditional beliefs, narratives (tales, legends, proverbs, etc.) folk medicine, and other aspects of the expressive performance and communication involved in oral tradition," (Library of Congress, Subject Cataloging Manual, 2008). This definition is not significantly at odds with the baseline requirements of Brunvand (1996) and other considerations discussed in Section 2.1.

Of special note is the advice given in H-1627 to assign subject headings which highlight:

> "(a) the ethnic, national, or occupational group that originated the folklore, and/or its place of origin;
> (b) the theme of the folklore;
> (c) the folkloric emphasis or genre."

This best practice for the assignment of subject headings in H-1627 is illustrated in Figure 3.

650 #0 $a [*ethnic, national, or occupational group*] $z [*place*] $x Folklore.

650 #0 $a [*theme*] $x Folklore.

650 #0 $a [*heading(s) for specific folklore genre(s)*] $z [*place*].

650 #0 $a Folklore $z [*place*].

651 #0 $a [*place*] $x Social life and customs.

650 #0 $a [*other topics, as applicable*]

*Note: The subdivision –**Folkore** is free-floating.*

FIGURE 3. Library of Congress Subject Cataloging Manual H-1627. "General rule: Assign the appropriate combination of the following types of headings to folkloric works."

Each of these guidelines and instructions were consulted as we analyzed available records for the CCB test sample collection for completeness. They also provided valuable points of comparison as collected available MARC records for the items in the test collection from the local catalog, from WorldCat, and from other online catalogs. The lists of commonly used bibliographic fields in Figure 1 also served as a baseline in the development of the prototype record.

3.   METHOD AND FINDINGS

This section provides a general overview of our study's approach, as well as specific discussions related to our procedures and findings related to scholarly practices.

3.1   Overview

Research on information seeking and use is seldom connected explicitly with research on information retrieval. Information seeking and use research often focuses on a single user group whose needs may require them to use a variety of information resource types from diverse subject areas. Similarly, information retrieval research typically studies how a particular retrieval algorithm might impact the results obtained during a search conducted used by a specific (and frequently hypothetical) user. Thus systems that are meant to provide solutions to information access and discovery problems often impose a series of new barriers.

In undertaking this study, we are heeding Kuhlthau's (2005) call for greater connection between the study of users' information-seeking behaviors and the design of information retrieval systems through the construction of collaborative frameworks that encourage and strengthen the study of task-focused information seeking and user-centered system design. Specifically she urged researchers to

- Stay with a problem to develop concepts;
- Create a conceptual framework for library and information science;
- Develop collaborative research projects; and
- Design applications for implementation in system design.

Our research sought to address each of these recommendations. For example, the iterative nature of this project together with our understanding of research design and findings from similar projects such as Pejtersen's (1989) Book House system enabled us to bridge the divide between research on information seeking and use and information retrieval systems design. Furthermore, this research project drew on recommendations for more integrated and theoretically repositioned models (e.g. Hjørland 1997, Ingwersen & Jarvelin 2005, Taylor 1991) for studying information seeking and use and information retrieval that complement those offered by Kuhlthau.

Additionally this project responds to recommendations made in *On the Record: Report of The Library of Congress Working Group on the Future of Bibliographic Control* (2008). On the Record offers compelling arguments for collaborative and responsive participation among libraries, practitioners, and researchers to shape standards, practices, and education in the area of bibliographic control. Our project, Folktales and Facets, specifically addresses recommendations from On the Record such as integrating user-contributed data into library catalogs (4.1.2), encouraging application of—and cross-referencing with—other controlled subject vocabularies (4.3.3), and supporting ongoing research about bibliographic control (5.1.2).

One of the most significant recommendations from *On the Record*, which the project Folktales and Facets addresses, is the need to enhance access to rare, unique, and other special hidden materials (2). Although our project focused on a specific collection area (i.e. folktales), we hope our methods and findings will aid in the development of improved access to complex resources and the information contained therein. Users of other archival materials and oral histories, for instance, face barriers similar to users of folktale collections. Existing records and access methods also fail to describe these resources adequately for users interested in finding the rich information contained in resources.

3.2. Understanding Scholarly Practices

This section provides an overview of task analysis as a methodological approach employed in this study, the semi-structured interviews conducted with scholar informants, and the three categories of findings that emerged from the interview data. In addition, it provides essential

information related to the test collection, facet analysis as a methodological approach, and findings gleaned from it.

3.2.1   Task analysis

Task analysis is a repertoire of techniques commonly used in the field of human-computer interaction to support the development of systems and interfaces from a user-based perspective. In short, it "can be used to describe and evaluate the interactions between people and their (work) environments in terms of sequences of actions and cognitive processes" (Vakkari, 2003, p. 417). In the past two decades, task analysis has increasingly been used to understand people's information seeking processes, especially with the goal of informing the design of information retrieval systems (e.g. Belkin, Marchetti, and Cool, 1993; Pejtersen, 1990). No universal definition of tasks exists and it can be difficult to disambiguate task and goal, but for the purposes of this study, task is best defined as any information-seeking activity necessary to complete some scholarly goal (cf. Xie, 2008).

As noted above, task analysis is not a single technique, but rather a collection of techniques, which work toward somewhat varied ends. For instance, process analysis aims to identify a specific sequence in which users perform tasks, while workflow analysis seeks to understand how several people coordinate task performance (Vakkari, 2003). Our approach uses cognitive task analysis, which is appropriate to this study in that it we are less concerned with manual, easily observable tasks, but rather with tasks that demand a high-level of decision-making and other internal actions. In that way, our work is most closely aligned with Pejtersen's (1990) work to develop a user-centered system for the retrieval of fiction.

The first part of our analysis, reported below, is a semi-structured interview designed to identify scholars' folktale-related scholarly practices and information-seeking goals. The next step in our analysis (which will be undertaken as part of Phase 2) will be to engage these same informants in simulation interviews (cf. Crandall, Klein, and Hoffman, 2006), which will allow us to identify specific steps and processes they undertake in pursuit of information-seeking goals. The scenarios we will use to construct these simulations will come from practices and goals identified through the semi-structured interviews.

3.2.1.1 Interviews

We conducted one-hour semi-structured interviews with four of the five faculty members at GSLIS who identify as folklorists, in order to determine the manner in which they conduct research in this area. Toelken (1996) proposes that intentionality—that is, "purposeful, intellectual involvement" (p. 333)—is what designates someone as a folklorist, while formal training further marks an individual as a professional folklorist. Because the subjects interviewed have all had some formal training in folklore and meet the criteria for intentionality, we consider them professional folklorists for the purposes of this study, even though they not affiliated with a department of folklore or another department strongly associated with folklore.

The subjects are engaged in a range of scholarly activities related to folklore. These activities include editing collections of folktales, reviewing folktales adapted for children, studying

audience engagement in storytelling performance, and documenting the history of literary transmission of folktales. Each of the subjects also teaches in the area of youth services librarianship, which has a strong tradition of oral storytelling (cf. Hearne, 1998), so folklore permeates their discussions and work with students. Finally each of the subjects has performed folktales orally as part of professional work experiences outside academe.

The purpose for these interviews was to ascertain:

- folktale-related scholarly practices (i.e. goals);
- obstacles the informants have encountered in information seeking; and,
- suggestions for an ideal tool that would help them in their information-related activities.

Although we asked direct questions to elicit relevant insights, we also asked each subject to talk more broadly about other areas including their experiences working with folktales and their educational experiences related to folktales in order to capture information relevant to our interests that may not have been revealed through direct questioning. The interviews were recorded and transcribed for coding, after which we developed the coding framework on an emergent and iterative basis in order to identify scholarly practices. We received approval to conduct these interviews from our University's Institutional Review Board and followed all relevant guidelines for the ethical treatment of human subjects.

3.2.1.2 Findings

Three categories of findings emerged from the interview data: categories of scholarly practice, obstacles to information seeking, and desired features for search and discovery tools.

3.2.1.2. a   Scholarly practices in folklore

The four informants interviewed reported engaging in a wide range of folklore-related scholarly practices. At least six categories of scholarly practices—listed below with representative quotes from the interviews—emerged from the interview data.

- **Exploring** (e.g. Reading tale collections for possible future uses; monitoring websites or journals to stay current on scholarly issues pertaining to folktales)

    Informant 3: "*I try to read about 40 stories a week – folktales a week.***"**

    Informant 4*: "So feminist collections always catch my eye. And I do this sometimes in the stacks. I mean, this is – I haven't done it in a long while, but I do sometimes go look and see what they have…[on the] Tenth floor [of the University library]– yeah – yeah, so I'll go in that hot summer air and just kind of see what do they – what are they collecting? What's going on?"*

- **Creating** (e.g. Adapting a folktale for performance; designing a library program based on a folktale)

Informant 3: "*And I'll start taking a look at two or three or four different versions, not to intersplice them so much as to make comparisons to see that the storyline is similar enough. Though if one has a particularly great ending, and it's the same story, for performance sake, I might do that. But I keep notes on my performance pieces so I know – so no one can come up to me and say, 'What version is that?' because I'll tell them, 'It's my version. It comes from these sources.'*"

Informant 4: "*I made one new story song for the concert last year, and this year I didn't do that, which I missed a little. I sort of wished I had because it's a nice challenge for me to have to do that every year. It keeps me sharp. It keeps me creative. But the one I adapted for last year was 'The Old Woman Who Lived in a Vinegar Bottle'.*"

- **Synthesizing** (e.g. Critiquing a published adaptation of a folktale for a juvenile audience; documenting the published variants of a particular tale; preparing lecture notes and other instructional materials)

    Informant 1: "*I went to the Library of Congress, I went to the British Museum...British Library...I limited my basic study to versions that had been translated to English or were in English, although I also read French and I could read Cupid and Psyche in Latin and I read Italian and I can read Spanish so I was able to sort of spot-check some things but basically my focus was on English-language versions, particularly because the publishing of children's books has the longest history in English-language countries. But I also went to Pierpont Morgan and other libraries that would have early versions. I went wherever I could find published versions for children and then in terms of the folklore world I looked up the variants that would appear in collections of Chinese stories, or collections of Japanese stories and that's where the structuralist route helped me. For instance, I went to the folk archive in University College Dublin, and they had rooms and rooms and rooms full of hand-written collected versions of folk-tales that Scandinavian folklorists came over to Ireland and collected when they realized that Ireland was basically losing, they thought, its oral tradition. Of course they weren't really losing it, it's as lively as ever, but they were thinking in terms of folk and fairy tales. Formal tale-telling of that kind. I mean, you can go to a grocery store and come home with seventeen different great stories in Ireland as you can from here if you take the time. Whatever the case, I was able to ask for all the versions they had listed the 425c and, again, I looked at the English-versions.*"

    Informant 2: *If it's Kissing the Witch [a collection of literary adaptations of folktales], then it's like, "Okay, how are you making this matter? It's not just the same old – it's not just Rapunzel all over again. What makes it different?" It's what the writer does with that material to turn it into a narrative arc that feels authentic or not.*

- **Studying** (e.g. Conducting research on audiences' responses to oral performance; examining the relationship between women's personal narratives and folktales, analyzing patterns in tales)

> **Informant 1:** *"Well, I just finished, as you know, editing a book on the way women scholars have used stories or have been motivated by particular stories that have compelled them through their life's work and, to me, that was a kind of capstone to a lot of what I studied because it brought together the formal study of narratology and narrative with the informal and personal roots of scholar's interest in narrative."*

> **Informant 2***: "I went through all 200 of them [Grimm's tales] and looked at the relationships between the females, and found that actually the benevolent older women are much more common than the witches."*

- **Collecting** (e.g. Building a personal folktale library to support scholarship; keeping notes about folktale variants to support scholarship)

> **Informant 3:** *"But at the same time, when I started to learn more and more about stories, then I started to read more about the stories, not just the collections themselves. Marina Warner, people like that – started to collect their books, read their books."*

> **Informant 3:** *"So when I was working on that, I kept track of every single story, the sources, the timeframes, where they came from, variations and even in the book called Talk a Little Bit about things like Paul Bunyan, how he went from being commercial to being part of oral tradition, the opposite of what most things – but at the same time I kept notes on all the different stories and everything on the computer and where they came from."*

- **Searching** (e.g. Using a bibliographic tool to identify a variant; following cited references to identify relevant information)

> **Informant 3:** *"When I would read certain books, I would then go to the bibliographies in the back and see what they're looking at and go, 'Oh, this looks interesting.'"*

> **Informant 4**: *"I often find I have as much luck if I know anything about the story and know what culture it came from and I know what the opening phrase is likely to be starting with the 'once upon a time' or 'snip, snap, snout' someplace and then putting the characters that I know are in that tale – like really sometimes I can get a full-text version by just working around it with natural language. And that's what I do. That's what I do a lot."*

These categories are not entirely mutually exclusive. For instance, searching is a practice that may take place both independently and as part of a larger goal, but it may also occur in support

of another practice such as synthesizing. Similarly, exploring may ultimately support other practices. We are in the process of identifying additional, perhaps more conventional, folklorists to serve as informants for this study. Quite likely the additional data will re-shape these categories of scholarly practices and it is possible that some of the crosscutting nature of the above categories may diminish in future iterations.

Although we coded the interviews in an iterative and emergent manner, the categories naturally began to resemble Palmer, et al's (2009) synthetic model of scholarly information practices. For instance, she and her co-authors identified collecting as a core scholarly activity as did we. Searching appears in their model as well as ours, but we have a related category—exploring—as well that represents non-directed searching activities that we identified; in contrast, Palmer, et al subsume a similar activity—browsing—beneath searching. The activity Palmer, et al termed writing is similar to synthesizing that emerged from our data. Both studying and creating are unique to our framework with the latter category representing an activity similar to synthesizing but with a greater emphasis on creative transformation.

3.2.1.2 b   Obstacles to information seeking

Regarding obstacles to information seeking, the interview data clustered in two categories: disciplinary-related and discovery and access-specific. Examples from the latter category are not especially unique in that they relate to lack of awareness of useful bibliographic tools, problems with the tools themselves (e.g. quickly outdated), mental models of classification systems that do not match the ones used in library settings, or even the problem of information overload.

> **Informant 1**: *"And those accidental discoveries are extraordinary when you pull up a story and it has five million hits and you start to Google something and—it's just extraordinary the connections you can make. At the same time, it's overwhelming and you have to thread your way into some kind of path of ideas through this enormous glut of information."*

> **Informant 3:** *"But I find [the University library] one of the most confusing places to try to find anything because nothing is set up in the way I think it should be. I'll be looking for a book, and it's not alpha – parts of it are in alphabetical, and parts of it – and you'll have an American collection right next to a Bulgarian collection, and you go, 'What are they doing there?'"*

> **Informant 4**: *"Well, two ways, but the first one, and the one you'll immediately recognize is Margaret Read Macdonald's Storytellers Source Book... And that was – it's a really good source for that. It's sad that it doesn't update itself automatically because that'd be really handy."*

Scholars in many academic disciplines –not just folklore—face a surfeit of resources that can overwhelm or tax all but the most ardent users.

More interesting are the disciplinary-related obstacles, several of which touch on the capricious nature of folktales. For instance, the names given to tales may vary from one collection or one community to another; similarly, tale variants may share motifs, although the variants have quite different effects or themes.

> **Informant 2:** *"I was gonna do a storytelling with older adults, and I wanted to have it – it wasn't just about – I mean love and marriage is all very well, but I wanted to see if I could find some stories that dealt with not just coming of age issues but decision making...there would be more to it to somebody who has already lived much of their life."*

> **Informant 3**: *"I found that that was difficult, because Grandma called the stories what her mother called them, which weren't what folklorists had called them who had collected them. They had different titles. That made me suspicious at one point whether folklores were actually giving the right titles themselves, or if they were just giving the titles from one source rather than trying to find different sources. But I think in most cases I think that the titles that my grandmother gave me were ones that she had learned rather than common titles."*

Disciplinary-related obstacles such as these, however, also speak to problems with existing tools, such as limited cross-references or inadequate access points.

Another intriguing set of disciplinary-related obstacles pertains to "translating," or working across boundaries (cf. Palmer, et al, 2009). The subjects identified translation problems as they sought and accessed information across scholarly (e.g. literary criticism, psychoanalysis, anthropology) and disciplinary perspectives (e.g. structuralist, historical-geographic). For instance,

> **Informant 1:** *"I had to learn the jargon and the terms, I had to learn the scholarly touchstones in the fields and it's sort of like a child who is growing up bilingual or trilingual, it takes them longer to speak but once I speak I have a broad understanding of language. So it took me a long time to understand how to pursue research across all these different disciplines."*

Translation problems also occurred as subjects moved from understandings of tales informed by personal experiences (e.g. recalling stories told by family members, reading tales in childhood) to understandings constructed through scholarly pursuits. For example:

> **Informant 3**: *"I think that the biggest challenge was when I went back to get my master's degree because I went back to study folktales and ballads, and it was like, "Oh, this is very different! This is nothing the way I learned." I learned from women who had learned from their mothers and their mothers and their mothers, and now, you know, I'm being told things that I know are wrong because what – some of these – some of them were saying."*

<u>3.2.1.2 c   Desired features for search and discovery tools</u>

The features these subjects identified as essential for an ideal discovery and access tool for folktale scholarship reflected both their work as scholars and their professional experiences in storytelling and youth services librarianship. For instance, the scholarly focus is evident in requests for searchable fields for source notes and cultural attributions, as well as descriptor fields for motifs such as characters.

> **Informant 2:** *"Where are the stories from? Strong female characters, ecological fiction, lions or whatever, ogres, so it would be all those different ways because you wanna spin it or you wanna have the ability to spin it or show students how to take this, this, and this, and you could thread them together in a book, talk about – or within a person, that sense that there's so many different ways to connect stories with other things which might be other stories but might be other stuff."*

> **Informant 3:** *"I think what I would like is something with a lot of cross-references. I think that's the biggest problem that I have and that most of my friends in storytelling have. There is – there'll be guides that'll say, 'Okay, here are other stories in that motif or in that genre,' or 'here's stories of the sea,' and there they are, but there's not a lot of cross-reference. So 'here's a ghost story that comes – that has this motif, but it doesn't fall into the Cinderella motif because it's a ghost story. See, I think the cross-referencing for me is something that I find intriguing and very frustrating. So what do I do? For example, I have a couple shelves of nothing but ghost stories, but about every three months the books that are on Chinese ghost stories get moved back to the Chinese section. And then a couple months later they get moved back to the ghost section because I can't really figure out where to put them."*

The professional focus is clearly visible in proposing the inclusion of programming ideas, ties to learning standards, and suggested audience ages for performance.

> **Informant 2:** *"Actually I think things like what age level are you using them on. I think that would be – because I think a lot of times someone will be given a particular reading level but really using it on sixth graders is a really dynamic way to do something, so I think that information would be extremely useful."*

> **Informant 4:** *"So if I had stories categorized in some way that even connected with like the Illinois State Learning Standards or – I mean, I'm getting really, really practical now. But something that connected with a kind of educational focus that would allow – it wouldn't even have to be that curriculum – well, but you know history, social studies – I mean, just folklore connected in those ways would be potentially really interesting."*

All subjects indicated preferences for a tool that would permit both directed searching and serendipitous discovery and that offered extended synopses or the full text of tales for searching. For instance,

Informant 1: *"I actually think that the Internet has done a lot of work in terms of inter-disciplinary connection and in terms of relating the personal and the scholarly, although I don't think that's largely recognized yet. But, also, something that I didn't realize for a long time about the internet is that you can make similar discoveries on a broader basis of the kind that you used to make in the library when you'd just be browsing, and you run into a book that was near another book for some reason that you wouldn't have figured out if you had tried to do it—tried to research it through the card catalog."*

Informant 4: *"Anything you can get access to quickly – I think the sooner my students get access to multiple versions of similar tales, the sooner they can imagine adaptation. Then I don't have to tell them, 'I'm adapting this story, and here's what adaptation looks like. You do A, B and C.' You know, instead you just show them, and they don't have to wonder anymore what it is. They know."*

Some subjects even saw value in allowing user commenting or tagging. For instance,

Informant 1: *"Because responses to story are part of my interest so it's not just somebody who studies them, it's somebody that hears them and reacts to them."*

Informant 2: **"***I'm sure other people could think of good keywords too, but actually, to me, that's really interesting, to find out, okay, 'cause then it tells me another version. If some other person over here was reading it as a story about integrity – yeah, that's pretty darn interesting."*

Worth noting is that some existing bibliographic record structures such as MARC already partially support informants' requests (e.g. for a searchable field for cultural attribution), although these structures are seldom leveraged fully to these ends. In a separate paper (Tilley and La Barre, 2010) we offer a provisional model for bibliographic records that shows where existing MARC fields overlay those arising from this study. (See also Section 4.1, Figure 5 and summary tables in Appendix 7.6)

3.2.2 Facet Analysis

Facet analysis, a form of conceptual content analysis, was the technique that guided the researchers as they selected representative terms or concepts from literature in the domain of folklore. The set of collected terms constituted the raw material for facet analysis as researchers "sorted [collected] terms in a given field of knowledge into homogeneous, mutually exclusive facets, each derived from the parent universe by a single characteristic of division (Vickery, 1960). Several sources were consulted in the creation of the facet analysis protocol used for this project including Aitchison, Gilchrist & Bawden (2002), Mills (2004), Vickery (1960), Vickery (1966).

3.2.2.1 Collection and related materials

The test collection for this project is housed at the Center for Children's Books (CCB) located at the Graduate School of Library and Information Science (GSLIS) at the University of Illinois. This Center includes a non-circulating library collection of more than 16,000 recent and historically significant trade books for youth, birth through high school, plus review copies of nearly all trade books published in the U.S. in the current year. The CCB also provides access to over 1,000 professional and reference books on the history and criticism of literature for youth, literature-based library and classroom programming, and storytelling. This collection is widely used by GSLIS students and faculty for coursework and research. Local storytellers, professional librarians and pre-service and professional educators are also frequent visitors. *The Bulletin of the Center for Children's Books*—an authoritative analytic review journal is affiliated with, and co-located in the CCB.

Over 10% or 1300+ items in the collection are folktales, folklore and items related to storytelling. The item records for CCB print materials are available through the UIUC library online catalog, but are often minimally cataloged. Many of the folktales in the sub-collection have been reviewed by the Bulletin. There is no collection development policy, but we were able to determine that the folktale collection was assembled opportunistically. The collection consists primarily of items that have been reviewed by the Bulletin or which were donated to the CCB by local public or school libraries.

One of the early tasks for this project consisted of the implementation of an open source ILS (Integrated Library System) that would be capable of storing and providing access to the local MARC records that exist for the items in this sub-collection, and which would also be capable of hosting the experimental record prototypes for the project. To accomplish these goals, the researchers selected Koha 3.0, the first open source ILS now in use throughout the world. Koha offered the promise of a large user base of committed developers, basic and advanced search options, platform-independent web-based interfaces, and a level of interoperability which could enable simplified uploading of existing MARC records to establish a complete stand-alone catalog of the CCB folktale collection.

Mounting Koha on a research server was a relatively simple matter. The project ran into unexpected difficulties due to the limited reporting ability of the currently ILS in use at the University of Illinois at Urbana-Champaign. Early attempts to generate a list of items in the 398.2 (the Dewey call number for folktales) located at the CCB resulted in incomplete sets of records. After contacting several departments at the main library, it was determined that these problems were related to a poorly functioning shelf list module. In order to properly identify all items in the collection, it was necessary to do the shelf survey by hand. In the process errors such as items that had not been catalogued, or which had incorrect locations were corrected. This lengthy but necessary process took four months, but allowed us to identify the record numbers for each book in the folktale collection. Once these record numbers were all collected, we were able to import the existing University of Illinois MARC records for each book in the CCB's folktale collection into our Koha ILS.

Once the records were loaded, we were able to identify a stratified random sample (by year) of 100 folktale monographs to examine during the facet analysis phase. Special attention was paid to the table of contents, index, introduction or preface, any author added notes or bibliographies, and any Bulletin reviews (47 of 100 sample books had reviews). In addition to the UIUC bibliographic records, the most complete available record for each item was collected from Worldcat. [See Appendix 7.6 for a comparison of how various facets were represented in the bibliographic records from UIUC and WorldCat.] As a point of comparison, bibliographic records from items also held as part of the paramount folklore collection at Indiana University were also collected for further comparative analysis.

Other material that was analyzed for this project included the online version of the *Ethnographic Thesaurus* (See Appendix 7.1 for an overview of the main facets), and Stith Thompson's *Motif Index of Folklore* (1955-1958/1993) (See Appendix 7.2 for an overview of the main classes). In order to provide a survey of extant access tools for folklore material the researchers also consulted a set of articles published in 1997 in the *Journal of Folklore Research* 34 (3) that provided critical analysis of extant classifications through discussion of tasks and desired access features for folklore materials.

3.2.2.2 Protocol

In keeping with the traditional practice of facet analysis, the following sequence of steps formed the protocol used throughout the project.

(STEP 1) Define the subject field (Vickery, 1966, p.11) by asking the following questions:

- What entities are of interest to the user group?
- What aspects of those entities are of interest to the user group?

Informing the preliminary process of defining the subject field included the collection of extant definitions of 'what constitutes a folktale' and lists of reference materials consulted regularly by the scholars who were interviewed for the task analysis. This work is summarized in section 2.1 of this report. Interviews with scholars and the CCB folklore collection provided strong indications of the types of items of most interest to the scholars in this study.

The list of scholarly tasks [for a full description see Section 3.2.1.2.a] resulting from the task analysis phase of this project proved useful points of comparison during a second and all subsequent iterations of facet analysis. Each iteration resulted in a refined set of preliminary facets. The list of scholarly tasks also aided in the development of the record prototype. In brief, the scholarly tasks consist of:

Exploring (reading and scanning collections, websites, journals)
Searching (to identify variants and aggregations; to follow citations)
Collecting (to build personal libraries, to keep notes about tale variants)
Creating (adapt for performance, design folktale based programs)
Synthesizing (critique adaptations, document variants, prepare instruction)

Studying (audience responses)

(STEP 2) Assemble a sample of domain literature (Vickery, 1966, p.11).

- Representative material such as reports, papers, comprehensive texts, glossaries, subject heading lists should be collected and examined.

The representative domain literature from which terms were collected included the following: A stratified random sample (by year) of 100 folktales from the Folklore collection (of 1300+ books) in the CCB. Also examined were reviews of sample books that were published by *The Bulletin of the Center for Children's Books*. Bibliographic records for each item in the sample collection were collected from three sources: Worldcat, Indiana University, University of Illinois (these are the records that were imported into the project OPAC). These were also examined as a potential source of terms.

Two publications designed to enhance access to folkore materials were also consulted as sources for candidate terms, and upper level facets. These were the *Ethnographic Thesaurus,* constructed by the American Folklore Society, and Stith Thompson's *Motif Index of Folklore* (1955-1958/1993). The vocabulary in the *Ethnographic Thesaurus* was of special interest to the present study because it used facet analysis as a way to determine the final structure the main subject areas. These upper level facets can be viewed in Appendix 7.1. Only a small part of the thesaurus vocabulary is germane to the materials that are included in the present study as the *Ethnographic Thesaurus* seeks to provide descriptors and subject access to a much broader range of material than we included in Phase 1 of this project. In addition to consulting this vocabulary, researchers also reviewed the *Motif Index of Folklore* because it is the most commonly consulted type and motif index available to classify constituent parts of folklore materials at a high level of granularity.

One last source of terms consulted by researchers was a comprehensive set of articles that provide critical analysis of extant folklore classifications. Published in 1997 in the *Journal of Folklore Research 34* (3), these articles also offer extended discussion of the tasks that are part of the folklorists repertoire, and offer lists of desired features or aspects for tools that seek to provide better access to folklore materials.

(STEP 3) Facet formulation: Term collection (Vickery, 1966, p.11).

- After assembling the literature, the next step involves collecting representative terms and associations between terms.

  Each coder was instructed to ask a series of questions during the term collection phase:

  - What concept does this represent?
  - In what category should this concept be included?
  - What are the relations between this term and other terms or concepts?

By keeping these questions foremost, the set of terms (expressed concepts) and their semantic relations resolve, through iterative analysis, into a set of facets that are can be considered representative of those aspects of the domain literature of most interest to the users.

Special attention was paid to the table of contents, index, introduction or preface, and any author added notes or bibliographies contained in each of the sample books. Literary warrant is the predominant theme in this approach (Vickery, 1959, p. 18; Vickery, 1966, p. 24), as candidate terms were drawn directly from domain literature.

(STEP 4) Facet formulation: Term sorting

- Collected terms are sorted into homogeneous groupings that are defined with respect to user interests (Vickery, 1966, p. 45).

During the process, researchers collected frequently appearing terms in an Excel spreadsheet. These spreadsheets were later used to collocate or cluster terms. The facets that resulted from this step are fully discussed in the following section [3.2.2.3].

It is important to note that the process of facet analysis is entirely iterative, and several of the steps in the protocol were repeated. The researchers revised the lists of terms, and preliminary groupings at regular points throughout the process. First, researchers compared and reconciled the lists of collected terms. Preliminary groupings were compared across coders. Next, researchers compared provisional lists of upper level facets with the list of scholarly tasks generated from the task analysis phase.

After the creation of the first list of facets and examples, the researchers revisited the *Ethnographic Thesaurus* and the *Motif Index of Folklore*. Terms drawn from these and from the articles in the *Journal of Folklore Research 34* (3) were integrated into the existing facets. This resulted in realignment or renaming of some facets. In order to test the preliminary facets, a group of sample books were presented to the researchers to see if any of these items presented novel facets that did not appear in the preliminary list.

As a countermeasure to prevent overlooking potential facets and in order to ensure reasonably comprehensive results, facet analysis is heavily reliant upon the use of provisional lists of fundamental categories throughout the process. Such a list provided dynamic guidance for researchers as they began to analyze representative terms and to create groupings of terms. Figure 4 illustrates four representative lists that were used throughout the project.

FIGURE 4: Provisional lists of fundamental categories

	Aitchison (2002)	Ranganathan (1933)	Shera/Egan (Vickery, 1960)	Prieto-Diaz (1987)
LIST OF FUNDAMENTAL FACETS	>Entities, things, objects >Kinds or types/ systems and assemblies >Actions & activities >Applications and purposes >Space, place, location and environment >Time	>Personality >Matter >Energy >Space >Time	>Product >Agent >Tools >Act >Object of action >Space >Time	>Function >Objects >Medium >System-type >Functional area >Setting

3.2.2.3 Findings: Preliminary facets

Three researchers worked on this part of the project. After the iterations and refinements that have already been discussed in the previous section, the terms clustered into eight upper level facets [For an overview, see summary table in Appendix 7.4]:

(1) Agent
(2) Association
(3) Context
(4) Documentation
(5) Location
(6) Subject
(7) Time
(8) Viewpoint

The following discussion will illustrate each facet with examples and definitions.

AGENT is defined as: the person or persons who are responsible for a given item. General examples of this facet include an author, translator, illustrator or adapter of a story. Examples of this facet are often found on the title page of a book, such as this attribution, "Drawings by Margaret Freeman". In general cataloging practice, this information is entered in MARC field 700, and sometimes in field 511 (for performers).

ASSOCIATION is defined as: any related items such as awards – "Caldecott winner" or reviews. This kind of information is often included on book flaps, and in the case of awards is may be entered into [MARC field 586]. For books reviewed by the CCB, a copy of the review is pasted into the book itself, making it easy for patrons to find out more about a book. Some

library catalogs subscribe to a service that inserts reviews into bibliographic records, or allow patrons to create their own reviews. The researchers hope, in Phase 2 to explore the possibility of automatically inserting reviews from the *Bulletin* into the prototype records. Another type of association, the aggregation, is often discussed in the preface or acknowledgements in a book, and provides an indication of other locations where a given tale might be found. It is possible with the adoption of the new cataloging code, RDA, that new MARC fields will be implemented that will allow greater use and cross linkage of this kind of information.

CONTEXT is defined as those aspects of an item that are integral to understanding the book. General examples of this are target audience [MARC field 521], intellectual level, source language, story origin [MARC field 650], language of publication [MARC field 650], function of story, mode of transmission, and role of the mode of transmission. This information may be found on the book flap, in the introduction or preface or as part of the CIP data provided by the publisher to the Library of Congress.

DOCUMENTATION refers to structural elements of an item, such as the table of contents, illustrations, an index, any notes, bibliographies or acknowledgements. A specific example of this comes from the preface of one of the sample books: "This Appalachian Cinderella variant is taken from R. Chase's Grandfather Tales."

These structural elements often provide a rich source of information about a book. Some MARC fields, such as the 505 for structural contents notes, allow the cataloger to capture table of contents material. For the folklorist, knowing that these kinds of textual augmentations are present is a first step to enhancing access to folklore materials. Worldcat often provides web links to the table of contents for selected books, but with the availability of digitized materials, it is worth investigating whether or not it might be possible to link to snippets such as the index, preface or bibliography of books as a way to automatically augment existing records.

LOCATION refers to the actual or imagined space in which an item occurs or now exists. This facet can be used to describe the location of the original story, the place of publication and the setting of the story itself. An example of this kind of information comes from the table of contents of one of the sample books: "*Origin of the Ocean* is a story from the Guajiro people who lived in what is now Columbia." This story is set in an imaginary land. Conventional cataloging practice captures place of publication [field 260] and as a subject entry in [field 651], but does not provide a way to fully capture all of the geographical nuances of many folktale books. How to handle complicated place or geographical descriptions for folktales is a common query sent to AUTOCAT, a listserv for catalogers. The advice varies, and many refer back to the Subject Cataloging Manual as a place to determine best practice.

SUBJECT refers to conceptual elements that relate to the intellectual content of an item. Here are included types, motifs, characters, or themes. Location can be a subject facet in the case of stories that have a geographical location as part of the subject (unlike the example above). A specific example drawn from one of the sample books illustrates the use of Stith Thompson's motif indicators in one of the notes in a book: "This story *East of the sun and West of the Moon*: includes four motifs cap [D1067.2.] [D1361.15.], carpet [D1155.], magic air journey [D2120.], and the marvelous land [F771.3.2.]. Though it is unlikely that cataloguing practice will ever

include such details, investigating the inclusion of or linking to certain elements of digitized surrogates in extant bibliographic records may be a possible solution.

TIME is a facet that represents the actual or imagined time in which an item now occurs or exists. This can refer to the chronological time in which the original story occurred, the time of publication, or the time of the actual story setting. An illustration of this is drawn from the table of contents of a sample book: "A Columbian Legend, 16th Century".

VIEWPOINT is a facet that relates to the worldview, influence or suppression of an item. General examples include theoretical scholarly understandings of a story, from which folklore tradition (such as structuralist or anthropological) an interpretation or adaptation of a story has been drawn, or which culture or ethnic group is originally responsible for a story, or has placed restrictions on the telling of a story. The following example is drawn from the preface of one of the sample books: "These stories may only be told between the time of the first snow and the first lightning strike." This serves as an indication that these are stories that can only be told during the winter months.

These eight facets serve as a preliminary grouping but are in need of further refinement. In order to create fully useful facets, it would be best to draw facet names from the language of the users. As they are now named, they are most useful for the researchers. These preliminary facets will also be re-examined and possibly re-factored after further facet analysis of the classifications listed in Appendix 7.5. Another important step that will occur in Phase 2 of this project involves the need for more detailed facet analysis of the interviews that were part of the Phase 1 task analysis as another possible source of facet names that are better suited for scholarly users.

3.3   Limitations

This study had several notable limitations. Only four scholarly users were interviewed. Each was a colleague, which heightens the chance that the interview or interpretation of the interview was biased. The test collection is composed mainly of juvenile folktales, which lessens the possibility that the facet analysis could be fully representative of the domain literature.

These limitations were mitigated to some extent by the following research design features. In Phase 2, the researchers intend to recruit 1-3 additional scholars who are not affiliated with the CCB to be part of the study. In Phase 2, now beginning, the researchers will also undertake interviews with 5-7 laypeople such as public or school librarians and storytellers. These informants may be aware of the CCB, but will not be recruited because they are CCB patrons.

To overcome the limitations of the nature of the CCB collection, one vocabulary (*Ethnographic Thesaurus*) and one classification (Thompson's motif index) were included in the literature that was subject to facet analysis. Phase 2 will also integrate more classifications and bibliographies into the protocol for facet analysis. In order to prevent cross-contamination, one of the principal investigators conducted the task analysis, aided by volunteers and practica students, while another principal investigator conducted the facet analysis, aided by two practica students.

4. DISCUSSION

4.1 Prototype record structure

Presented below in Figure 5 is a revised version of our preliminary prototype enhanced record structure, first reported in Tilley and La Barre (2010). This prototype is based on careful consideration of the facets so far uncovered in conjunction with common cataloging practices as described by Intner, et al (2006) and scholarly practices and recommendations as determined thus far through task analysis.

We have endeavored to indicate points where our model meshes with existing record structures. For instance, where they exist, MARC variable data fields corresponding to aspects of our model are noted. Importantly MARC fields currently exist to encode most of the record elements we recommend. Clearly, though, several primary facets including *Context* and *Viewpoint* are poorly represented in common cataloging practice. The charts included in Appendix 7.6 give further indication of how seldom some elements in our proposed record structure are currently leveraged in bibliographic records.

Our aim in putting forward this proposed record structure display is not to further burden already overtaxed catalogers. It is our hope to influence developer's choice of facets in Next Generation Catalogs that provide faceted display or navigation. We are also interested in pursuing ways to link to, or harvest existing sources of metadata that could augment bibliographic records with minimal human intervention. To this end, we will be working to identify readily accessible sources that can be used to harvest data for more novel fields. Additionally in future work we intend to make recommendations about strategies for retrospective record enhancements.

FIGURE 5: Prototype Record Structure Display

> **BOLD = FACET**
> **Lowercase = Record element**
> *Italics = Record element not commonly used (cf. Intner, et al, 2006) and/or no corresponding MARC field*
>
> **AGENT**
> > **Adaptor (MARC 245; *MARC 700*)**
> > **Illustrator (MARC 245; *MARC 700*)**
> > **Collector (MARC 245; *MARC 700*)**
> > **Narrator (MARC 245; *MARC 700*; MARC 511)**
> > **Translator (MARC 245; *MARC 700*)**
> > **Publisher (MARC 260)**
>
> **ASSOCIATION**
> > **Review (MARC 510)**
> > **Related works (MARC 76X-78X) *RDA/MARC***

Awards (MARC 586)

CONTEXT
 Audience (MARC 521)
 Curriculum objective (MARC 658)
 Program (MARC 653)
 Source language (MARC 546)
 Language of publication (MARC 650)
 Function of story (ex: as preparation for an event)
 Importance of manner of dissemination

DOCUMENTATION
 Summary (MARC 520)
 Table of contents (MARC 505)
 Illustration (MARC 300)
 Bibliography/sources (MARC 504)
 Acknowledgement
 Note

LOCATION
 Publication (MARC 260)
 Origin (MARC 751)
 Collection or aggregations of stories
 Story setting

SUBJECT
 Topical (MARC 650)
 Motif (MARC 655)
  Actor or Character type
  Items
  Actions

 Tale type (MARC 654)
 Theme (MARC 654)

TIME
 Publication (MARC 260)
 Collection
 Story setting

VIEWPOINT
 Restrictions on access [when and by whom a story may be told]
 Historical (about event) (MARC 545)
 Citations (MARC 510)
 Publication that is a study or analysis of the materials (MARC 581)
 Methodology used (MARC 567)

4.2   Implications

From a bird's eye view, it would seem that an overly narrow focus on ways to augment the bibliographic record structure for folktales would solve only part of the problems our scholarly informants reported. A number of scholarly practices are not well supported by existing search interfaces, whether in a library catalog or on the Internet, and are not anchored in problems relating to the bibliographic record. The preliminary results indicate that the solutions we pursue in Phase 2 and Phase 3 of this project must be much broader in nature.

Scholarly tasks such as *Exploring* which thrives on the possibility of serendipitous discovery are not well supported by browsing structures in catalog; for the task: *Creating,* particularly the act of special adaptations of tale versions – the chief problem for our scholars is how to locate variant tales; scholars engaged in *Studying* encounter obstacles in the sense that few search mechanisms allow scholars a simple way to quickly identify who else is working in a particular area (though there are some applications such as BibApp currently in development).

In some cases, scholars simply do not rely on library collections, but instead create their own. All of our informants maintain large personal libraries. One of our informants, aided by his students, has a virtual library of his collection in the form of a LibraryThing catalog. An interesting extension to this research will occur in Phase 2 as the project imports these LibraryThing records into the KOHA prototype catalog. Scholars also often bypass library catalogs in favor of searching for full text versions of tale variants on the Internet. Several of our informants do this because of the difficulty of finding tale variants in traditional library catalogs. On the Internet, several have found tale variants by entering phrases that are likely to occur across variant tales.

Several scholar-desired features are grounded in the bibliographic record structure, such as searchable fields for source notes or cultural attributions. Other desired features included descriptor fields for characters and other motifs, more consistent integration of learning standards, and recommendations for target audiences. Mapping of the identified facets to existing MARC fields [more fully discussed in section 4.1 and in Appendix 7.6] indicates that MARC fields for these kings of information already exist, or will soon be part of cataloging practice. In-depth study of the extant bibliographic records for the test collection indicates, however, that these fields are rarely used. Here, the continuing tension between what constitutes "good enough" cataloging collides firmly with the expectations of the scholarly user.

Our project, Folktales and Facets, specifically hopes to address recommendations from *On the Record* such as integrating user-contributed data into library catalogs (4.1.2), encouraging application of—and cross-referencing with—other controlled subject vocabularies (4.3.3), and supporting ongoing research about bibliographic control (5.1.2).

The scholarly interviews indicate some support for user-added information such as tags or reviews. In anticipation of the usefulness of user-added metadata, the KOHA catalog for this project has now been configured to bring in tags and reviews from LibraryThing for Libraries. An extension to the interviews in Phase 2 will include simulation interviews and observation.

During this phase we hope to observe whether or not scholarly users find these features useful, or if they would prefer to add their own metadata to work with metadata added by other folklorists. The high interest in full text searching and in being able to see textual components like notes or bibliographies provides support for continued experimentation with snippets or parts of available digitized materials. The facet analytical work done with the CCB materials tends to support the fact that such high value material is concentrated in a few parts of folktale books. Another desirable feature for scholars would be the ability to conduct fielded searching in discrete parts of digitized surrogates – such as the notes, bibliographies, prefaces or acknowledgements. Being able to search these book components will provide rich access to the kinds of information sought by scholars. Those scholarly users already familiar with folklore indices expressed a great deal of interest in being able to do searching with index information about identified tales within the context of a library catalog (or to search notes or other fields in the texts themselves which already contain this information). This points to the need to investigate better integration of type and motif indices into the search interfaces scholars already use.

Several of the obstacles encountered by scholarly users give support to the need for FRBRized displays that presently draw from existing MARC fields, or which will bootstrap the new MARC linking fields that will be part of RDA, (the new cataloging code to be published in 2010). Several scholars expressed interest in being able to search for specific individual tales that may exist in different aggregations, while others were interested in being able to search at a work level for variants of tales which may not share the same title, but which share the same characters, motifs or types.

This study has been informed by Kuhlthau's (2005) call for greater connection between the study of users' information-seeking behaviors and the design of information retrieval systems. It is too early to begin the construction of a truly collaborative framework that will continue to encourage and strengthen the study of task-focused information seeking and user-centered system design. We see great potential to work towards this goal, as we gain insights from the additional scholar and lay person informants that will be part of Phase 2 and Phase 3. By including these new informants, we will be able to bring in experiences that we may not have discovered among the scholarly users at the CCB.

Phase 1 represented a unique opportunity to look closely at a domain of interest, a collection of domain literature and the scholars who use this domain. Through careful task and facet analysis, several interesting aspects of scholar expectations, and obstacles have been uncovered. Phase 2 will bring with it the ability to further compare findings from similar projects such as Pejtersen's (1989) Book House system and to continue to draw on recommendations for more integrated and theoretically repositioned models (e.g. Hjørland 1997, Ingwersen & Jarvelin 2005, Taylor 1991) for studying information seeking and use.

Lastly, the researchers feel confident that these initial findings have important implications for other complex information resources such as archival materials and oral histories. Users of these materials face similar barriers as existing records and finding aids fail to describe these resources adequately.

4.3   Next steps

As we stated in our proposal, our intention is that the research completed as part of the OCLC/ALISE Library Research Grant program represents only an initial phase in a larger project. Moving forward we envision the following activities to develop and refine our ideas and understanding in further detail. These will be manifest in a working proof of concept interface.

- **Near Term (next 12 months)**

    Task analysis: Identify and interview 1-3 additional scholar informants not affiliated with the CCB. Identify and interview 5-7 practitioner informants not affiliated with the CCB. Continue development and revision of categories of practices and tasks related to folktales. Conduct simulation interviews with scholar informants to begin procedural analysis.

    Facet analysis: Conduct facet analysis on initial interviews. Detailed facet analysis of the classifications in Appendix 5.4. This stage of facet analysis will focus on having the terminology used to name each facet adhere to the language the users would select. Target facets for inclusion into KOHA search interface by mapping existing MARC fields that already support each facet. (Augment records as necessary).

    General: Begin development and rapid testing of paper prototypes for interfaces. Import LibraryThing records from scholar's personal folktale collection (~3,000 volumes) into existing KOHA implementation. Continue development and refinement of the prototype-enhanced record. Augment records of 100-item sample using the prototype requirements. Begin user testing of prototype-enhanced record.

- **Medium Term (12 – 18 months)**

    Task analysis: Continue simulation interviews of additional scholar informants. Identify and interview additional practitioner informants. Continue development and revision of categories of practices and tasks related to folktales. Conduct simulation interviews with practitioner informants to continue procedural analysis.

    Facet analysis: Conduct analysis of additional scholar and practitioner interviews. Refactor facets as needed. Examine any additional reference materials for folklore that are uncovered by the interviews. Map facets to tasks as a way to guide interface development.

General: Continue development and rapid testing of paper prototypes for interfaces. Implement some full-text, public domain items into existing KOHA implementation. Refine enhanced record requirements and augment additional records as feasible. Continue user testing of enhanced records.

- **Long Term (18-30 months)**

  Task analysis: Continue simulation interviews of additional practitioner informants. Identify and interview layperson informants, including some children. Continue development and revision of categories of practices and tasks related to folktales. Conduct simulation interviews with layperson informants to continue procedural analysis.

  Facet analysis: Continue facet analysis of interviews to test existing facet list. Refine enhanced record requirements in accordance with facet list. Fully integrate facets into search and navigation interface in KOHA catalog.

  General: Develop working interface based on results of rapid prototyping. Continue adding full-text, public domain items into KOHA implementation as feasible. Continue user testing of enhanced records and augment additional records as feasible. Explore ways in which record augmentations can be automatically generated or harvested from other sources.

We are already actively disseminating information about this study. During this past year, we gave several presentations, and have published early findings in the following locations:

(1) Presentations at two meetings of the UIUC/GSLIS Metadata Roundtable
(2) A poster at the UIUC/ GSLIS Research Showcase.
(3) A presentation at the 2010 ALISE conference in Boston this past January.
(4) A presentation at the February 2010 iConference, a paper (La Barre and Tilley, 2010) will also appear in online proceedings.
(5) One of our student assistants, Carrie Pirmann, also presented an iConference poster (Pirmann, 2010) about facets and tagging work done in part for the Folktales and Facets.
(6) Our poster proposal for the 2009 meeting of the American Folklore Society was accepted (although we were unable to attend).
(7) The project is listed on the websites of both CIRSS (http://cirss.lis.illinois.edu/CollMeta/Folktales.html) and the CCB (http://ccb.lis.illinois.edu/research.html).

For the coming year, we are already looking forward to several presentations. Later this month, we will present two papers—Tilley and La Barre (2010) and La Barre (2010), both of which will appear in printed proceedings—at the 11th International Conference of the International Society for Knowledge Organization (ISKO) held in Rome, Italy. In April, we will again present information about Folktales and Facets as part of the GSLIS Research Showcase. In August, we will present a paper at the annual meeting of the Society for the History of Authorship, Reading, and Publishing (SHARP) in Helsinki, Finland. We also intend to submit a manuscript for

possible publication in the Journal of the American Society for Information Science and Technology (JASIST).

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Appendix 7.1 Ethnographic Thesaurus: Facets

> Source: http://et.afsnet.org/index.html
> Extended facet description and display: http://et.afsnet.org/outlines.html

About: The Ethnographic Thesaurus is a searchable online vocabulary that can be used to improve access to information about folklore, ethnomusicology, cultural anthropology, and related fields.

A General ethnographic concepts.
B Belief and worldview including personal, social, philosophical, religious and others.
C Ritual Manifestations of belief through recurrent behaviors and practices.
D Health Knowledge, beliefs, and practices that concern conditions of the body and the mind, including diagnosis and prognosis, treatment, and care.
E Migration and Settlement Movement of peoples and their settlement patterns.
F Human Dynamics The relation, interaction, and identification among individuals and groups.
G Law and Governance The forms and activities of governance.
H Education Teaching and learning patterns and practices.
I Entertainment Activities and events of leisure, sports, and entertainment.
J Art Aesthetic expressions, manifested in works including conceptual, representative, or decorative aspects.
K Language Linguistics and language in society.
L Verbal Arts and Literature Forms of verbal arts and literature, performance elements used.
M Music Musical genres, forms, and musical instruments.
N Dance genres, forms, and contexts.
P Material Culture Products and processes of human culture expressed in material form.
Q Foodways Food and consumption; preparation, presentation, preservation, and beliefs.
R Work Occupation, employment, and industry.
S Performance The elements and devices of performance and presentation.
T Transmission The ways by which culture is disseminated through time and space.
U Beings of all kinds, including human, animal, supernatural, and mechanical.
V Space and Place Features of cultural, natural, supernatural, and imaginary landscapes.
W Time Concepts of time including duration, periodicity, time cycles, and calendars.
X Disciplines Fields of study.
Y Research, Theory, and Methodology incl. approaches, research tools, and information management systems.
Z Documentation Containers of information, whether conceptual or physical.

Appendix 7.2 Main classes from the Stith Thompson Motif-index of folk literature

Thompson, S. (1955-1958). Motif-index of folk literature: A classification of narrative elements in folktales, ballads, myths, fables, mediaeval romances, exempla, fabliaux, jest-books, and local legends. Bloomington: Indiana University Press. CD-ROM published in 1993. Retrieved online as part of the Digital Folklore Indices Project
http://www.ruthenia.ru/folklore/thompson/index.htm

Main classes

- A. **Mythological Motifs**
- B. **Animal Motifs**
- C. **Motifs of Tabu**
- D. **Magic**
- E. **The Dead**
- F. **Marvels**
- G. **Ogres**
- H. **Tests**
- J. **The Wise and the Foolish**
- K. **Deceptions**
- L. **Reversals of Fortune**
- M. **Ordaining the Future**
- N. **Chance and Fate**
- P. **Society (social classes by role, title, trade or profession)**
- Q. **Rewards and Punishments**
- R. **Captives and Fugitives**
- S. **Unnatural Cruelty**
- T. **Sex (love, celibacy, sexual relations, pregnancy, children/family)**
- U. **The Nature of Life**
- V. **Religion (services, artifacts, sacred persons, beliefs, virtues)**
- W. **Traits of character (favorable and unfavorable)**
- X. **Humor**
- Z. **Miscellaneous Groups of Motifs**

       Z0--Z99. Formulas and Cumulative tales (single or interdependent events or characters)

       Z100--Z199. Symbolism

       Z200--Z299. Heroes

       Z300--Z399. Unique exceptions or vulnerabilities

Appendix 7.3 Task analysis findings

Scholarly tasks

SCHOLARLY PRACTICES (TASK ANALYSIS)	
EXPLORE	**Read and scan: tale collections/ websites/ journals.**
SEARCH	**Identify variants and aggregations.** **Follow citations.**
*COLLECT	**Build personal folklore libraries.** **Keep notes about folktale variants.**
*CREATE	**Adapt for performance.** **Design folktale-based programs.**
SYNTHESIZE	**Critique published adaptations.** **Document variants.** **Prepare lecture notes / instructional materials.**
STUDY	**Audience response.** **Examine the relationship between personal narratives and folktales.**

Appendix 7.4 Preliminary Facets

Facet	Definition	General examples	Specific examples
AGENT	Persons responsible for item	Author Translator Illustrator	Drawings by Margaret Freeman
ASSOCIATION	Related items	Award Aggregations Reviews	Caldecott winner
CONTEXT	Aspects of item that are integral to understanding	Target audience Intellectual level Source language Story origin Transmission	From book flap: Intended for juvenile audiences
DOCUMENTATION	Structural elements of item	Table of contents Illustrations Index Notes Bibliography Acknowledgment	From the preface "This Appalachian Cinderella variant is taken from R. Chase's *Grandfather Tales*"
LOCATION	Actual or imagined space in which item occurs or now exists	Of original story Of publication Setting	From the table of contents: *Origin of the Ocean* is a story from the Guajiro people who lived in what is now Columbia and Venezuela
SUBJECT	Elements relating to the conceptual content of an item.	Type Motif Character Theme	From a note: This story *East of the sun and West of the Moon*: includes four motifs (from Thompson (1955) cap [D1067.2.] [D1361.15.], carpet [D1155.], magic air journey [D2120.], and the marvelous land [F771.3.2.].
TIME	Actual or imagined time in which item occurs, or now exists	Of original story Of publication Setting	From the table of contents: A Columbian Legend, 16th Century
VIEWPOINT	Relating to the worldview, influence, or suppression of item	Theory Tradition Culture Ethnicity	From the preface "These stories may only be told between the time of the first snow until the first lightning strike"

Appendix 7.5 Classifications and Vocabularies for next iteration of facet analysis

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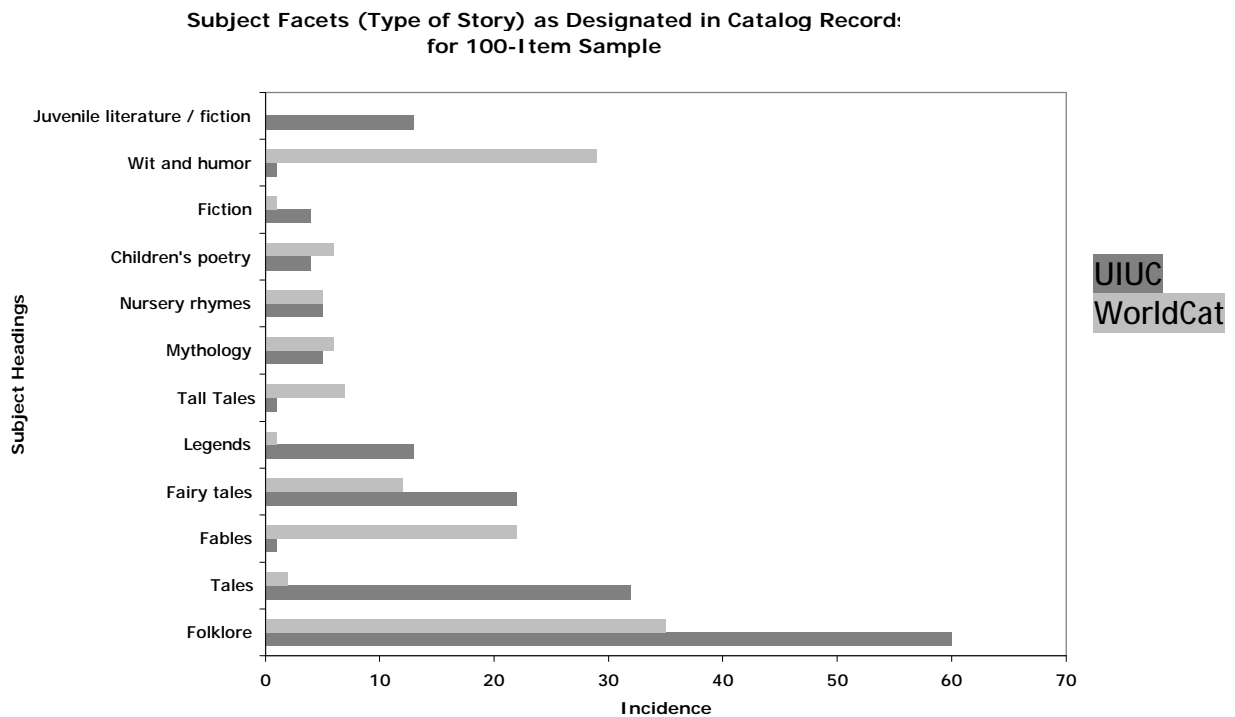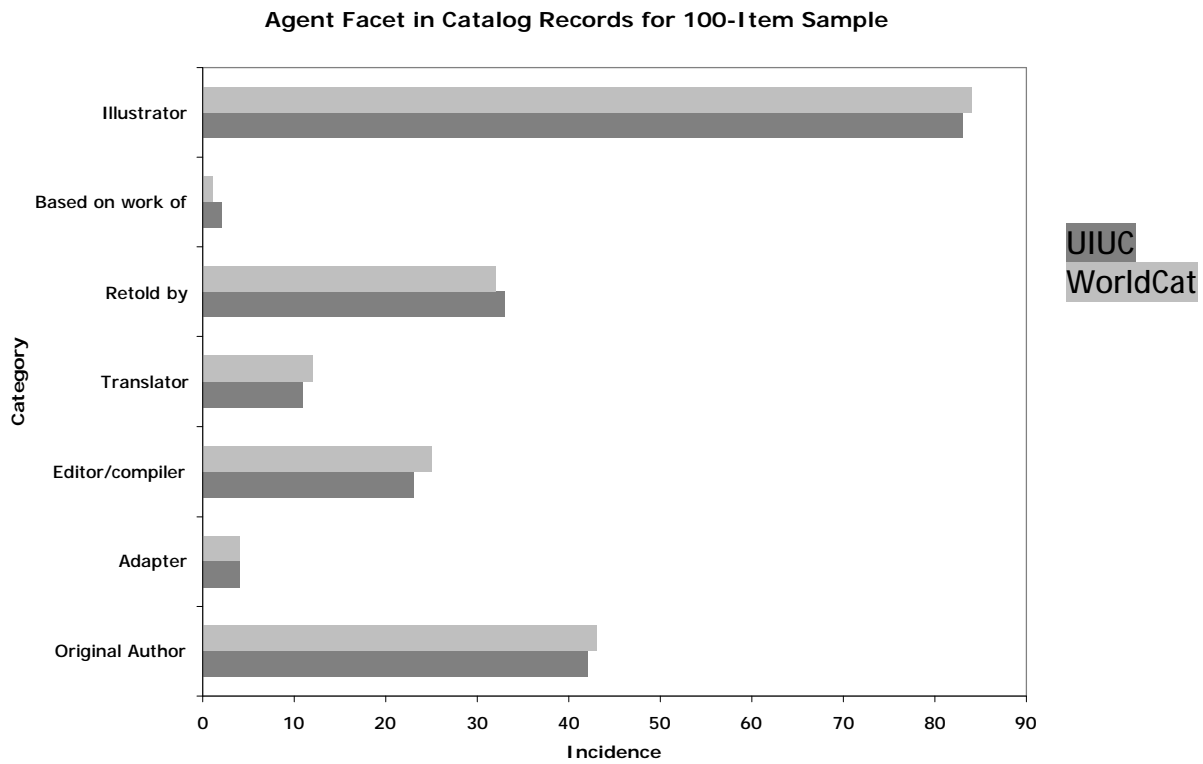
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Appendix 7.6 Representation of Various Facets in the Bibliographic Records from UIUC and WorldCat for 100-Item Sample

Agent Facet in Catalog Records for 100-Item Sample

Subject Facets (Type of Story) as Designated in Catalog Records for 100-Item Sample

Miscellaneous Facets in Catalog Records for 100-Item Sample

UIUC
WorldCat